Welcome to the webinar

Strengthening capacity to design and implement risk-informed and shock-responsive social protection systems in ASEAN

organised by

The European Civil Protection and Humanitarian Aid Operations (ECHO), the Oxford Policy Management (OPM), the Food and Agriculture Organisation of the United Nations (FAO) and the World Food Programme (WFP)
socialprotection.org presents:

Strengthening capacity to design and implement risk-informed and shock-responsive social protection systems in ASEAN

**Presenters:**

Maham Farhat, Consultant, Oxford Policy Management (Social Policy)

Rodolfo Beazley, Senior Consultant, Oxford Policy Management (Poverty and Social Protection)

Hang Thi Thanh Pham, Senior Resilience Officer, FAO Regional Office for Asia and the Pacific (FAORAP)

**Moderator:**

Ellen Kramer, Regional Programme Advisor, WFP Regional Bureau for Asia and the Pacific (WFP RBB)
Strengthening capacity to design and implement risk-informed and shock-responsive social protection systems in ASEAN

Presenter

Maham Farhat  
OPM

Maham Farhat was the project manager and case study lead for this project. Maham is a Consultant in OPM’s Poverty and Social Protection team and has extensive experience of designing and implementing mixed methods research. She is currently based in OPM’s Oxford Office. Previously, Maham was based in Myanmar where she led OPM’s social policy work. Her work has been focussed on evaluating social protection programmes, with an increased focus on Social Protection systems and delivery mechanisms. In 2018 she led an options assessment and a subsequent process evaluation for electronic cash transfer delivery in Myanmar. Maham has provided technical support to mixed method evaluations of social protection programmes in a number of countries including Northern Kenya, Northern Uganda, Somalia, Nepal, Mongolia, Ghana, Cambodia and Pakistan. Maham holds a Masters in International Public Policy from University College London and a BSc in Economics from University of Warwick.
Rodolfo Beazley was the Team Leader for this research project. He is a Senior Consultant in poverty and social protection at Oxford Policy Management (OPM). He is an economist with more than 10 years of experience and specialized in the design, implementation, monitoring and evaluation of social protection and labour policies. He has conducted extensive quantitative, qualitative and mixed methods research and in recent years he has focused on studying how social protection and other social services can be adapted to provide effective support in the aftermath of a shock and how to coordinate this support with humanitarian aid. Prior to joining OPM he worked for the Social Protection unit for the Latin American and Caribbean region at the World Bank, and as researcher for the Argentine government.
Hang Thi Thanh Pham is taking a lead of the whole project at regional level. Hang is a Vietnam national, took up her appointment as Senior Resilience Officer, Regional Office for Asia and the Pacific, FAO in 2016. She joined UNDP in Hanoi, Vietnam in 1993, and was UNDP Vietnam Focal Point for disaster and crisis prevention for almost ten years. In 2007, she served as Programme Coordinator of Mekong River Commission in Lao PDR coordinating the Basin Development Planning Programme. Prior to joining RAP, she worked with the United Nations Office for Disaster Risk Reduction (UNISDR), Bangkok, Thailand as Regional Programme Officer before joining FAO. Hang holds Master’s Degree in Public Management, Macro-Economics, International Relations (2001) from Solvey Business School, Université Libre de Bruxelles, Belgium.
Mrs. Kramer has been involved in humanitarian and development work for over 18 years. She is currently Regional Programme Advisor in WFP’s Regional Bureau for Asia and the Pacific, leading the social protection and cash-based transfer teams. She joined WFP in 2003 as a nutritionist based in WFP Headquarters in Rome, and has worked with WFP in various assignments throughout her career, including in nutrition, HIV, and school meals in Johannesburg, as a nutritionist in South Sudan and Ethiopia, as Deputy Country Director and Head of Programme in Cote d’Ivoire and in the Regional Bureau for Middle East, North Africa, Eastern Europe and Central Asia working on the emergency responses for Libya, Iraq, Yemen, Ukraine and the Syria refugee crisis, as well as strategic programme formulation.
Strengthening capacity to design and implement risk-informed and shock-responsive social protection systems in ASEAN

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Strengthening capacity to design and implement risk-informed and shock-responsive social protection systems in ASEAN

Webinar – 21st March 2019

Maham Farhat & Rodolfo Beazley (Oxford Policy Management)
Overview

1. Background of the study (Maham)
2. SRSP experiences in ASEAN (Maham)
3. Enabling and constraining factors for SRSP in ASEAN Member States (Rodolfo)
4. Recommendations for ASEAN Member States (Rodolfo)
1. Background
Regional study overview

• Based on light case studies in Thailand and Lao PDR, a regional literature review and secondary data sources. Takes into account other studies in Myanmar, Vietnam, Cambodia and Philippines
  • Focused on social assistance
  • Focused on natural disasters
• Provides framework for assessing SRSP and broad policy recommendations
• Used primarily qualitative research methods and document review
Conceptual framework

- Coordination
- Targeting
- Delivery
- Information systems
- Financing

- Vertical expansion
- Horizontal expansion
- Piggybacking
- Alignment
- Tweaks
2. SRSP experiences in ASEAN
There are very few experiences of SRSP in response to natural hazards in the region

- **Vertical expansions**: Philippines - the Pantawid CCT gave top ups to its beneficiaries in response to Typhoon Haiyan (2013)
  - *Thailand* - the unemployment insurance was extended from 6 to 8 months for formal sector employees in response to the 2011 Mega Flood

- **Design tweaks**:
  - *Philippines* - the protocols of the Pantawid CCT include a provision that suspends conditionalities for a limited period of time when a 'state of calamity' is declared
  - *Indonesia* - the National Programme for Community Empowerment Mandiri developed a set of operational procedures to expedite and support disaster recovery
  - *Thailand* - the Social Security Act establishes a protocol to reduce employee and employer contributions and to extend the duration of unemployment benefits during emergencies

- No information about experiences of horizontal expansions or piggybacking
Why few experiences in the region?

- SRSP is a new policy area worldwide
- As in other regions, SP has not been developed for responding to covariate shocks
- Long tradition of employment-based social protection, though self-employed and informal economy workers make up the majority in many low- and medium-income countries in the region
- Social assistance systems are still developing
Why few experiences in the region?

Social assistance spending (% of GDP)

Source: ASPIRE database, latest year available
Note: East Asian and Pacific (EAP), Europe and central Asia (ECA), Latin America and the Caribbean (LAC), Middle East and North Africa (MENA), south Asia (SA) and sub-Saharan Africa (SSA).
3. Enabling and constraining factors for SRSP in ASEAN Member States
## Factors – Coordination

<table>
<thead>
<tr>
<th>Enabling</th>
<th>Constraining</th>
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<tbody>
<tr>
<td>• Most AMS have DRM frameworks/laws/plans in place</td>
<td>• Limited implementation and enforcement of DRM legislation</td>
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<td>• Most AMS have adopted international DRM frameworks (Sendai Framework)</td>
<td>• Challenges with mainstreaming DRM</td>
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<td>• International bodies can promote coordination and knowledge sharing</td>
<td>• Overall limited coordination between DRM and SP</td>
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<td>(ASEAN Secretariat).</td>
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<td>• In some cases SP has a DRM mandate (e.g. Philippines, Thailand, Vietnam)</td>
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<td>– it is a starting point for SRSP!</td>
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Factors – Delivery

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<td>• High levels of mobile network coverage and access to formal banking (in selected AMS)</td>
<td>• Some reluctance in regard to direct cash transfers to beneficiaries</td>
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<td>• Systems for transferring cash electronically are already in placed in selected AMS</td>
<td>• Limited flexibility of delivery systems</td>
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<td>• SP targeting mechanisms largely designed with objectives different from capturing the effects of sudden crises</td>
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## Factors – Information systems

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<tr>
<td>• Ongoing development of social protection information systems</td>
<td>• Overall limited levels of SP data integration, low coverage and challenges in terms of ‘data quality’</td>
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<td>• Beneficiary registries are not risk informed</td>
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### Factors – Financing

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<td>• Most AMS have budget provisions for DRM activities</td>
<td>• No predefined commitments to channel resources to the poor and vulnerable through social protection programmes after a shock.</td>
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<td>• Existing public financial management procedures can be cumbersome in some countries (eg Thailand and Laos).</td>
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<td>• Lack of predictable, protected, and layered funding sources (e.g. Philippines – World Bank’s CAT-DDO).</td>
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4. Broad policy recommendations for AMS
Recommendations

• Continue investing in the development of social protection systems for their regular mandates (not necessarily shock response).
• Conduct diagnostics and feasibility assessments to assess whether it is appropriate to use social protection systems to respond to covariate shocks.
• Nascent social protection systems should not be overburdened.
• Invest in shock-proofing existing social protection systems.
AMS Recommendations – Coordination & Capacity

- Develop a SRSP strategy as part of DRM legal framework / plan
- Embed DRM in SP mandates, strategies and activities
- Build/strengthen effective coordination mechanisms
- Strengthen DRM – SP collaboration through concrete initiatives (data sharing, training, development of plans, etc.)
AMS Recommendations – Delivery Systems

If horizontal expansions (or piggybacking) are envisaged, the delivery mechanisms would need to be adapted for managing additional caseloads.

- **Protocols** for increasing coverage, transfer values, and frequency, defining operational and transaction costs, requirements and processes for enrolling new beneficiaries, pre-printing temporary programme identity cards, developing *stand by* agreements with service providers.
AMS Recommendations – Information Systems

• Adapting social protection information systems to provide information on vulnerability, exposure to shocks, and operationally relevant data for planning and responses.

• Consider using SP data collection mechanisms to gather data relevant for DRM

• Strengthen the capacity to conduct post-disaster needs assessments and link it to SRSP needs

• Explore linking responses to early warning systems
AMS Recommendations – Financing Mechanism

- Anticipate funding needs
- Consider developing protocols and commitments for channelling support through social protection programmes
- Beyond social protection, consider layering risks through different financing instruments (market-based instruments, contingent credits, budgetary instruments)
How to respond? – issues to consider

- In theory are admin. easier and quicker, but global evidence shows that ex-ante preparedness is essential for a timely response.
- This type of response misses non-beneficiary shock-affected households.
- Consider multiple vertical expansions to increase coverage (e.g., Fiji).
- Adequacy of the value and type of the transfer.

- Very few experiences globally!
- Requires flexible processes, systems and capacity to manage additional caseloads.
- Requires data or mechanisms to identify new beneficiaries.

- Several experiences globally.
- ‘Pick and mix’ approach - can use whatever delivery system is relevant and appropriate.
- Even weak SP systems can allow for piggybacking.
Thank you!
Strengthening capacity of ASEAN Member States to design and implement risk informed and shock responsive social protection systems

Webinar 21st March 2019

Hang Thi Thanh Pham, FAO
Outline

• Project approach in ASEAN context
• Country Options and Roadmaps
• Regional framework - the ASEAN Guidelines
• Reflections and advancing the agenda
The ASEAN context

- GDP per capital more than doubled during 2000-2017 (at Intl$ 12,361)
- Extreme poverty reduced from 47% in 1990 to 14% in 2015. Yet 36 million people, 90% are in the Philippines and Indonesia, still live with less than $1.25/day
- Annual economic loss of $ 4.4 billion due to disasters
- Climate vulnerability
- Widening disparities and inequalities
The ASEAN context

One Vision, One Identity, One Community

ASEAN Vision 2025: Forging Ahead Together

An ASEAN Community that engages and benefits the people and is inclusive, sustainable, resilient, and dynamic

AADMER & Work Programme

ASEAN Declaration on Institutionalizing the Resilience of ASEAN and its Communities and Peoples to Disasters and Climate Change

ASEAN Declaration and Regional Framework and Action Plan on Social Protection
The approach

**Country level**
- Mapping of SP and DRM systems including available Early Warning System
- Identify Options
- Develop roadmap

**Regional level**
- Regional study *(OPM and WFP)*
- Develop ASEAN Guideline
- Consensus building by concerned sectors for implementation

- Multi-sectoral and multi-stakeholder engagement including through cross-sectoral coordination mechanisms of ASEAN
- Participatory, consultative and capacity building
- Engage and learn from local level experiences
- Facilitate inter-sectoral coordination, collaboration
- Joint UN approach including ADB, harmonizing/developing coherent technical approaches
COUNTRY OPTIONS AND ROADMAP
Identify Options and develop Roadmap

- Bilateral stakeholder consultations
- First consultation workshop
- Bilateral stakeholder consultations
- Second consultation workshop
- Validation workshop

- Mapping of existing social protection programs and DRM system
- Identify existing social protection programs with potentials to scale up
- Further consultation with stakeholders to fill the information gaps and identify options
- Engage with government and key DP stakeholders to discuss the draft Options Paper and define Roadmap
- Consultation and validation of the Roadmap for implementation
Example: Analysis of Social Assistance Programs in Cambodia

- HEF: Cambodia’s largest social protection program, with significant improvement in coverage.
- Despite progress made, the current social health protection leaves many vulnerable groups at risk of poverty and multiple deprivations due to large gaps in provision.
- Cash transfer social protection programs are at an early stage, marked by a number of encouraging schemes in various stages of development.
- None of the existing cash transfer or social protection programs have been designed to scale up for emergency response.
- ID Poor: a core identification system used by both development and humanitarian actors for targeting.
- The Government plans to increase social protection coverage and to integrate support into a ‘Family Package’ approach starting with core transfer programs.
- While overall social protection coverage is low, some programs are being tested and some have enough coverage to consider designing risk-informed flexible systems.
Example: Mapping of DRM system in Cambodia

- Current EWS does not cover risk and vulnerability analysis
- EW available for sudden on-set disasters (e.g. flood) but not slow on-set (drought)
- Efforts being made to collect data on drought indicators to inform EWS and trigger early action
- Time lag between warning and action - need to fill the gap with further decentralisation of authority and finances to enable rapid response
- Provision of social assistance usually after a disaster event
  - Opportunity to define EWS triggers and thresholds for the provision of SP services prior to a hazard/disaster
  - Opportunities to link to ID Poor
- Experience from the EL Nino drought response of 2015/16 points to opportunities to intervene early by scaling up existing programs including social protection.
First consultation workshop chose 2 social protection programmes to explore SRSP, based on select criteria:

- **Health Equity Fund**
  - Because health risk amplified after disasters, many people go into debt to pay for health services, and HEF is a well established scheme.

- **Mother Child Cash Transfer**
  - Because pregnant women and children are most at risk in a disaster, RGC is strongly committed to maternal health, and to compensate for inter-family sharing in times of stress.
  - Important to build this into the system from the start (and phase in)
<table>
<thead>
<tr>
<th>Strategy</th>
<th>Short Term 2018-2020</th>
<th>Medium Term 2020 - 2023</th>
<th>Long Term 2023 beyond</th>
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<tr>
<td>Use HEF and MCCT to build skeleton system focused on households’ capacity to absorb the effects of hazards</td>
<td>Phase in SRSP more widely, include other livelihood and employment programmes and strengthen system to resist, absorb, adapt to, and recover from the effects of hazards</td>
<td>Continue to strengthen systems-based responses, and the integration of multiple programmes to build cross-programme synergies</td>
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**Disaster Risk Cycle**

- Preparedness and Response to build resilience (Disaster Management)
- Prevention & Mitigation Preparedness Response
- Recovery & Rehabilitation to strengthen resilience (Disaster Risk Reduction)
- Resilience to disasters (Disaster Risk Management)
Example: Vietnam reform proposals

- **Context**: reform underway in both social assistance and DRM systems including substantial reviews, new Master Plan for Social Assistance and plan to develop a law.

- **Project support**: rapid mapping of social protection and DRM, facilitation of policy dialogues

- **Reform proposal**: Incorporate high level political commitments in policy and legislative framework in the short term to create mandate for operational reform.
  - Incorporate emergency scale up in regular social assistance policy and legislation
  - Re-orient the focus from ex-post to ex-ante
  - Consolidate and re-focus the Emergency Social Assistance
  - Build the case and consider options to extend social care during disasters
  - Reform operational systems and processes to be disaster-proof and with effective referral processes
  - Strengthen institutional capacity and coordination
  - Develop financing strategies
THE ASEAN GUIDELINES ON DISASTER RESPONSIVE SOCIAL PROTECTION FOR RESILIENCE
The ASEAN Guideline

• Based on the learnings/recommendations from regional study and country work

• Extensive consultations with three ASEAN sector bodies: social welfare and development, DRM, health development and other stakeholders

• Include:
  • Rationale, Framework for SRSP, Principles and Approaches, the 5 building blocks
  • How to annex as entry points to illustrate the process with questions to consider, examples, tips, Do’s and Don’t and gateways to further tools and guides

• To be endorsed by all three sector bodies and recommended for Ministerial level endorsement, at least of social welfare and DRM sectors
ASEAN Member States feedback

- Identify audience/implementers of the Guidelines
- Strategic pitching - why SRSP? benefits over conventional SP and current disaster response
- The challenge of responding to different needs and varied levels of understanding of the issues by sectors involved
- The need to balance between high level strategic guidelines with principles and conceptual framework vs. practical/how to guidelines
- Practical examples from the region are critical
- Specific guidance for actions by different sectors/implementers
- Further localize the Guidelines in national context for implementation
Moving forward

Country level
- Validation and ownership of concerned agencies of the Options and Roadmap for implementation
- Align with national social protection framework
- Not to lose momentum - move with short-term activities

Regional level
- Continuous policy advocacy and engagement with key agencies
- Continued improvement of evidence
- Adapt global tools and trainings manuals for the ASEAN context

- Adapt global tools and trainings manuals for the ASEAN context
- Continued coherent UN advocacy, technical approaches and capacity building
- Building on ASEAN cooperation, existing governance and programmes
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