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Programme Guidance: Strengthening Shock Responsive Social Protection Systems

Prepared by
Social Inclusion and Policy
United Nations Children's Fund
3 United Nations Plaza
New York, NY, 10017, USA

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Jiayan He, Shangning Wang

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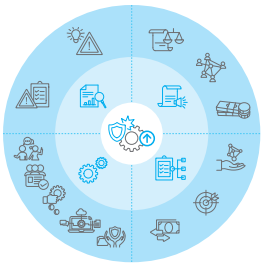
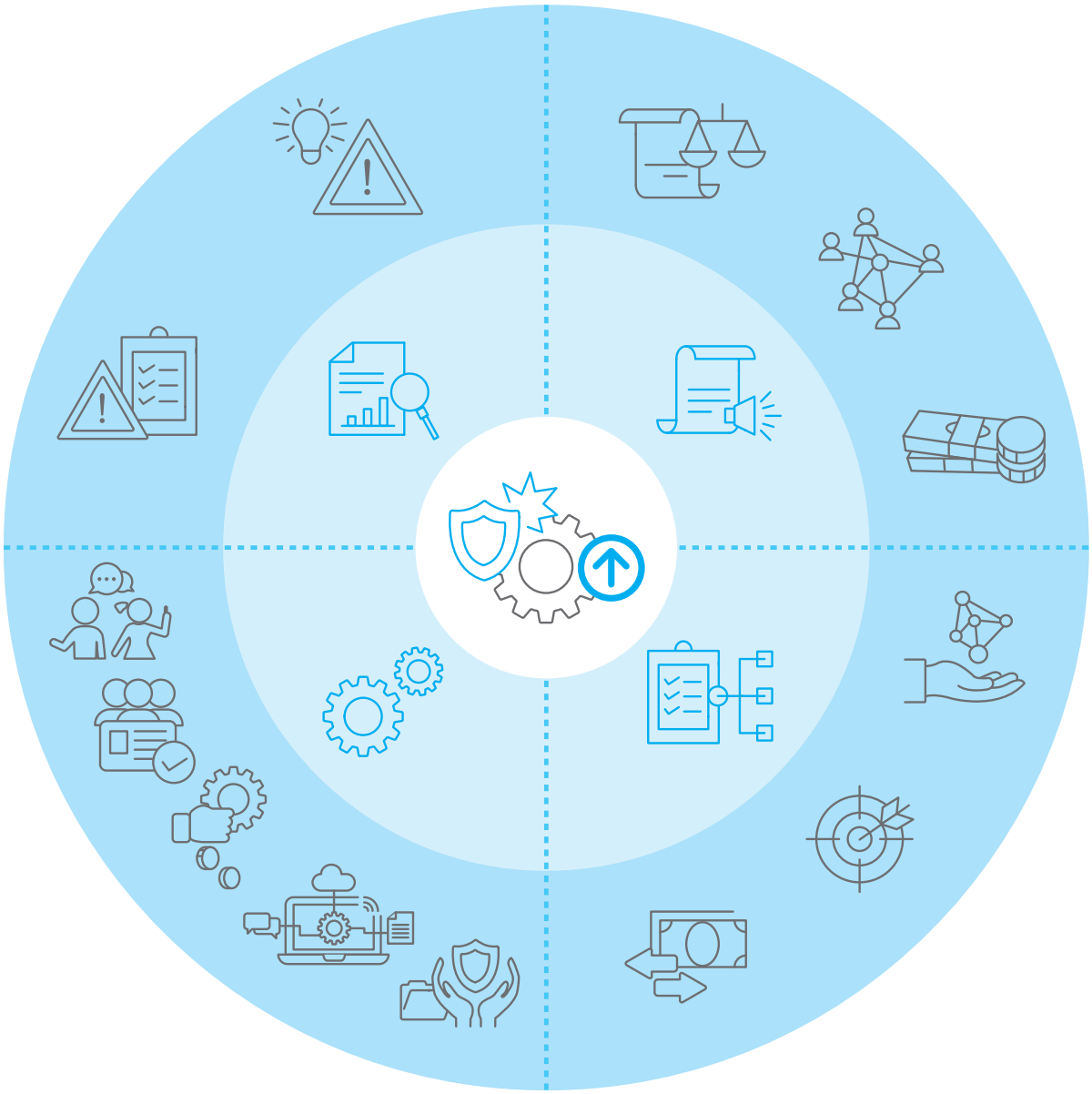


The infographic on the inside front cover represents table 4 on page 21.



Programme Guidance:
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LIST OF ACRONYMS

BCC	Behavioural Change Communications
BMZ	German Federal Ministry for Economic Cooperation and Development
CaLP	Cash Learning Partnership
CCC	Core Commitment for Children in Emergencies, UNICEF
CCT	Conditional Cash Transfer
CCTE	Conditional Cash Transfer for Education, Turkey
C4D	Communications for Development
DFID	UK Department for International Development
DFAM	Division of Financial and Administrative Management, UNICEF
DRM	Disaster Risk Management
DRF	Disaster Risk Financing
ECHO	European Civil Protection and Humanitarian Aid Operations
ECTP	Emergency Cash Transfer Programme
EMOPS	Office of Emergency Programmes, UNICEF
EPP	Emergency Preparedness Platform, UNICEF
ESSN	Emergency Social Safety Net, Turkey
EWS	Early Warning System
FAO	Food and Agriculture Organisation
FDS	Family Development Sessions, Philippines
HCT	Humanitarian Cash Transfer
HQ	Headquarters
HSNP	Hunger Safety Net Programme, Kenya
ILO	International Labour Organisation
ISPA	Interagency Social Protection Assessment
M&E	Monitoring and Evaluation
MPS	Minimum Preparedness Standards, UNICEF
NGO	Non-Governmental Organisation
ODI	Overseas Development Institute
PMT	Proxy Means Test
PSNP	Productive Safety Net Programme, Ethiopia
SPaN	Social Protection across the (Humanitarian-Development) Nexus
SPIAC-B	Social Protection Interagency Cooperation Board
SRSP	Shock-responsive Social Protection
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
WFP	World Food Programme
YECT	Yemen Emergency Cash Transfers
T4D	Technology for Development

LEGEND OF THE BOXES

 Do not forget

 Case Study

 Resources

 Idea

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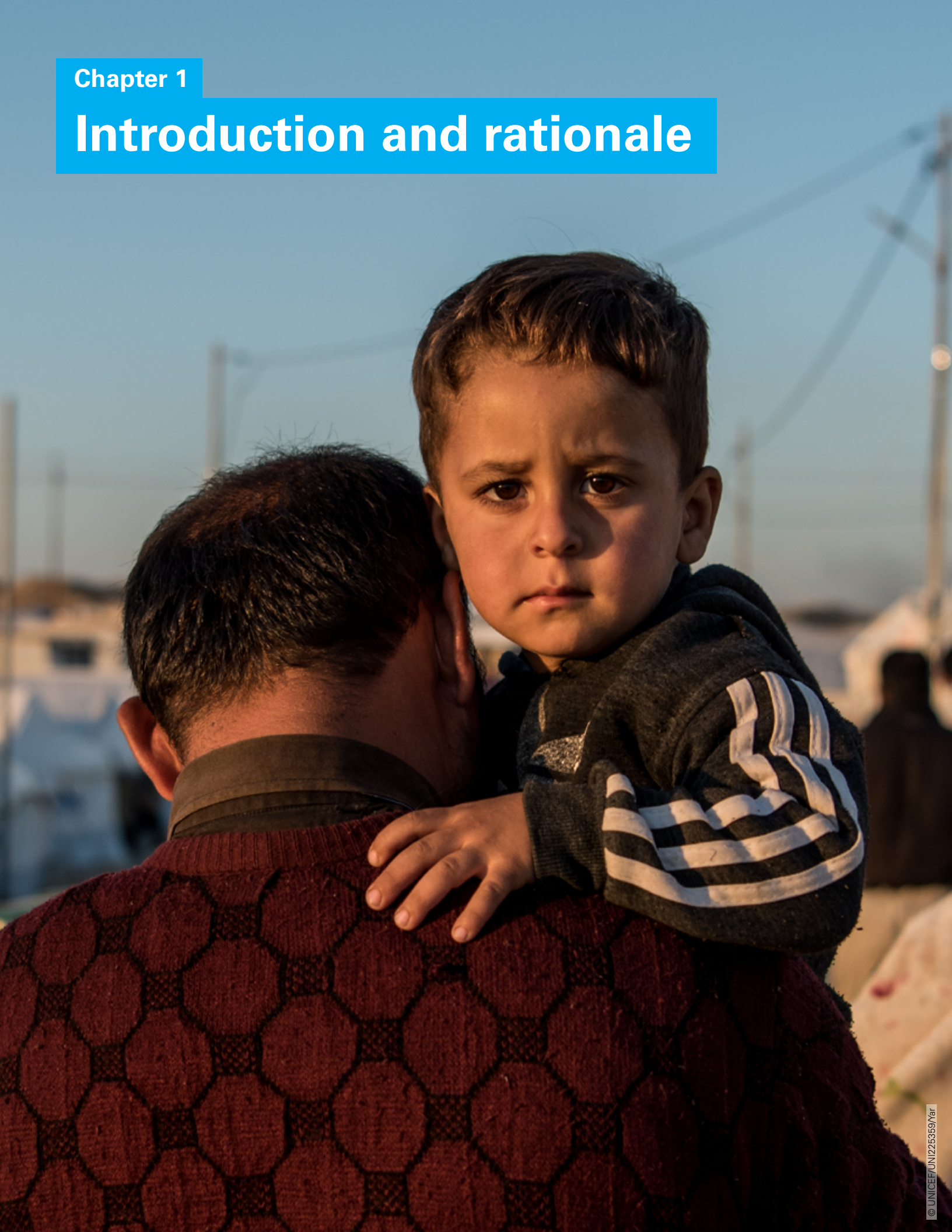
Chapter 1

Introduction and rationale



1.1 Purpose and scope of the guidance

From the growing number and severity of climate disasters to ongoing political upheaval, the number of children and families living in communities vulnerable to shocks and facing emergency situations is growing, with potentially devastating impacts on children and their childhoods.

When crisis hits, effective social protection support is often a crucial factor in determining whether children can quickly return to normality or their life paths will be permanently altered. All too often, however, national systems are either too weak to respond, or are not designed to have the flexibility to adjust, for example, through rapidly expanding to reach those that need support or temporarily increasing transfer size while families and communities recover.

UNICEF, along with partners such as the World Bank, European Commission, International Labour Organisation, World Food Programme and United Nations High Commissioner for Refugees, is increasing our focus on supporting governments to strengthen social protection systems so they are ready to respond. This guidance supports this transition, outlining UNICEF's approach to shock responsive social protection and providing practical tools and resources. We hope it will aid UNICEF colleagues as well as partners inside and outside of governments as we work together to build and strengthen shock responsive social protection systems.

This guidance focuses on *social transfers, especially cash transfers*, as proven programmatic responses and an integral part of social protection systems in both development settings and humanitarian response, and an area in which UNICEF has significant expertise. Other important areas of social protection programming, such as social insurance, public works and school feeding, are areas for further exploration for UNICEF in coordination with key partners in these areas.[1]

The document is organized in the following chapters:

- Chapter 1 sets the scene, engaging with key concepts and explaining why UNICEF is pursuing a focus on Shock-responsive Social Protection (SRSP).
- Chapter 2 presents UNICEF's framework and guiding principles for its work on SRSP.
- Chapter 3 focuses on the "How To", crystalising the learning from a wide body of evidence on how social protection has been playing a greater role in addressing covariate shocks.

Links to other key documents

Knowledge and experience on Shock-responsive Social Protection is growing rapidly, and several other important guidance documents are available on the topic. This guidance builds on and contributes to some of this existing work (see Annex 5), specifically among them:

- Guidance Package on Social Protection across the Humanitarian-Development Nexus (SPaN). This guidance package includes a reference document, thematic notes, country case studies and think pieces on the latest research and policy development that aim to provide concrete and practical guidance to humanitarian and development stakeholders to consider social protection as an effective short- and long-term response in a range of crisis contexts.
- Research on Shock-responsive Social Protection Systems. This study examined the constraints to social protection systems being more responsive to shocks, and, conversely, factors that would enable social protection systems to become more responsive to shocks. The research produced a range of useful learning material including a synthesis report, a toolkit, case studies and policy briefs.

Within UNICEF, this guidance complements a number of key resources:

- UNICEF's Global Social Protection Programme Framework: This outlines UNICEF's approach to social protection and the make-up of child sensitive social protection systems, and sets out UNICEF's 10 Action Areas in social protection. Being shock-responsive is an integral part of a strong social protection system, accordingly this guidance is closely aligned with the framework, focusing in detail on our Action Area 9: Strengthening National Shock Responsive Social Protection systems.
- UNICEF's Humanitarian Cash Transfers Programmatic Guide: This provides a comprehensive look at how to undertake cash-related preparedness activities; rapidly assess how best to use cash transfers to

1. For the time being, Annex 1 offers some insights on how the design and implementation features of different social protection interventions mediate their overall role for shock response and resilience building. Moreover, despite the focus on social transfers systems, the document follows a 'systems approach' to social protection as elaborated in UNICEF's Global Social Protection Programme Framework (2019).

deliver results for children; and set up a timely and effective cash response, making use of elements of existing social protection systems where feasible. This guidance serves as a key reference for UNICEF's Social Protection Programme Framework's Action Area 10: Delivery of cash and linking to services in humanitarian response

- UNICEF's Emergency Preparedness Platform: The EPP is an online tool for implementing UNICEF's *Procedure on Preparedness for Emergency Response*. It helps country teams analyse risks, self-assess and monitor their operational preparedness and identify high-return actions to get ready for immediate response , before an emergency happens or a situation deteriorates. It includes Minimum Preparedness Standards (MPS) for various functions with MPS 4 focused on programming and MPS 5 focused specifically on Humanitarian Cash Transfers.
- Guidance on Risk Informed Programming (GRIP): This is a package of general and sector-specific modules that propose a methodology for conducting child-centered risk analysis and leading a collaborative process with multiple child rights stakeholders (including children, adolescents and youth) to design or adapt programmes to further risk reduction, resilience and peace. The guidance is modular in nature and includes a module on social inclusion.

1.2 Setting the scene: why a focus on 'shock-responsive' social protection?

According to the definition by the Social Protection Interagency Cooperation Board (SPIAC-B), social protection is *'a set of policies and programs aimed at preventing or protecting all people against poverty, vulnerability and social exclusion throughout their lifecycle, with a particular emphasis towards vulnerable groups.'* It encompasses a wide range of interventions – both contributory and non-contributory – serving different functions and objectives, as discussed within UNICEF's Social Protection Framework. The provision of social protection is deeply rooted in the Sustainable Development Goals (especially within Goals 1 and 10)[2] and has been an increasing policy priority within low- and middle-income countries in recent years, testified to by growing coverage rates and levels of institutionalisation.[3] There is also widespread and convincing evidence that long-term, inclusive, social protection systems can address poverty, vulnerability and inequality, across a wide variety of dimensions (e.g. food security, human capital accumulation, increases in productivity, etc.).[4]

Social protection policies and programmes are most often designed to address typical risks faced by individuals and households along their lifecycle. 'Shock responsive' social protection aims to extend the types of risks covered to include additional, challenges which often impact many households at once such as natural hazards, economic crises, and conflict that also play a critical role in determining life outcomes. When shocks are recurrent, protracted or severe, they destabilise household economies, making a return to normal life very challenging. This progressive deterioration forces many parents/caregivers to make choices that are in direct conflict with children's rights with long term negative repercussions for children's wellbeing.

***'A rose by any other name would smell as sweet'* (Shakespeare): it is important not to get stuck over the terminology in this field and to focus on function.**

'Shock-responsive', 'shock sensitive' and 'adaptive' social protection are all words that have been used by different stakeholders to refer to broadly similar concepts. While attempts have been made to differentiate the boundaries between these (see, for example, this blog on 'adaptive' vs 'shock-responsive' social protection), the debate is still open. Ultimately, it is more useful as policy-makers to focus on what these terms have in common – increasing attention on the role that social protection can play in advance of, and in response to, covariate shocks for immediate, medium- and longer- term support – alongside other sectors. For example, shocks may be slow to manifest their consequences (e.g. climate change), yet these should fall under the UNICEF understanding of SRSP.

2. SDG Target 1.3. (Goal 1) explicitly calls for the implementation of, 'nationally appropriate social protection systems and measures for all, including floors,' and by 2030 the achievement of, 'substantial coverage of the poor and the vulnerable.'
3. ILO (2017); World Bank (2018).
4. Bastagli et al. (2016); European Commission (2019); UNICEF (2019) amongst others.
5. O'Brien et al. (2018); OPM (2017); Bailey (2018); Cabot Venton (2018) and European Commission (2019).

This call to risk-inform social protection is intended to help respond to a swiftly changing, global landscape, whereby:[5]

- The number, severity, complexity and duration of humanitarian crises has been on the rise over the past 30 years and has overburdened traditional humanitarian systems;
- Recent crises have caused displacement on an unprecedented scale;
- Most shocks are broadly predictable, recurrent and/or protracted, with routine caseloads and 'humanitarian' caseloads blurred in practice in many contexts;
- It has become apparent that short-term humanitarian strategies, funding cycles and programmes are neither intended nor able to address long-term crises and the interplay of shocks with poverty and chronic vulnerability;[6]
- There is increasing evidence of the cost-effectiveness of early action via existing systems rather than ad hoc, ex post responses;[7]
- Established social protection systems in low- and middle-income countries are increasingly being leveraged to respond to emergencies. Building on these experiences, national governments, donors, UN agencies and NGOs have generated valuable lessons on which to build (see Annex 5).

A social protection system that is designed to better anticipate and respond to shocks, in coordination with other sectors, can play an important role for children and their families to better prepare for and cope with the impacts of stresses and shocks. This guidance therefore calls for:

- An increased focus on 'shocks' within social protection design and implementation; and,
- Better coordination and synergies with other authorities that have a specific mandate to coordinate or respond to covariate shocks, such as the Disaster Risk Management authority.

1.3 Why is this a priority for UNICEF?

UNICEF's longstanding support to both social protection systems and emergency preparedness and response make the agency well-placed to work effectively with national governments alongside other development partners (e.g. WFP, UNHCR, ECHO, ILO, World Bank and FAO) to support the preparedness of social protection systems to better respond to shocks. Shock-responsive social protection systems will have a higher capacity to support children and their families in different risk contexts and contribute to maintaining children's human capital development regardless of the type and duration of the crisis they may be facing.

Reaching children where they need to be reached

- Women and children bear the brunt of large shocks and crises. In 2016, an estimated one in ten children resided in countries and areas affected by armed conflicts, and 385 million lived in extreme poverty.[8] Approximately 28 million, or one in 80, children in the world were forcibly displaced – this includes 12 million child refugees and child asylum seekers, and 16 million children living in internal displacement due to conflict and violence. In addition, seven million children were internally displaced due to natural disasters.[9] The average duration of displacement for refugees has been recently estimated at 20 years – an entire childhood – and more than ten years for most internally displaced people.[10] UNICEF can play a role in supporting these children and their families where they need to be reached, upholding the core principles of the Convention on the Rights of the Child (including the right of every child to 'benefit from social security') and ensuring people-centred, child-sensitive, and vulnerability-focused action.

Aligning with our global strategy and commitments

- The Sustainable Development Goals (SDGs) outcome document, Transforming Our World: the 2030

6. E.g. most humanitarian funding is concentrated in the same places over time. The stereotype of humanitarian assistance being short term is inaccurate because the problems that it seeks to address rarely are.
7. For example, a recent USAID study found that donors could save 30 per cent on humanitarian aid spending if they invest in earlier and more proactive responses such as SRSP (Cabot Venton, 2018).
8. Hallegatte et al. (2016).
9. ILO & UNICEF (2019).
10. https://ec.europa.eu/echo/what-we-do/humanitarian-aid/refugees-and-internally-displaced-persons_en

Agenda for Sustainable Development recognises the impacts of hazards such as earthquakes, violent conflict, disease outbreaks, climate change and extreme weather, while acknowledging that children, women, individuals with disabilities and the most impoverished are disproportionately vulnerable to, and affected by, the impact of crises.

- As a part of the 2016 Grand Bargain at the World Humanitarian Summit, UNICEF has formally committed to systematically consider cash-based programming in ways that build on and form the basis for sustainable social protection systems. This vision has been crystalized within UNICEF's HCT Programmatic Guidance. As our work on HCTs grows, there will be strong entry points that can be leveraged to strengthen national social protection systems.

> *UNICEF commits to systematically consider cash-based programming in ways that build on and form the basis for sustainable social protection systems.*
> (World Humanitarian Summit, 2016)

- UNICEF's commitment to the progressive realisation of universal coverage for social protection, including in fragile and humanitarian contexts, is also aligned with this vision. Helping countries to identify and progressively expand programmes, policies and financing options most conducive to achieving universality – while also recognising countries different capacities, contexts and challenges – is a fundamental building block for a system that is able to prepare and respond to shocks.
- 'Every child has an equitable chance in life' is articulated as goal area 5 in UNICEF's Strategic Plan 2018-2021. One of the output indicators (5.b.2) to measure progress against this goal area is: *number of countries with national cash transfer programmes that are ready to respond to crisis*.
- Ultimately, given the changing nature of shocks and crises, business as usual in risk prone countries is not a viable and sustainable strategy. UNICEF's 2019 Global Social Protection Programme Framework clearly articulates a focus on shocks, including a set of priority action areas that operationalise this vision. These are further discussed in Chapter 3 below.

Leveraging our ongoing work and strengths

- Work on social protection system strengthening is dynamic and requires long-term presence and commitment to reduce poverty, deprivations and vulnerability. UNICEF's mandate – integrating development and humanitarian programming – and growing experience facilitates the continuation of social protection system strengthening work before, during and after the crisis.
- UNICEF's continued investment in the early years, and focus on child-sensitive social protection, yields important returns in human capital, addressing some of the longer-term detrimental effects of shocks and stressors.
- UNICEF works closely with national governments in over 100 countries to develop and strengthen social protection policies and programmes. Many of these countries are risk-prone and face shocks that require the provision of recurrent humanitarian assistance. Work on shock-responsive social protection will strengthen these ongoing efforts by further reinforcing protection and prevention features of social protection systems.
- Work on some aspect of shock-responsive social protection is already underway in many country offices either by supporting government to include emergency prevention, preparedness, and response in its social protection system, or through programming for humanitarian action that supports sustainable social protection system building.[11]
- UNICEF has increasing experience working with national governments to deliver HCTs through social protection systems, including recent experiences in the Philippines, Nepal, Malawi and Dominica.[12] In other contexts, UNICEF's work helps to protect the social protection system from collapse (e.g. in Yemen), or helps complement routine systems with provisions for refugees (e.g. in Turkey). In countries affected by protracted crises, UNICEF has been working on transitioning humanitarian programming to development programming (e.g. Lebanon, Jordan, Iraq, Syria and Somalia).
- Improved outcomes for children and other vulnerable groups, especially in crisis contexts, also requires a cross-sectoral approach and the provision of a range of complementary services. UNICEF's work across sectors (e.g. health, education, protection

11. UNICEF (2018) Strategic Monitoring Questions.
12. Documented as case studies in Annex 5.

and WASH) and across key thematic areas (e.g. financing for children, multi-dimensional child poverty measurement and reduction, etc.) is instrumental to achieve outcomes in these areas.

- Supporting governments to build shock-responsive social protection in countries requires efforts at many levels. UNICEF works closely with multiple partners, including donors and other UN agencies, to advocate for and to leverage each other's strengths in this endeavour.

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Chapter 2

UNICEF's Framework for Shock-responsive Social Protection

For UNICEF, a focus on shocks reinforces ongoing efforts to strengthen countries' social protection systems. It is an integral part of UNICEF's Social Protection Framework and is based on the premise that poverty and vulnerability (including to covariate shocks) create constraints that prevent upholding the rights of children in fragile contexts and in times of crisis. Social protection can play a role in addressing these constraints, better working alongside other sectors such as Disaster Risk Management (DRM), civil defense etc. that have a mandate to respond to covariate shocks. People, particularly children as entitlement holders and governments as the duty bearers, are at the core of this approach.

UNICEF's framework for Shock-responsive Social Protection comprises four interconnected and mutually reinforcing features:

What are covariate shocks? Shocks that affect a large proportion of the population simultaneously. See also Table 1.

- Embedding shock responsiveness across all dimensions of the Social Protection Framework;
- Better encompassing a focus on covariate shocks in the implementation of social protection;
- Working together, over time, with a focus on final outcomes; and
- Following a context driven approach.

2.1 Embedding shock responsiveness across all dimensions of social protection

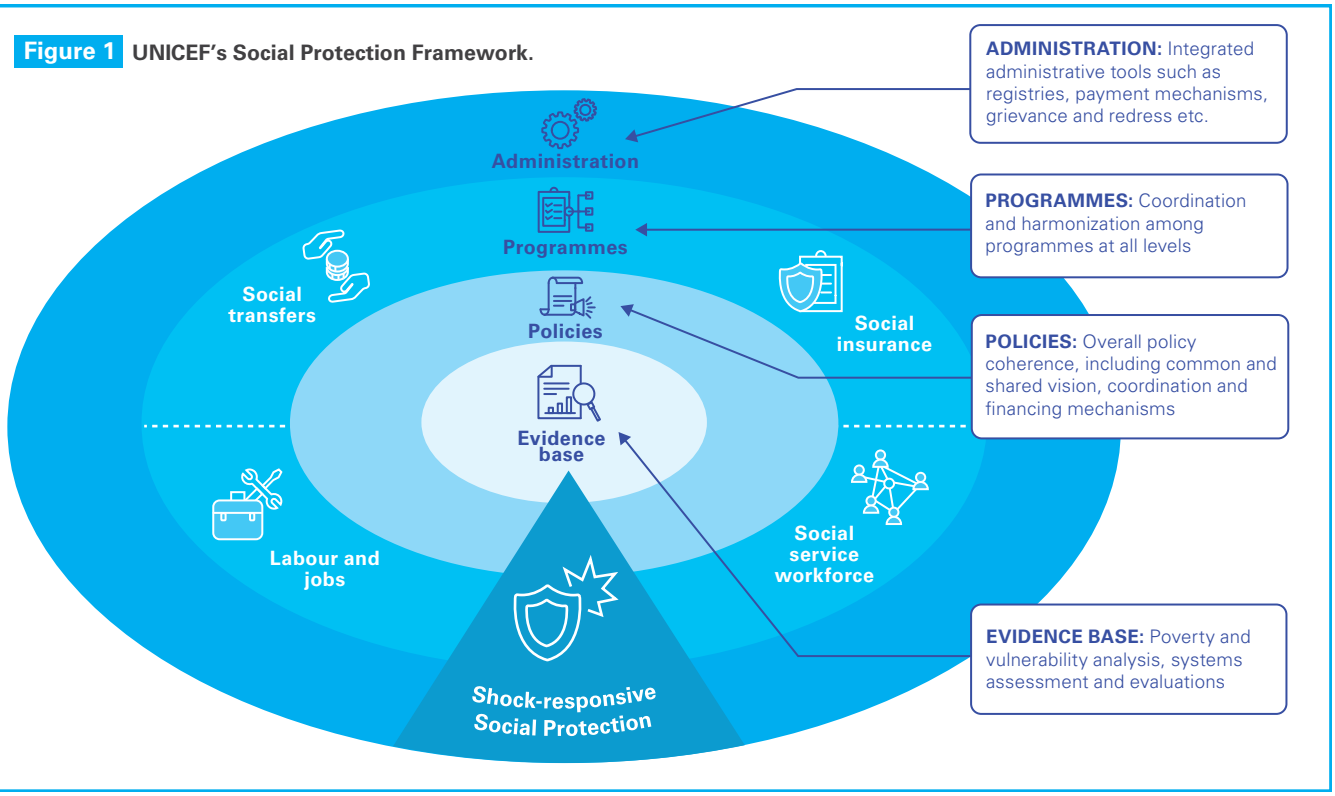
UNICEF's Global Social Protection Programme Framework 2019 and accompanying Activities, Tools and Resources to Support Implementation of UNICEF's Action Areas in Social protection set the foundation for our work on shock-responsive social protection.

The 2019 Framework acknowledges that children's economic and social vulnerability and exposure to life-cycle risks is exacerbated by vulnerability to external covariate risks and stressors; social protection systems therefore have a role to play in mitigating these risks and supporting shock-affected households.

The Framework also places 'responsiveness to shocks' as a cross-cutting dimension across the four different levels that constitute a social protection system – evidence, policies, programmes and administration (see Figure 1) – and across the eight Action Areas that fall under these levels (see Table 1).

In addition, the framework specifically dedicates two action areas to shock-responsive social protection. These are:

Figure 1 **UNICEF's Social Protection Framework.**



Action Area 9: *Building and strengthening national shock-responsive social protection systems*; and Action Area 10: *Delivery of cash and linking to services in humanitarian response*.

Table 1 below provides some examples of how a focus on fragility, risks, stressors and shocks can be embedded into routine system strengthening activities pursued by UNICEF in countries under each action area of the Social Protection Framework.

Table 1 Incorporating a focus on fragility, risks, stressors and shocks within all action areas of UNICEF's Social Protection Framework

Level and action areas	Examples of how a focus on risk, stressors and shocks can be incorporated	Shock-focus
Evidence level		9. Building and strengthening national shock-responsive social protection systems 10. Delivery of cash and linking to services in humanitarian response
1. Child poverty analysis, impact evaluations and system assessments	• Focus on populations that are vulnerable to risks (including in contexts of fragility and forced displacement), not just the most deprived, chronically poor, etc. • Building an analysis of vulnerability and exposure to fragility into regular surveys and analysis e.g. MICS (Multi Indicator Cluster Survey) • System assessments also focusing on capacity of the system to respond to shocks and fragility (coverage, adequacy, timing, appropriateness)	
Policy level		
2. Policy and strategy development, legislation, coordination and financing	• Encompassing a focus on shocks within policy, strategy and legal framework, where/if relevant • Supporting implementation of the policy/strategy/framework with a focus on Standard Operating Procedures and coordination across a broader set of actors than routine social protection, for example, including Disaster Risk Management (DRM) and humanitarian actors and local government/authorities • Supporting contingency financing and risk-layering strategies, based on a solid understanding of fiscal space and simulation of costs	
Programme level		
3. Expanding and improving cash transfers for children	• Ensuring routine programme design and implementation encompass a focus on the shocks and stressors typically faced within the country (and regions) • Ensuring the mix of programmes available, and the linkages across these, appropriately address the vulnerabilities of households in shock-affected areas	
4. Connecting cash to information knowledge and services	• Information and knowledge provided could encompass a focus on disaster preparedness and response, beyond standard topics of Behavioural Change Communication • Integrating cash with services that reduce risk (nutrition, education, child protection, insurance, etc.)	
5. Expanding and improving health insurance	• Ensuring routine programme design and implementation encompass a focus on the shocks and stressors typically faced within the country (and its regions) e.g. inclusion of epidemics or public health emergencies in health insurance package, supporting children in forcibly displaced contexts to acquire skills for future employability, etc.	
6. Supporting childcare and employability of adolescents		
7. Strengthening the social welfare workforce	• Social workers and social assistants are often trusted within communities and are important partners for emergency response. Capacity assessments and building can focus on the important role that they can play in emergencies, as well as encompassing a strategy for surge capacity in shock affected areas.	
Administration level		
8. Strengthening integrated delivery systems	• Ensuring routine front and back-office delivery system strengthening also encompasses a focus on shocks	

2.2 Better encompassing a focus on covariate shocks in design and implementation of social protection

UNICEF's Guidance on Risk Informed Programming (GRIP) extensively outlines the concept of 'Risk Informed Programming' and is embedded in the EPP, a tool to strengthen preparedness actions in country by better accounting for risks.

Better encompassing a focus on covariate shocks (see e.g. Table 4), does not necessarily require a dramatically different approach to designing and implementing social protection. Depending on each country's context, priority actions may include the following (actions on 'how to' prepare for these are included in Chapter 3):[13]

1. Ensuring **routine social protection programming is based on a solid understanding of the risks, shocks and stressors that countries typically face.** This will require a series of 'design tweaks', including:

- An explicit focus on programming that contributes to enhancing the **resilience** of individuals, households and communities to future shocks. This is not an area that is discussed within this guidance (as it is too broad to do it justice here) but is also critical to UNICEF's broader work on social protection enhancement (see Box 1).
- An improved focus on **vulnerability to shocks** (beyond chronic poverty or categorical, life-cycle criteria). Examples include: expanding routine coverage in areas frequently affected by shocks; incorporating vulnerability criteria into routine targeting, etc.
- Ensuring **continuity of service delivery** for routine programmes in shock–affected contexts, at the moment when recipients need support the most. This is often referred to as 'resilience building of systems' to future shocks, adopting the principles of contingency planning.

Box 1:
Social protection and resilience.

Evidence on the role of social protection in enhancing the resilience of individuals, households and communities (broadly defined as the capacity to better prepare, cope with and adapt to shocks) is still emerging.[14] However, the recent wave of evaluations of cash transfer programs and other research on climate resilience showcase the impacts of social protection programs on the anticipatory, absorptive and adaptive capacities of individuals, households and communities, including impacts on:

- Income, dietary diversity and food security;
- Asset accumulation, productive activities and productivity, livelihood security and diversification;
- Saving, reduction in debt, and credit worthiness;
- Accumulation of human capital;
- Reduction in adverse coping strategies (distress sale of labour, child labour, etc.);
- Social capital, aspirations and psychosocial wellbeing.[15]

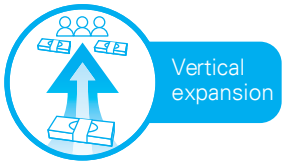
These impacts can also be enhanced via explicit modifications to programming. This topic will be addressed within a forthcoming complementary note. Further guidance and reading:

- FAO (2017), 'Social protection and resilience. Supporting livelihoods in protracted crises and in fragile and humanitarian contexts.'
- Asian Development Bank (2018), 'Strengthening Resilience through Social Protection Programs', Guidance Note.
- World Bank (2013) Building Resilience to Disaster and Climate Change through Social Protection. Toolkit.
- IDS (2012) Adaptive Social Protection, Making Concepts a Reality. Guidance note.

13. What follows constitutes an adaptation of the typology within O'Brien et al. (2018), European Commission (2019) and Kukrety (2016) amongst others, based on discussions with counterparts from other agencies and designed to overcome limitations of the previous typology.
14. The three broadly recognised dimensions of resilience include: anticipatory capacity (ex ante risk management), absorptive capacity (ex post risk management) and adaptive capacity (adaptation to multiple, long-term and future risks). See, for example, Bene et al. (2018).
15. See, for example, Bastagli et al. (2016); Ulrichs & Slater (2016); Asfaw & Davis (2018); Hidrobo et al. (2018).

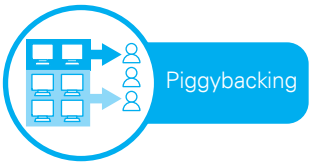
2. Where relevant and feasible, enhancing **preparedness to enable the flexing and/or scaling up of existing programmes, or activating new emergency programmes that build on existing systems, to accommodate new populations and needs** as a result of a shock. Options include:

- *Vertical expansion* of an existing programme or set of programmes. The benefit value or duration of the programme is temporarily increased for some or all existing recipients (e.g. top-ups). New components may also be added.



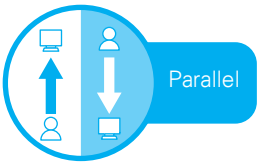
- *Horizontal expansion* of an existing programme, or set of programmes, to temporarily include new beneficiaries from affected communities.

- *The activation of a new emergency programme that piggybacks on existing systems (e.g. data, capacity, delivery mechanism) where possible.* This could be led via a) the social protection sector or b) by external actors, in close coordination with social protection (e.g. Humanitarian, DRM etc.).



3. Where relevant and feasible, **ensuring alignment with external (i.e. parallel) responses to shocks** (e.g. via HCTs - see HCT Guidance), to create ground for future expansion or to preserve and/or further strengthen an existing social protection system. For example, this could be an alignment of objectives, targeting method, transfer value or delivery mechanism.

There are many cases where the social protection system may not be appropriate for a humanitarian response (for example, where the government is party to a conflict or humanitarian principles cannot be upheld) yet there is a strong rationale, in terms of longer-term sustainability, to avoid as far as possible the setting up of completely **parallel** humanitarian programmes and systems.



Framing this in another way, covariate shocks lead to a significant disruption of the status quo, increasing needs across populations that are vulnerable to that shock (ex ante) or who have been affected by it (ex post). Fully responding to those needs requires an appropriate combination of three strategies, informed by an adequate evidence base and provided in a timely manner (See Figure 3 for a pictorial representation of these):

The real question is the extent to which these dimensions of expansion could and should be covered by the social protection sector, or in coordination with the social protection sector, in times of crisis. This can be represented along a spectrum (Table 2):[16]

Figure 2 represents this visually and Annex 2 discusses it in more depth, while Section 2.3 below provides more guidance on how to focus on final outcomes when assessing whether the social protection sector may have a role to play or not.

1. **Extending coverage** to support more people (ideally all of those who have been negatively affected).
2. **Increasing the level of financial protection** for affected populations, for example, via a higher level of support (e.g. transfer value) or longer duration of support.
3. **Increasing the range of services offered** to fully cover complex and multi-dimensional risks (e.g. wrapping a child protection or nutrition-support programme around a standard cash transfer).

Cutting across these three strategies, it is essential to **provide support in a timely manner** so that affected households and communities are able to cope with and recover from the impact of the crisis. This does not mean 'speed' of response, instead it implies ensuring support when it is needed.

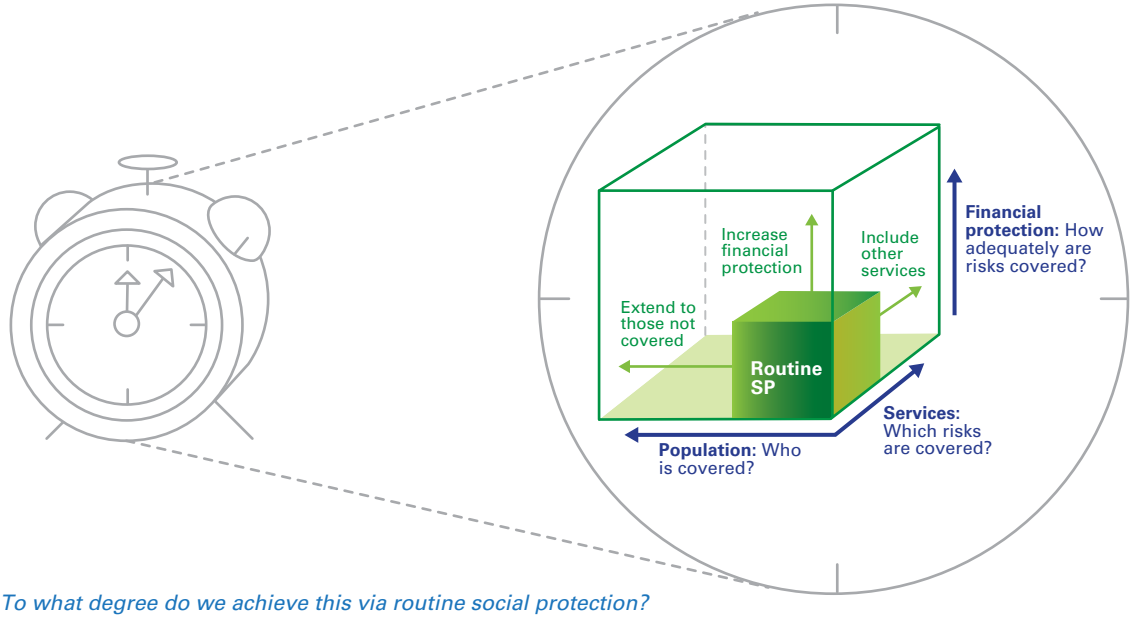
16. Adapted from European Commission (2019).

Table 2 **Extent to which expansions in coverage, level of protection, range of services offered, their timing is covered by social protection.**

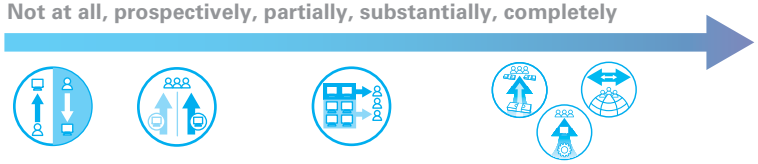
Extent to which expansions in coverage, level of protection, range of services offered and their timing is covered by social protection		When would these be most appropriate or potentially suited?
Not at all	*Fully parallel* stand-alone humanitarian or DRM response	• Contexts with very low/non-existent SP capacity • Contexts where there is a high risk of compromising humanitarian principles
Prospectively	*'Alignment'* of approaches with a view that the emergency response will integrate with the social protection system or build on prior system	• Contexts with a lack of SP capacity/maturity due to collapse of prior system and/or nascent new system • Contexts where there is some risk of compromising humanitarian principles
Partially-substantially	*Non-SP* (DRM/humanitarian) actors *piggybacking* on one or more components of the existing social protection system	• Contexts with relatively higher SP capacity and maturity, or strong delivery systems • Contexts where there is a low risk of compromising humanitarian principles
Substantially-completely (N.B. this does not preclude a complementary DRM/humanitarian role which may be needed to fill gaps)	*'Vertical'* and/or *'horizontal'* expansions of existing programmes; new/temporary emergency programmes led by the social protection sector; 'design tweaks' to routine programmes	• Contexts with high SP capacity and maturity • Contexts where there is a very low risk of compromising humanitarian principles • Contexts with strong SP sector leadership and ownership

Figure 2 **Three expansion strategies and their timing, and the extent to which social protection plays a role.**

A Fully responding to changed needs requires a combination of three strategies and their timeliness.



B *...To what degree do we achieve this via routine social protection?*



Sources: Adapted from BMZ (2019) and European Commission (2019).

It is important to note that the three dimensions of expansion and their timing are valid for the provision of routine social protection and underpin the progressive realisation of universal social protection.

Systems strengthening via increased coverage of populations, increased adequacy of protection offered and increased integration of benefits and services, and alignment of expansion with the timing of needs create a solid foundation for shock preparedness and response.

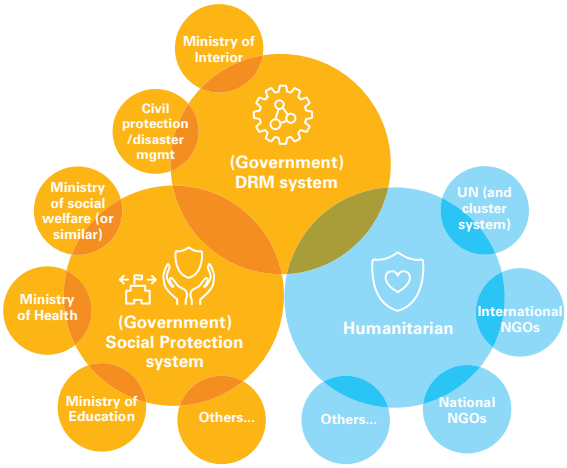
2.3 Working together, over time, with a focus on final outcomes

Shock-responsive social protection is ultimately about better using available resources to address the needs of children and their families in fragile and shock-affected areas, before, during and after a shock/acute crisis. How this is achieved in practice will vary depending on the context, but will always require a **systems approach, both within the social protection sector and beyond:**

- ***Within the social protection sector,* the focus should be to strengthen social protection as a system (direct intervention)**, i.e. how different components of the social protection system work together to achieve intended outcomes. For example, an analysis of potential options for response to a shock could encompass all or any of the following:

  - combining different approaches to expansion over time (e.g design tweaks, vertical, horizontal, piggybacking, etc.);
  - working across several existing programmes to offer synergies that better respond to the complex needs of affected populations;
  - introducing a new temporary programme that builds on existing delivery systems to the extent possible, aligning with some elements and piggybacking on others (managed by social protection actors or externally).

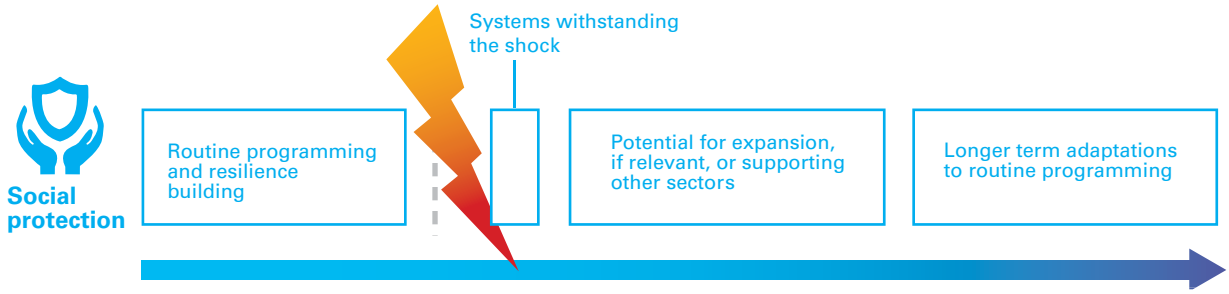
- ***Beyond the social protection sector,* social protection should complement and support the role of other sectors.** Within government, this includes DRM and civil protection actors in most cases, who have an explicit mandate to support shock-affected populations in specific types of crisis.[17] It will also include health ministries in case of epidemics, civil defence/interior ministries in contexts of conflict and displacement, etc. Beyond government, humanitarian actors will include the UN, international and national NGOs, as well as other development partners. Existing social protection systems can play a support role for these other sectors in the following ways:
  - Use of the social protection system for delivery of assistance managed by other ministries/ authorities or external humanitarian actors;
  - Combining social protection programmes with programmes implemented by other sectors.



- **The role the social protection sector can play in responding to shocks will ultimately depend on** many contextual factors discussed in Section 2.4 (social protection system maturity, humanitarian and DRM priorities and set-up in country, the nature of the shock, broader political economy aspects), but also on:

- ***The phase of the response.*** In the immediate aftermath of a shock the priority will typically be to ensure continuity of routine social protection delivery. As social protection systems mature they should also be able to adjust or scale up immediately to respond to the increased needs. This should increasingly be the case with more predictable, recurrent shocks, such as

17. Noting that, depending on the country context, the mandated authorities may or may not have the required structures for the delivery of assistance.



lean seasons, drought or floods. The DRM and parallel humanitarian systems tend to play an important role in the immediate aftermath of a crisis to save lives. However, there can be strong scope for social protection to support survival and livelihood protection needs after the immediate relief phase.

- A careful ***assessment of the potential response strategy (or combination of strategies, across sectors)*** that is most likely to achieve intended outcomes for children and their families/ caregivers. Outcome criteria to consider for preparing systems in advance of a crisis, include:[18]
  - Greater coverage of population after the crisis;
  - Needs of populations affected by crisis are met;
  - Assistance to affected populations is provided in a timely manner;
  - Accountability to affected populations is maintained;
  - Duplication of efforts is eliminated;
  - Predictability of funding for implementing agencies and of assistance to households is ensured;
  - Sustainability of support and systems is ensured.

These outcome criteria are presented in a table form in Annex 3 to help assess the appropriateness of different response options (or combinations of options) and to consider strategies/actions to mitigate negative effects, if any. Examples of response options will include:

- Standalone/parallel humanitarian or DRM response;
- Alignment with existing or future SP programme;
- Using elements of an existing programme/system (piggybacking/ leveraging); and
- Entirely via existing social protection programmes/ systems (via design tweaks, vertical and horizontal expansion, etc).

Additionally, it is important to:

- Acknowledge there is **no universal recipe**; what may work well in one context may be detrimental in another. Throughout this guidance we stress certain actions should be pursued only where 'relevant and feasible' (based on a prior assessment).
- Consider inherent **trade-offs** between these objectives and address them ex ante where possible (with strategies for mitigating risks), e.g. timeliness vs a 'better targeted response' or the potential for overburdening the administrative capacity of existing social protection systems, undermining longer term sustainability, etc. Any strategic decision taken by UNICEF alongside government will affect all seven objectives simultaneously and no policy decision can affect all of them in a positive direction.
- Understand there may be cases where one of these objectives may be **prioritised** over others (e.g. timeliness), but this should be done based on a comprehensive analysis of the implications for the other criteria – and how to address these.
- Understand whether the type of shock and prevailing context calls for 'impartial', 'neutral' and 'independent' interventions that fully abide by **humanitarian principles** (See short video and Humanitarian Charter and Associated Standards.)

2.4 Context driven approach

This overarching framework is not prescriptive and individual actions pursued in country (see Chapter 3 for details) will depend on a careful analysis of context and needs. In particular, it will be important for Social Policy and Emergency staff to assess the elements outlined in the following section.

18. Adapted from O'Brien et al. (2018) and European Commission (2019).

2.4.1 Social protection system 'maturity'

The provision of social protection varies widely across countries. Broadly, countries with an effective mix of programmes – across social insurance and social transfers – and core systems are better positioned to respond to shocks, as they possess a broader toolbox to draw from and build on. Key criteria to assess social protection system 'maturity', encompassed within UNICEF's Social Protection System Readiness Tool (see also Section 3.1), include[19]:

- Strong **government leadership**, as well as **legal and policy backing** (see section here)
- **Institutional capacity** supported by well-functioning vertical and horizontal **coordination** mechanisms (see section here)
- Sustainable **funding** (see section here)
- An integrated system of programmes that offer **high and equitable coverage** of population and needs (see section here)
- **Established administrative systems** for service delivery, integrated across programmes where possible and user-centric (see section here)
- Robust systems for **informed decision-making and accountability** enhancement (grievance mechanisms, M&E systems, information systems, etc.) (see sections here and here).

From a practical perspective, the maturity of the social protection system will inform:

- the medium to long term system strengthening and preparedness measures that will be necessary, and hence UNICEF's support.
- in the *short term*, the most appropriate options for responding to shocks via, or in coordination with, the social protection sector.

Social protection systems are continuously evolving, and shocks are an opportunity to 'strike the iron when it is hot'.

It is important to stress that decision making is not entirely constrained by the existing design of the social protection system and of the interventions it encompasses. In a longer-term perspective, this means countries can carefully assess the constraints and opportunities inherent to existing systems and build on those over time (Barca, 2018). We should remember that many of the flagship programs we know of today were initially born as a response to a specific shock (or sequence of shocks), where the limitations of existing systems are often starkly felt. This is the case for Benazir Income Support Programme (BISP) in Pakistan, introduced with the objective of addressing the impact of rising food prices in 2008. Similar patterns have been seen in a wide range of countries, including in the Dominican Republic, Bangladesh, India, Indonesia, Korea, Mexico, Colombia, Chile and Ethiopia to mention a few. Large expansions of coverage of existing programmes have similarly been achieved as a response to prior shocks, with notable examples from Latin America.

2.4.2 Humanitarian and Disaster Risk Management priorities and set-up in-country

The role for social protection will also depend on the priorities and set-up (policy and legal backing, capacity, financing, etc.) for other sectors that have a mandate for responding to specific types of shock. In countries where the DRM sector is strongly institutionalised and has high capacity to respond to natural disasters, the social protection sector may play a complementary role to ensure a focus on long-term vulnerability. Typically, DRM authorities play a convening role in humanitarian response whereas the actual services/assistance provision is done by relevant line ministries e.g. agriculture, rural development, health, education, etc. In such contexts, social protection can play a more significant role, for example, in scaling up social transfers.

2.4.3 Types of shocks typically faced

Different types of shocks warrant very different response strategies, as the DRM and humanitarian sectors extensively showcase. An analysis of the risk landscape of a country (and differential risks across its constituencies) is fundamental. Table 3 sets out some of the broad implications for shock response via the social protection system depending on a set of overlapping shock characteristics. It may, however, be noted that shocks can overlap with each other, for example, drought and protracted conflict.

19. O'Brien et al. (2018); Barca (2018).

Table 3 **Broad implications for shock response via the social protection system depending on key shock characteristics.**

	Shock characteristics	Broad implications for shock response via the social protection system
Onset	Rapid onset[20]	• Likely to also affect the non-poor (often not included in existing programmes or registries) • May cause widespread displacement (portability of benefits), splitting-up of households and loss of key documents (need for revalidation exercise) • Likely to significantly affect household material circumstances/assets, including human capital
	Slow onset[21]	• Strong overlap between chronic poverty and vulnerability to the shock (layering of risks in child poverty analysis) • Trigger for response can be less obvious and more political (gradually worsening situations), leading to delay in response– Early Warning Systems (EWS) particularly relevant • Less 'visible' and often under-financed by humanitarian funding
Recurrence (also linked to predictability)	Recurrent/ Protracted	• High potential for systems strengthening and preparedness measures (administrative costs offset) • Strong overlap between chronic poverty and vulnerability to the shock • Higher potential to budget for contingencies and risk-financing • Strong rationale for long-term resilience building and linkages across services • Increased importance of coordination with humanitarian actors in country
	Occasional	• *Inverse to considerations in 'recurrent' above*
Type of shock	Seasonal stress	• *See 'recurrent' above*
	Economic	• Usefully addressed via permanent rather than temporary expansion of programmes (increasing caseloads to respond to growing needs) • Social insurance can potentially play a bigger role
	Natural hazard	• More 'visible' and often receive more funding when they are sudden onset • Early Warning System (EWS) triggers mostly developed for natural hazards • Potential to conduct climate-smart targeting for existing programmes • Likely to significantly affect household material circumstances/assets
	Conflict	• Likely to widely affect the non-poor (often not included in existing programmes and registries) • Likely to cause widespread displacement (IDPs and refugees) and splitting-up of households (need for revalidation, etc.) • Likely to significantly affect household material circumstances/assets • *Specific to conflict-affected states:* ○ New forms of vulnerabilities may arise (disability, gender based, health-linked) requiring changes to selection criteria or introduction of new programmes

20. Triggered by a hazardous event that emerges quickly and often unexpectedly. Could be associated with, e.g. earthquake, volcanic eruption, flash flood, critical infrastructure failure, etc.
21. One that emerges gradually over time. Could be associated with, e.g. drought, desertification, sea-level rise, epidemic disease.

	Shock characteristics	Broad implications for shock response via the social protection system
Type of shock	Conflict	○ Access to existing data and systems more complex (partly due to lack of trust and potential collapse of underlying social protection system) ○ Potential security and protection concerns, and undermining of humanitarian principles, calling for impartial/neutral/independent response ○ Importance of portability of benefits to support people as they move • *Specific to host countries, refugees, asylum seeker, migrants:* ○ Policy and legal provisions to extend social protection to non-citizens may not exist, thus increasing the risk exposure for women and children ○ No data on refugees, migrants and non-citizens within existing systems for host countries (importance of cross-border agreements, IDs, etc.) ○ Challenges related to equal treatment for host communities ○ Complex political economy and funding challenges • Specific to IDPs: ○ Potential security and protection concerns (as above)
	Pandemic	• More 'visible' and often receive more funding • Likely to widely affect the poor as well as the non-poor with increase in caring burden on women • New vulnerabilities linked to temporary or longer-term ability and opportunities to work may arise • Social and financial access to services may be restricted

Source: This builds on Barca & Beazley (2019).

2.4.4 Broader political economy and 'pre-requisites'

Broader political economy considerations are of course at the heart of what can and cannot be achieved on SRSP in country.

- Government ownership and leadership. The government's role is central to the development and strengthening of shock-responsive social protection. The Ministry/Department responsible for social protection is therefore the most crucial stakeholder in this process. Their ownership and leadership is an underlying principle as well as a prerequisite for any action on SRSP. As UNICEF already engages with this ministry on social protection system strengthening in many countries, dialogue on SRSP may not be a challenge in many contexts. However, as SRSP involves other ministries as well (DRM, Planning, Finance, Sectors, etc.), it is important that there is a general understanding among the most relevant stakeholder ministries on these roles and responsibilities (see also 3.1). It is also crucial to understand the interest and commitment within the government to leverage social protection for crisis response.
- Long term commitment. Supporting governments to develop and strengthen SRSP is an iterative and incremental process that requires a clear commitment by all stakeholders to support the relevant ministries (usually a mix of Social Welfare, DRM and Finance). Depending on the country context, this process may take several years, so allocation of appropriate resources is necessary (e.g., staff time, costs, etc.).
- A complementary approach guided by a common vision. As each development partner brings a specific value to the process (based on their mandate, core areas of expertise, in-country experience and networks), coordination is fundamental to ensure that all support to the government is complementary, and in line with a common vision/action plan defined by the government. For UNICEF, this will mean working alongside other development partners to pursue a common agenda, leveraging each organisation's strengths at country level.

2.5 In summary

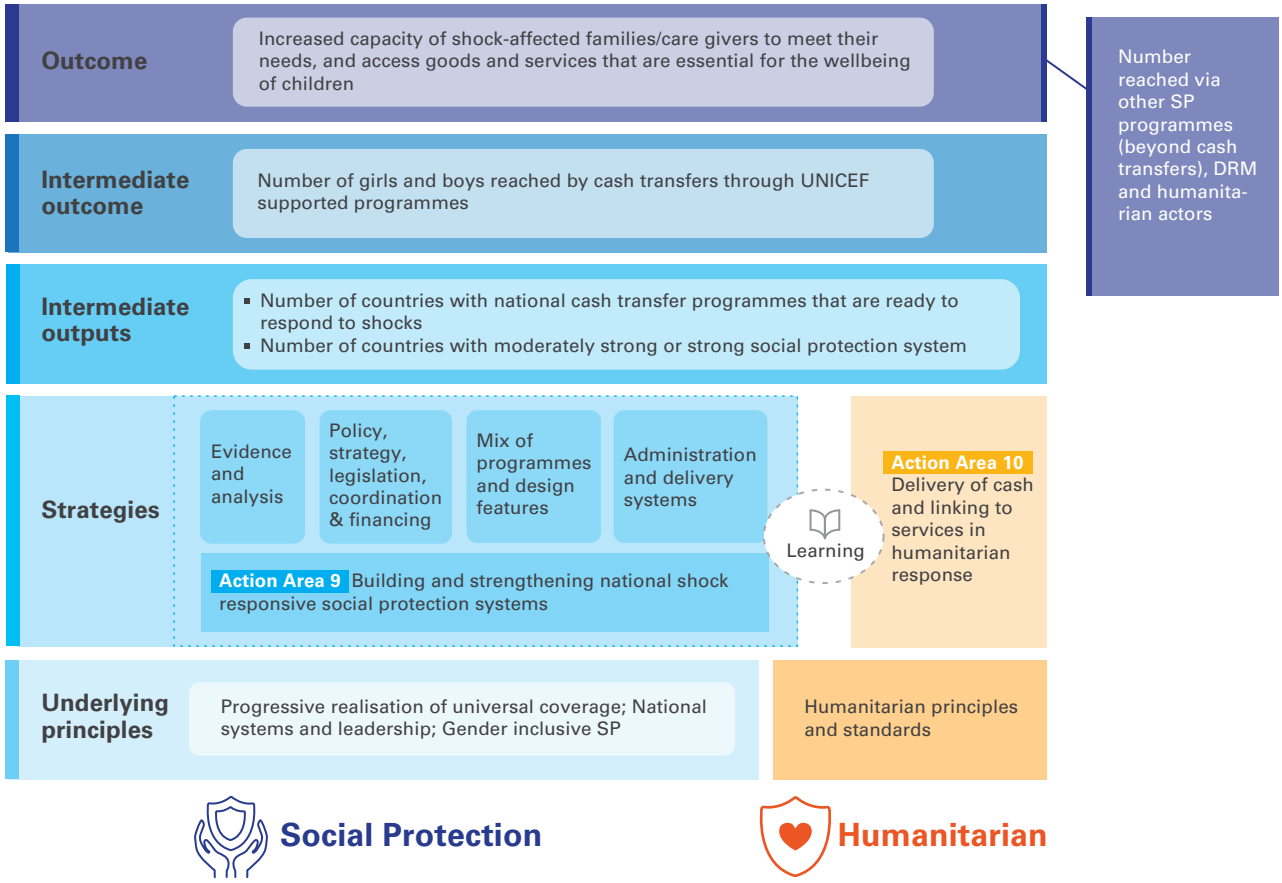
UNICEF's work on shock-responsive social protection is directly linked with the Action Areas 9 and 10 of the Social Protection Framework and contributes to the achievement of Goal Area 5 of UNICEF's Strategic Plan 2018-2021. This is summarised in the graphic below (Figure 3).

> ***Goal Area 5:*** *Every child has an equitable chance in life (UNICEF Strategic Plan 2018-21)*

Accordingly, UNICEF's framework for SRSP aims to contribute to efforts to enhance the capacity of shock-affected families and carers to access goods and services essential for the wellbeing of children. This outcome is intended to be achieved, among other things, through supporting cash transfer programmes. Increasing the coverage of cash transfers such that they reach a larger number of boys and girls therefore forms an intermediate outcome and aligns with the outcome indicator 5.4 of the Strategic Plan 2018-21.

In times of crisis, cash transfer programmes can support families and care givers to meet the diverse needs of children and maintain their human capital development. This requires ex ante preparedness of the social protection system and is at the core of Action Area 9 of the Social Protection Framework. Strengthening social protection systems, apart from increasing the number of countries with national cash transfer programmes that are ready to respond to crisis accordingly, forms the intermediate output and aligns with the output indicators 5.b.1 and 5.b.2 of the Strategic Plan 2018-21. While Action Area 10 directly contributes to the achievement of the intermediate outcome, it reinforces efforts under Action Area 9 through the consolidation of learnings. At the same time, it partially contributes to the intermediate output by embedding system strengthening in the design and implementation of HCTs.

Figure 3 **UNICEF's framework for shock-responsive social protection.**



Ensuring a focus on children when responding to shocks via social protection

'Child sensitivity' in shock-responsive social protection systems can be enhanced by embedding actions that directly address the barriers faced by children in times of crisis and those that indirectly support the achievement of children's rights. Key features could include:

- Ensuring intervention as early as possible where children are at risk, to prevent irreversible impairment or harm;
- A design that allows carers/parents to ensure continuity of care for children and that enables access to services, especially health and nutrition, in times of crisis;
- Ensuring linkages and holistic programming in the best interest of the child;
- A transfer value that includes a focus on the specific needs of children in emergencies and is also cognisant of the opportunity costs of child-specific negative coping strategies, such as early marriage and child labour.
- Delivery systems that consider the age- and gender-specific risks and vulnerabilities of children and that make special provision to reach children who are particularly vulnerable and excluded, including children without parental care, and those who are marginalised within their families or communities due to their gender, disability, ethnicity, HIV and AIDS or other factors.

See also the Joint Statement on Child-Sensitive Social Protection

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Chapter 3

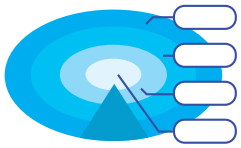
Building and strengthening shock responsive social protection systems

This chapter of the Guidance focuses on the "How To", crystalizing the learning from a wide body of evidence on how social protection has been playing a greater role in addressing covariate shocks. It directly links with Action Area 9 of UNICEF's Global Social Protection Programme Framework and as such is an articulation of the efforts required in that direction. This guidance will be treated as a living document that will be updated as new evidence becomes available, from UNICEF and development partners' experiences in countries.

The guidance in this section outlines ways to support the development of shock-responsive social protection, primarily via the enhancement of system and operational preparedness. It is not a prescriptive or an exhaustive list of interventions. Their selection and sequencing will depend on the country context and the existing opportunities for intervention.

The Chapter is organised into three sections, as follows:

- Section 3.1 forms the core of this document and is organised along the four dimensions of the *UNICEF Social Protection Programme Framework* (see also Figure 4 and Table 3), to suggest interventions areas as well as activities to better encompass a focus on risks, stressors, shocks and fragility within routine social protection systems strengthening work.



- Section 3.2 is a brief presentation of SRSP interventions in a *humanitarian programme (shock)* cycle that readers might find helpful for communicating or organising their work. It is organised to focus on preparedness, early warning and relief, early response, medium-term response and longer-term recovery.

- Section 3.3 presents ideas on *practical strategies UNICEF and partners can adopt in country* to support systems strengthening: provision of technical assistance, design/implementation of pilots, collaboration/coordination, and design/support for aligned HCTs.

3.1. SRSP across the four components of the social protection system

As discussed in Section 2.3, UNICEF's Social Protection Framework is organised around four concentric circles, with 'shocks' cutting across. Table 4 presents a summary of interventions under Action Area 9 and this section.

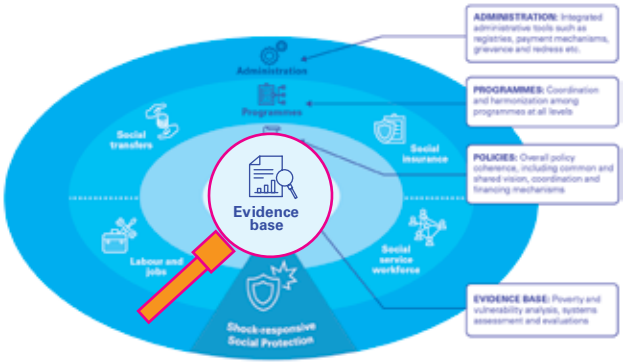
Table 4 Summary of key intervention areas for Action Area 9, building and strengthening shock-responsive social protection systems.

Components of Action Area 9	Sub-topics for engagement under Action Area 9	Intervention area
A. Evidence and analysis	***Better understanding risk***	Familiarise with the risk profile of the country, building on available information and expertise from humanitarian and DRM colleagues
	Better incorporating risk into assessments (to inform planning and programming)	Further incorporate evidence on risk and vulnerability into child poverty analysis, system assessments, impact evaluations/ M&E/learning and costing exercises, to inform planning and programming

Components of Action Area 9	Sub-topics for engagement under Action Area 9	Intervention area
B. Policy, strategy, legislation, coordination and financing	***Policies, strategies and legislation***	Strengthen policies/strategies/legislation to provide an enabling framework for social protection to support the needs of children vulnerable to, and affected by, shocks
	Coordination	Strengthen coordination mechanisms to enhance the efficiency and effectiveness of the overall response in times of crisis, across all relevant actors, as well as longer term programming
	Financing	Develop a financing strategy to: a) ensure continuity of social protection service delivery in the aftermath of shock; b) potentially scale up to support new caseloads and needs (via new or existing programmes); and c) support longer-term system strengthening and resilience building
C. Programmes and design features	***Intervention types, objectives and linkages across***	Review and strengthen routine social protection programme design features to address the risks, shocks and stressors that countries typically face
	Targeting design and subsequent coverage	
	Type/modality, level (value), frequency and duration of transfer	
D. Administration and delivery systems	***Communications***	Review and strengthen routine programme delivery systems to enable: a) continuity of service delivery; and b) the potential for flexing and scaling up in response to shocks
	Registration and enrolment	
	Payment systems	
	Information systems	
	Case management, grievances and protection	

3.1.1 Evidence and analysis

The Social Protection Framework states that, 'a robust evidence base is a necessary foundation for a social protection system, particularly in a world that is rapidly changing due to urbanization, migration, displacement and climate change.'[22] This sub-section of the guidance discusses how routine activities can better encompass a focus on risks and shocks. To do this, we first briefly set out what it means to better understand risk, and subsequently suggest ways to risk-inform planning and programming.



22. UNICEF (2019).

Better understanding risk

Intervention Area: Familiarise with the risk profile of the country, building on available information and expertise from humanitarian and DRM sectors.

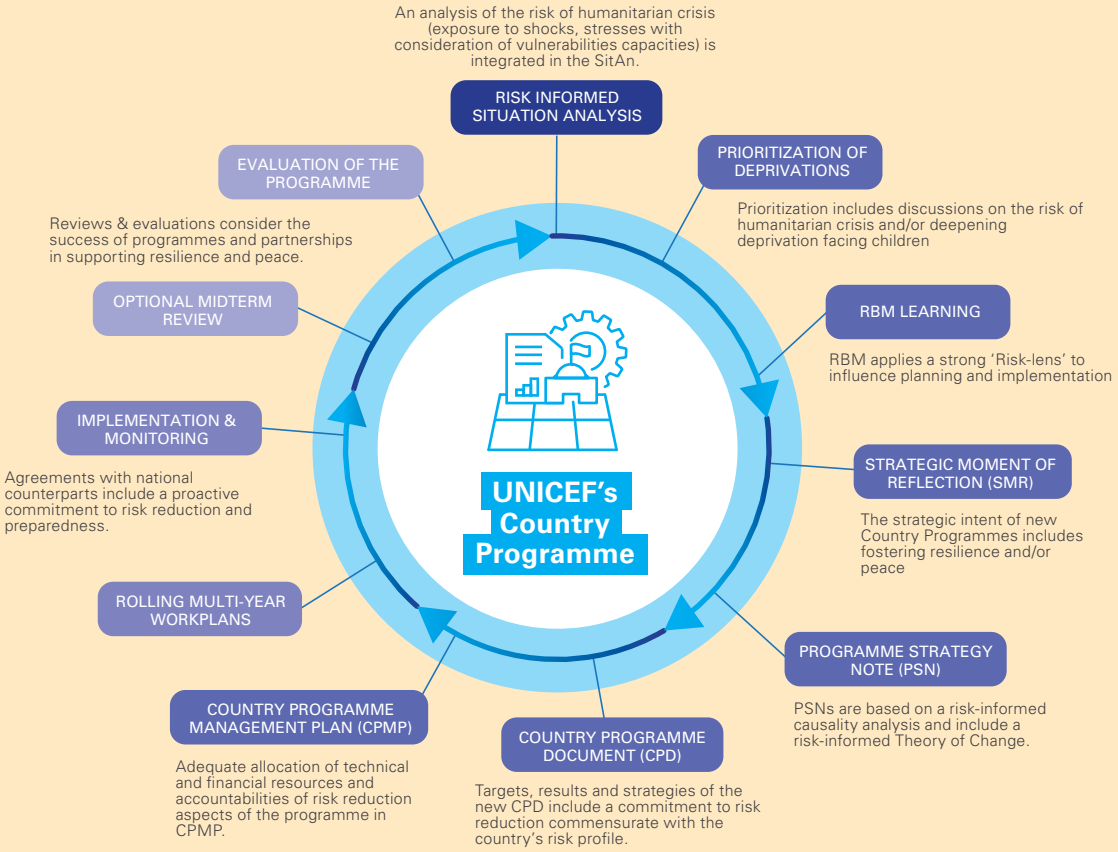
As a first step, it is key to become familiar with concepts and analysis from the humanitarian and DRM sectors, and better integrate this evidence base into social protection planning at every stage of the country programming cycle. This entails engaging with relevant stakeholders to ensure that the risk assessments in countries are not merely focused on infrastructure damage and productive sectors. For UNICEF, this means working as a team with other development partners, social policy and DRR/emergency colleagues to ensure that tools and methodologies used for risk mapping and assessment in the country such as Post Disaster Needs Assessment (PDNA) include the impact on human capital development and follow a gender-responsive and child-sensitive approach to defining vulnerability and resilience.

At the same time, it is equally crucial for social policy colleagues in country to work closely with emergency team/focal point, colleagues from other sectors (health, nutrition, education, WASH, etc.) as well as other stakeholders who may already be undertaking such analysis.

Guidance on Risk-Informed Programming (GRIP) and the Emergency Preparedness Platform (EPP) provide information on the how existing information can be used to inform country planning and emergency preparedness processes.

A focus on risk can be integrated at different stages of the UNICEF country cycle, as showcased in Figure 4 below. Overall, the key starting point for UNICEF staff performing risk-informed programming should be the risk scenarios and anticipated response plans each country will have uploaded on the EPP platform.

Figure 4 **Introducing risk across all stages of the UNICEF country programming cycle**



Source: GRIP, 2019

Useful information/guidance:

- To understand UNICEF's approach:
  - UNICEF Guidance on Risk-Informed Programming (GRIP), especially the sections on Risk, Resilience and Linking Humanitarian and Development Programming – embedded into country Situation Analyses (SitAn). See also accompanying videos and three part series part 1, part 2, and part 3.
  - The UNICEF Emergency Preparedness Platform (EPP) and Guidance Note on Preparedness for Emergency Response in UNICEF.
  - Integrating humanitarian response and development: Programme Framework for Fragile contexts.
  - The Risk, Resilience, Fragility and Peacebuilding community site sharepoint.
- To better understand the impacts of past shocks and potential needs:
  - Post Disaster Needs Assessment (PDNAs) from the country. Also note the PDNA Guidelines for conducting PDNAs and recovery planning for Employment, Livelihoods and Social Protection (ELSP).
  - Available Humanitarian Response Plans and Humanitarian Needs Overviews from the country.
  - the Multi Sector Needs Assessment (MSNA) that is produced by Reach
- To better understand a country's risk profile, see Annex 4 for a broad set of existing resources.

Better incorporating risk into assessments to inform planning and programming

Intervention Area: Incorporate evidence on risk and vulnerability to crisis into child poverty analysis, system assessments, impact evaluations/M&E/ learning and costing exercises, to inform planning and programming

In practice, this means supporting government social protection system strengthening by:

1. **Incorporating a focus on populations vulnerable to shocks when analysing multi-dimensional child poverty.** Evidence suggests that poverty has a cause-and-effect relation with exposure to covariate shocks. The poor may only suffer a small share of measurable economic (e.g. asset) losses caused by shocks, but they suffer disproportionately across a wide variety of other dimensions.[23] Other social vulnerabilities, linked to age, gender, ethnicity, orientation, etc. have also been shown to mediate the impact of shocks on individuals and households. UNICEF has contributed greatly to advancing the measurement of multi-dimensional child poverty and deprivation, for example, via Multiple Overlapping Deprivation Analysis (MODA). Data on the exposure of children and their families to a range of shocks and stresses as well as their coping mechanisms can deepen routine child poverty analysis. This can be valuable in designing and strengthening social protection programmes as well as their resourcing.

Priority **actions** to consider:

- Incorporate indicators for vulnerability to shocks into routine surveys and UNICEF M&E e.g. modules on shocks and coping strategies.
- Conduct country-specific analysis to better understand the intersections between monetary poverty, multi-dimensional deprivations and vulnerability to covariate shocks (of different nature and their frequency/recurrence).

Box 2:
Case Study: Multiple Overlapping Deprivation Analysis in Mozambique encompasses a focus on weather-related shocks.

Drawing on data from the Mozambique Household Budget Survey of 2014/15 (IOF), the Multiple Overlapping Deprivation Analysis (MODA) for Mozambique includes a section on weather related shocks, concluding that, 'there is a direct correlation with shocks affecting the household and multi-dimensional poverty, with children of families who experienced weather shocks being more likely to be poor, deprived, or both.' The data used was, 'self-reported information on natural calamities experienced by the household in the past year.'

Source: Child Poverty in Mozambique – Multiple Overlapping Deprivation Analysis (UNICEF Innocenti, 2019).

- Layer data across sources (for example, using geographical units of analysis) to capture the 'risk/ hazard' dimensions of poverty when conducting routine multi-dimensional poverty assessments.
- In contexts with regular, predictable shocks,

23. Hallegatte et al. (2017).

develop and consolidate district seasonal calendars (to understand shocks at the micro-level, not just national and state level) and use these to support the assessment of multi-dimensional child poverty in affected areas.

- Learning from best-practice in countries where similar analyses have been pursued, including through regional learning forums and the creation of methodological guidance.

2. **Incorporate a focus on 'shock-readiness' into routine system assessments.** As discussed in Chapter 2, the "maturity" of existing social protection systems in country affects the extent to which existing programmes (cash transfers or others) and their delivery systems can be leveraged for shock preparedness and response. In many contexts, these are not resilient to shocks and lack the capacity to absorb shock-related expansions (which is why this Guidance focuses extensively on systems strengthening).

When conducting routine system assessments of the social protection sector and country Situation Analyses (SitAns), it will be important to include a focus on the capacity of the social protection system to respond to shocks. **UNICEF's Social Protection System Readiness Assessment Tool** can help to identify gaps and opportunities for strengthening the shock responsiveness of the existing system. A quick 'snapshot' focused on the potential for HCTs to leverage existing cash transfer programmes and systems is also reflected in UNICEF's Minimum Preparedness Standard (MPS 5) (see Annex 7).

Box 3:
UNICEF's Social Protection System Readiness Assessment Tool.

The tool has four key objectives:

i. Assess the political, technical, operational and financial feasibility, or "readiness", of the social protection system in general and the country's social transfer programme(s) in particular (and potentially cash for work schemes in contexts where these are relevant) to provide cash assistance to people affected by shocks and disasters.
ii. Identify opportunities for linkages with UNICEF's sector strategies and for developing or supporting a 'cash plus' approach in emergencies alongside social transfers.
iii. Assess the capacity, or "readiness" of UNICEF's Country Office to support such interventions.
iv. Identify and compare possible options for ways that these programmes can be used to meet needs at times of shock or disaster, including the role(s) for UNICEF.

In line with the Social Protection Framework, the tool includes six main sections focusing on : (a) a generic mapping of SP landscape, including actors; (b) evidence (poverty, vulnerability, risk); (c) readiness of social protection policy, legislation and finance; (d) readiness of social transfer programme design; (e) readiness of social protection administrative systems; and (f) UNICEF's readiness.

Useful information/guidance:

- **UNICEF's approach:**
  - Social Protection System Readiness Assessment Tool and User Guide
  - UNICEF's MPS5 within EPP (see Annex 7)
- **Guidelines for assessing social protection systems:**
  - The Inter-Agency Social Protection Assessments (ISPA) Core Diagnostic Instrument (CODI).
- **Further guidelines for assessing social protection readiness for shock response**
  - Shock-Responsive Social Protection Systems Toolkit: Appraising the use of social protection in addressing large-scale shocks.
  - Kukrety (2016) Working with cash based safety nets in humanitarian contexts: guidance note for humanitarian practitioners.

3. **Build an evidence base on the use of social protection in emergency contexts via impact evaluation, M&E and learning.** While case studies and analysis on the broad topic of shock-responsive social protection have been increasing rapidly (see Annex 5), there are still important evidence gaps with regards to this topic, especially for contexts of fragility and forced displacement. Gaps also exist in evidence on the timeliness and cost-effectiveness of shock-responsive social protection systems. It will therefore be important for UNICEF, alongside other actors, to continue investing resources in high quality research, impact evaluations, M&E and learning events to, generate the evidence base to improve quality in policies, promote better programming and make the investment case for governments. (UNICEF et al., 2017). Priority **actions** to consider:

- Develop a research agenda based on identified gaps and opportunities. Some of these are listed in the 'Social Protection across the Humanitarian-Development Nexus' (SPaN) Guidance;
- Make adequate resource allocation for evidence generation, M&E and learning in yearly plans;
- Develop an M&E framework based on appropriate and robust indicators for this topic (see e.g. Shock-Responsive Social Protection Systems Toolkit, Section D8);
- Collaborate with government, development partners and research institutions to carry out relevant research and learning events;
- Use the evidence for planning and programming, while adding to the global evidence base.

4. **Incorporating a focus on shocks into routine costing exercises, to understand and pre-empt the potential cost of response before a shock** (see also section on Financing). Estimating the likely impact of shocks on a target population and the financial allocation needed to support a potential scale up for different scenarios can help to determine the scale and range of funding required and support risk financing strategies. For example, the cost of a response via the social protection sector would be equal to:[24]

Cost of response = [expected coverage (e.g. based on data from previous shocks) x unit cost of the benefit/transfer x duration] + administrative costs

In countries facing regular and predictable shocks, such as annual droughts, these costing exercises can be accompanied by a "scalability framework", based on predictable and objective triggers linked to Early Warning Systems as set out in Box 4 below.

Useful information/guidance:

- **UNICEF resources:**
  - The Core Commitments for Children (CCC), see Annex 6
  - Transfer project research and UNICEF Office of Research - Innocenti work on humanitarian settings, for example.
- **Resources for social protection M&E:**
  - ISPA's CODI, Key Areas 7 and 16.
  - EU Concept Paper on indicators to measure social protection performance.
- **Resources on M&E for shock-responsive social protection**
  - Shock-Responsive Social Protection Systems Toolkit, Section D8.

24. Maher et al. (2018); SPaN (2019f).

Box 4:
Case Study: Kenya's scalability framework and costing.

Kenya's Hunger Safety Net Programme (HSNP) is a nationally owned cash transfer programme that has a clear objective for emergency responses and clear triggers. Its framework for scalability (see Figure 5 below) provides information on who is on the scheme in normal times and who will be benefiting in a disaster (amount, frequency and duration). Based on this ex ante costing, the programme is underwritten by an index insurance policy and can rely on donor commitment (DFID).

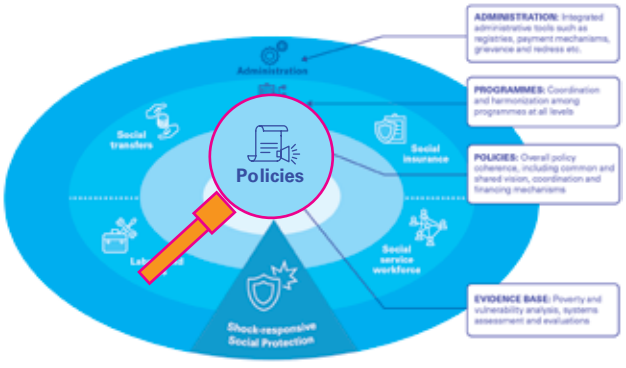
Figure 5: Framework for HSNP scalability 2016.

Location	Trigger Vegetation Condition Index (VCI)		Drought Phase Equivalent	Maximum coverage of households to receive cash transfer	Amount of Transfer	Frequency	Duration of Transfer
Sub-county	**≥ 50 and 35 to 50**	Wet or No Drought	1 Normal	Routine HSNP households	Standard payment (5,400 Ksh)	Every 2 months	Ongoing
	20 to 35	Moderate drought	2 Alert	Routine HSNP households	Standard payment	Every 2 months	Ongoing
	10 to 20	Severe Drought	3 Alarm	Routine HSNP households	Standard payment	Every 2 months	Ongoing
				Beyond routine HHs, up to 50% coverage in each sub-location	Emergency payment (2,700 Ksh)	Every month	For each month VCI is at severe drought status
	< 10	Extreme Drought	4 Emergency	Routine HSNP households	Standard payment	Every 2 months	Ongoing
				Beyond routine HHs, up to 75% coverage in each sub-location	Emergency payment (2,550 Ksh)	Every month	For each month VCI at extreme drought status

Source: Fitzgibbon (2016); European Commission (2019f); HSNP website

3.1.2 Policy and institutional setting

In this section we look at system strengthening and preparedness at the policy and institutional levels, focusing on the overlapping roles of i) policies, strategies and legislation, ii) coordination, and iii) financing.



Better understanding risk

Intervention Area: Strengthen policies/ strategies/legislation to provide an enabling framework for social protection to support the needs of children vulnerable to, and affected by, shocks

Countries' legal and policy frameworks represent the governments' statements of intent and sectoral priorities. They provide the legal authority for government institutions to carry out their tasks and responsibilities. If social protection is envisaged to form part of response to shocks (natural or human-made) this should be reflected within these formal statements of intent.[25]

Key supporting **actions** will depend on country context and may include the following:

1. Review the social protection policy/strategy/ legislation from the perspective of identified risks.

- Evidence based assessment and dialogue with government partners, building on the following areas (see also the section on Evidence and analysis above):
  - the mapping of risks/shocks in the country, their geographic location and links with multi-dimensional poverty (of children and their families);
  - the assessment of social protection system maturity and current roles/objectives vis-à-vis shock preparedness and response.

- Use this analysis to identify gaps and opportunities in the policy/strategy in terms of:
  - the role of existing social protection programmes, and especially cash transfers (see also Section 3.13);
  - the potential role of ad hoc emergency programmes via the social protection sector;
  - complementarities and synergies with the DRM and humanitarian sectors (how social protection programmes or systems could be leveraged for response via other sectors);
  - risks and opportunities in terms of upholding the Humanitarian Principles, especially in contexts of fragility and forced displacement.

- Work alongside the line ministry/department to *operationalise changes* and identify the most effective and realistic ways to achieve these given the broader political economy context in country. See Box below

Selected examples of potential areas for inclusion/consideration within social protection strategy/ policy/legislation

- Provisions to **better link routine programming and planning to covariate shocks**:
  - Ensuring a regular *risk forecasting report* or similar (for example, every two years) to identify emerging vulnerabilities and likely impacts with implications for social protection programming
  - Focusing on a *long-term planning horizon* (encompassing climate change, etc.)
  - Embedding *objectives related to resilience building and shock sensitivity* within routine programmes, focusing on priority actions along the DRM cycle in terms of preparedness, response and recovery where relevant. Starting with 'quick wins' relating to predictable and recurrent shocks, including seasonal needs, for example, increasing coverage in highly vulnerable and hazard-prone locations, etc.
  - Establishing links with *early warning systems and measurable triggers* for potential responses to shocks
  - Establishing *contingency financing* strategies (see below).

- Provisions to **increase coordination with DRM and humanitarian actors** who have the mandate to respond to covariate shocks:
  - Institutionalising a *coordination structure/forum* to improve collaboration and communication between humanitarian, Disaster Risk Management and social protection actors, as relevant
  - *Memorandums of Understanding* on roles and responsibilities
  - Protocols on *sharing data/information* across sectors.

- Provisions to **increase flexibility in the system and ability to swiftly respond during shocks**:
  - *Changes to routine eligibility criteria* for shock response
  - Establishment of *contingency plans*, involving all relevant stakeholders, to ensure rapid mobilization of human and other resources
  - *Access to benefits from different locations* when people are forced to move
  - Use of *additional financial service providers and/or different transfer mechanisms* to reinforce the capacity of existing delivery mechanism
  - *Payments to non-routine caseloads* via existing information systems
  - *Receipt of donor funds at the local government level.*

25. O'Brien et al. (2018); Kardan (2018).

- Provisions to **increase accessibility of assistance during shocks, via the temporary relaxing/waiving of**:
  - *Existing conditionalities* to reduce the burden on beneficiaries at times of crisis and enable broader access
  - *Documentation requirements* for accessing social transfers to support the inclusion of new beneficiaries, also in view of loss/misplacement of documentation in times of crisis
  - *Qualifying conditions for access* such as extended residency or citizenship to enable extension of assistance to all those in shock-affected locations. In some cases this will go hand in hand with bilateral agreements with other countries in the region to facilitate the social protection of migrants and their families.
  - *Know Your Customer requirements* for payments via the banking system used for social transfers transfers. Provisions to ensure the upholding of humanitarian principles in policy and practice.

Source: Authors, building on country strategies/policies/legislation; Beazley et al. (2019); Kardan (2018).

for ideas/examples.

A growing number of countries worldwide have started to incorporate a focus on shock within their Social Protection **Policy and Strategy** documents, many with development partner support, including from UNICEF. Box 5 below presents some examples that can help guide in-country efforts on strengthening policies and strategies for shock responsiveness. These should not be interpreted as a policy blueprint, but as inspiration for ongoing country efforts.

There are similarly a handful of examples of these changes slowly making their way into **legislation** (for example, in a few Latin American countries), though changing policy and the regulatory environment is most often easier to achieve than changes in legislation. In fact, in many countries where social protection is nascent there is often no legal basis for the provision of routine social protection which is a fundamental first step in terms of safeguarding rights from political exigencies.

2. **Inclusion of social protection in the toolbox of the DRM ministry/department.** Where relevant, working alongside humanitarian and DRM stakeholders to:

- Develop a case for incorporating a role for social protection in DRM strategies/policies/legislation that is backed by evidence and informed by an understanding of political motivations for different ministries.
- Present the case to the DRM ministry/department and to other influential/relevant ministries to garner support for the idea.
- Work alongside DRM counterparts to ensure incorporation into policy/strategy/legislation/ regulations, as relevant and feasible given broader political economy.
- Understand the broader implications of current DRM policies/strategies/legislation for social protection.

Box 5:
Case Study: examples of social protection policies and strategies with a focus on shocks.

- **Malawi.** Under the National Social Support Policy and its 2018 Malawi National Social Support Programme II (MNSSP II) and Implementation Plan, the government has made a commitment to design and implement a social protection system that covers more people, provides complementary support to respond to the multiple and compound needs of the population (including resilience building), that is sensitive to shocks, and 'that meets seasonal needs, prepares for and responds to unpredictable shocks together with the humanitarian sector, and supports recovery and the return to regular programming.' This is included as a core pillar and extensively discussed in terms of practical implications for existing programmes.

- **Jamaica.** Jamaica's 2014 Social Protection Strategy encompasses a section on 'Response to Crises and Emerging Vulnerabilities'. This focus aims at, 'protecting residents from the worst effects of national or subnational crises (originating from any source) that threaten their socio-economic wellbeing; engendering proactive approaches to foreseeing emerging social security needs and facilitating appropriate responsive mechanisms.' The Strategy also acknowledges that, as sudden shocks have widespread effects, 'the national response must involve multiple sectors, with the SP system playing its own defined role that is complementary to the other sectors and designed for both preventive and ameliorative purposes.' It also critically acknowledges that, 'for the social protection sector to maintain effectiveness over time it must have the foresight and flexibility to accommodate any future demands within a reasonable planning horizon'. These statements are accompanied by a set of specific strategies.

Source: Country Policy and Strategy papers linked above and Barca et al. (forthcoming).

Potential areas for inclusion/consideration within DRM strategy/policy/legislation

- Better recognising the *differential needs of the poorest and most vulnerable*, and the most appropriate forms of response for these groups (based on learning from the social protection sector)
- Referencing the *complementary role of social protection for risk reduction and mitigation as well as response and recovery*
- Referencing the *potential use of social protection and its delivery systems to support effective shock response* (e.g. information from vulnerability assessments, social registries and/or other social protection registries; capacity to collect data; capacity to track and monitor responses. etc.)
- *Delivering emergency programmes via social protection.*[26]

Source: Authors

3. **Broader review of national policy and legislation from a shock-responsive perspective**. Existing laws and regulations governing a country may support or hinder a response via the social protection sector.[27] Relevant areas to be assessed include:

- Ownership of shock-related contingent liabilities and broader Public Financial Management legislation, with implications for viable financing strategies. For example, financial management Acts of governments regulate matters related to finance within national and sub-national governments and stipulate the rules and processes for how public money is collected, used, and therefore accounted for. These Acts normally supersede any other legislation in matters related to finance and can present challenges to rapidly disbursing resources during shocks.
- Data protection/privacy/security, with implications for data sharing and use. This may be important in contexts where the possibility for UNICEF and/or other humanitarian actors piggybacking on the social transfers beneficiary list exists.
- Financial crimes and Know Your Customer (KYC) requirements, with implications for payment of transfers, especially in contexts where crisis affected people are likely to lose key documents following a shock.
- Civil registration, national identification and residency status, with extensive implications for migrants, IDPs and refugees who may not necessarily be registered within the SP system.
- National poverty line and minimum wage, with implications for setting transfer values that balance humanitarian principles and sustainability of support concerns over medium to longer term.

4. **Embedding changes into manuals of operation, Standard Operating Procedures (SOPs), etc.** Whether changes have been incorporated into policies, strategies and legislation or not, manuals of operation and Standard Operating Procedures represent the de facto guiding framework for the implementation of most social protection interventions. These will therefore require adapting based on the points above.

Box 6:
Case Study: supporting a Manual of Operations and SOPs in Dominica.

- In **Dominica**, UNICEF and WFP supported the vertical and horizontal expansion of the Public Assistance Programme for households affected by Hurricane Maria in 2017. Following a learning workshop on the Emergency Cash Transfer experience, government formally committed to strengthening routine systems and preparedness for response to future shocks. One of the key areas of action included developing an 'Operations Manual and Standard Operating Procedures for the Social Welfare Division.' This was developed by the Ministry of Health and Social Services with support from UNICEF and now contains a section that discusses preparedness actions for future emergencies.

Source: Beazley (2018) and UNICEF SRSP Webinar on SRSP in Eastern Caribbean Area.

26. For example, in Nepal the new National Disaster Risk Reduction Management policy has the provision to potentially use social transfers schemes in a disaster (Holmes et al. 2019).
27. Kardan (2018).

Useful information/guidance:

- **For social protection:**
  - Module 1 of CODI, Key Areas 1-4.
  - TRANSFORM 'Legal Frameworks for Rights Based Social Protection Floors - Manual for a Leadership and Transformation Curriculum On Building and Managing Social Protection Floors in Africa'.
- **For DRM:**
  - Effective law and regulation for disaster risk reduction.
- **For shock-responsive social protection:**
  - Shock-responsive Social Protection Systems Toolkit, Section C3 'The institutional environment'.
  - Kardan (2018) Institutions for adaptive social protection systems (*forthcoming*).

Coordination

Intervention Area: Strengthen coordination mechanisms across all relevant actors to enhance the efficiency and effectiveness of the overall response in times of crisis, as well as for longer term programming

Lack of coordination across social protection, DRM and humanitarian actors is often due to limited understanding of each other's sectors, priorities, systems and responsibilities. Increased coordination, on the other hand, can play an important role in: eliminating duplication of delivery systems and processes, thereby enhancing cost effectiveness; better responding to the needs of affected populations, and; increasing the longer-term sustainability of responses (for example, by ensuring government ownership).[28] Social protection systems can contribute to a holistic response to shocks. This is not about replacing the roles of other stakeholders that are responsible for humanitarian action, but rather about complementing them. For this to be achieved, there is the need for a national response strategy/ regularly updated contingency plan/ standard operating procedure involving different sectors, with clear roles and responsibilities. This document may also include strategies for cross-sectoral articulation at different phases of an emergency.[29] Key **actions** to strengthen coordination will depend on country context, and may include the following:

1. **Create or strengthen horizontal coordination mechanisms across government and non-government actors** who have a mandate to respond to shocks (e.g. humanitarian, DRM) or could play a role (e.g. social protection).
   - *Mapping the government Ministries/departments/ authorities relevant for shock response* and their current roles, responsibilities and capacity (e.g. stakeholder mapping). On this basis, identifying opportunities for convergence of agenda and collaborative action to address common challenges.
   - *Mapping development partners* engaged on this in country (beyond UNICEF) and jointly planning how to leverage each organisation's strengths at country level (e.g. based on their mandate, core areas of expertise, in-country experience and networks) to pursue a common agenda, ideally set by government.
   - *Ensuring social policy staff participation in cash working groups* and, where possible and appropriate, including these groups within the overall coordination of social protection. In contexts of protracted crisis (including forced displacement) humanitarian cash working groups are likely to exist over a longer term which makes it even more crucial to bring them under the coordination of the social protection to ensure sustainability over a longer term and that benefits for host communities and the displaced populations are aligned as much as possible.
   - *Creating opportunities for relevant stakeholders to come together on a common agenda, to enhance joint planning.* This could include:
     - Informal channels: joint workshops, conferences, meetings, trainings, exposure visits, etc.
     - Formal coordination arrangements: the creation of multi-stakeholder coordination bodies.

28. TRANSFORM Coordination Module; Kardan (2018).
29. Beazley et al. (2019).

Box 7:
Case Study: 11 principles of coordination of humanitarian cash transfers and social protection in Madagascar.

Under the leadership of the government, the following principles were endorsed by all Emergency Cash Group Members working in Madagascar:

1. A regulatory framework of the cash working group is in place for the implementation of emergency cash transfer interventions.
2. Sharing of information at all stages of the planning, implementation and monitoring of cash transfers is done within the cash group and with the Ministry in charge of social protection.
3. Joint analyses are conducted of the context and possible integrated interventions during the phases of preparation, planning, response, monitoring, evaluation, and communication of cash interventions in coordination with respective national agencies.
4. A manual of harmonised procedures is developed and implemented with respect to the amounts of transfers, targets, and coordination with other interventions.
5. A standard framework for monitoring of national/regional programs is developed and regularly utilised to share information to build a common information system and national registry.
6. A common and harmonised communication strategy at institutional and community levels is implemented systematically within programs.
7. Joint advocacy is developed for the new cash programs to mobilise resources for cash interventions and reduce operational costs of the cash programs.
8. Linkages and coordination between national, regional and local levels and at the inter-ministerial level is strengthened among all cash responses.
9. Cash programs are evaluated and joint multi-partner assessments are considered.
10. Linkages between overall emergency interventions and development-oriented and resilience-building programs are reinforced. In particular, emergency cash should seek to contribute to medium- and longer-term resilience efforts.
11. All principles be adopted through memoranda of understanding among all relevant stakeholders and this agreement to be part of a common commitment.

Where relevant, it will be important to establish coordination between a country's humanitarian cash working group and social protection coordination group

- Working with social protection stakeholders in the country to broaden the scope of the social protection coordination group in the country to include coordination of all forms of cash transfers, and ensuring that humanitarian stakeholders are informed about and are proactively included in this coordination group.
- In contexts where humanitarian actors support caseloads that are chronically or seasonally poor, or food insecure in the medium term, encouraging alignment of HCT with the existing social transfers design and/or its administrative system.
- Facilitating dialogue and pre-agreement on common methodologies and tools used to assess readiness of social protection systems.

2. **Support the institutionalisation of coordination agreements for a national response strategy, via Standard Operating Procedures, Memoranda of Understanding, etc.** This would give clarity on roles and responsibilities for different pre-agreed shock scenarios, across all the relevant stakeholders, with a focus on short, medium and long-term multi-sectoral strategies.

3. **Support vertical coordination within the social protection sector and ensure cross-sectoral coordination at local level**. The delegation of responsibilities and activities from the central to the local level is central to the delivery of social protection. Similarly, responding to shocks requires strong capacity and coordination within shock-affected communities. It is therefore clear that local social protection stakeholders, with social assistants/workers on the frontline, can play a fundamental role in supporting shock-affected populations. They know their communities well and are trusted, therefore they can support with communications, data collection, psychosocial support and more. Yet ensuring coordination, resource availability and information exchange across levels of government – especially when multiple sectors are involved – is not easy and 'automatic'. This needs to be explicitly addressed in advance of a shock. Actions include:

- *Assess where the mandate for social protection and emergency response lies, across national and subnational authorities.* Familiarise with the details of which agencies are responsible for which type of decision-making and at what level, how their budget

is allocated and whether and how non-government actors such as UNICEF can contribute to their planning processes.

- *Depending on the assessment above, ensure local levels of administration play an active role in the planning of a response strategy and support clear delegation of 'shock-related' roles and responsibilities* to local levels of administration, via job descriptions, manuals of operations, Standard Operating Procedures (including deployment of staff from non-affected areas), and lines of accountability.
- *Where relevant, support the creation of local-level coordinating structures* for actors across social protection, DRM and beyond (e.g. NGOs, etc.) to start working together to plan localised response strategies based on national guidelines.
- *Support ongoing training and capacity building of local government staff and allocate contingency budgets at local level.*

4. **Broader support to ensure mutual understanding on outcomes, as well as key principles underpinning shock preparedness and response.** Emergency preparedness and response requires a different mind-set and set of principles from those that underpin routine social protection systems. Issues that are embedded in many social transfers schemes, such as conditionalities and targeting accuracy, are far less relevant in an emergency response. Mutual understanding across sectors and a focus on key outcomes (see Chapter 2) need to be mainstreamed.

5. **Broader regional coordination for portability of social protection entitlements.** While not a focus of this guidance, the issue of portability of benefits is increasingly important for contexts of forced displacement and migration. For more on this topic, see here.

Box 8:
Case Study: Empowering local governments in flood-prone districts in Nepal.

Following the successful scaling up of the social transfers programme in response to the massive earthquakes in 2015, efforts were strengthened to enhance the shock responsiveness of the social protection system in Nepal. UNICEF has been working closely with other development partners to support the government to ensure inclusion of the aspiration of SRSP in the 15th Periodic Plan/ Approach Paper, 'Social Protection should be made shock responsive'; development of Standard Operating Procedures on use of existing Social Security Allowance for disaster response, including provisions for inclusion of additional vulnerable people as well as for preparedness; alignment with the existing DRM, DRR and financial disbursement laws.

Roadmap for SRSP in Nepal:
At the local level the UNICEF team in Nepal is engaged in a pilot exercise to strengthen preparedness of social protection system in eight of the most disaster prone palikas (municipalities) in the flood-prone plains of Terai with the purpose of supporting local governments/authorities to:

- Map areas within municipalities that are prone to floods and pre-identify vulnerable individuals/households;
- Support local authorities to open bank accounts for the most vulnerable individuals/households to enable a smooth cash transfer in time of crisis and for financial inclusion in the longer term;
- Collect evidence on the impact of the disaster on livelihood systems and the effectiveness of social protection system for policy recommendations on SRSP.

Useful information/guidance:

- **Guidance on coordination for social protection**
  - TRANSFORM "Coordination of Social Protection Systems - Manual".
- **Guidance on coordination for the humanitarian sector**
  - Sphere Standards
  - UN-OCHA
- **Guidance on coordination for shock-responsive social protection**
  - SPaN Operational Note No.3: Stakeholders.
  - Shock-responsive Social Protection Toolkit, Section D6 on Coordination.

Financing

Intervention Area: Develop a financing strategy to: a) ensure continuity of social protection service delivery in the aftermath of shock; b) potentially scale up to support new caseloads and needs (via new or existing programmes); and c) support longer-term system strengthening and resilience building.

The lack of long-term, sustainable, predictable and pre-agreed financing is one of the factors limiting the potential for social protection systems to play a bigger role in shock response. Committing to finance any level of shock response on a long-term basis represents a significant financial liability or risk that few countries are willing to take on.[30] This is of particular concern as many countries already face significant challenges sustainably financing routine social protection interventions and critical systems strengthening work.[31] Overall, it is clear that, 'fiscal space to secure social protection financing in advance of a shock is critical to the maintenance or expansion of social protection and governments that have built such space are better equipped to respond to crises.'[32]

In this context, it is worth stressing that country-level strategies will depend on these broader political economy factors, as well as the types of shocks typically faced. The most appetite for innovative risk financing approaches ('Disaster Risk Financing' or DRF) has come from countries that face regular and relatively predictable shocks that are linked to natural hazards. Having said this, key actions will include:

1. **Support the development of small-scale contingency funding strategies to ensure continuity of social protection service delivery** in the aftermath of shock (e.g. to finance surge capacity, fixing of basic infrastructure, etc. to ensure routine support is maintained). This will include vertical coordination to ensure funding at local level.

2. **Where relevant and feasible, support the sustainable and swift financing of responses to shocks through the social protection system via a pre-established financial strategy** based on the following three steps:[33]

I. **Understand the cost of response before the shock.** See Evidence section above.

II. **Identify financial resources and pre-plan the funding required to ensure timely response.** In practice, **actions** could include:[34]
   - *Analyse the political economy and fiscal space of routine social protection programming* and implications for expanded financing needs in the aftermath of a shock. Supporting financing of routine protection is per se a system strengthening feature.
   - Support government to *consider DRF approaches* that are common in the DRM sector, such as how to spread the risk and cost of financing different shocks through a risk layering strategy. A tiered approach would include: a) budgetary instruments (e.g. contingency/reserve funds); b) contingent credit; and c) market-based risk-transfer instruments (e.g. Catastrophe Risk Pools).
   - *Scope donor interest in supporting different components of SRSP as a part of humanitarian preparedness and response.* This may include working with development donors to support preparedness actions and at the same time influencing humanitarian donors to fund the scale up of social protection in times of crisis.
   - *Support the development of a financing strategy that broadly identifies what, when and how shocks will be financed.*

III. **Plan for timely disbursements.** When and how funding reaches beneficiaries is as important as securing funds in the first place. There are limited benefits to financing strategies if there are constraints to transferring those funds to the relevant institutions and ultimately to shock-affected communities. Complications can also arise when multiple actors are involved, with different accountability structures and financial

30 Maher et al. (2018).
31 Ortiz (2018).
32 Bastagli (2014).
33 Maher et al. (2018).
34 Maher et al. (2018), World Bank (2017).

reporting requirements. Key aspects to consider in advance will include robust processes and agreements for:[35]

- *Triggering of the funding,* for example, via objective Early Warning mechanisms that are not subject to political interference.
- *Upstream release of funds.*
- *Release of funds to local government/ authority levels for implementation* (including short-cuts by which international partners can channel funding directly to local levels).
- *Guaranteeing sufficient liquidity at local level.*
- *Delivery to affected populations* (see section on payments below).
- *Reconciliation:* donors and/or financial providers and national governments may have different accountability requirements for financial reconciliation, posing potential challenges that should be resolved in advance of a shock.
- *Tackling any additional legal and administrative blockages that could restrict timely disbursements* (PFM rules, etc.).

3. **In the longer term, identify financial resources and pre-plan the funding required for system strengthening and resilience building work.** Successfully strengthening and adapting routine systems via continuous 'design tweaks' (see Section 2.2 and the whole of Chapter 3) requires financial commitment over the medium to longer term.

Box 9:
Case Study: ensuring timely flow of funds.

As a response to the devastating earthquakes in Nepal in April and May 2015, UNICEF disbursed $26 million through Nepal's social protection system in order to expand the existing social transfers cash transfer programme in earthquake-affected areas in two phases. The Emergency Cash Transfer Programme (ECTP) consisted of a vertical expansion in Phase 1 and horizontal expansion in Phase 2.

Initially, the ECTP roll-out was delayed as the Nepal Cabinet's approval of the programme took nearly a month. This was followed by a slow fund-transfer process from UNICEF to the local governments (the District Development Committees). According to the impact evaluation of the ECTP this was due to a complex administrative processes and low capacity at the local level to report back on utilisation.

Source: Merttens et al. (2017).

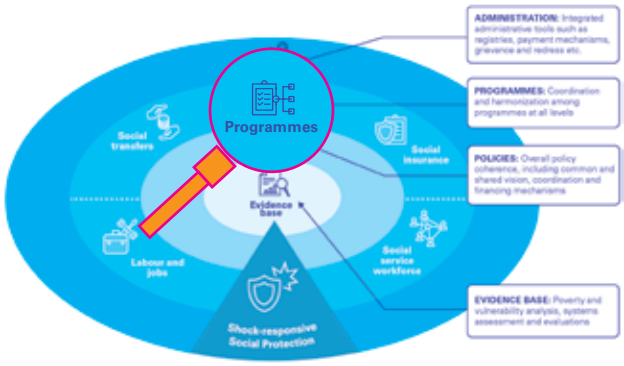
Useful information/guidance:

- **UNICEF guidance**
  - Public Finance for Children.
  - PF4C in fragile contexts (under development)
- **Guidance on financing for social protection**
  - TRANSFORM "Financing and Financial management Systems - Manual"
  - Module 1 of CODI, Key Area 5 on 'Public Expenditure and Financing' and Module 2 Key Area 10 on 'Expenditures and Financing'.
  - Fiscal Space for Social Protection and the SDGs: Options to Expand Social Investments in 187 Countries.
- **Guidance on Disaster Risk Financing**
  - (GFDRR) Assessing Financial Protection against Disasters: A Guidance Note on Conducting a Disaster Risk Finance Diagnostic.
  - World Bank Course: Fundamentals of Disaster Risk Finance.
- **Guidance/information on humanitarian financing**
  - Future Humanitarian Financing: Looking Beyond the Crisis.
  - Global Humanitarian Systems Report, and State of the Humanitarian System reports.
- **Guidance on financing for shock-responsive social protection:**
  - Return on Investments study in Malawi
  - SPaN Guidance - Operational Note 5: Integrated Financing.
  - Shock Responsive Social Protection Systems Toolkit, Section D1 on 'Finance'.
  - Maher et al. (2018), Emerging Lessons in Financing Adaptive Social Protection. World Bank. Forthcoming.

35 Ibid

3.1.3 Mix of programmes and their design features[36]

Countries with an effective mix of programmes that offer high and equitable coverage of population and needs – across social insurance and social transfers – are better positioned to respond to shocks as they possess a broader toolbox to draw from and build on.[37] Moreover, selected design features of routine programmes, including cash transfers, can make them more or less 'useful' in the context of shock response.[38]



Intervention Area: Review and strengthen routine social protection programme design features to address the risks, shocks and stressors that countries typically face

Intervention types, objectives and linkages

Different social protection programmes (e.g. cash for work, school feeding, unconditional cash transfers, etc.) are designed to play different functions, pursue different objectives and address different life-cycle risks. When purposely integrated as ''cash plus'' programming, their contribution to intended outcomes can be improved.[39] System strengthening actions for shock preparedness and response could include:

1. **Assess routine programmes to support modifications in objectives/function to include humanitarian needs (where relevant).** This will be inherently linked to the strategic vision set within the policy/strategy/legal framework and the specificities of each programme (see Annex 1) and may include the introduction of new activities or programme. Kenya's HSNP (Hunger Safety Net Programme) and Ethiopia's PSNP (Productive Safety Net Programme) (see Box 10) are examples of programmes that are explicitly designed to address regular and predictable droughts.

2. **Support linkages and complementary programming within the social protection sector and beyond, to enhance resilience building ex ante and a comprehensive response to humanitarian needs ex post.** This would include efforts to connect cash transfer recipients with information, knowledge and services as well as following a broader case management approach. This may include supporting cross ministerial coordination and linkages or working closely with sectoral colleagues to make such linkages as a part of humanitarian response provided by them.

Box 10:
Case Study: Ethiopia's PSNP is explicitly designed to address shocks.

The PSNP in Ethiopia, now the second-largest social protection programme in Africa after South Africa, was specifically designed to address the needs of chronically food-insecure households and to break the cycle of emergency appeals and assistance. Initiated in 2005, it is now in its fourth phase of operation, providing the longevity needed to assess outcomes and impacts and to learn lessons about both operational and design features that have been tweaked and adjusted through the years to better respond to household needs. The PSNP aims for national coverage (in all but two regions) with an annual total of 10 million beneficiaries (8.3 chronic food insecure households routinely supported and up to 1.7 million additional 'transient' beneficiaries should emergency scale-up be needed). The goal of PSNP 4 is: 'resilience to shocks and livelihoods enhanced, and food security and nutrition improved, for rural households vulnerable to food insecurity.'

Source: Ministry of Agriculture (2014), adapted in Barca (2018).

36 N.B. This section primarily focuses on the response to a shock rather than longer-term adaptations to enhance resilience and coping capacity. This will be discussed within a forthcoming document on resilience building for social protection.
37 Grosh et al. (2011); IEG (2012); Marzo and Mori (2012); O'Brien et al. (2018).
38 N.B. This whole section draws extensively on a forthcoming paper, Barca (2018).
39 See, for example, Roelen et al. (2017).
40 Roelen et al. (2017); Barca (2018).

Box 11:
Case Study: Tailored behavioural change communication through the Pantawid Pamilyang Pilipino Programme (4Ps), in the Philippines.

Attendance at Family Development Sessions (FDS), held once a month, is one of the conditions for receipt of 4Ps cash transfers in the Philippines. One of the topics covered in the FDS is how to be disaster-ready, including what warning messages to be aware of, and what items should be packed for evacuation, including identification documents, clothes, and other essentials. It represents one way in which CCTs can be used for ex ante disaster preparedness at the household level. Post-Yolanda, FDS was also used to deliver information to the 4Ps households on how to recognise and address post-traumatic stress. It is understood that the Department for Social Welfare and Development is currently developing new guidelines and content for family disaster preparedness FDS sessions, to be delivered in disaster prone municipalities.

Source: Bowen (2015), adapted in Barca (2018).

Potential **actions** to consider include:[40]

- *Link routine programmes* to knowledge and information on disaster risk reduction and management (see Box 11 and the Section on communications)
- *Link to psychosocial support* (fundamental in the aftermath of a shock) and child protection. See Box 12 and section on case management etc.
- *Link to nutrition services* in acknowledgment that this is the most critical area of concern in the aftermath of a shock.
- *Link to productive inclusion interventions* (skills and employability, provision of seed capital and productive grants, linkage to existing value chains and markets, financial education and access to saving options, etc.) and broader 'sustainable graduation interventions.'
- *Link social protection beneficiaries to complementary services* (health insurance, waiving of tuition fees, etc.). Access to services in the aftermath of a shock is challenging, which means that pre crisis linkages can play an important role after the shock. Work on this may entail:
  - Assessing the capacity of social services to scale up in line with cash transfers, where social transfers design already links cash transfers with social services.
  - Provision of technical assistance to identify options for enabling parents/carers' access to services for children.
  - In collaboration with sector colleagues and local governments, analysing the pressure on social services in locations hosting populations affected by the crisis (migrants, those forcibly displaced or those displaced owing to natural disasters).
  - Analysing fiscal space and political economy to invest in reinforcing social services for the displaced and host communities to match the increase in demand.

3. **In the longer term, identify financial resources and pre-plan the funding required for system strengthening and resilience building work.** Successfully strengthening and adapting routine systems via continuous 'design tweaks' (see Section 2.2 and the whole of Chapter 3) requires financial commitment over the medium to longer term.

Box 12:
Case Study: linking child protection to emergency programming in Turkey.

In Turkey, the Conditional Cash Transfer for Education (CCTE) was designed to align with and piggyback on the delivery systems of an existing government programme, while catering to a new caseload: Syrian refugees and their children. The programme, led by UNICEF in collaboration with the Turkish Red Crescent and funded by ECHO and Governments of the US and Norway, adopted the same application process and capacity as the routine CCT and leveraged the country's social transfers information system ('ISAS') while maintaining a different payment system. The choice for the conditionality to be retained for Syrian refugees (despite the higher barriers they faced to access schooling) was primarily driven by a desire to guarantee social cohesion. Nevertheless, in an effort to sustain positive education outcomes for Syrian children and address the risk of exclusion due to the conditionality, the CCTE was designed with an add-on Child Protection component for students with low attendance and other vulnerability factors. This was implemented by 37 outreach teams in 15 provinces. The success of the programme was such that the Turkish Government has been discussing with UNICEF to adopt this as a government programme for its routine CCT.

Source: UNICEF SRSP Webinar on CCTE in Turkey.

Targeting design (eligibility criteria and qualifying conditions) and subsequent coverage

Targeting design and subsequent coverage influence their potential role for shock preparedness and response (see also Annex 1). Beneficiaries for routine social protection programmes tend to fall into two broad categories (sometimes overlapping): a) the chronically and sometimes also the transient poor, and b) the 'categorically vulnerable' (children, older people, people with disabilities, etc). It is rare that the resulting coverage (% of population receiving benefits) is higher than 20% of population – and it is most often significantly lower.[41]

Effective targeting for shock-responsiveness, on the other hand, has direct links with the exposure to and ability to cope with specific shocks. This may be a different target group than those reached through a routine social protection programme (O'Brien et al., 2018). In most crisis contexts, a larger population is affected whereas, as mentioned above, routine social protection programmes may only cover a small proportion of those affected. Moreover, targeting in crisis settings is underpinned by humanitarian principles and in practice tends to prioritise simplicity and speed over targeting accuracy and reduction of inclusion errors.

Key actions for strengthening shock responsiveness are:

1. **Assess the overlap between existing eligibility criteria/coverage and characteristics of affected population, for different types of shocks, including a strong focus on who would be excluded and strategies to overcome that.** In some cases, this may include simple design tweaks such as collecting and incorporating new variables within routine registration (e.g. social registries) and targeting algorithms, adopting principles of 'disaster and climate aware/smart targeting' – see Box 13.[42]

Some principles of beneficiary selection across the humanitarian-development nexus include the following:

- Targeting should be **acceptable** from both political and social/cultural perspectives.
- Targeting process should respect **dignity** of population and foresee the participation of population throughout the process.
- Beneficiary identification should be **simple and clear** for all members of a society or community. The costs should be justified, and procedures should be as transparent as possible.
- Targeting strategy should be **appropriate** for the type of shock and stage of the response.
- Method(s) should be **feasible** in view of available administrative capacity and operationalisation potential.
- Beneficiary selection should be **affordable** in terms of financial and institutional constraints.
- Targeting response should be **timely** and contextual depending on the type of shock and short-term or long-term recovery support required.
- Targeting strategy should be **flexible** with a potential of being adjusted to changing environments during a shock or crisis.

Source: SPaN Operational Note 2: Targeting (2019).

Box 13:
Case Study: 'Climate-smart/-aware targeting', selected country examples.

- **Pakistan** is including data on climatic vulnerability in its new Proxy Means Test (PMT), while also making efforts to provide geographic coordinates for all registered households. For example, it aims to balance rural–urban and provincial indicators more effectively and to include indicators of agro-climatic zones. This would enable targeting of populations whose livelihoods are vulnerable to climatic shocks, such as floods and droughts.
- In the **Dominican Republic**, the *Índice de Vulnerabilidad ante Choques Climáticos* (Index of Vulnerability to Climate Shocks: IVACC), which is part of the Sistema Único de Beneficiarios (SIUBEN) social registry, calculates the probability that a given household may be affected by climate shocks. The IVACC index includes three dimensions: i) housing characteristics (walls, ceiling); ii) estimated income; and iii) proximity to a hazardous natural element (river, stream, or ravine).
- In **Malawi**, the questionnaire of the Unified Beneficiary Registry (UBR) that serves as a social registry and an integrated beneficiary registry has been modified to identify household vulnerability to annual predictable food gaps and climate shocks. However, according to Holmes et al. 2017, 'this is not sufficient for the UBR to serve as an up-to date targeting tool in case of shocks.'[43]

41 This is not a problem per se if coverage is 'universal' among those in need.
42 Kuriakose et al. (2012); World Bank (2013); Bastagli (2014).
43 Holmes et al. (2017).

- A recent study by the World Bank in **Niger** compares two of the most widely used approaches to targeting PMT, designed to identify the chronic poor, and the household economy approach, which is a livelihoods analysis framework. The paper finds that the former performs better at identifying the chronic poor and the latter at identifying households suffering from seasonal food insecurity. However, it also highlights that they both rely largely on the same type of household-level information. As a result, small tweaks to the type of data collected can make it possible to estimate not only households in chronic poverty, but also those vulnerable to shocks.

Source: Watson et al. (2017); Beazley (2017); Holmes et al. (2017); Schnitzer (2016).

2. **Assess routine approaches for eligibility verification and determine the extent to which the systems, capacities and data generated via routine approaches can be leveraged in the aftermath of a shock.** For example for Ethiopia's PSNP, the eligibility of new transitory food insecure households for scaled-up assistance is conducted using the same community-based targeting approach as for the PSNP's core caseload, building on existing capacity and systems (see also Box 14).

3. **Based on these assessments, develop guidance on child-sensitive targeting for crisis contexts that can be adapted in the aftermath of the shock.** This will involve inter-institutional coordination and buy-in, and will need to build on extensive learning from the humanitarian sector.

Type/modality, level (value), frequency and duration of transfer

The extent to which the design of routine benefits (type/modality, level, frequency and duration) respond to emergency needs broadly dictates the extent to which adaptations will be necessary in the aftermath of a shock.[44] System strengthening **actions** will therefore include the following:

1. **Assess the type/modality of routine transfers and determine appropriateness for shock response.** Situations in times of crisis may change temporarily or over the longer term. For this reason, a pre-existing modality may not always be the most appropriate solution to support the needs of affected populations. Historical data from previous crises may help in determining the most appropriate modality, and could be reaffirmed during the post-crisis situation and needs assessment. Evidence from the humanitarian sector highlights the appropriateness of cash transfers in most types of crisis in the past decade. Increasingly,

Box 14:
Case Study: Building on existing capacity and systems for eligibility determination, selected country examples.

- In **Turkey**, due to the lack of verifiable socioeconomic data on refugees and the need for rapid scale up, it was agreed by government that the eligibility criteria for inclusion in the Emergency Social Safety Net (ESSN) programme would not be based on the socioeconomic criteria used for citizens but would be limited to six demographic indicators. During registration, refugee applicants therefore only complete 19 of the 49 questions in the application form. It was also agreed that applicants would not receive a household verification visit until a year after enrolment. Whilst still making use of the same digital data management systems (ISAIS) these changes needed to be reflected in the processes of the local government social transfer offices for assessing needs and conditions for refugees.
- In **Yemen**, UNICEF adopted a mixed-method targeting approach on their HCT linked to the Social Welfare Fund (SWF). The SWF standard survey questionnaire was used, but questions related to displacement and impact of conflict, child protection and child nutrition were added. Eligibility decisions were therefore based on consideration of all this available data.

Source: Smith (2018) from Smith (2017a); World Bank (2017).

44 N.B the focus on shock response rather than longer-term resilience building (which is discussed in forthcoming Guidance). The suggested type/modality, level, frequency and duration of transfers differs across the two.

the humanitarian sector is adopting a 'cash first' approach, as extensively outlined in the programmatic guidance on Humanitarian Cash Transfers.

2. **Assess the benefit level of routine transfers and determine appropriateness for shock response.** Transfer values for humanitarian assistance are guided by Sphere Standards for humanitarian action and are often higher than routine social protection payments. Humanitarian cash transfers are determined based on monetisation of good and services, hence a Minimum Expenditure Basket (MEB) approach is often used by humanitarian actors to address multi-sector needs of affected populations. In working towards a shock-responsive social protection, it may be unrealistic to predetermine the transfer value, however, a common methodology to estimate the transfers can be pre agreed with relevant humanitarian stakeholders, including the humanitarian cash working group. Using historical data to conduct scenario planning can help in this process.

3. **Assess the frequency and duration of routine transfers and determine appropriateness for shock response.** The frequency of routine social protection interventions varies widely, depending primarily on administrative constraints and transfer modalities. Most programmes aim to transfer funds on a monthly basis to enhance consumption smoothing, but many provide transfers less frequently, for example, social transfers in Nepal are transferred every four months and the routine CCTE payments in Turkey are every two months.[45] While this is sometimes because of implementation failures, it can also be a deliberate design choice,.[46] In the aftermath of a shock, the priority of ensuring timely, frequent and regular payments may clash with existing programmes' payment cycles in contexts where these are relatively far apart. Provisions may be made to adjust the timing of payment cycles in line with predictable crises such that regular payments are at least not delayed and that additional payments can be made in advance to the most vulnerable.

4. **Develop guidance for suggested emergency transfer modality, value, frequency and duration, and ensure cross-sectoral agreements.** Leveraging the experience of the humanitarian sector (see HCT Guidance) to agree key parameters for expansion in advance of a shock such that precious time is not wasted in negotiating design details in the aftermath of a shock. It will be important to embed the guidance in SOPs, MOUs, etc. to the extent possible, while acknowledging that some adaptations may be needed in the aftermath of a shock informed by the situation and needs analysis.

A realistic approach to setting these parameters in emergency contexts will require ex ante understanding and/or addressing of:

- inevitable **trade-offs** between scale and value;
- **political economy** considerations (e.g. around the impact of temporarily higher transfer values on public perceptions of standard/acceptable assistance);
- **coordination and harmonisation challenges** between multiple actors providing assistance;[47]
- **price fluctuations** in shock-affected areas
- the **financial capacity** of government to mobilise resources in a timely manner.

Source: Barca (2018); O'Brien et al. (2018).

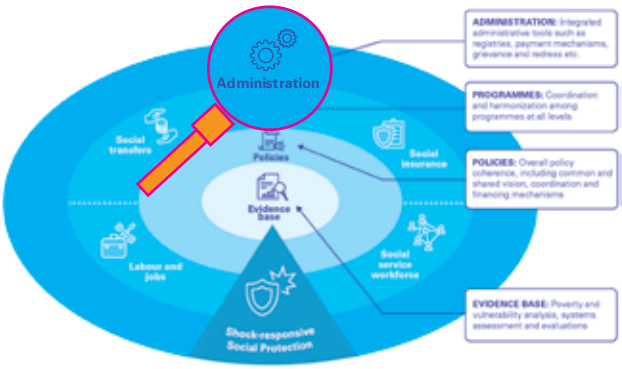
45 For example, based on data from the Manchester Social Assistance in Developing Countries Database.
46 For example, there is some evidence that larger and less frequent payments lead to higher productive impacts such as savings and investment (Bastagli et al., 2016). More broadly, ex ante adaptations to routine transfer frequency and duration (for example, ensuring the payment timing of regular social protection programs coincides with the moment of most need) may help to support resilience-building objectives, strengthening households' capacity to cope with future shocks.
47 For example, through development of common transfer guidelines for government and aid agencies, as in the Philippines and Lesotho (O'Brien et al., 2018).

Useful information/guidance:

- **UNICEF**
  - Programmatic guidance on Humanitarian Cash Transfers
- **For social protection:**
  - Module 1 of CODI
- **For Humanitarian:**
  - CALP website
- **For shock-responsive social protection**
  - SRSP webinar series – webinar on Dominica and BVI
  - SRSP webinar series – webinar on Myanmar MCCT
  - Shock-responsive Social Protection Systems Toolkit, Section C4 'The potential contribution of specific programmes'.
  - SPaN Operational Note No 1: Benefit Modalities.
  - SPaN Operational Note No 2: Targeting.

3.1.4 Administration and delivery systems (implementation/operations)

The delivery system forms the core operational part of the routine social protection programmes, and especially cash transfers.[48] It broadly entails delivering a set of functions that include outreach and communications, registration, enrolment, payments/delivery, grievance redress mechanisms, etc. This section of the guidance discusses how each of these routine functions can support shock response via the social protection sector or via external actors piggybacking on selected delivery systems.



Overall, the key underlying messages of this section are:[49]

- The strength and overall practical set-up of routine delivery systems for social protection determines the extent to which these can be leveraged for shock response (via existing programmes or new programmes that piggyback on them);
- Routine delivery systems can be 'picked and mixed' to enhance the outcomes of a response via the social protection sector or via external humanitarian actors;
- Simple adaptations, simplifications and contingency plans can play a role in making routine delivery systems better placed for shock response, responding to different objectives and timelines;
- It is important to consider the ways in which shocks impact social protection delivery systems (e.g. underlying capacity, technology, etc.) and what mechanisms are in place to ensure continuity of service delivery and accountability to affected populations;
- Compromises will need to be made. On the one hand, achieving humanitarian outcomes and conforming with humanitarian principles is important; on the other hand, implementation of social protection approaches in humanitarian settings should not impact negatively on the implementation or growth of the long-term social protection system.

Intervention Area: Review and strengthen routine delivery systems to enable a) continuity of service delivery and b) the potential for flexing and scaling in response to shocks.

48 Key resources on this topic include the forthcoming World Bank 'Sourcebook on the Foundations of Social Protection Delivery Systems' and the TRANSFORM Administration Module.
49 N.B. This whole section draws extensively on an unpublished paper (Smith, 2018).

Outreach and communications

Communications and outreach strategies are key to any social protection delivery system for their role in informing people about existing programmes (their objectives and processes) and encouraging potential beneficiaries to apply, and can sometimes incorporate further Behavioural Change Communication (BCC) and Communications for Development (C4D) objectives. Approaches vary from face-to-face sessions via social workers/other local actors to use of radio, television, posters and other media. Social protection communications are often under-financed and their focus and scope in country varies broadly, yet they are among the most crucial parts of a shock-responsive system.

The implications for systems strengthening that could be supported by UNICEF include the following:

1. **Reviewing routine communications to ensure service continuity after a shock.** For example:
   - Actions to raise beneficiary awareness of any temporary changes or special measures to ensure that routine beneficiaries can continue to access the programme after the shock (e.g. waiving of conditions, procedures to replace lost documentation, accessing benefits in new locations etc.).
   - Modifications to routine communication channels in case of major disruption (e.g. electricity outage, physical inaccessibility, etc.).
   - Plans for surge capacity and coordination with other sectors involved in shock response.

2. **Adapting communications for responses to shocks.** Where the social protection sector is expected to play an important role in shock response (e.g. via vertical expansion, horizontal expansion or piggybacking on existing systems), it will be important to adapt communications in order to clearly address:
   - *Modification of the key messages to be communicated:* the rationale, institutional partners, revised eligibility criteria and/or transfer amounts, duration and frequency of support, as well as the practical 'how to' for receiving the transfers, channelling grievances, etc.
   - *Ensuring communication mechanisms are accessible to (new) caseloads.* New caseloads may face different communication barriers compared to routine recipients or have different needs vis-à-vis language, literacy (both alphanumeric and digital), mobility, trusted media and organisations, social networks, etc.
   - *Ensuring the design of new programme is communicated clearly.* This is particularly important in a context of temporary vertical and horizontal expansion of the social protection programme in order to avoid any confusion among beneficiaries (including temporary) and non-beneficiaries, about the extension of benefits over a longer term.
   - *Addressing potential social tensions* that may arise as a consequence of crisis response through social protection. This is especially pertinent in contexts of forced displacement where the forcibly displaced may be perceived as receiving greater benefits compared to the host communities. While most social tensions can be reduced by carefully designing the scale up or aligning parallel HCTs, communication mechanisms can play an effective role in clarifying the purpose of support and any additional arrangements to ensure continuity of services for host communities/non-beneficiaries, etc.

3. **Ensuring BCC and C4D messaging is adjusted and scaled up.** Often social transfer programmes are linked with services provided by other sectors and BCC and C4D plays an important role in such programmes. Additionally, in some contexts, existing social transfers can be proactively linked to services in emergencies. When such programmes are introduced, scaled up or adjusted, BCC and C4D will require adjustments. Working closely with colleagues from the UNICEF C4D team in country can help identify most appropriate entry points and ways to support governments for future crises.

Registration and enrolment

Routine programmes have very different approaches to registering potential beneficiaries and enrolling eligible caseloads (this is sometimes true even across different programmes in the same country). For example, the most common approaches to registration, sometimes used in combination, include: a) census surveys of all or a sub-set of those residing in programme areas; b) on-demand systems that require people to apply for assistance on a rolling basis or at regular intervals. As part of registration some programs may also require verification of identity or validation of attributes through the collection of supporting documents, household visits

or online database cross-referencing. Once a decision on eligibility has been made (depending on the overall approach to targeting, as discussed above), eligible populations are enrolled, usually involving the collection of additional information (sometimes biometric) and the provision of a token/card/programme ID to redeem their benefits. Importantly, the way in which the data from these processes is stored and managed also differs widely across countries (see section on Information Systems below).

The exact approach adopted in country (which depends on the nature of the underlying programmes and on historical/institutional factors) and its outcomes in terms of population coverage and extent of inclusion and exclusion errors strongly impacts constraints and opportunities for the use of existing registration and enrolment systems for shock response.

For vertical expansions of existing programmes, registration and enrolment is already complete:

the caseload of emergency response recipients is the same as the caseload of routine beneficiaries (or a sub-set of these, e.g. in shock-affected locations). On one hand, this reduces the costly and time-consuming process of registering new households, assessing their eligibility and enrolling them. On the other, it most often means vertical expansions only reach a small sub-set of shock-affected households and will require complementary programmes to reach remaining caseloads. It should also be noted that:

- Vertical expansions will often anyway require revalidation of data (especially in cases of displacement and loss of documentation).
- To increase coverage, vertical expansions can be conducted across several programmes (this was the case in Fiji, for example). This is feasible in contexts where this does not add coordination challenges and significantly addresses the coverage gap.[50]

Key activities to strengthen routine registration and enrolment systems to enhance shock response will include the following:

1. **Assess existing registration and enrolment mechanisms against their potential use in expanding caseloads for shock response.** Ideally, routine registration and enrolment mechanisms would be able to expand to new caseloads in response to changing needs (e.g. those triggered by a shock). However, this is rarely the case as many registration mechanisms are static and based on periodic census surveys, while on-demand systems struggle to cater to peaks in demand for rapid onset shocks – hence an early assessment is important to identify potential options for addressing the challenge.

2. **Supporting pre-identification, registration and enrolment of potential beneficiaries, where appropriate and possible.** Such a policy could help to speed up delivery post-crisis and could be feasible in contexts (e.g. specific areas of the country) that are affected by regular and broadly predictable shocks (e.g. HSNP in Kenya's drylands).[51] In contexts where categorical targeting is an option, UNICEF's work on birth registrations can be effectively linked with scale-up plans. These efforts would need to be complemented by a strong communication strategy to clarify the difference between regular and temporary transfers.

3. **Supporting preparedness for rapid registration of new caseloads, where appropriate and possible**. In a large majority of cases, existing data will not be usable to support the enrolment of shock-affected populations. In these cases, it would be important to prepare routine systems in advance of a crisis to play a role in registering and enrolling households for emergency programmes. In particular:

- *Planning and preparing emergency registration forms*, building on humanitarian expertise and leveraging existing information where possible. Ideally a short/'reduced' form to speed up registration, which may also require modifications to eligibility criteria since decisions will be based only on those data fields collected.

- *Developing an emergency registration strategy depending on existing systems:*
  - In contexts with census-survey approaches to registration:
  - Training teams of staff (including surge capacity)

50 It is important to note such a solution increases overall coverage but does not ensure full coverage of affected households. This was identified as a significant challenge in Fiji (Mansur et al., 2018).
51 This approach can be far less appropriate in contexts where shocks are irregular and unpredictable, exposing households to protection/security risks while also raising expectations among potential beneficiaries which are not then met.

Box 15:
Case Studies: pre-developing an emergency registration form in Chile.

In **Chile**, the Ministry of Social Development (MSD) developed a pre-designed form for emergency registration of new caseloads, called *Ficha Básica de Emergencia* – Basic Emergency Form (FIBE). In order to receive any kind of government assistance, households need to be registered with FIBE. The FIBE form is very short (one page) and includes many 'perception' indicators (e.g. 'how badly affected was your house?'). Most importantly, it is linked with data from the country's Social Registry (the *Registro Social de Hogares* (RSH), which has 70% coverage of the population, enabling a comprehensive overview of household conditions. Moreover, data for FIBE is collected electronically, significantly speeding up registration times. For example, while data collection for the 2014 Tarapacá Earthquake took 115 days, it took 27 days for the comparable 2015 Coquimbo Earthquake using the shortened (one-page) Ficha FIBE and 'filling in' missing data through the RSH.

Source: Barca and Beazley (2019).

for emergency census-survey data collection, based on the pre-designed emergency form. Incorporating learning from the humanitarian sector on data collection in shock-affected contexts.
  - Preparing for different needs compared to routine caseloads (language, documentation requirements, etc.)

- *In contexts with on-demand approaches to registration* (e.g. Box 16)
  - Provisions for not over-burdening capacity and for surging capacity.
  - Relaxation of standard requirements and processes (e.g. home visits, documentation requirements).
  - Making demand-led registration processes more accessible to vulnerable groups, for example, by: i) setting up and staffing additional, temporary offices in locations that are safe and accessible for the target group; ii) taking registration activities to communities through addition of registration camps or doorstep services; iii) covering transport costs for vulnerable applicants to travel to social welfare offices elsewhere; and iv) catering to different language needs, etc.

4. **Supporting preparedness for rapid enrolment of new caseloads, where appropriate and possible.** Registration and enrolment can be conducted contextually in emergency contexts or sequenced closely to maximise timeliness of the response.

Payment system

Routine cash transfer programmes (the main area of focus for this Guidance) offer two main payment modalities, manual (cash or voucher) and electronic (e-voucher, card or mobile money), each offering opportunities and challenges.[52] These can be run by the implementing agency, decentralised to a local-level government or outsourced to a financial service provider. It is clear that leveraging these existing systems offers

Box 16:
Case Studies: Overcoming on-demand registration barriers in Turkey and Kyrgyzstan.

- In **Turkey**, programme monitoring showed that some vulnerable families in remote locations and with mobility constraints were struggling with the process for registration for the ESSN and CCTE. Complementary 'handholding' was provided by humanitarian actors (including UNICEF), providing transport or covering the cost of transport to take applicants to the local government social transfers offices.
- In **Kyrgyzstan**, following conflict in 2010, the interim government was supported by UNICEF (who had been working on social protection pre-crisis), to horizontally expand existing programmes. A Temporary Regulation relaxed the proof of eligibility requirements for six months in two affected provinces and established ad hoc local social commissions to rapidly assess applications for households. UNICEF also supported the set-up of mobile outreach services (via additionally recruited social assistants), to take registration to communities making it more accessible for the poorest and speeding up enrolment.

Sources: Smith (2018), citing CaLP (2018) and Smith (2017)

52. See for example TRANSFORM Administration module. Also note that the two key transfer modalities can be delivered via a variety of payment devices (e.g. Point of Sale (POS), ATM, phone) and payment 'points' (mobile units, post offices, bank branches, local shops, etc.) which offers both opportunities and challenges.

high potential in emergency contexts: trust-relations are already built; terms of service already negotiated and overall economies of scale and scope can lead to significant cost-efficiencies. Nevertheless, there are also true risks of overburdening existing capacity and infrastructure or introducing rigidities into the emergency response. Preparedness work in this area will therefore include:

1. **Assess existing payment mechanisms against their potential for a) guaranteeing continuity of service delivery, and; b) flexing and scaling for shock response.** Assessing the system's capacity to: withstand the shock, handle larger volumes of cash and at a different frequency, handle new population groups, and ensure accountability for different crisis scenarios. Such assessments should include a focus on: technology, infrastructure, human resources and flows of funds/liquidity management.

2. **Supporting preparedness measures for use of routine payment systems for shock response.** Based on the assessment, understanding the potential for using or piggybacking on the existing system and developing a preparedness strategy alongside government that includes:
   - Pre-defining protocols, roles and responsibilities across all relevant actors via agreements including standby agreements, MOUs, Standard Operating Procedures, manuals of operations, etc.
   - Pre-defining cost-sharing and remuneration structures for additional administrative costs.
   - Making changes to the IT/Management Information System (MIS) platform for payment delivery, to ensure flexibility.
   - Testing new solutions through small pilots and using the monitoring data and experience to inform scale up plans.

Information systems

Information systems underpin the design and implementation of most routine social protection interventions, and especially cash transfer programmes. Nevertheless, the exact way in which data is collected, stored and managed at programme level and across programmes in a country varies widely, affecting its uses for shock preparedness and response.[53] In practice, UNICEF support in country could focus on the following activities (see also this infographic on the topic):

1. **Assessing existing information systems against their potential for shock preparedness and response.** Depending on their set-up, existing social

Potential areas for payment system preparedness/adaptation

- **Withstanding the shock:**
  - Shock-proofing existing infrastructure and technology to the extent possible – strengthening routine payment systems
  - Having contingency plans for alternate payment approaches, temporary pay points and surge capacity, with a strong focus on guaranteeing flexibility, accessibility and security
  - Strategy for flow of funds to local level (to ensure liquidity and timeliness)
- **Handling larger volumes of cash and at a different frequency:**
  - Provisions to enable swift changes to the payment amount and schedule, to meet humanitarian needs
  - Pre-empting capacity implications e.g. via protocols for surge capacity
- **Handling new population groups (expansions of coverage):**
  - Pre-empting differential needs of different groups (preferences, language barriers, familiarity with technology, etc.)
  - Budgeting additional capacity for "hand-holding" and support activities for new caseloads unfamiliar with the system and when expanding payments to new geographical areas
- **Ensuring accountability:**
  - Especially where funding may come from different sources than routine transfers, different reconciliation requirements may be in place than can be set out in advance
  - Fully abiding by humanitarian principles, especially in fragile and conflict-affected states

Source: Authors, building on Smith (2018); O'Brien et al. (2018); Beazley et al. (2019).

53 Barca and Beazley (2019).

transfers data (from flagship cash transfers or other programmes) can offer a range of potential uses for shock response as sources of, for example:, household and individual level data; comprehensive socio-economic data; operational data (that is useful to identify, trace and deliver benefits); geo-referenced or geographically-disaggregated data; and (in an increasing number of countries) data that can help to capture shock vulnerability in advance of a shock. They also sometimes feature interoperability or data-sharing arrangements with other government registries and are underpinned by established capacity to collect, store, and manage data. Nevertheless, their role and use in emergencies will broadly depend on their:[54]

- **Completeness.** This refers to the level of data coverage and number of records compared with what would be perceived as a full set of records, for instance, 100 per cent of the population in affected areas, or 100 per cent of those in need. An existing social transfers registry may assist an emergency response if the data covers all of those affected by the shock, or a high enough proportion. Important distinctions need to be made between data on beneficiaries and registered non-beneficiaries, acknowledging that neither are likely to offer full coverage of populations affected (see also Figure 2).
- **Relevance.** Data are relevant if they contain the variables required for the intended purpose. Data collected for the provision of long-term social transfers (i.e. another purpose) may not always be relevant for shock response if they do not contain variables that comprehensively identify households in affected areas, and ideally that assess household needs and enable an immediate response.
- **Currency.** Data currency is the degree to which data are current (up-to-date), and thus represent households' real circumstances at the required point in time. It is, of course, impossible for standard social protection data to reflect the reality after a disaster, meaning some form of post-disaster revalidation is always required. The relevant factor is how up-to-date existing data are overall, often an issue of concern in many countries reviewed.
- **Accessibility.** This refers to the ease with which potential users – most likely national or local government agencies and departments, or their partners – can obtain the data. Accessibility can vary widely depending on who the users are and what processes and authorisation levels are in place for data sharing; the underlying policy and legislation; whether or not data are maintained and stored digitally; existing provisions for data security and privacy; what type of data interfaces are provided; the data architecture for interoperability, etc.
- **Accuracy.** Data are considered to be accurate if they are free from errors and omission. Accuracy means that a high level of confidence can be placed in the data, affecting their wider credibility and ultimately their usability.
- **Data protection.** Data are secure when they are protected against unauthorised access, misuse, or corruption. Data privacy is guaranteed where data are utilised while protecting an individual's privacy preferences and their personally identifiable information. In emergency contexts, concerns regarding misusing or losing such information potentially exposing households to further vulnerability are heightened, especially so in the contexts of fragility and forced displacement. Unique identifiers may be assigned in some contexts to overcome some of these challenges to an extent.

2. **Supporting a decision on how existing data and its underlying systems will be used, if at all.** Depending on the outcomes of the assessment, understanding whether there is scope to support vertical and horizontal expansions, or new programmes, through piggybacking on existing data, data-collecting capacity and information systems. See Figure 5.

3. **Supporting preparedness measures for use of routine data and information systems for shock response.** For any decision based on the options above, preparedness measures will be required in order not to compromise the timeliness of the response or meeting of other outcome areas. These will include:

- *Strengthening routine systems, with an eye to potential use for shock response,* e.g.:
  - Auditing systems to strengthen data quality (and trust)
  - Increasing currency of social protection data (e.g. via on-demand or periodic registrations),

54 Ibid.

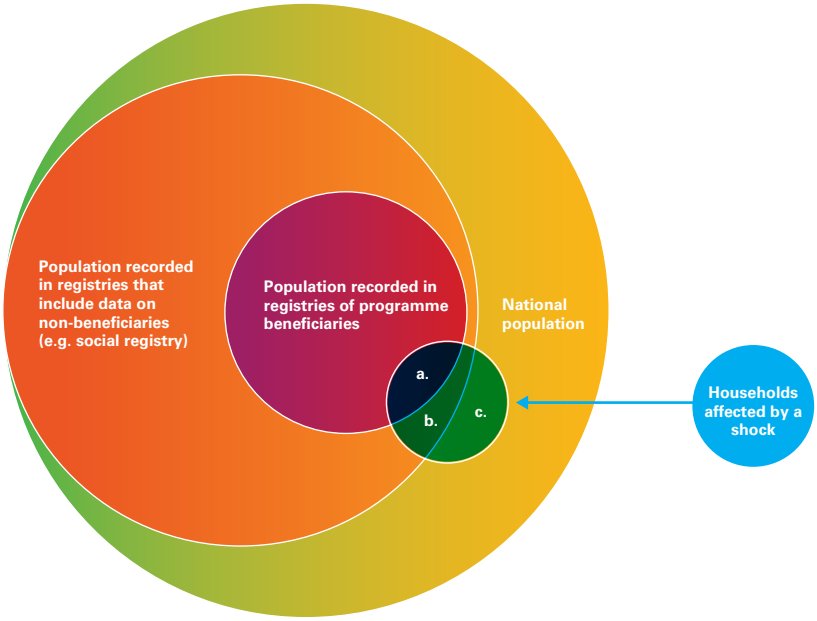
Figure 5 **Options for using existing data and systems for shock response**

a. Vertical expansion of existing programme/s or new programme **piggybacking** on **beneficiary data**? *Make sure you have strategy to reach all other affected households.*

b. Horizontal expansion of existing programme/s or new programme **piggybacking** on the **data of potential beneficiaries**? *Think this through carefully in advance of the shock, requires high levels of preparedness and does not fully address potential for exclusion (and inclusion) errors.*

c. Strategies to reach affected households whose data are not held within existing registries will **always be needed** (e.g. refugees/non-citizens, etc).

a., b. and c. Using existing capacity and systems for collection and management of new data, or validation of existing data? *Evaluate potential for existing capacity to be overwhelmed and address this.*



Source: Barca and Beazley (2019).

especially in shock-affected areas
- Increasing coverage of data in shock-affected areas
- Supporting the digitisation of all data collected for routine programming
- Adapting the variables collected to better capture vulnerability to shocks
- Ensuring geographic data (ideally geo-localised) and/or geographic information system (GIS) data is collected and stored
- Increasing interoperability and standardisation of data across programmes and actors
- Linking information systems to Early Warning triggers
- Ensuring durability and flexibility of hardware and software
- Processes for informed consent (including use of data for shock-response purposes)
- Processes for reaching new population groups (see section on Registration).

- *Ensuring clarity on processes, roles and responsibilities for shock response,* via:
  - Protocols and standard operating procedures on how data will be used
  - MoUs and standby agreements for data sharing
  - Training/guidance for all stakeholders, especially at local level.

- *Testing and piloting new approaches and developing detailed action plans* accompanied by resource requirements.

4. **Ensuring processes, systems, data and lessons from previous shocks are incorporated into routine information systems.** Whether an emergency response was run by a humanitarian partner or by government actors, it is important that these are not lost. For example, caseloads supported via emergency response could be integrated into routine programming, or data from past responses could be used to inform planning.

Grievance redress mechanism

Linked to all the components above is the mechanism to register and address grievances. Any change to an existing system and procedure or the introduction of new programming and its operations are likely to cause challenges for people. These could range from complaints on being excluded from the programme, to delay in payment or misuse of authority by staff, etc. This function is often overlooked within routine programming, but increasingly gaining importance. The extent to which they are carried out to high standards varies widely across countries, raising questions on their potential role for shock response. Recent evidence shows it is often the humanitarian sector that steps in to perform these "hand-holding" functions, so as not to overburden social protection capacity (see Box 17 for examples). Nevertheless, there is still a strong rationale to build on existing systems where possible and use the response as an opportunity for systems strengthening. In working towards a shock-responsive delivery system, the following considerations may help:

- *Ensure that the system for registration of complaints is functioning and gives confidence to people to register complaints and feedback.* To start with it is crucial that there is a functioning and trusted grievance mechanism that can continue to function in times of crisis. Some contexts may require a scale-up of this system or the introduction of a temporary system. Depending on the country and crisis context this may include hotline numbers, e-mail, social media, PO box address or strengthening the capacity of the formal channel through, for example, temporarily deploying staff with the local authorities. Introduction of new complaint mechanisms must additionally consider the confidence and capacity of the most marginalised to access them. For example, an all-male team at the complaint desk may deter women beneficiaries from coming forward to complain or an elderly population may not be comfortable with social media, etc.
- *Ensure that complaints and feedback are sorted and forwarded to appropriate authorities for action.* Effectiveness of the grievance system depends on how the complaint/feedback is acted upon. Depending on the scale and nature of the crisis, it may be useful to invest in temporary capacity to sort and address complaints.
- *Ensure action taken on the complaint/feedback is duly communicated.* Once the complaint/feedback has been analysed and acted upon, it is important to inform the complainant about the same. The nature of the complaint/feedback will determine the communication on the action on it, especially in crisis contexts.

Box 17:
Case Studies: integrating routine approaches for grievances and case management.

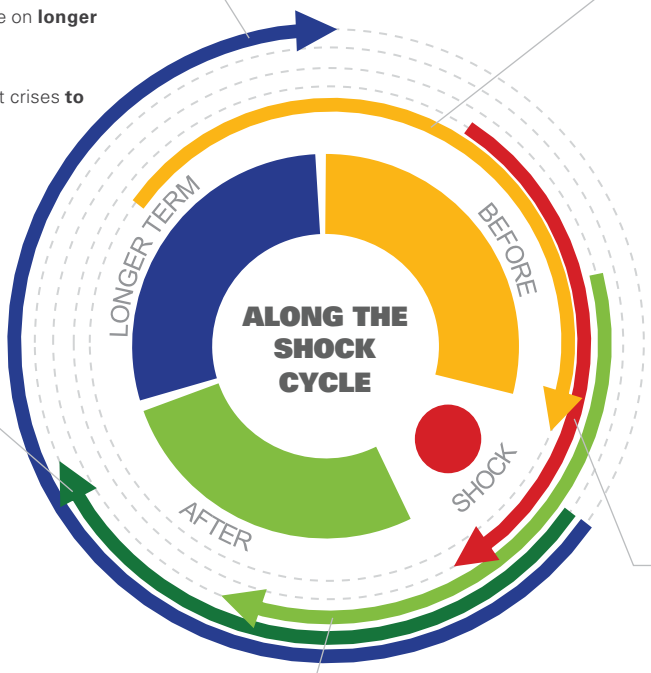
- In **Yemen,** additional hotline channels were added to the existing complaints mechanism of the government's Social Welfare Fund. These were accessible for those beneficiaries living in insecure areas, where access to social welfare offices was restricted.
- In **Turkey** a free-of-charge helpline for the CCTE and ESSN programmes was created. Complaints can be received in six languages including Turkish and Arabic.
- In **Nepal**, the grievance redressal system of the national social transfer system has people communicate their complaints directly to Village Development Committees/ward secretaries. During the horizontal expansion of these programmes a toll-free phone number and SMS platform were also introduced, however, beneficiaries generally preferred to use the traditional and familiar approach of communicating with VDC/ward secretaries.
- In **Kyrgyzstan**, government social welfare officers did not practice a case management approach prior to the crisis. As part of their support during the crisis, UNICEF provided skills and methods training and coaching of social protection managers and social workers on additional outreach measures to ensure family welfare. They introduced new documentation – a care and support plan for the family – to monitor needs, referrals to services and progress. This monitoring approach was subsequently adopted by the government.

Sources: Smith, 2018. See also UNICEF Nepal, Turkey and Kyrgyzstan studies and SPaN_Yemen_study.

Useful information/guidance:

- **UNICEF guidance**
  - Humanitarian Cash Transfers programmatic guidance
  - Documents/T4D webinar on YECT
- **Guidance on delivery systems for social protection:**
  - TRANSFORM "Administration of non-contributory social protection: Delivery Systems - Manual".
  - Module 3 of CODI on Program Implementation, together with ISPA tools on Social Protection Payments
- **Guidance on delivery systems for humanitarian programming**
  - Cash Learning Partnership (CaLP).
- **Guidance on delivery systems for shock-responsive social protection:**
  - SPaN Operational Note N.4: Operations.
  - Shock-responsive Social Protection Systems Toolkit, Section D here
  - Smith (2018). Responding to shocks: considerations along the delivery chain, OPM background paper for the World Bank (forthcoming).
  - Barca and Beazley (2019). Building on government systems for shock preparedness and response: the role of social transfers data and information systems, (and webinar here).

Figure 6 The role of the social protection system throughout the shock cycle.



RECOVERY (AND LEARNING)

- Focus benefits and service package on **longer term recovery needs**
- Incorporation of **new caseloads**
- Inter-institutional learning from past crises **to strengthen systems**

PREVENTION, MITIGATION AND PREPAREDNESS

- **Strengthen routine provision** based on a solid understanding of risks and vulnerability to shocks – including a focus on prevention, mitigation and resilience building
- **Assess routine system** and decide which programmes and underlying delivery systems offer potential for shock response, if any
- Determine clear guidelines for emergency benefits and services package and develop **protocols, Standard Operating Procedures (SOPs), MoUs and Framework Agreements/contracts** across relevant actors
- Develop clear strategies for guaranteeing **legal legitimacy, surge capacity and financing**
- Staff **trained and piloting/testing**

RESPONSE

- **Revise** benefits and service package based on changing needs and continue early response efforts
- Implement **support activities** to ensure newly eligible caseloads and their needs are adequately addressed

EARLY WARNING AND RELIEF

- **Early Warning System** supporting activation of response
- Initial **relief activities** (often DRM led)

EARLY RESPONSE

- Ensure **continuity of service** delivery for routine programmes
- Assess whether planned emergency processes respond to needs and **tweak/adapt**
- **Activate emergency SOPs/plans** with any required modifications, leveraging existing systems and data where relevant
- **Use existing SP capacity** to support additional data collection, where/if required

Sources: Beazley et al (2019).

3.2 Along the shock cycle

This section is an attempt to present the intervention areas discussed in Section 3.1 from the perspective of the shock cycle, with the main purpose of clarifying the importance of interventions at different stages. Such a presentation highlights the importance of systems 'preparedness'. The core considerations are summarised within Figure 6,[55] with further comments provided within Table 5. Overall, these should be seen as areas that government social protection stakeholders should be working on, with the support of UNICEF and other development partners.

Table 5 **Summary of key actions for government social protection stakeholders throughout the shock cycle (that UNICEF can support).**

When/what	Details
Before: prevention, mitigation and preparedness	• **Strengthen routine provision** (adequacy, coverage, effectiveness and inclusiveness) based on a solid understanding of risks and vulnerability to shocks. Examples include: ○ Building on DRM expertise/tools/frameworks to better understand risks, vulnerability and potential impacts across population groups (food security, etc.). Where relevant, integrating this information into social protection information systems, to inform planning and implementation. ○ Including a focus on resilience and risk mitigation into routine programming (addressing the structural causes of risk). ○ Incorporating risk and vulnerability into routine targeting criteria (e.g. expanding coverage in risk prone areas, etc.). ○ Analysing the likely impacts of various shocks on existing delivery systems and capacity and 'shock proofing' these systems. • **Assess** routine social protection systems and **decide** which programmes and underlying delivery systems offer further potential for shock response (e.g. vertical or horizontal expansion, or new programme piggybacking on existing systems), if any. Incorporate considerations on the extent to which these could help to a) meet needs, b) adequately cover affected populations, c) ensure a timely response, d) ensure predictability, e) avoid duplication of efforts, and f) ensure sustainability compared to alternative approaches. • Determine clear **guidelines for emergency benefits and services package** and develop practical **protocols and Standard Operating Procedures (SOPs)** across relevant actors outlining a) how to ensure 'business as usual' after a shock, and b) how the system could flex and scale. ○ Which programmes and what targeting criteria (for example, based on layering of vulnerability data with poverty data and models of likely impacts of events)? ○ What delivery systems will be leveraged, if any, and how (outreach, registration, enrolment, payments/delivery, case management, grievances, etc.)? ○ What benefit size and duration? ○ Who will be responsible for what? ○ When will the response be triggered (e.g. establishing clear triggers and thresholds linked to an Early Warning System)? • **Develop MoUs and Framework Agreements/contracts with all relevant actors** (DRM, humanitarian, NGOs, Banks, etc.) for inter-institutional coordination, clarity on roles/responsibilities and information sharing, clear articulation ex ante on how these sectors/systems/frameworks will work together in an emergency. • Develop clear strategies for guaranteeing **legal legitimacy, surge capacity** and **financing** for response via social protection. Examples include: ○ Ensuring legal backing – and no legal obstacles. ○ Staff trained on emergency protocols and procedures and clear strategy for surging staff in affected areas. ○ Identify budgetary space through contingency funds, sovereign risk insurance, or 'crisis modifiers' built into existing development grants/loans that allow for a quick reallocation of resources during times of emergencies. • **Piloting/testing** of the chosen approach.

55 These are of course generic representations; the exact mix of actions required in any given country will depend on an analysis of risks/shocks, social protection system capacity, and institutional roles and responsibilities across key actors, among other factors.

When/what	Details
Just before and during: early warning and initial relief activities	• **Early Warning System** potentially triggering planned response strategies in advance of – or during – a shock (especially for predictable, recurrent shocks). • **Initial relief activities** (often DRM-led).
After: early response	• **Ensure continuity of service delivery** for routine programmes ('business as usual'). • **Assess** whether planned emergency processes respond to needs and ensure strategies for inclusion of the most vulnerable. • **Tweak/adapt the planned emergency benefits and services package** (size and duration), if needed, in close collaboration with humanitarian/DRM actors. • **Activate** emergency SOPs with any required modifications, starting from 'easy wins' (e.g. vertical expansion, piggybacking) and building on existing systems where relevant (e.g. targeting building on existing data and vulnerability analysis ex ante). • Use **existing SP capacity** to support **additional data collection,** where/if required. • **Ensure clarity of communications** to affected communications (e.g. nature and duration of the benefits).
After: response	• **Revise benefits and service package** based on changing needs and continue early response efforts. • **Based on new data collected, implement** support activities to ensure newly eligible caseloads and their needs are adequately addressed, including clear procedures for grievances.
Longer term: recovery (and learning)	• Focus benefits and service package on longer term **recovery needs**. • Incorporation of **new caseloads** into the social protection system where relevant, and broader review of targeting criteria and transfer levels to reflect changing needs (alongside advocacy for greater financing). • Clear process for inter-institutional **learning** from past crises to **strengthen** systems on that basis, feeding into future preparedness.

Source: Beazley et al. (2019).

3.3 In practice, achieved via in-country support and collaboration

This section briefly explores the channels through which UNICEF could provide support to government along the dimensions discussed above. Of course, these apply to other development partners as well.

Provision of technical assistance

The concept of 'shock-responsive social protection' is relatively new for many governments, hence the provision of technical assistance will be an important strategy to support the development and strengthening of social protection systems in countries so they are better able to prepare and respond to shocks, alongside other sectors. Key actions will include:

- Building inter-ministerial/departmental consensus on a plan to better embed a focus on shocks into social protection programming.
- In collaboration with the relevant ministry/department, identification of areas that require technical support.
- MoUs with relevant ministry/department on technical provision and the details of this technical provision. This could be on any of the action areas elaborated in this Guidance Note.
- Internal preparation to provide support to the government. This may include recruitment of staff with requisite skills/experience or pre-identification of externals who could support in this process.

Design/implementation of pilots

There is no prototype model for shock-responsive social protection. While evidence from similar contexts can guide design and implementation choices and processes, these will most often require iterative testing and adapting. UNICEF can therefore play a role supporting governments with the design and implementation of pilots:

- Identification of specific gaps and ideas relevant to the action areas to be tested with the government to support an enhanced focus on shock-responsive social protection in the country.
- Working with the relevant ministry/ies/departments to develop a costed plan for the pilot process.
- Identification of funding sources (budget or donor funded) to implement the plan.
- MoUs with relevant ministry/department and/or agreement to implement the pilot.
- Developing a clear plan of action and resource allocation (including recruitment of appropriately skilled/experienced personnel) for UNICEF to support the implementation of the pilot in advance of a crisis.
- Close dialogue with emergency colleagues and sectors in advance of a crisis.
- Capturing evidence and using that to decide whether to pursue the project on completion of the pilot, and to fine tune the overall plan in the country.

Collaboration/coordination with other stakeholders

Efforts on shock-responsive social protection require balancing humanitarian and development perspectives, therefore it is crucial to work with other partners and leverage each other's strengths to support governments in developing social protection systems that are better able to prepare and respond to shocks in the country. From a UNICEF perspective, this collaboration and coordination is required at different levels (see also the section on coordination above):

(i) Collaboration with different ministries/departments (social development, disaster risk management, finance, planning, etc.) to influence decision making on SRSP.

(ii) Collaboration with development and humanitarian stakeholders on a common agenda; working alongside other development partners (e.g. WFP, World Bank, UNHCR, FAO, ILO, etc.) to ensure no duplications or gaps in the overarching strategy.

(iii) Internal collaboration with teams working on emergency responses (e.g. EMOPS) and other sectors.

This would broadly entail:

- Mapping of stakeholders, their circles of influence, the motivations driving their engagement with SRSP and their capacities.
- Development of a common understanding of concepts and processes on SRSP, with an ultimate focus on outcomes.
- Identification of a common roadmap with clarity on roles and responsibilities based on interest and capacity.
- Development of an inclusive coordination platform that includes short-term coordination groups such as those set up for coordination of HCT in times of crisis.
- Influencing humanitarian programming to better align with planned and ongoing efforts on SRSP.

Design/support for Humanitarian Cash Transfers that are aligned to social protection programmes

The use of humanitarian cash transfers is increasing in UNICEF's response to a range of emergencies. At the World Humanitarian Summit, UNICEF committed to scale up humanitarian cash transfers in ways that build on or strengthen social protection systems. As extensively discussed within the programmatic guidance on HCT, this requires an understanding of the country's social protection system to identify opportunities for collaboration and alignment.

Funding analysis/evidence and capacity building

A first step that many country offices could consider is also the funding of ad hoc analysis and evidence generation (via commissioned studies, learning workshops, etc. – see also section on evidence) or of capacity building for UNICEF and government staff.

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accompanying Operational Notes:
- Operational Note 1: Benefit Modalities
- Operational Note 2: Targeting
- Operational Note 3: Stakeholders
- Operational Note 4: Operations
- Operational Note 5: Integrated Financing
- Operational Note 7: Nutrition Security
- Operational Note 8: Vulnerable Groups
- Operational Note 9: Fragility
- Operational Note 10: Forced Displacement

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Annex 1

Different social protection interventions and their broad implications for shocks

Different social protection interventions offer different opportunities and constraints in terms of flexing and scaling for shock response and for resilience programming. The tables below give a broad overview of how key design and implementation features of different interventions types determine what can and cannot be done with them in shock-affected contexts. They are based on a yet-to-be published Background Paper for the World Bank's Adaptive Social Protection book (Barca, 2018).

Social transfers (non-contributory)[56]

Cash transfers

Table 7 **Types of interventions and implications: cash transfers.**

		Cash transfer core characteristics	Implications for flexing and scaling up *(challenges in italics)*
Programme Design	**Eligibility criteria and qualifying conditions**	• Large variation, depending on cash transfer objectives (e.g. focus on children, elderly, disables, labour constrained, 'poor', etc.) • Qualifying conditions vary (e.g. ID, residence).	• Eligibility criteria can be relaxed • Qualifying conditions (e.g. ID requirements, residence requirements, conditionality) can be waived • *Can be politically controversial and perceived as 'handouts'* • *Underlying eligibility criteria will affect level of overlap with affected population*
	Coverage	• Large variation, but in many countries cash transfer provision is highly rationed	• *Not a comprehensive crisis response measure in contexts with low or geographically patchy cash transfer coverage*
	Benefit design (focus on level, frequency and duration)	• Distribution of cash • Level and frequency are set to respond to chronic needs	• *Standard values often not sufficient to meet emergency needs* • Can be scaled in order to respond to higher needs (vertical expansion): e.g. top-up amounts, increased frequency or longer duration - especially if approach is defined ex ante • *Cash-distribution not advised when/until markets are disrupted*
Programme implementation	**Approach to eligibility verification**	• Varies: e.g. Categorical, CBT, Means test, PMT, geographic (and combinations of these)	• *The specific approach to eligibility verification – which also dictates registration and enrolment processes – will affect the potential for flexing and scaling.*
	Registration and enrolment	• Process partly depends on approach to eligibility verification	• *Unless approach to registration and enrolment is inclusive and continuous (e.g. on-demand), challenges guaranteeing intake of new caseload in aftermath of a crisis (horizontal expansion)*

56 N.B. Not including fee waivers or social services.

		Cash transfer core characteristics	Implications for flexing and scaling up *(challenges in italics)*
Programme implementation	**Benefit delivery**	• Payments can be offered through various payment instruments (manual or electronic), using different 'devices' and distributed at a variety of payment points	• Cost of delivery lower than food transfers and others • Amounts transferred can be modified quickly in case of increasing needs and price fluctuations • Can be delivered even in disrupted contexts (e.g. conflict, disaster), especially if diversified approach addressing context-specific challenges and needs • Existing payment systems can be piggybacked on for delivery of new programmes or horizontal expansion of existing ones • Electronic transfers offer potential for technological leapfrog
	Accountability and management systems; financing	• Often underpinned by strong information management systems, payment reconciliation, etc.	• If systems have been adapted ex ante, they can support implementation of emergency response (e.g. information system) • Transparent system for payment reconciliation can enable piggybacking by international actors (compliance with reporting requirements) • Potential for strong M&E
	Communications	• Most often, capillary system for communications at community level (local committees, etc.)	• Potential to use well-known and trusted network for communication to shock-affected population and psychosocial support
Implications for resilience		• Highest flexibility for beneficiaries in terms of use/responding to needs (often preferred) • Proven to deter the use of harmful coping strategies and ensure consumption smoothing while also supporting asset accumulation, productive activities and productivity, livelihood diversification and savings • Can help revitalise local economies by promoting trade and stabilising market supplies prices, as traders know they can count on stable customer bases • Can support longer term resilience via human capital accumulation • Can be linked to complementary programming, to enhance resilience impacts ('Cash +', graduation approaches, etc.)	

Sources: Barca (2018), based on Asfaw & Davis (2018); del Ninno & Coll-Black (2016); Grosh et al. (2014); Marzo & Mori (2012); McCord (2013); Pelham et al. (2011); and Vakis (2006).

Food and in-kind transfers

A recent wave of evaluations has shown that, on average, in-kind transfers are less cost effective at delivering resources to households than cash transfers (Gentilini, 2016; Alderman et al., 2017). In shock-affected contexts, they also face significant logistical constraints (procurement, storage, transport, etc) and offer less fungibility than cash to affected households (Bastagli, 2014; Beazley et al., 2016). This has led many humanitarian agencies to initiate a shift of their operations from food transfers to cash transfers (Gentilini, 2016). Yet food and in-kind transfers – through complex public distribution systems – are still a dominant transfer modality in many countries[57] (e.g. India, Indonesia, Egypt and Sri Lanka), and for important reasons. For example, they help to tackle food-insecurity within recipient households, while being broadly politically acceptable to non-recipients and performing broader functions (such as 'supporting agriculture and managing price fluctuations and supply risks'). In terms of shock response, moreover, they offer an essential alternative to cash in contexts of 'weakly integrated markets or high food prices' (Alderman et al., 2017).

57 'Based on administrative data from programs in 108 countries, food and vouchers programs cover 20.4 percent of the population in those settings. This is 13 percentage points higher than unconditional cash transfers (UCTs).'" (Alderman et al., 2017).

Public works

Table 8 **Types of interventions and implications: cash transfers.**

		Public works, core characteristics	Implications for flexing and scaling up *(challenges in italics)*
Programme Design	**Eligibility criteria and qualifying conditions**	• Primarily those in working age and able to work	• *The requirement to work can act as a qualifying condition that imposes excessive burden on beneficiaries at times of crisis* • *The focus on those who are in working age and able to work can exclude the most vulnerable categories in need of support* • *There can be tension between the social protection objective of the interventions, and the stabilisation objectives (e.g. target youth)* • Appropriate in contexts of high unemployment after the collapse of labour markets • Politically acceptable (building tangible assets) • Requirement to work itself can be waived in response to a shock.
	Coverage	• Depends on country/context (large variations, yet very few with high coverage of labour force)	• *Low coverage can undermine impact. Established programs aside, many PWPs are too small in scale in both immediate operation and in potential expansion to provide an effective shock response, given the binding administrative technical and fiscal implications of large-scale provision* • Simple to target geographically in affected regions
	Benefit design (focus on level, frequency and duration)	• Wage often set below minimum wage, to enable self-selection • Often time-limited support (e.g. maximum number of days)	• *Low wage can act as an impediment in a crisis context in terms of adequately addressing needs* • Duration of support can be easily extended in a crisis (one approach to vertical expansion); wage rate can be increased • Easy to scale-down
Programme implementation	**Approach to eligibility verification**	• Most often: self-selection into the programme	• Ongoing self-selection process enables easy targeting in the aftermath of a crisis, including for ex-novo programs. Lower administrative burden for registration/ enrolment • *Risk of over-demand (e.g. where chronic poverty is widespread and employment opportunities scarce)*
	Registration and enrolment	• Given self-selection, two phases are effectively merged into one • Ongoing process	
	Benefit delivery	• Wages paid based on muster roll and attendance sheets, often in cash at set day/time/place	• *For ex-novo programs, time taken to develop/procure/ implement can result in significant delays* • *Cost of transferring resources through a PWP higher than through cash transfers because of the administrative and capital budgets they require*
	Accountability and management systems; financing	• *No need for electronic storage of data on non-beneficiaries: use of muster rolls etc* • Often little focus on M&E of the quality & usefulness of assets produced	• Can be implemented under social fund and other flexible arrangements. (e.g. resources can be quickly mobilised) • *Large-scale implementation of workfare not easy to safeguard from fiduciary risks, especially if there is no prior implementation infrastructure.* • *Small scale and temporary financing of many short-term public works pilots do not enhance government capacity*
	Communications	• On-the-job	• *Potential for ad hoc communications*

		Public works, core characteristics	Implications for flexing and scaling up *(challenges in italics)*
Implications for resilience		• Building of community assets, enhancing community resilience - Before a shock occurs, e.g. activities with risk reduction and adaptation benefits (e.g. environmental conservation and rehabilitation works, soil and water management, etc.) - After a shock, e.g. for clearing of debris and reconstruction (roads, water supply and sanitation, etc); • Resilience-building effect through the wages provided (see 'cash transfers') • Potential transfer of skills, with impacts on future employability • Can function to address both labour market and inflationary challenges • Potential impacts on community cohesion. For example, used in post-conflict situations to provide employment to ex-combatants (e.g., Bosnia, Senegal, Ivory Coast). • 'Public works plus' model can provide additional training, access to credit or linkages with intermediate services, with impacts on livelihood strategies	

Sources: Barca (2018), based on Bastagli (2014); Beazley et al. (2016); Costella & Ivaschenko (2015); del Ninno & Coll-Black (2016); Grosh et al. (2014); Marzo & Mori (2012); McCord (2013); Pelham et al. (2011); and Subbarao et al. (2013).

School feeding

Table 9 **Types of interventions and implications: School feeding.**

		School feeding, core characteristics	Implications for flexing and scaling up *(challenges in italics)*
Programme Design	**Eligibility criteria and qualifying conditions**	• Varies across programmes, most often tied to school attendance • Targeting is progressive, an outcome often achieved by focusing resources first on schools in poorer areas and on lower grades	• *Challenges expanding to households with no school-aged children, or to areas with no schools or schools that cannot comply with minimum hygiene standards.* • *Risk that children enrolled and attending school are not those who are the most vulnerable.* • Potential for changes to eligibility requirements and qualifying conditions, to enable horizontal expansion: take-home rations, temporary inclusion of out-of-school children, expansion of age-limit criteria, etc
	Coverage	• Varies widely, but many countries have broad coverage targeted geographically (e.g. food insecure areas)	
	Benefit design (focus on level, frequency and duration)	• Delivery of food (nutritional snacks/meals) • Daily, when school is open	• Broad potential for vertical expansion: increasing number of meals (per day, or extending to weekends and holidays), increasing/improving quantity and quality of meals
Programme implementation	**Approach to eligibility verification, registration and enrolment**	• Automatic if student of eligible school. Very few are poverty targeted	• No need for formal registration and enrolment process in the aftermath of a crisis – can be fast to implement in contexts that have established systems. • *Very difficult to implement ex novo where program not pre-existing: too much start-up-logistics and training required.*
	Benefit delivery	• Either distribution of pre-prepared snacks or preparation of meals • Either procured and prepared locally or 'imported'	• *Logistical constraints in scaling-up: a) procurement of food-stuffs, b) lack of labour force for preparation and distribution, c) damage to key infrastructure (buildings/ water and sanitation)/closed schools* • Potential to reach out-of-school children through pre-identified child safe spaces

		School feeding, core characteristics	Implications for flexing and scaling up *(challenges in italics)*
Programme implementation	**Accountability and management systems; financing**	• Often not linked to social protection information systems, but school E-MIS	• *Often different accountability structure and institutional housing to other social transfers programmes – potential coordination challenge*
	Communications	• In-school presence	• Broad potential for targeted/strategic communications
Implications for resilience		• Discourages parents from taking children out of school (can improve children's attendance and enrolment in school, triggering longer term human capital impacts) • Can address short-term hunger and longer-term nutrition (e.g. through micro-nutrient-fortified food), ultimately contributing to the physical and mental development of children. • Take-home rations specifically can contribute to broader household food security (and reduced expenses on food) • Local procurement can trigger ripple local economy effects	

Sources: Barca (2018), based on Beazley et al. (2016); Grosh et al. (2014); Fafo (2017); McCord (2013); WFP (2007); and WFP (2013).

Subsidies

Table 10 **Types of interventions and implications: subsidies.**

		Subsidies, core characteristics	Implications for flexing and scaling up *(challenges in italics)*
Programme Design	**Eligibility criteria and qualifying conditions**	• Often blanket coverage, with exceptions (e.g. targeted subsidies)	• *Often regressive (especially fuel) so not ideal for support to most vulnerable.* • *Subsidies for inferior goods (e.g. cheaper foods) can promote self-targeting* • *Politically popular (benefit middle classes)*
	Coverage		• Vast (potentially universal) coverage
	Benefit design (focus on level, frequency and duration)	• Level of subsidy varies and frequency is tied to demand • Duration often long-term as complex to phase-out	• Varying implications
Programme implementation	**Approach to eligibility verification; registration and enrolment**	• None if subsidy is untargeted • If targeted, process will vary	• Operationally easy and swift to roll-out (low administrative burden if untargeted and limited institutional coordination) – good second-best option if no established social protection programmes in place
	Benefit delivery	• Through open market (except if public distribution system, not tackled here)	

		Subsidies, core characteristics	Implications for flexing and scaling up *(challenges in italics)*
Programme implementation	**Accountability and management systems; financing**	• No storage of data needed for untargeted subsidies	• *Susceptible to leakages and governance challenges* • *Exit strategy problematic, as politically difficult* • *Can represent a heavy burden on government budgets*
	Communications	• In many cases, no ongoing interaction with beneficiaries	• *No obvious communication channels for shock response*
Implications for resilience		• Reducing the price of basic items such as food, fuel, fertilisers and medical treatment can affect households' coping capacity • Subsidised sale of specific inputs can support productivity e.g. agro-pastoral inputs	

Sources: Barca (2018), based on Bastagli (2014); Beazley et al. (2016); Marzo and Mori (2012); McCord (2013).

Social Insurance (contributory) – only focused on unemployment benefits and contributory pensions

Table 11 **Types of interventions and implications: Social Insurance (e.g. unemployment benefits and pensions).**

		Social insurance, core characteristics	Implications for flexing and scaling up
Programme Design	**Eligibility criteria and qualifying conditions**	• Minimum contributory period, varying in length with the type of benefit, required before a benefit is awarded	• *Inadequate for crisis response in LICs and MICs as no coverage of informal sector (and often the self-employed) – could reinforce existing inequalities, providing benefits to better-off workers in the formal sector.* • *Unemployment insurance not useful in contexts of reduction in working hours, or reduced remuneration subsequent to a crisis* • *In principle, designed as automatic stabilisers (e.g. unemployment), yet revenues from contributions also shrinks in crises.* • Potential to change qualifying conditions e.g. for large-scale economic crises potential to reduce pension age or minimum number of years of contribution)
	Coverage	• Often very low coverage in low- and middle- income countries with large informal sectors	
	Benefit design (focus on level, frequency and duration)	• Benefit levels set to reflect the overall level of contributions paid and ensure access to necessary goods and services	• Potential to increase frequency, value and duration for existing beneficiaries (vertical expansions)
Programme implementation	**Approach to eligibility verification; registration and enrolment**	• ID and employment history • Pre-enrolment alongside formal employment contract	• Simple to expand vertically, often used in high income countries. • *More complicated to expand horizontally*
	Benefit delivery	• Varies, but primarily through formal banking sector (e-payments)	• Standard delivery methods could be piggybacked on • Possibility for early withdrawal of a portion of retirement funds (e.g. Vanuatu, Fiji)

		Social insurance, core characteristics	Implications for flexing and scaling up
Programme implementation	**Accountability and management systems; financing**	• No storage of data on non-beneficiaries • Separate systems than social transfers, often with little interoperability/data sharing	• *No potential for piggybacking on non-beneficiary data for scale-ups*
	Communications	• No ongoing/permanent interaction with beneficiaries at community level	• *Complexities communicating changes*
Implications for resilience		• Broadly similar to benefits of cash transfers	

Sources: Barca (2018), based on Bastagli (2014); Beazley et al. (2016); Grosh et al. (2014); Marzo & Mori (2012); McCord (2013); Pelham et al. (2011); Williams et al. (2016).

Active labour market policies

Table 12 **Types of interventions and implications: ALMPs.**

		ALMPs, core characteristics	Implications for flexing and scaling up
Programme Design	**Eligibility criteria and qualifying conditions**	• Primarily those in working age and able to work, often in formal sectors	• *Potential to relax eligibility or administrative requirements to encourage take-up* • *Inadequate for crisis response in LICs and MICs as low coverage, especially of informal sector* • *Challenges including the extension of eligibility to nonstandard employees (temporary, agency and fixed-term workers) and unemployed* • *The focus on those who are in working age and able to work can exclude the most vulnerable categories in need of support* • *There can be tensions between the short-term objective (to provide support during the crisis) and the long-term objective (increasing labour participation)* • *Facilities to provide trainings or employment services or agreements with the private sector for service delivery are difficult to scale up* • Appropriate in contexts of high unemployment after the collapse of labour markets • Politically acceptable (short- and long-term support)
	Coverage	• Often low	• *Low coverage can undermine impact*
	Benefit design (focus on level, frequency and duration)	• Wide variation: work-sharing; short- and part-time work programmes; training ETC	• *Work sharing/STW can have negative influence on longer term recovery (e.g. can disincentivise long-term job search)*
Programme implementation	**Approach to eligibility verification, registration and enrolment**	• Varies though often unemployed/job seekers + categorical (e.g. youth)	• Potentially adequate for emergency response if linked to unemployment

		ALMPs, core characteristics	Implications for flexing and scaling up
	Benefit delivery	• Payments are transferred manually or electronically	• Potentially adequate for top-ups
	Accountability and management systems; financing	• *No storage of data on non-beneficiaries* • Often not linked to social protection information systems	• *No potential for piggybacking on non-beneficiary data for scale-ups*
	Communications	• On-the-job training	• Potential for ad hoc communications
Implications for resilience		• protect jobs and preserve income • can allow for skills development, enhanced productivity and bridge to new employment • *evidence of their effectiveness to produce short-term results is inconclusive*	

Sources: Barca (2018), based on Bastagli (2014); Grosh et al. (2014); Marzo & Mori (2012); McCord (2013).

Annex 2

Options for expanding coverage, financial protection and range of services

As discussed in Section 2.1, addressing the additional needs imposed by shocks requires an appropriate combination of three expansion strategies. This able discusses these against the DFID 2016 shock-responsive typology.

	Extending coverage to support more people (ideally all of those who have been negatively affected)	Increasing the level of financial protection for affected populations, for example, via a higher level of support (e.g. transfer value) or longer duration of support.	Increasing the range of services offered to fully cover complex and multi-dimensional risks
Parallel response	New registration and enrolment for standalone response and little/no coordination with social protection, leading to overlaps in caseloads, etc.	Transfer value set using humanitarian criteria (e.g. MEB)	Potential to link to complementary services
Aligned response	New registration and enrolment for standalone response, coordinated with social protection sector to ensure coverage of needs across caseloads	Transfer value set in coordination with the social protection sector (often a compromise and lower value than parallel humanitarian responses, for political economy reasons)	Potential to link to complementary services
Piggy-backing	A new programme (implemented by the social protection sector or by humanitarian actors) could reach new caseloads while piggybacking on existing systems: - existing data on ''potential beneficiaries" e.g. from a social registry - registration/enrolment approach and capacity	New programmes that are designed for emergency purposes are usually designed to have a higher transfer value than routine social protection – unless there are strong political economy reasons to maintain the same level of transfers	Potential to link to complementary services
Vertical expansion	NA (only reaches existing beneficiaries: no expansion of population)	By definition, vertical expansions entail the delivery of a higher amount than routine programmes	A vertical expansion could also be linked to other complementary services, offered by the social protection sector or by externals

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	Extending coverage to support more people (ideally all of those who have been negatively affected)	Increasing the level of financial protection for affected populations, for example, via a higher level of support (e.g. transfer value) or longer duration of support.	Increasing the range of services offered to fully cover complex and multi-dimensional risks

Horizontal expansion	• *Via extending the programme's geographical coverage*
	• *Via enrolling additional beneficiaries who are eligible but were excluded from the original support*
	  - Newly eligible households because of changed household conditions.
	  - Eligible households previously excluded because of quotas/budget restrictions
	  - Eligible households excluded because of a wide range of other reasons (e.g. direct, indirect, and opportunity costs of applying, etc.)
	  - Former beneficiaries who had 'graduated' out
	• *Via temporarily or permanently modifying the eligibility criteria Operationalised via:*
	  - A new registration/enrolment process (either census survey or potentially on-demand) aimed at identifying affected households and assessing eligibility on the basis of the revised criteria
	  - Utilising existing social protection data (e.g. non-beneficiary information from a social registry) and applying new criteria
	• *Via enabling temporary access to those who are already enrolled, but who are not receiving because of requirements/qualifying conditions. A common example is the waiving of conditionality, or the requirement to work in a public works programme*
		A horizontal expansion could also encompass the delivery of a higher amount than routine programmes – unless there are strong political economy reasons to maintain the same level of transfers	A horizontal expansion could also be linked to other complementary services, offered by the social protection sector or by externals

Annex 3

Assessing the appropriateness of potential response options against the outcome criteria and considerations to mitigate negative impacts (with example)

Key Criteria	Sub Criteria	For any selected response option, consider:		
		Potential positive impacts (and likelihood)	Potential negative impacts (and likelihood)	*Strategies/ Actions to mitigate negative impacts*[58]
Meeting needs	Anticipated impacts on affected populations			
	Appropriateness of targeting			
	Adequacy of support			
	Relevance of type of support			
Coverage	Level of coverage (vs affected population)			
Timeliness	Timing of response in line with the purpose and phase			
Accountability to affected populations	Respect for humanitarian principles			
	Enhanced dignity of affected populations			
Duplication of delivery systems and processes	Extent of harmonisation of systems and coordination, resulting in reduced costs			
	Trade-offs, compromises, disadvantages of increased coordination			
Predictability	Predictability of funding			
	Predictability of support to households			
Sustainability	Extent to which design and delivery of			
	programme/s is embedded in long-term government systems			
	Exit/phase-out feasibility for temporary scale up			

Sources: Adapted from O'Brien et al. (2018) and European Commission (2019).

58 N.B. in some cases a mitigation strategy may include adopting another response strategy to 'fill in the gaps'.

How to use the Table in practice?

1. Based on an assessment of context (see Section 2.4. for more details) decide on a suggested 'response' strategy or combination of strategies[59]
2. Think through the details of that strategy (operationalised in X way)
3. Use Table 3 to list all potential positive and negative impacts of that specific strategy on each of the relevant outcome areas. For any negative impacts, also detail mitigation strategies.
4. Use your findings to refine/improve your strategy or complement it with others

For example, if your strategy is "Expansion of existing social transfer programme to support refugee/IDP/ migrant households", you may fill the first key criteria in the Table like this:

Key Criteria	Sub Criteria	For any selected response option, consider:		
		Potential positive impacts (and likelihood)	**Potential negative impacts (and likelihood)**	***Strategies/Actions to mitigate negative impacts[58]***
EXAMPLE **(Meeting Needs):** **Expansion of existing social transfer programme (that reaches all children under 5 yrs) to support refugee/ IDP/ migrant households**	*Anticipated impacts on affected populations*	*The intervention will support refugees/ IDP/ migrant households to maintain investments in human capital development of children under 5 yrs. (Likelihood: High)*	*Inclusion of non-routine/ non-citizens in social transfer programme may contribute to social tensions (Likelihood: Moderate)*	*Develop a communication strategy to address concerns and share information in a transparent manner. Consider working with relevant stakeholders to strengthen the routine social transfers programme to reduce exclusion errors.*
	Appropriateness of targeting	*Current targeting will help to target refugee/IDP/ migrant children most vulnerable to malnutrition (Likelihood: High)*	*Current provisions do not allow non-citizens to access the social transfers. This will exclude refugee/IDP migrant children (Likelihood: High)*	*Work with development partners and other stakeholders to discuss and agree with relevant government authorities to expand the targeting criteria (temporarily or over a medium to long term) for non-citizens and if possible, also for host population.*
	Adequacy of support	*It will enable parents/ care givers to buy adequate quantity of food for children (Likelihood: Moderate)*	*Current value of transfer is too low to ensure dietary diversity, hence may not address malnutrition (Likelihood: High)*	*Consider transferring resources to support provision of a top-up (cash, in-kind or a combination) to the existing social transfer amount.*
	Relevance of type of support	*Partially relevant*	*Without access to complementary nutrition and health services, U5 malnutrition among refugee/ IDP/ migrant children will not be addressed (Likelihood: High)*	*Work closely with development partners, sector colleagues and relevant government authorities to facilitate access of refugee/ IDP/migrant families to health and nutrition services.*

59 Examples of response options could include combinations of: a) Standalone/parallel humanitarian or DRM response/s; b) Alignment with existing or future SP programme/s; c) Using elements of an existing programme/system (piggybacking); d) Entirely via existing SP programmes/systems (via design tweaks, vertical and horizontal expansion, etc).

Annex 4

Understanding a country's risk profile: selected tools

This list is not comprehensive, but provides a wide variety of tools that can be used to support an analysis of risks in country (adapted from the 'Shock-responsive Social Protection Toolkit. For more information, see also UNICEF's EPP Preparedness Resources page and the Guidance on Risk-Informed Programming (GRIP), Module 2.

Most relevant to UNICEF		
INFORM index for risk management	INFORM is a national-level composite indicator (combining 53 indicators on three dimensions of risk: Hazards & Exposure, Vulnerability and Lack of Coping Capacity) that identifies countries at risk of humanitarian crisis and disaster that would overwhelm national response capacity. As per the Emergency Preparedness Platform processes, UNICEF uses INFORM: • to build UNICEF's own Country Risk List (every six months) • as a source of information for its risk analyses • as a methodology to build subnational risk indexes	Here
IASC Early Warning Early Action and Readiness (EWEAR) Report	Used for early warning and decision making for the interagency community. The EWEAR report and UNICEF Global Monitoring System inform each other and trigger UNICEF preparedness actions	
UNICEF Risk Analysis within 'Risk Informed Programming'	Used at country level by UNICEF COs, ideally during the SitAn (or at other key moments in the programme cycle) and every three to fie years. Objectives: • To examine the nature and extent of risks associated with different kinds of shocks and stresses (e.g. floods, violent conflict, food price hikes or cholera) • To identify the need for more detailed assessment of a particular risk (e.g. related to violent conflict, climate and natural hazards)	
UNICEF Country Risk List	Led by EMOPS/HFSS with the involvement of ROs (REAs and their teams) every 6 months (when a new INFORM report is issued). Used to: • Adapt INFORM country risk levels to UNICEF needs • Prioritise countries for support on preparedness from ROs and HQ • Differentiate requirements associated with the minimum preparedness standards for COs in low and medium/high risk countries, with "short cuts" for low risk countries	
UNICEF Country Risk Profile (ongoing risk analysis/ monitoring)	Led by UNICEF COs every six months or more often in dynamic risk contexts. Used to: • Estimate the seriousness of each risk affecting a country • Prioritise two to four risks for preparedness planning • Monitor risks over time • Inform preparedness planning	
Other relevant tools		
Multi-Hazard Disaster Risk Assessment, DFID	Carrying out a multi-hazard risk assessment is the first step in preparing a disaster resilience country strategy. This How to Note sets out a framework for undertaking the assessment. A number of approaches and methodologies could be employed for each step, though as far as possible, the process should be light touch and make use of existing information.	Here

Most relevant to UNICEF		
Global Risk Data Platform	A multi-agency effort to share spatial data information on global risk from natural hazards. It is possible to visualise, download or extract data on past hazardous events, human and economical hazard exposure and risk from natural hazards.	Here
The International Disaster Database (EM-DAT)	In 1988, the Centre for Research on the Epidemiology of Disasters (CRED) launched the Emergency Events Database (EM-DAT). EM-DAT was created with the initial support of the World Health Organisation (WHO) and the Belgian Government. The main objective of the database is to serve the purposes of humanitarian action at national and international levels. The initiative aims to rationalise decision making for disaster preparedness, as well as provide an objective base for vulnerability assessment and priority setting. EM-DAT contains essential core data on the occurrence and effects of over 22,000 mass disasters in the world from 1900 to the present day.	Here
Global Facility for Disaster Reduction and Recovery (GFDRR) ThinkHazard!	ThinkHazard! provides a general view of the hazards, for a given location, that should be considered in project design and implementation to promote disaster and climate resilience. The tool highlights the likelihood of different natural hazards affecting project areas (very low, low, medium and high), provides guidance on how to reduce the impact of these hazards, and where to find more information.	Here
Famine Early Warning Systems Network (Fewsnet)	The Famine Early Warning Systems Network is a leading provider of early warning and analysis on food insecurity. Created by USAID in 1985 to help decision-makers plan for humanitarian crises, FEWS NET provides evidence-based analysis on some 34 countries.	Here
Disaster Risk Index (DRI)	The DRI enables the calculation of the average risk of death per country in large- and medium-scale disasters associated with earthquakes, tropical cyclones and floods, based on data from 1980 to 2000. It also enables the identification of a number of socio-economic and environmental variables that are correlated with risk to death and which may point to causal processes of disaster risk. In the DRI, countries are indexed for each hazard type according to their degree of physical exposure, their degree of relative vulnerability and their degree of risk.	Here
World Risk Index	The index evaluates the exposure to natural hazards faced by 171 countries and assesses the inherent vulnerability in the countries towards suffering from impacts when facing these hazards	Here
Global Climate Risk Index	The Global Climate Risk Index 2017 analyses to what extent countries have been affected by the impacts of weather-related loss events (storms, floods, heat waves etc.). The most recent data available – from 2015 and 1996–2015 – were taken into account.	Here
Natural hazards Risks Atlas, Maplecroft	The Natural Hazards Risk Atlas, which assesses 197 countries on physical and economic exposure to 12 types of natural hazards, including flooding, storm surge, earthquakes, tsunamis, cyclones, wildfires and volcanoes, is produced annually to assist companies and insurers to identify risks to assets worldwide	Here
Global Humanitarian Overview, OCHA	The Global Humanitarian Overview is the most comprehensive, authoritative and evidence-based assessment of world humanitarian needs. The GHO is based on detailed analysis of comprehensive data from a wide range of sources, and face-to-face interviews with hundreds of thousands of people directly affected by humanitarian crises across the globe. Our global plan facilitates effective, rapid and coordinated responses to humanitarian crises, supporting prompt life-saving action by humanitarian agencies, generously financed by governmental, private and individual donors.	Here
ND-GAIN Country Index	The ND-GAIN Country Index summarises a country's vulnerability to climate change and other global challenges in combination with its readiness to improve resilience. It aims to help governments, businesses and communities better prioritise investments for a more efficient response to the immediate global challenges ahead.	Here

Most relevant to UNICEF		
Guidance Note on Conducting a Disaster Risk Finance Diagnostic, ADB and World Bank	The World Bank and Asian Development Bank have worked in more than 50 countries to (i) quantify the economic and fiscal impact of disasters; (ii) take stock of existing mechanisms to finance these costs and analyse their legal and institutional underpinnings; (iii) review aspects of the insurance and capital markets that are relevant for disaster risk finance; and (iv) estimate potential funding gaps following disasters. This note provides guidance on how to conduct such a diagnostic exercise in a systematic and comprehensive manner.	Here
SADC Regional Vulnerability Assessment and Analysis (RVAA) Programme	The RVAA system is widely acknowledged as the main system to track, report and respond to food insecurity in the Region. The Programme produces outputs at the regional and national level, including national and regional vulnerability assessments.	Here
Shock Impact Simulation Model, (SISMod)	Developed jointly by WFP (VAM) and FAO (Global Information and Early Warning System), SISMod is an economic modelling system that serves as a food security analysis tool, used to measure the impact of shocks on food security in vulnerable countries. It brings new possibilities to allow timely quantitative assessments on the ex ante and ex post impact of various types of shocks (market, economic, climatic) on livelihood and food security. It identifies and profiles the vulnerable groups and estimates to what extent they are in need. SISMod provides early estimates of the impacts of shocks before field assessments are carried out, informing the initial development of response scenarios.	Here
Safety Nets Alert Platform (SNAP), WFP	The World Food Programme's (WFP) Safety Nets Alert Platform (SNAP) is an innovative regional (Middle East, North Africa and Central Asia) food price monitoring system with state of the art analytical tools that will serve to enhance food security early warning, risk management and social protection mechanisms. SNAP supports decision-makers to take rapid action and prepare interventions in support of vulnerable populations that are based on best available evidence.	Here
RIMA	A quantitative approach that enables a rigorous analysis of how households cope with shocks and stressors. Comparisons can be made between different types of households (for example, male-headed versus female-headed or urban versus rural) in a given country or area.	Here
Food Security Phase Classification (IPC)	The IPC is a set of protocols (tools and procedures) to classify the severity of food insecurity and provide actionable knowledge for decision support.	Here

Annex 5

Existing guidance and case studies on shock-responsive social protection

Relevant literature on this topic has been expanding rapidly in recent years. Below is a selection of some of the most important materials (synthesis reports, toolkits, case studies, etc.) published in recent years. For continuous updates, join the Socialprotection.org Online Community on "Social Protection in Crisis Contexts".

Name and link	Type/ function	Date	Institutions involved	Regional focus, if any
Synthesis and toolkits				
Strengthening the capacity of ASEAN Member States to design and implement risk-informed and shock-responsive social protection systems for resilience (Regional Synthesis Report)	Regional synthesis document	June 2019	WFP, UNICEF, FAO, EU and OPM	ASIA
Shock-responsive Social Protection in Latin America and the Caribbean, Synthesis Report and video	Regional synthesis document, video	March 2019	WFP and OPM	Latin America and Caribbean
Building Shock-Responsive National Social Protection Systems in the MENA region	Regional synthesis document	March 2019	UNICEF and UNDP-IPC	MENA
Social Protection across the Humanitarian-Development Nexus. A Game Changer in Supporting People through Crises	Synthesis documents, position paper	2019	SPaN/ European Commission	Global
SPaN Guidance - Operational Note 1: Benefit Modalities SPaN Guidance - Operational Note 2: Targeting SPaN Guidance - Operational Note 3: Stakeholders SPaN Guidance - Operational Note 4: Operations SPaN Guidance - Operational Note 5: Integrated Financing SPaN Guidance - Operational Note 6 (Missing/ forthcoming) SPaN Guidance - Operational Note 7: Nutrition Security SPaN Guidance - Operational Note 8: Vulnerable Groups SPaN Guidance - Operational Note 9: Fragility SPaN Guidance - Operational Note 10: Forced Displacement	Journal article; blogs	January 2019	DFAT and OPM	Global

Name and link	Type/ function	Date	Institutions involved	Regional focus, if any
Building on government systems for shock preparedness and response: the role of social assistance data and information systems with accompanying infographic and webinar	Synthesis document, infographic, webinar	January 2019	DFAT and OPM	Global
Social Protection: Delivering on Humanitarian Emergencies and Crises	Position paper	December 2018	European Commission	Global
Human(itarian) Capital? Lessons on Better Connecting Humanitarian Assistance and Social Protection	Synthesis document	November 2018	WFP and World Bank	Global
The Role of Cash Transfers in Social Protection, Humanitarian Response and Shock-Responsive Social Protection	Academic working paper	October 2018	IDS	Global
Six Background papers for the forthcoming World Bank position paper on Adaptive Social Protection (financing, information systems, delivery systems, institutions, programme design)	Synthesis documents, position paper	Forthcoming (2018)	OPM and World Bank	Global
Bridging Humanitarian Responses and Long-Term Development through Transformative Changes—Some Initial Reflections from the World Bank's Adaptive Social Protection Program in the Sahel – accompanied by two ITAD blogs - Five key principles for Adaptive Social Protection programming and Is my social protection programme 'shock-responsive' or 'adaptive'?	Journal article; blogs	May 2018	CIAT and ITAD, building on World Bank Sahel work	Africa
Shock-responsive Social Protection Systems Toolkit	Toolkit	January 2018	DFID and OPM, supported by ODI and CALP	Global
Shock Responsive Social Protection Systems Synthesis Report, accompanied by a webinar and VIDEO	Synthesis document, webinar, video	January 2018	DFID and OPM, supported by ODI and CALP	Global
Evidence on Social Protection in Contexts of Fragility and Forced Displacement	Synthesis document	2018	UNICEF	Global
Final Conference Report and Livestream Recordings of the International Conference on Social Protection in contexts of Fragility and Forced Displacement	Position paper; Webinar/live recording	2018	Multi-stakeholder	Global
Shock-Responsive Social Protection Systems Research Literature Review (2nd edition) – also in French	Literature review	March 2017	DFID and OPM, supported by ODI and CALP	Global
Social protection and resilience. Supporting livelihoods in protracted crises and in fragile and humanitarian contexts	Position paper	2017	FAO	Global

Name and link	Type/ function	Date	Institutions involved	Regional focus, if any
Shock-responsive Social Protection in Latin America and the Caribbean – Literature Review (in Spanish here and French here)	Literature review	2016	WFP and OPM	Latin America and Caribbean
Working with cash-based safety nets in humanitarian contexts: Guidance note for humanitarian practitioners	Toolkit/ Guidance	2016	CALP	Global
Responding to a crisis: the design and delivery of social protection	Synthesis document	2014	DFID and ODI	Globa
Shockwatch: Shock response readiness appraisal toolkit	Toolkit	2013	DFID and ODI	Globa
Country case studies and other materials				
Approaches to Providing Cash Based Assistance in Protracted Crises: Lessons from **Turkey**	Case study	2019	UNICEF	MENA/ Europe
SPaN case study - **Yemen**, in English	Case study	2019	SPAN/ European Commission	MENA
SPaN case study - **Uganda**, in English	Case study	2019	SPAN/ European Commission	Africa
SPaN case study - **Ethiopia**, in English	Case study	2019	SPAN/ European Commission	Africa
SPaN case study - **Lebanon**, in English	Case study	2019	SPAN/ European Commission	MENA
SPaN case study - **Bangladesh**, in English	Case study	2019	SPAN/ European Commission	Asia
SPaN case study – **Iraq**, in English	Case study	2019	SPAN/ European Commission	MENA
SPaN case study - **Kenya** - Hunger Safety Net Programme (HSNP), in English	Case study	2019	SPAN/ European Commission	Africa
SPaN case study - **Somalia**, in English	Case study	2019	SPAN/ European Commission	Africa
SPaN podcast and case study - **Mali**	Podcast/Case study	2019	SPAN/ECHO	Africa
Evaluation of the DG ECHO funded Emergency Social Safety Net (ESSN) in **Turkey** (blog too)	Evaluation	2019	WFP, OPM and	MENA/ Europe

Name and link	Type/ function	Date	Institutions involved	Regional focus, if any
The potential of **Nepal's** social security allowance schemes to support emergency flood response, in English	Assessment	2019	UNICEF, DFID and ODI	Asia
Case Studies on **Dominican Republic, Ecuador, Guatemala, Haiti, Dominica, Peru** and **El Salvador** here	Case studies	2017-2019	WFP and OPM	Latin America and Caribbean
Cash Transfers for Disaster Response: Lessons from Tropical Cyclone Winston (**Fiji**)	Case study	2018	Australian National University	Pacific
Delivering social protection in the midst of conflict and crisis: The case of **Yemen**	Case study	2018	World Bank	MENA
How to Target Households in Adaptive Social Protection Systems? Evidence from Humanitarian and Development Approaches in **Niger**	Case study	2018	World Bank	Africa
Webinar Shock-responsive social protection in practice: perspectives from **Kenya** and **Mozambique**	Webinar	2018	DFID and OPM	Africa
Webinar Shock-responsive social protection in practice: experiences in **Pakistan** and the **Philippines**	Webinar	2018	DFID and OPM	Asia
Webinar: Managing Disaster Differently: Shock-Sensitive Social Protection in **Malawi**	Webinar	2018	GIZ	Africa
Cash Transfer Programmes (CTPs) in Challenging Contexts: Case study on CTP and risks in northern **Mali** - Final Report, French here	Case study	2018	CALP	Africa
Mali, in English, French and Policy brief	Case study	2018	DFID and OPM	Africa
Kyrgyzstan Supporting national social protection systems to respond to needs at times of crisis: lessons from Kyrgyzstan	Case study	2017	UNICEF	Asia
Lesotho, in English, and Policy brief	Case study	2017	DFID and OPM	Africa
Mozambique, in English, Portuguese and Policy brief	Case study	2017	DFID and OPM	Africa
Sahel, in English, French and Policy brief – accompanied by a Working Paper on Shock-Responsive Social Protection in the Sahel: Community Perspectives also in French	Case study	2017	DFID and OPM	Africa
Pakistan, in English, and Policy brief	Case study	2017	DFID and OPM	Asia
Philippines, in English, and Policy brief	Case study	2017	DFID and OPM	Asia

Annex 6

UNICEF's Core commitments for children in emergencies (CCC) on social protection *(draft)*

Social protection

Social Protection is the *"set of policies and programs aimed at preventing or protecting all people against poverty, vulnerability and social exclusion throughout their lifecycle, with a particular emphasis towards vulnerable groups".*

Strategic result	
Children, adolescents and their caregivers have the financial capacity to meet their essential needs	
Commitments	**Benchmarks**
1: Coordination **Effective coordination is established and functional**	• Coordination between 'social protection coordination mechanism' and 'humanitarian cash coordination system' is established
2: Support to the social protection system[60] **Adequate support is provided for the effective functioning of social protection system**	• Technical assistance is provided to existing social protection system to maintain regular social transfers • Where appropriate and feasible, social transfers are scaled-up to respond to newly identified needs[61] • Feasibility assessment for multi-sector humanitarian cash transfer considers the full or partial use of the social protection system
3: Access to social transfers **Support national system to address financial barriers of the most disadvantaged and vulnerable families to meet their essential needs**	• Groups at risk of social exclusion[62] are included in social transfers in contexts of horizontal scale-up • Links between social transfers and social services are promoted
4: Community engagement **Communities are consulted and informed on the planning, design and implementation of social protection programmes**	• Social protection system scale-up is informed by community consultation • Any changes to procedures and requirements for social transfers are communicated to the population • Mechanisms to seek feedback and redress grievances are functional

60 Social Protection System refers to a system comprising the following key components: (i) evidence, (ii) policy and legal frameworks, (iii) programmes (including social transfers) and their operational systems, and (iv) institutional arrangements.
61 Scale up refers to a range of options including (but not only) introduction of new programmes by government, expansion of existing programmes, use of some or all components of the programmes' operational system by other ministries (especially DRM) and/or other humanitarian actors such as UNICEF, to deliver humanitarian assistance.
62 including girls, people living with HIV or disabilities, displaced people, migrants, pregnant women and child- and female-headed households,

Key Considerations

Advocacy

- Advocate for an increased use of social protection systems in humanitarian response; for budgetary allocations supporting social assistance; and to extend social protection to non-citizens (especially in context of forced displacement and migration).

Coordination and Partnerships

- **Align parallel humanitarian cash transfers** as closely as possible to existing or planned social protection.
- **Develop joint action plans with ministries/ departments responsible for disaster risk management and social protection,** and where appropriate with local authorities and other stakeholders, to support scale-up in emergencies and contribute to longer-term resilience building.

Quality programming and standards

- Promote timeliness of transfers, coverage of newly vulnerable groups, reducing barriers to enrolment, and strengthening or introducing linkages with other services.
- Promote **equitable and inclusive social protection programmes** that include the most vulnerable and marginalised groups, including families with children with disabilities.
- **Introduce gender- and age-responsive programming,** taking into account the unique needs of adolescents and girls.

Linking humanitarian and development

- **Promote government leadership and ownership at the national and sub-national levels** in the design, resource allocation, monitoring and implementation of social protection in humanitarian contexts.
- **Promote linkages between early warning systems and social protection systems to make them shock-responsive** (e.g. inclusive targeting and registration, strengthening cash delivery mechanisms for timely scale-up, contingency budgeting at national and sub-national level to increase support for humanitarian assistance, climate change and disaster risk reduction).
- Ensure that **humanitarian cash programmes are leveraged** to develop and strengthen nascent social protection systems.

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Annex 7

Minimum Preparedness Standard 5 for Humanitarian Cash Transfers

Minimum Preparedness Standard 5 – Humanitarian Cash Transfers		
This tool provides a simple, and light assessment to inform UNICEF's position and approach to humanitarian cash transfers (HCT) as part of a humanitarian response. This tool is intended for use for multi-sector and sector specific objectives, either by using national and/or parallel systems. This tool is divided into the different compliance levels for low, medium and high risk countries. Please follow the table below to confirm which level of compliance is needed for your country risk level:		
High risk	**TAB 5**	*Discussions with identified stakeholder ongoing + Stand by agreement with relevant stakeholder signed and in place*
	TAB 4	*Preliminary choice of implementation model, for sectoral and/or multi sectoral entry points, identified (and reflected in EPP Step 3).*
	TAB 3	*Sectoral and/or multi sectoral entry points identified, and endorsed by sectors (and reflected in EPP Step 3)*
Medium risk	**TAB 2**	*Preliminary operational feasibility assessment done*
Low risk	**TAB 1**	*Mapping of cash initiatives relevant to UNICEF mandate completed*
You will notice that the data to be collected for MPS 5 is cross-cutting. Consequently, in addition to the MPS 5 on Humanitarian Cash Transfers, the following cash-specific considerations should be integrated into other Minimum Preparedness Standards (MPS), namely:		
MPS 2 on Coordination:	• Include information on country-level cash working groups, as well as any other inter-agency cash coordination platforms. • If country-level cash working groups are active, ensure UNICEF participation and participation of UNICEF-led clusters. • Participate in discussions on the calculation of the Minimum Expenditure Basket to ensure it is child sensitive.	
MPS 3 on Staff Capacities & Surge:	• For medium and high risk countries, ensure that cash-specific learning needs are included in the learning plans of Country Offices. • Sign up for UNICEF training on Humanitarian Cash Transfers (roll out as of 2020). • In high-risk countries where cash transfers are a potential response mechanism, ensure there is sufficient human capacity to design, implement and manage a humanitarian cash programme. • In high-risk countries where cash transfers are a potential response mechanism, upload agreed cash specialist TORs onto the platform EPP. • Where a cash surge support is needed, request UNICEF Headquarters to deploy a UNICEF cash specialist as part of the Emergency Response Team, and request stand-by partner capacity roster managed in UNICEF Geneva EMOPS.	
MPS 4 on Supply & Logistics	• Initiate procurement process for identified service provider	
MPS 6 on Implementing Parners	• In high-risk countries where cash is a potential response mechanism, outline agreements that have been signed by partners for implementing humanitarian cash transfers.	

TAB 1:

Please complete the below mapping of ongoing cash initiatives in your country. This could inform possible scale up of existing cash programs as part of a humanitarian response

Required to COs in low, medium and high risk countries			
ONGOING CASH INITIATIVES RELEVANT TO UNICEF MANDATE			
	Program 1	Program 2	*Add columns as needed*
Program Name			
Program Objective			
Program Lead (National Government, UN agency, NGO/other)			
Implementing partner			
Geographic coverage			
Beneficiary caseload			
Targeting criteria and methodology			
Existing management information system (MIS) [1] *(yes/no)*			
Feedback and complaints mechanism			
Cash delivery mechanism[2]			
Financial service provider[3]			
Benefit amount			
Frequency of payment			
Duration of program			
Source of funding			
How would you rank the capacity of the existing program to implement humanitarian cash transfers?[4]			

(1) Management Information System (MIS): a computerized information processing system that supports the registering of recipients of the cash grants.
(2) E.g. mobile money, card, cash in envelope.
(3) E.g. banks, microfinance institution, mobile network operators.
(4) Rank on a scale from 1 (low) to 5 (high) and include information on number of staff/social workers, flexibility of system, reach, prior experience, etc.

TAB 2:

Please complete the following additional information to inform possible scale up of existing cash programs.

Required to COs in medium and high risk countries			
PRELIMINARY OPERATIONAL FEASIBILITY ASSESSMENT[1]			
Coordination platforms	**Emergency national coordination platforms**	**Inter-agency cash working groups** (including social protection)	**Other**[2]
Potential partners in implementation ***(do not include cash delivery service providers)***	**Potential stakeholder/ partner**	**Potential role** (implementation, third party monitoring, etc.)	**Preliminary indication of capacity per stakeholder**[3]
Financial service providers[4]	**Cash delivery options in country**[5]	**Existing financial service provider**[6]	**Mobile technology penetration: Low/ medium/high**
Enabling/disabling environment	**Key risks** (specific to HCT only)	**Government regulations**[7]	**Possible constraints** (security or acceptance of cash modality)

(1) Please mention relevant information/recommendations from existing cash feasibility reports carried out by other agencies
(2) Please include any feedback and complaints mechanisms which could be used for an HCT programme
(3) On a scale of: Very low, low, high, very high. Include information on number of staff, flexibility of system, reach, prior experience etc.
(4) To facilitate engagement, FSP mapping should start with the capacity of the existing UNICEF house bank in-country, followed by other FSPs where UNICEF has a working relationship, then new FSPs to partner with due to coverage, innovation, or delivery capacity requiremetns that current providers do not offer.
(5) E.g. mobile money, card, cash in envelope.
(6) Complete for each delivery option. Include information on: a) the cash transfer service the FSP provides, b) geographical areas they cover, c) previous experience in humanitarian action, d) Costs associated with cash transfer services (fixed costs, transaction fees, other fees, insurance, etc.)
(7) Note any regulations which would impact on the work of financial service providers.

TAB 3:

Please complete the below table for all the identified sectoral entry points, outlining preliminary design options

	Required to COs in high-risk countries
	Preliminary design options for sectoral and/or multi sectoral entry points to support anticipated response plan
Sector	
Possible objective	
Targeting	
Delivery mechanism	
Transfer value	
Monitoring	
Feedback and complaint mechanisms	
Partnerships	
Funding sources	

**You may create one table per sectoral entry point*

If you are a high-risk country and the outcome of your feasibility analysis shows that the use of humanitarian cash transfers is not a feasible option; please upload information in tab 1 + 2 and describe reasons for n/a here below:

TAB 4:

Please complete the below table to identify a preliminary choice of implementation model, to be re-confirmed once the crisis happens

Required to COs in high-risk countries					
Can the implementation of the HCT programme be done through the national system (implementation + funding)?					
YES		**Mixed/Piggybacking** (one or more elements from national system can be used + funding goes through UNICEF)		**NO** (Parallel system and alignment with national SP system, where feasible)	
Activity	**Check as appropriate** (With Gov, With UN Agency, With NGO, With Private sector, n/a)	**Activity**	**Check as appropriate** (With Gov, With UN Agency, With NGO, With Private sector, n/a)	**Activity**	**Check as appropriate** (With Gov, With UN Agency, With NGO, With Private sector, n/a)
Beneficiary list		Beneficiary list		Beneficiary list	
Delivery/payment mechanism		Delivery/payment mechanism		Delivery/payment mechanism	
Monitoring		Monitoring		Monitoring	
Management Information System (MIS)		Management Information System (MIS)		Management Information System (MIS)	
Grievance mechanism		Grievance mechanism		Grievance mechanism	
Community facilitation/case management		Community facilitation/case management		Community facilitation/case management	
Other (please specify)		Other (please specify)		Other (please specify)	
Preliminary choice taken (to be re-confirmed once crisis happens):					
Here, please provide a brief description of implementation mechanism chosen					

**You may create one table per identified sectoral entry point/HCT program*

TAB 5:

Please indicate here below the arrangements that have been made for cash based interventions. Please outline any mechanism and procedure (including signed agreements) which have been put in place and agreed with key partners		
Description of mechanisms and procedures in place:		
Required to COs in high-risk countries		
Partner	**Brief description of agreement (outlining mechanisms and procedures in place)**	**Signed and finalized (yes/no) or Under discussion**

DOCUMENT MANAGEMENT INFORMATION PAGE

Document Title	Programme Guidance: Strengthening Shock Responsive Social Protection Systems
Document Number	PD/GUIDANCE/2019/005
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Responsible Business Owner	Programme Division
Responsible Manager	Alexandra Yuster
Document Summary	This document presents UNICEF's framework for shock responsive social protection and is closely aligned to Action Area 9 of UNICEF's Global Social Protection Programme Framework. It outlines a range of intervention areas to support the development of shock responsive social protection systems. It includes examples, key considerations and a repository of resources to support the work on this topic.
Regulatory content the Document Replaces	N/A
Topics Covered	Shock Responsive social protection
Corporate Risk Area	Results-based Management and Reporting
Reference / Links to Enabling Legislation and Background	N/A
Links to Relevant Policy	N/A
Links to Relevant Procedure	N/A
Links to Relevant Guidance	• UNICEF's Global Social Protection Programme Framework (PD/GUIDANCE/2019/003) • A Companion Guidance to UNICEF's Global Social Protection Programme Framework: Activities, tools and resources to support implementation of UNICEF's 10 action areas in Social Protection (PD/GUIDANCE/2019/004) • UNICEF Guidance on Risk Informed Programming (PD/GUIDANCE/2018/002)
Links to Relevant Training Materials	N/A
Links to Other Knowledge & Information Resources	• UNICEF Humanitarian Cash Transfer Programmatic Guidance

UNICEF
3 United Nations Plaza
New York, NY 10017, USA

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