

# **Social Protection Floor Initiative**

*The sixth initiative of the CEB  
on the global financial and economic crisis  
and its impact on the work of the UN system*

## **Manual and strategic framework for joint UN country operations**

**Developed by the  
Group of Co-operating agencies  
and development partners**

**International Labour Office  
and  
World Health Organization  
Geneva, November 2009**

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## Contents

	<i>Page</i>
Abbreviations and acronyms .....	v
Foreword .....	vii
1. Introduction.....	1
1.1. Background to the CEB Social Protection Floor Initiative.....	1
1.2. Definition of the Social Protection Floor concept .....	1
1.3. The nature and objective and of the Social Protection Floor Initiative .....	4
2. General framework of activities.....	7
3. Country operations – Modus operandi.....	9
3.1. Objective.....	9
3.2. Activities.....	10
3.3. Available tools .....	12
3.4. Integration of the SPF-I into national, regional and global planning processes .....	12
3.5. A tentative implementation framework .....	13
3.6. Funding .....	15
4. Global activities .....	17
4.1. Information sharing and knowledge management.....	17
4.2. Advocacy .....	18
4.3. Capacity building, Training, Education.....	20
4.4. Monitoring and evaluation.....	22
 Annexes	
I. CEB Communiqué, 5 April 2009, Paris, France.....	25
II. Universal Declaration of Human Rights (1948) – Articles 22, 25, 26.....	29
III. The Convention on the Rights of the Child - Selected Articles .....	30
IV. Concept Note on the CEB Social Protection Floor Initiative (May 2009).....	333
V. Overview of relevant policy instruments of collaborating agencies .....	354
VI. Overview of existing tools ordered by activities of SPF approach .....	376
VII. Tentative check-list of data for the country assessment and costing of the Social Protection Floor .....	40
VIII. Participants.....	45
References .....	51



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## Abbreviations and acronyms

ADB	Asian Development Bank
APRM	African Peer Review Mechanism
AU	African Union
CCA	Common Country Assessment
CHOICE	Choosing Interventions that are Cost Effective
DAC POVNET	Development Assistance Committee Poverty Network
DOCO	Development Operations Coordination Office
DRR	Disaster Risk Reduction
EFA	Education for All
CEB	United Nations System Chief Executives Board for Coordination
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
GIVAS	Global Impact and Vulnerability Alert System
IHP	International Health Partnership
ILO	International Labour Organization
IMF	International Monetary Fund
IPC-IG	International Policy Centre for Inclusive Growth
ISDR	International Strategy for Disaster Reduction
ITC	International Training Centre of the ILO (Turin)
NGO	Non-Governmental Organization
NEPAD	New Partnership for Africa's Development
OASIS	Organizational Assessment for Improving and Strengthening Health Financing
OECD	Organization for Economic Co-operation and Development
OHCHR	Office of the High Commissioner for Human Rights
P4H	Providing for Health
PRSP	Poverty Reduction Strategy Paper
PSIA	Poverty and Social Impact Analysis

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SP	Social protection
SPF-I	Social Protection Floor Initiative
U5MR	Under 5 Mortality Rate
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNDAF	United Nations Development Assistance Framework
UN-DESA	United Nations – Department of Economic and Social Affairs
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNESCO	United Nations Educational Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-HABITAT	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees
UNHLCPC	United Nations High Level Committee on Programmes
UNICEF	United Nations Children’s Fund
UNITAR	United Nations Institute for Training and Research
UNODC	United Nations Office on Drugs and Crime
UNRISD	United Nations Research Institute for Social Development
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UNSG	United Nations Secretary General
UNU-WIDER	United Nations University – World Institute for Development Economics Research
WASH	Water, Sanitation and Hygiene
WFP	World Food Programme
WHO	World Health Organization
WMO	World Meteorological Organization

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## Foreword

### Objectives and scope of the manual <sup>1</sup>

This manual provides guidance for a Social Protection Floor Approach at country level, led by governments with support from the UN system and other collaborating agencies and aiming at supporting existing or defining and implementing newly developed sustainable social protection policies. The manual gives an overview of steps to take and tools to use for country operations of UN agencies and other institutions that might want to join SPF initiatives. The manual offers a checklist for possible country activities rather than a prescription for action. The definition suggested in section 1.2. is thus only a starting point for the development of a national framework. Each country will develop its own Social Protection Floor approach that builds on existing policies and frameworks and best suits the social, cultural, political and economic context as well as the technical, financial and administrative capacities. Therefore, this manual offers only a generic benchmark for the definition of country-based activities and a starting point for a comprehensive dialogue within countries to define the nature of the co-operation with the UN System and other collaborating agencies.

As elaborated in this document, a Social Protection Floor concept promotes nationally defined strategies that protect a minimum level of access to essential services and income security through sustainable and integrated approaches that address gaps in supply and demand in the current context of financial and economic crises and beyond.

This manual is proposing a framework for joint work of UN agencies and UN country teams. In the CEB Concept Note of May 2009, the following activities, amongst others, were envisaged under the SPF initiative:

- (1) develop a compendium of existing technical tools of all UN agencies that can be used at a country level to establish the feasibility of national Social Protection Floor concepts that are age and gender responsive;
- (2) support a national dialogue-based country assessment of what a national development objective could be to move towards the Social Protection Floor;
- (3) develop a strategy for concerted and complementary support action of all participating agencies, as well as Regional Commissions, on a country level within a common planning framework (e.g. UNDAF);
- (4) assess the role of the financial crisis on health, education, food security and social protection systems, as well as the financing of essential services;
- (5) appoint joint technical teams for all countries requesting such assistance.

The manual sets out how a SPF approach can meet these challenges.

<sup>1</sup> A draft version of the manual was discussed in the context of the *Inter-Agency Technical meeting on the Social Protection Floor Initiative in Turin on 13-15 October 2009*. This version manual will be further enhanced with the views and further comments of cooperating UN agencies.

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## Audience

The main audience of this manual are UN co-operating agencies (as listed below), UN country teams and UN Resident Coordinators who will work with governments, social partners and national stakeholders who seek collaboration with the UN in defining and implementing their own national Social Protection Floor. The manual also welcomes donor agencies and non-governmental organizations (here called development partners) that work on Social Protection and seek to collaborate with national SPF initiatives.

## Partners in the SPF initiative

The UN partner agencies to the SPF-I encompass both international organizations of the UN System and Bretton Woods institutions. They include:

- Lead agencies at the global level: ILO and WHO;
- Cooperating agencies: FAO, IMF, OHCHR, UN Regional Commissions, UNAIDS, UN-DESA, UNDP, UNESCO, UNFPA, UN-HABITAT, UNHCR, UNICEF, UNODC, UNRWA, WFP, WMO, WORLD BANK.

As agreed at the regional level and coordinated globally, leading and cooperating agencies will take roles at the country level as appropriate. Responsibility will rest with those agencies which are the best equipped to lead the SPF Initiative within the UN System in concrete country contexts. Collaboration is also sought from development partners: i.e. bilateral donor agencies, development banks and NGOs working in social protection.

## Structure

The first section gives an overview of the context of the Social Protection Floor activities. The second section focuses on guidance for country-level operations. The last section of the manual presents the planned global activities and products.

## Caveat

The manual remains a “work in progress” as the UN co-operating agencies, development partners and the participating countries will develop it further on the basis of actual country experience. Partners are encouraged to provide contributions on an ongoing basis to [secsoc@ilo.org](mailto:secsoc@ilo.org). Once the content of the manual has been agreed upon, the content will also be made available online to facilitate access to the information and allow for easy updating and evolution of content.

### 1.9. Acknowledgement

Special thanks to the collaborating agencies and development partners that took part in the interagency consultation at the ILO International Training Centre in Turing from 13 to 15 October 2009 and jointly produced the present version of this manual. Represented were the following collaborating agencies and development partners:

FAO, OHCHR, UNAIDS, UNDESA, UNESCO, UNFPA, UNICEF, WB, WFP, WHO, WMO, ILO, World Bank and UNDP (permanent video link), UN-HABITAT (video link), IMF (permanent video link), UNCEB (video link), ADB, BMZ, DFID, Finnish Ministry of Foreign Affairs, GTZ, HELPAGE, Save the Children

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## 1. Introduction

### 1.1. Background to the CEB Social Protection Floor Initiative

Since the onset of the global financial and economic crisis, people around the world face lower income, fewer employment and livelihood opportunities, as well as reduced access to social services, benefits, remittances and credit.<sup>2</sup> As recognized by the United Nations System Chief Executives Board for Coordination (CEB), this follows the deep structural imbalances that intensified during the latest phase of globalization and resulted in slow progress towards achieving the MDGs. The Secretary-General of the United Nations has called for urgent attention to be given to the social impacts of the current global financial and economic crisis.

On 5 April 2009, the High Level Committee on Programmes (HLCP) of the CEB committed to decisive and urgent multilateral action to address the global crisis, deploying all UN resources and capacities to rapid and effective responses. An agreement was reached on nine joint initiatives. The sixth initiative is the Social Protection Floor Initiative (SPF-I) providing essential services and transfers to all in need of such protection in order to not fall into abject poverty.<sup>3</sup> The multilateral system is expected to work together and to assist member states in coping with the crisis, to accelerate recovery and to pave the way for a better future. Policy coordination and coherence are essential, i.e. coordination of responses in time, coherence of measures, compatibility of views on moving out of the crisis, taking into account the various contexts and favoring the adaptation of best practices and models with due respect to the needs of stakeholders and citizens.

### 1.2. Definition of the Social Protection Floor concept

The term Social Protection Floor is a global and coherent social policy concept that promotes nationally defined strategies that protect a minimum level of access to essential services and income security for all in the present economic and financial crisis and beyond. A national Social Protection Floor is a basic set of rights and transfers that enables and empowers all members of a society to access a minimum of goods and services and that should be defended by any decent society at any time.

The Social Protection Floor does not define new rights it rather contributes to the realization of the human right to social security and essential services as defined in Articles 22, 25 and 26 of the Universal Declaration of Human Rights (1948)<sup>4</sup> as well as encouraging the observance of ILO Convention 102 on Social Security (Minimum Standard).

<sup>2</sup> The analysis of the present situation is beyond the scope of the present manual as it has been addressed in various other publications and reports presented across UN agencies such as the IMF Board papers on the Impact of the Global Economic and Financial Crisis on Low-Income Countries, ILO reports on Tackling the global jobs crisis and decent work responses to the Crisis, World Bank Working research papers on the impact of the financial crisis etc.

<sup>3</sup> See Annex I. CEB Communiqué, 5 April 2009, Paris, France.

<sup>4</sup> See Annex II. Universal Declaration of Human Rights, UN GA, res. 217 A (III), 1948.

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Based on the list of services and transfers of the Universal Declaration the main elements of the SPF-I have been defined as:

- (1) essential services: i.e. geographical and financial access to essential services (such as water and sanitation, adequate nutrition, health and education, housing, and other services including life and asset saving information); and
- (2) essential social transfers: i.e. social transfers, in cash and in kind, paid to the poor and vulnerable to provide a minimum income and health security.”<sup>5</sup>

Guaranteeing access to essential services and transfers that are part of the SPF empowers people to cope with the economic fallout of the crisis maintaining their dignity. The realisation of these guarantees would also contribute to alleviating the social consequences of the underlying systemic crisis that left 40 percent of the global population living on less than US\$ 2 per day even before the onset of the current economic crisis. Governments and UN agencies have developed a range of possible interventions to strengthen social protection of all and particularly the most vulnerable. These include for example health insurance, school feeding programmes, public works programs or guaranteed employment schemes or cash transfers targeting different populations groups including the elderly, children, pregnant women, people with disability, people with HIV/AIDS, the poor.

The systematic relationship between services (the “supply side” of the Social Protection Floor) and means to ensure effective access including transfers (the “demand side” of the Social Protection Floor) is described in the following matrix (Table 1 below). By working on both demand and supply side measures, the SPF takes a holistic approach to social protection. On the one hand, SPF activities will work on means to ensure the availability of goods and services in the areas of health, water and sanitation and housing, education, food and related information. At the same time, the SPF will secure rights and transfers that guarantee effective access to these goods and services for all throughout the life cycle: children, active age groups and older persons, paying particular attention to vulnerable groups by considering further key characteristics that cut across all age groups (gender, socio-economic status, ethnicity, disabilities, population exposed and/or highly sensitive to adverse external effects such as natural hazards, intense climate phenomena, etc.). Strategies to ensure effective demand will require identification of those who currently do not have access to essential services and the barriers they are facing.

<sup>5</sup> Modified based on the preliminary original definitions given on page 46 of the Concept Note of the CEB for the SPF-I.

**Table 1. The Social Protection Floor: Supply and demand side means to secure effective access to an essential level of quality goods and services to all**

Means to ensure the supply of an essential level of: Rights and transfers to ensure effective demand* from:	Health services	Water and sanitation Housing	Education	Food	Other social services as defined by national priorities (including life and asset saving)
Children					
People in active age groups with insufficient income from work					
Older persons					

\*Effective demand is defined as actual demand for goods and services, backed by people's capacity to pay, as opposed to notional demand.

To remain sustainable, Social Protection Floor entitlements should:

- build on existing social protection measures/schemes/systems and national development strategies;
- avoid creating long-term dependencies (at household and at macro level) and moral hazards;
- encourage and facilitate market and social inclusion (be demand-driven and user-oriented);
- be based on a clear definition of rights and duties, that govern the relationship between the citizens and the state, and
- ensure continued and predictable (preferably domestic) funding.

More detailed activities or policy instruments that can be adopted for each field of the above table and respective UN agency competence are listed in Annex V. The selection of these will be tailored to meet context-specific needs and challenges, taking into account the diverse institutional, technical and financial capacities.

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### 1.3. The nature and objective and of the Social Protection Floor Initiative

The SPF Initiative:

- promotes a holistic and coherent vision of national social protection systems as a key component of national development strategies;
- supports countries in identifying and closing crucial protection gaps through coherent and efficient measures that maximize the effects of scarce resources on the reduction of poverty and insecurity;
- ensures concerted actions of UN agencies, national governments and stakeholders as well donor agencies in order to alleviate the negative social impact of the crisis and increase the resilience of societies against the impact of future crises for example through the implementation of automatic social and economic stabilizers.

The central objective of the Social Protection Floor initiative is to facilitate and accelerate, as part of the National Social Protection Policy, the introduction or strengthening of sustainable social protection systems to provide essential services and cash transfers that are “critical to mitigating the poverty and welfare fallout of the crisis, while at the same time providing a significant stimulus to the economy”.<sup>6</sup> Social Protection Floor policies will build on, enhance and strengthen the social security and social protection schemes already place.

In the short run, rapid interventions that cushion the effects of the current crisis need to be implemented and governments need to be advised to: (i) identify essential social services and programs that have quick impacts and can be scaled-up or introduced rapidly (e.g. nutrition programs in food insecure countries or cash transfers); (ii) identify core social sector spending to be maintained in order to preserve human development gains and longer term national development objectives; (iii) provide a quick estimate of the budgetary costs of these options and indicators necessary for monitoring.

In the long run, social protection systems need to be put into a legal framework, based on a sustainable financing/fiscal strategy and adequately monitored to achieve the desired increase in the resilience of households and individuals against a range of endogenous and exogenous shocks and serve as a basis for the build-up or strengthening of more comprehensive and self-sustained national social protection systems.

An ILO analysis of 80 individual studies on cash transfer programmes that provide elements of a Social Protection Floor in about 30 developing countries around the world, presents evidence that most countries can afford some elements of a Social Protection Floor. Flagship programmes, like Oportunidades and Seguro Popular in Mexico, Bolsa Familia in Brazil, the subsidized health insurance scheme in Colombia, the child-, old age - and invalidity grant system in South Africa, the health insurance scheme in Rwanda and the unfolding 100-day-employment guarantee scheme or Yeshashwini and RSBY schemes for health in India have shown that the impact of the social floor on poverty can be dramatic. Various studies on existing social transfer schemes conclude that these grant systems have positive impacts on poverty, health and nutrition, social status of recipients, notably women, economic activity and entrepreneurial small scale investments, notably in agriculture, and do not have marked negative effects on labour market participation of the poor population they serve. On the contrary, transfers were found to create access to labour

<sup>6</sup> UN CEB: UN systems Chief Executives Board for Coordination : Global Financial and Economic Crisis - UN System Joint Crisis Initiatives, 2009

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markets for the poor. As noted in the literature, even large social protection programmes often cost less (at times much less) than 0.5 percent of the GDP.<sup>7</sup>

A distributional analysis of essential social transfers alone shows that the combination of a modest cash benefit for children and a modest pension, which could be an “entry level” of a social floor for poorer countries, could reduce the poverty head count by about 40 per cent – a major contribution to the achievement of the first MDG.<sup>8</sup> The cost of this set of benefits would not be expected to exceed about 4 per cent of GDP.<sup>9</sup> However, even this level of expenditure may be hard to sustain for some low income countries with constrained fiscal resources raising on average revenues in the order 15 and 20 per cent of GDP. This figure has been improving steadily in most African countries, reaching an average of over 25% in 2007 for Africa as a whole, increasing by almost 4 percentage points of GDP between the pre-Monterrey period and 2007.<sup>10</sup> In any case, in-country work will include an in-depth analysis of a country's ability to sustain programs over time.

<sup>7</sup> Bolsa Familia in Brazil and the Oportunidades in Mexico cover respectively about 12 and 5 million families with a relatively modest budget (less than 0.5 % of GDP). See The World Bank Policy and Research Report (2009) *Conditional Cash Transfers – Reducing Present and Future Poverty* by Fiszbein A., Schady N. with Ferreira F., Grosh M., Kelleher N., Olinto P. and Skoufias E. Washington, DC: The World Bank.

<sup>8</sup> See Gassmann, F. and Behrendt, C.: Cash benefits in low-income countries: Simulating the effects on poverty reduction for Senegal and Tanzania, Issues in Social Protection - Discussion paper No. 15 (Geneva, ILO (Social Security Department, August 2006), pp. 47-49.

<sup>9</sup> See for example “What is the Impact of Cash Transfers on Labour Supply?” by Clarissa GondeM Teixeira, International Policy Centre for inclusive Growth (IPC-IG), <http://www.ipc-undp.org/pub/IPCOnePager85.pdf>

<sup>10</sup> OECD (2007) *Development Finance in Africa: From Monterrey to Doha*, report published for the Doha Conference on Finance for Development, 29 November – 2 December 2008



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## 2. General framework of activities

The SPF approach as developed in this manual ensures country ownership and adherence to the Paris Declaration on Aid effectiveness, the Accra Agenda for Action and regional social policy frameworks and strategies. The SPF approach will support national planning and dialogue processes in the design, monitoring and evaluation of national activities in order to achieve policy coherence and national ownership reflecting the interests of target population groups and giving voice to social partners and civil society.

The Initiative has national, regional and global dimensions:

UN SPF country operations should be executed by a national SPF task force composed of:

- representatives from governments, social partners and other stakeholders, and
- a UN SPF country team that draws on country, regional and HQ staff of the cooperating UN agencies and Bretton Woods institutions.

At the national level, UN Resident Coordinators will play a key role in launching the SPF process in countries, organizing the UN SPF country team and advocating for the creation of the national SPF task force that will be lead by the government. The resident coordinator will coordinate all UN SPF country activities in close cooperation with the government and in alignment with national development plans. The process should be open for any stakeholder to join so as to allow building up a dedicated core group. However, the SPF approach does not require commitment of all stakeholders or all UN agencies. The composition will vary depending on the country presence and priority activities. The lead institution for the national SPF task force will be the Ministry or government body responsible for the SPF policy (e.g. Ministry of Finance, Ministry of Social Welfare etc.). In many countries UN agencies and NGOs participate in “clusters”, sector groups, cross-sector groups or other types of coordination networks that could host the SPF Initiative. In some countries where no appropriate structure exists, it might be necessary to newly create a social protection sector group.

At the global level, a Technical SPF Advisory Network has been composed of focal persons from cooperating UN agencies and Bretton Woods institutions. It will provide support to the country representatives of the UN agencies and the UN country teams in the rolling out the SPF-I country operations and advocate for the SPF at the global and regional level. The focal persons will coordinate the support of additional technical experts from their respective agencies as required. Annex VIII contains the list of these focal persons and contact details. Representatives of key donor agencies, regional bodies, participating countries and international NGOs involved in social protection are invited to join the Global Technical Advisory Network. The UN CEB High Level Committee on Programmes (HLCP) will coordinate global policy aspects and advocacy activities. UNCEB undg committee and its secretariat (DOCO) will coordinate technical implementation activities at the global level and report back on progress to member states.

Coordination of all actors involved at national and global levels is key to reduce inefficiencies and develop synergies. Coordination is often lacking at the country level (i.e. between ministries, NGOs, UN agencies, etc.). Enhanced coordination through elimination of overlaps, work-sharing and improved allocation of responsibilities, i.e. building an inclusive process involving all relevant UN agencies and national partners will increase efficiency, possibly freeing resources to finance a part of the advisory services.



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### 3. Country operations – Modus operandi

At the country level, SPF approaches will be led by governments supported by a national SPF task force including relevant ministries, cooperating UN agencies, NGOs, donors, social partners, social security institutions, bilateral agencies etc. This group should build on or be an extension of pre-existing cooperative arrangements, if these are in place, that involve the main social protection actors. The UN resident coordinator and UN country team are expected to provide effective coordination of the UN support involving also World Bank and IMF representatives as part of the Joint Crisis Initiatives as per the letter of 1 September of the UNDG Chair.

There are substantial differences in terms of scope and level of social protection coverage, effective coordination between actors, fiscal space, financial and technical support needs and political willingness to extend social protection to the poor and vulnerable between countries. Nonetheless, this document proposes a generic framework for the implementation process of the SPF Initiative at the country level, which has to be adapted to the specific country context.

This framework for country operations and along with it this manual will evolve over time.

#### 3.1. Objective

The objective of all SPF country activities is to support countries in their efforts in building, expanding, extending or reorienting their social protection systems to respond to the need for protection of the population during the current crisis and beyond. Special consideration should be given to the poor and most vulnerable populations that have been hit hardest by the current crisis while at the same time laying the foundation for a logical, coherent and viable long-term structure of national social protection systems.

The Social Protection Floor approach includes, for example the building or strengthening of essential cash transfers and/or in-kind supports in order to protect the nutrition and use of health, water and sanitation, education and other basic social services among the most vulnerable populations, as well as removing logistical, economic, knowledge and geographical barriers to access to basic social services.

In order to be effective and sustainable, a Social Protection Floor approach should also consider national priorities and capacity for:

- preventing and/or mitigating crisis impacts through macroeconomic and fiscal policy (budgetary allocations), as well as in a longer term perspective;
- addressing structural weaknesses in domestic revenue and expenditure policy, external support and public financial management.

The existing mix of measures, partnerships and initiatives will vary from country to country – as will the presence and engagement of UN agencies and IFIs. Awareness on relevant international experience and potential for progress, including through South-South cooperation will also vary. It is therefore necessary to explore the initial conditions, need, potential and political opportunity for progress, including through enhanced country collaboration with donor agencies and countries as well as support from the UN system.

While it is not possible here to consider progress in implementing the other eight joint crisis initiatives of the UN System, it is obvious that links to - and support from - those will also need to be explored and considered (see the other Joint Initiatives in Annex I).

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## 3.2. Activities

Many low income countries may not have the necessary infrastructure or technical capacities available to design and implement a comprehensive SPF.<sup>11</sup> It will be important to emphasize that developing a SPF alongside the immediate short-term social protection crisis responses requires time and careful planning. Well-trained personnel, including doctors, teachers, actuaries and other administrative staff as well as sufficient infrastructure cannot be put into place overnight. In some countries, it might be advisable to first focus on a few smaller well-defined social protection activities, building up in-country capacity prior to establishing something more comprehensive. Being overly ambitious when developing the national SPF approach, raising too many expectations among the public, can easily lead to disillusion and distrust, which will weaken political support for social protection activities in general. In this context national activities may consist of some or all of the following activities:

- (1) Raising awareness / advocacy at the national level – inserting the SPF concept and its elements into the national policy debate.
- (2) Establishing / organizing a joint national SPF task force.
- (3) Taking stock of the social protection situation and needs through an inventory of existing institutions and benefit programmes, existing national strategies for the extension of social protection, indicators of access to social protection and essential services; macro-economic data, household income and expenditure, poverty levels.
- (4) Through national dialogue, elaborating a country-specific set of measures constituting a national social floor that builds on existing Social Protection activities.
- (5) Identifying viable alternatives / policy options / concrete proposals to close protection gaps.
- (6) Evaluating the cost and long-term financial sustainability of alternative policy options and financing options, including an evaluation of the scope to mobilize additional (domestic) resources.
- (7) Going through an iterative process of revising the national SPF approach/policy/strategy, matching expected costs with available resources and, reaching a policy decision and agreement on the necessary legislative framework.
- (8) Supporting the implementations of identified policy measures, i.e. introducing transfers and /or building the service delivery systems.
- (9) Monitoring and evaluation to track the progress of the national SPF approach.

Table 2 below specifies the related outputs for each of these activities.

<sup>11</sup> In these countries, it may be important to explore alternative means for the implementation of SPF activities such as community-lead mechanisms that could be used to enhance social protection.

**Table 2. Tentative sequence of activities for implementing an SPF approach at country level**

Objective	Outputs
1 Raise awareness	<ul style="list-style-type: none"> <li>• Clear SPF messages<sup>1</sup> tailored to different audiences</li> <li>• Well coordinated and unified action by UN agencies</li> <li>• Sensitized partners (NGOs, donors, ...)</li> <li>• Motivated national key players (ministers, parliamentarians, ...)</li> </ul>
2 Establish / organize a joint national SPF task force	Key stakeholders identified and mobilized to participate in national SPF task force
3 Take stock of present SPF situation (pre-crisis)	<p>Political and institutional analysis (including an inventory of existing institutions and benefit programmes and a description of the national strategy for the extension of SP) → Political feasibility, delivery capacity and gaps</p> <ul style="list-style-type: none"> <li>• SP coverage analysis (Indicators of access to social protection according to the core thematic areas under the Social Protection Floor) → SP coverage gaps</li> <li>• Collection and analysis of Macro-economic and fiscal data, Household income and expenditure, Multidimensional poverty</li> </ul> <p>And/or: Policy analysis of perceived gaps and ongoing policy debates</p>
Take stock of the impact of the crisis	<ul style="list-style-type: none"> <li>• Impact on existing SP schemes (e.g. pension schemes, nutrition programmes, health protection)</li> <li>• Impact on the SP needs (e.g. increased number of unemployed, (female) school dropouts)</li> <li>• Impact on provision of and demand for basic social services</li> <li>• Impact for specific vulnerable groups</li> </ul>
Country response to the crisis (if any)	<ul style="list-style-type: none"> <li>• Measures taken to mitigate the impact on existing SP schemes and programmes</li> <li>• NEW Social protection measures: per SP branches; per specific vulnerable target groups</li> </ul>
4 Through national dialogue, elaborate a first definition/approach of the country specific Social Protection Floor policy	<ul style="list-style-type: none"> <li>• SPF proposal to meet country priority SP needs and phased implementation</li> </ul>
5 Evaluate the cost of the approach identified and potential financial sources that ensure long-term financial sustainability	<ul style="list-style-type: none"> <li>• Demographic, Needs, Financial and Fiscal projections</li> <li>• SP Budget analysis</li> <li>• Existing fiscal space analysis</li> <li>• Financing strategies (reallocation of expenditure, improved revenue collection, efficiency gains, tax and contribution increases, grants)</li> </ul>
6 Reconsider SPF proposal in light of step 5	Back to step 4 or forward to Step 7
7 Policy decision making	Advice on policy design, strategies, plans, support for drafting legislation
8 Implementation	<ul style="list-style-type: none"> <li>• Technical and financial support needs identified</li> <li>• Technical and financial support given</li> </ul>
9 Monitoring and evaluation mechanism	<ul style="list-style-type: none"> <li>• Monitoring and evaluation established</li> <li>• Measurement of progress</li> <li>• Corrective actions and/or re-orientations</li> </ul>

<sup>1</sup> For a common development message on the SPF across all UN agencies, see section 4.2 (Advocacy).

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### **3.3. Available tools**

The UN agencies that engage in Social Protection activities have developed a range of tools and methods to assist every step in the process of developing or improving Social Protection Floor measures in different policy domains. Rather than developing new tools, the SPF approach emphasizes the importance of adjusting existing tools and, as suitable, making these tools readily available in a given country context. In the longer term, building in-country capacities for countries to use these tools independent of external assistance or advice is of key importance. The table in the Annex VI lists examples of existing tools according to the sequence of activities identified above.

### **3.4. Integration of the SPF-I into national, regional and global planning processes**

The financial and economic crisis, the food and fuel crisis, as well as natural disasters and climate change challenges and risks have clearly shown that sustainable achievements in poverty reduction can only be achieved if countries have a minimum of social protection measures in place. A SPF alleviates current and future poverty at the household and at the macro-level by acting as an economic stabilizer and smoothing income and consumption at the household level. Given this importance of social protection both in times of prosperity and especially in times of crisis, the SPF-Initiative should be integrated into existing development cooperation structures, especially planning processes and strategy formulations at country level.

At country level, SPF activities will not build parallel structures but rather take into account the range of processes already underway in countries and advocate for a more prominent consideration and position of social protection within the existing development and policy agenda. As such, SPF activities will be fully integrated into country owned development planning processes and existing regional and UN planning frameworks (CCA/UNDAF). Depending on the country context and existing national social protection policies, the SPF will be included e.g. in National Social Protection Strategies, National Development Plans, PRS/PRSPs or Accelerated Growth Strategies, P4H etc.

Many countries may not yet have developed a comprehensive social protection strategy and policy but rather have drafted separate strategies for any of the following policy areas: health, education, housing, food, water, sanitation, the unemployed, older persons, persons with disability, families, pregnant women, children, people with HIV/AIDS. Many of these SPF activities are closely linked to several sectors, like social welfare, health, education, agriculture etc. One value added of the SPF is to encourage countries to bring these disparate planning processes for social protection related policies into one development planning framework. This will facilitate the prioritization/sequencing of introducing/reforming and financing social protection policies and enable governments to explore synergies between different sectors, thus helping to build the necessary social consensus behind these policies. The national SPF frameworks will thus come in different shapes and sizes, depending on the national development planning frameworks that are in place and the priority needs to be addressed. The outcomes will differ but the process to develop the SPF framework should always be consultative, inclusive and participatory, involving government representatives from relevant ministries, UN social partners, parliamentarians and civil society.

Integrating the SPF initiative with national development planning processes will ensure designing the SPF monitoring and evaluation activities in a way that ensure avoiding duplication of efforts, e.g. for data collection, socio-economic analysis etc. This will avoid draining resources and personnel from other national M&E systems. The inclusion of the

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SPF in broader development discussions would also help highlight financing issues and the inherent financial trade-offs in implementing one set of activities over another.

The SPF initiative explicitly emphasizes that the decisions on trade offs, design and implementation of SPF activities rests solely with the government. The aim is, upon request, to provide useful tools to support governments in developing capacities to rationally define their priorities and decide on the sequencing of social protection activities.

The Initiative will also take into account policy frameworks at the global and regional levels, such as the AU Social Policy Framework for Africa, the OECD High Level Statement on employment and social protection (DAC POVNET), the Global Jobs Pact, the global agenda on Education for All (EFA), the health initiatives P4H<sup>12</sup>, IHP, the IATT and Global Partners Forum on HIV/AIDS, and the NEPAD African Peer Review Mechanism (APRM).

Where the SPF has been identified as a national development priority, technical agencies at the UN level will integrate the SPF approach in UNDAFs and the respective national and regional planning frameworks of different agencies, such as the Decent Work Country Programmes, the Country Partnership Frameworks, Country Cooperation Strategies, Management of Social Transformation Strategies, regional treaties and accords etc.

In the same way, the national SPF task forces are not additional or parallel implementation structures but, where existing, will be built through structures that are already in place, e.g. SWAPs for Social Protection or Social Protection Sector Coordination groups.

### **3.5. A tentative implementation framework**

The actual pattern of implementation will be different in each country depending on local needs as well as the availability of local competencies. UN Resident Coordinators will be responsible for the initiation of a national SPF task force where governments have requested assistance from the UN System to support the development of national SPF plans.<sup>13</sup> In countries, where a Social Protection country team already exists, the UN Resident Coordinator should advocate for the group to pursue the SPF approach and integrate the national SPF tasks force with the existent group. The SPF Task Force facilitated by the UN Resident Coordinators will draw on the competencies of local UN staff as well as those of government agencies. Should critical competencies be missing in a country, complementing competencies can be mobilized with the help of the members of the Technical Advisory Network. For the time being the network consists of the UN experts that participated in the Turin Interagency meeting (listed in Annex VIII).

<sup>12</sup> For Social Health Protection, for example the Providing for Health (P4H) initiative with its focus on cooperation between international organizations and donors for improving health systems through activities at country level could play a significant role in advancing the SPF. The P4H partnership comprises ILO, WHO, World Bank, France and Germany. P4H aims to support health systems to conceptualize and develop social health protection strategies that promote equity, efficiency and social inclusion while being sustainable and aligned with country systems.

<sup>13</sup> The SPF should avoid any duplication of sector plans (for education or health). Rather, it is intended to develop a rational, holistic, multi-sectoral look at all elements of Social Protection policies, thus allowing to identify priorities, synergies and possibilities for efficiency gains as well as developing a long term vision of how to gradually build increasing levels of population coverage and benefits.

Cooperating UN agencies and Bretton Woods institutions will provide support through international expertise available at the country level or through the Global Technical Advisory Network that will provide backup to national SPF task forces especially regarding:

- Adaptation of generic technical tools required at the country level for the assessment of the national needs, the general demographic and macro-economic frameworks and for a review of the performance of services and transfers in the different areas of the SPF-I.
- Guidance for country applications, including hands-on training to local and international experts.
- Assistance to UN country offices for the recruitment and training of technical experts as well as national candidates with a technical background that need minimum upgrading to work in the social protection environment.
- The provision of technical assistance and capacity building to national SPF task forces.
- Peer reviewing arrangements to ensure high quality advice on a national basis.

Table 3 below provides an overview of competencies of all cooperating UN agencies and Bretton Woods institutions within the SPF framework that country implementation processes can draw upon. Annex V and VI provide a more detailed view on policy instruments and technical tools related to each thematic area of the SPF-I and related UN agencies' competencies. These tables aim at creating common awareness of all relevant UN agencies' tools and competencies for the technical assessment of the SPF implementation process.

**Table 3. Technical and policy competence of cooperating UN agencies and Bretton Woods institutions within the SPF framework**

Means to ensure the supply of an essential level of:	Health services	Water and sanitation Housing	Education	Food	Other social services as defined by national priorities (including life and asset saving information...)
<b>Rights and transfers to ensure effective demand from Children and youth</b>	WHO, UNICEF, ILO, UNAIDS, UNFPA, World Bank, WFP, UNDP, UNDESA	UN HABITAT, UNICEF, ILO, World Bank, UNDP, UNDESA	UNESCO, UNICEF, ILO, World Bank, UNDP, WFP, FAO, UNDESA	WFP, FAO, ILO, UNICEF, World Bank, UNDP, UNDESA	UNICEF, World Bank, ILO, UNDP, UNDESA, WMO
<b>People in active age groups with insufficient income from work</b>	WHO, ILO, World Bank, UNFPA, UNAIDS, WFP, UNDP, UNDESA	UN HABITAT, ILO, World Bank, UNDP, UNDESA	n.a.	WFP, FAO, ILO, World Bank, UNDP, UNDESA	World Bank, ILO, UNFPA, UNDP, UNDESA, WMO
<b>Older persons</b>	WHO, ILO, World Bank, WFP, UNAIDS, UNDP, UNDESA	UN HABITAT, ILO, World Bank, UNDP, UNDESA	n.a.	WFP, FAO, ILO, World Bank, UNDP, UNDESA	World Bank, ILO, UNDP, UNDESA, WMO

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The UN Resident Coordinator should insist on the inclusion of the SPF in the UNDAF process where this responds to national development needs and priorities. S/He will also advocate for the inclusion of the concept in regional and national planning frameworks, P4H and other frameworks. The UNDAF process is already ongoing in 30 countries, this is presenting an avenue for a rapid dissemination of the concept. Where those frameworks are lacking, the SPF-I will be a fruitful platform to encourage dialogue and convene initiatives on social protection.

### **3.6. Funding**

Funding needs for country activities will be modest during the technical assessment and planning phase and will increase continuously during the capacity building and the rolling out phase. It will be upon the governments to decide on sources of funding and trade-offs between competing demands. Where governments have limited technical capacities to assess the feasibility of sustainable financing, the SPF may provide technical assistance also for identifying the fiscal space available for the sustainable financing of SPF policies.

Upon invitation from the government, the national SPF task force may participate in identifying and discussing sources of funding with the Ministry of Finance and relevant donors whose support will be key and will condition the establishment of the SPF especially in the poorest countries. Fundraising for technical advisory costs of national SPF approaches should be first and foremost the responsibility of UN country teams.

It is also expected that those countries, that are already advanced in the establishment of a SPF at the national level, will support the development of SPF approaches in partner countries through the provision of know-how and advisory manpower, in the framework of the “South-South” (horizontal) collaboration. This is already the case of e.g. Brazil, South Africa or India.



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## 4. Global activities

The activities of the Global Technical Advisory network to be achieved in the short and, medium term are the following:

- (1) knowledge management;
- (2) joint advocacy;
- (3) capacity building for national planners;
- (4) monitoring, evaluation and reporting.

If external funding can be obtained the network will organize at least two more global steering workshops during 2010 to monitor progress of activities on the global and national level.

### 4.1. Information sharing and knowledge management

The knowledge management strategy draws on existing publications, tools, expertise and data that are useful for the development of the SPF.<sup>14</sup> Cooperating Agencies and development partners of the SPF agree that what is needed primarily for the knowledge management of the SPF approach is improving information sharing on this rich existing experience as well as on up-coming publications or activities rather than a production of additional reports. However, the availability of appropriate information and data will vary greatly between countries so that further research on specific knowledge gaps and data needs may be required depending on the context.

Internally, improved knowledge management and information sharing on Social Protection will enable the UN system to improve coordination and collaboration so as to better assist their member states in the area of Social Protection in a coherent, efficient and effective way. Externally, better information sharing of experiences in the area of Social Protection will avoid duplication of efforts and improve access to relevant Social Protection information for civil society actors, governments, the development community, social partners and the general public.

Therefore, all cooperating agencies agree to share information about their Social Protection related activities, especially on:

- education, Training and Capacity Building activities;
- national, regional and global conferences for sharing of experiences and cross-border knowledge sharing;
- tools, manuals, guidelines;
- Websites, Internet platforms or links;
- databases/statistics;

<sup>14</sup> E.g. UN-WIDER is initiating a programme of economic analysis of social protection programming that will report in 2010.

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- publications, Policy Briefs, Country Case Studies, Best practices, especially regarding country assessment of existing national social protection systems.

Each cooperating agency commits to continuously make this information available through at least one of the following channels:

- through the SPF-I mailing list ;
- on a SPF page on their Websites;
- on the SPF related GESS site at

<http://www.socialsecurityextension.org/gimi/gess/ShowTheme.do?tid=1321>

The GESS website will offer different sections on the SPF, including a country database, an updatable training schedule, space for country-to-country exchanges, news postings, issue highlights and discussion fora.

One resource person in New York and one in Geneva have been nominated to animate and facilitate the information sharing between all cooperating UN partners.<sup>15</sup> SPF focal persons from each UN agency will be responsible for promoting and sharing information internally in their respective organizations as well as creating the link to the two resource persons. Information on SPF implementation activities will also be shared among all regional bodies, participating countries, cooperating agencies, development partners and the general public.

## 4.2. Advocacy

The joint promotion of the SPF concept requires the adoption of a common development message across all UN agencies. That message should be: The SPF approach is not just a short term, ad hoc response to the consequences of the crisis but also the basis for a long term strategy to promote development, reduce vulnerability and prepare the countries for future shocks through the creation of guaranteed minimum social protection entitlements set out in a legal framework. Where in place, social protection systems have acted as automatic stabilizers in many countries in the current crisis, preserving social development progress made and mitigating the impact of the crisis. The crisis is a window of opportunity for strengthening and expanding social protection measures as counter-cyclical investments to cope with the present and future crises.<sup>16</sup>

<sup>15</sup> For the time being, these can be contacted at [wodsak@ilo.org](mailto:wodsak@ilo.org) in Geneva and [cattaert@ilo.org](mailto:cattaert@ilo.org) in New York

<sup>16</sup> Automatic stabilizers in this present crisis (where they existed and were allowed to come into play) demonstrated clearly that they contributed to attenuating the economic downturn, e.g. by helping to preserve aggregate demand through income support in the case of unemployment). This is part of the “economic” case for social protection systems, which makes the concept more palatable to those who tend to see above all the costs, and less so the benefits and facilitates the building of the social consensus that will be needed when the hard trade-offs need to be decided, particularly when expenditure reallocations become unavoidable. Certainly the economic case is much broader than just the need to sustain aggregate demand: it includes e.g. arguments to preserve and promote human resources and other vital assets (e.g. social cohesion or livestock) which is essential for swift recovery and robust economic growth over the longer term.

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A joint advocacy strategy on the SPF across cooperating UN agencies will emphasize in international fora the evidence available on the impact of the global financial and economic crisis on human and social development of the most vulnerable groups and will thus demonstrate the need to raise funds on the national and international levels to help implement the different elements of the Social Protection Floor. In this context, the national level is of particular importance. While funds for technical assistance on system design, reform processes, start-up costs and implementation might be raised internationally, a fiscal strategy has to be elaborated at the national level to analyze the availability of domestic funds to finance SPF approaches at country level.

SPF advocacy activities should draw on – and possibly feed into – the Global Impact and Vulnerability Alert System (GIVAS) aiming at closely monitoring emerging and dramatically worsening vulnerabilities on the ground, providing relevant information in a timely manner. This would help to shorten the information gap between the point when a global crisis hits vulnerable populations and when information reaches decision makers through official statistical channels, ensuring earlier and more appropriate responses.

The joint advocacy strategy will include:

- The preparation of *promotional material* (a briefing note on the SPF initiative “The Social Protection Floor Initiative: Delivering a Common Country Response”, a video and other communication material).
- *The creation of awareness* of the initiative within UN agencies, national governments, bilateral cooperation agencies, social security institutions, social partners, national and international NGOs, donor agencies, etc.
- Special advocacy efforts to enlist their support, namely with respect to prioritizing the *external funding resources* required in countries where the SPF-I is rolled out and where needs are most acute.
- Making use of the annual *Show & Tell event* for international organizations with interest in social protection to share social protection technical cooperation activities and their development impact with donor agencies and development banks.
- Close collaboration with *OECD DAC Povnet* in taking forward the High Level Policy Statement on Employment and Social Protection.
- Advocacy for the SPF at *intergovernmental bodies*, including the General Assembly, ECOSOC and its functional commissions as well as during national and international conferences, meetings or networks at all levels, e.g. in the context of its “Management of Social Transformations” (MOST) programme, UNESCO is organizing regional and sub-regional fora of Ministers for Ministries responsible for Social Development for the ECOWAS region, probably in March-2010 in Burkina Faso (tbc).

Further elements can be grouped as illustrated in table 4 below.

**Table 4. Examples of advocacy activities by UN system**

	<b>Activity</b>	<b>Actor</b>
Advocacy at global and regional level	Increase advocacy inside UN system	Focal persons of the Global SPF Advisory Network
	Identify some success stories and mobilize their leaders for advocacy (e.g. President of Brazil)	ILO
	Make the "Investment case" <sup>1</sup> for SPF-I and use it for advocacy	ILO or UN-DESA Involvement of WB and IMF UN-WIDER
	Advocacy Throughout the UN:	UN-DESA
	1) provide inputs for the second committee panel	Regional Social Protection networks, e.g. Inter-American Social Protection Network (IASPN)
	2) create opportunities to present the SPF-I at conferences (e.g. UNGA MDG Review September 2010)	NY offices of collaborating agencies
	3) advocate through other fora, e.g. Education for All High Level Group	GIVAS Existing knowledge networks (e.g. IPC-IG, MDGNet, PRNet) <sup>2</sup>
	Expand to donors, NGOs	Use OECD DAC Povnet.org P4H e-forum African Civil Society Platform for Social Protection membership of regional task teams
	Promote transparency of information regarding social expenditures	UN country team UN regional inter-agency working group
	MOST regional and subregional Fora of Ministers of Social Development network (e.g. Quito declaration adopted at the VII Forum for Latin America)	UNESCO Next Forum of Ministers in Burkina (tbc) 2010
Advocacy at country level	Entry point: UN Country team to include SPF-I in:	UN country teams
	1) UNDAF (urgent for 2009 UNDAF)	Involve key ministries, partners, NGOs
	2) Strategies for Accelerated Growth and Sustainable Development	
	Promote South-South advocacy (Could include technical assistance)	Brazil coop and ILO/UNDP in Brasilia, South-South Learning and Exchange programme of UNDP/IPC-IG UNDP in India
	Integration of SPF in UN Staff college training for UN Country team	UN Staff college
	Mainstreaming SP in education/health/child/environment/food/housing/water/disability/labor market policies, plans and budgets	UN agencies
	Integrating SP in national school curricula: e.g. Uruguay, Argentina, ...	UNESCO
	Linking up with bilateral agencies' advocacy with their national partners	Bilateral agencies
Advocacy at local level	Enhancing municipal and local capacity of collecting taxes and revenues	UN-HABITAT
	Enhancing municipal and local capacity of collecting taxes and revenues	UN-HABITAT

### 4.3. Capacity building, Training, Education

Capacity building, training and education aim at supporting the definition and the further implementation of a sustainable Social Protection Floor Policy at national and community level. Capacity building in a holistic institutional and organizational sense, is important because social protection systems are weak in terms of policy, mandates, coordination, human resources, administration and financing. Education, training and capacity building activities will draw on a host of different methodologies and channels, including south-

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south learning, triangular training, online/distance learning etc. Capacities of national social protection planners should be built as soon as possible and education and training should continue also in the medium and long run.

Capacity building, training and Education activities should be tailored to different levels and areas of work of implementers of the Social Protection Floor Policies, including senior governmental officers and parliamentarians, various categories of technical officials and administrators as well as social partners and other stakeholders.

In the short term, the following activities should be envisaged:

- ITCILO Turin will run SPF courses in English and Spanish still during 2009 and in French in early 2010. The ILO now welcomes all other UN-agencies to join in the planning and to contribute substance to these courses. Training must be cross-sectoral.
- OECD-POVNET has a Task Team whose mission is to organize capacity building, training and field testing of the range of guidelines<sup>17</sup> produced by the POVNET over the past couple of years. It would be beneficial for the UN-Agencies to coordinate these capacity building and country testing processes in light of SPF activities.
- The Commission for Social Development Side Events attract a lot of positive attention. They could be used to share information and to collect feedback from the various governments and other partners.
- The World Bank Institute (WBI) has over the years 2002-2007 run a *Social Risk Management Learning Programme* in Africa. A revival might be considered with a refocussing on the Social Protection Floor.
- In the Americas, the IADB has indicated an interest to invest in Social Security training. The Ibero-American seminar of social security institutions also committed themselves to support training for the SPF.
- A module on SPF will be developed with the UN staff college
- Training by institutions such as IDS Sussex, Economic Policy Research Institute EPRI, University of Maastricht
- Link with various capacity development activities with national counterparts facilitated by bilateral agencies
- SPF-related capacity building, education and training activities of all UN agencies and development partners will be announced in the training section of the SPF GESS Website:  
<http://www.ilo.org/gimi/gess/ShowNewssPublish.do?aid=2&begin=1&end=10&typed=112>

In the long run:

In the long run, the development of a national Social Protection capacity development strategy (based on capacity assessments and capacity development plans) will be key. This

<sup>17</sup> Guidelines on Pro-Poor Growth and Infrastructure/Agriculture/Private Sector Development/Poverty Impact Assessment, as well as PPG and Social Protection/ Employment.

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is essential if sustainable systems for institutionalized social protection programmes are to be built in developing countries. UN agencies and development partners engaged in the SPF should provide sustained capacity building for social welfare ministries which have often been neglected in international development financing, and are critical for reaching the most vulnerable groups. With the possible increase in global financing for social protection there is a window of opportunity to inject financial and technical assistance into this very important area.

- ITCILO Turin and ILO SEC/SOC will continue SPF courses and mainstream SPF in all Social Protection courses.
- Each organization should do an inventory of its own on-going training processes and tools, and assess how SPF related capacity building and training would fit onto those agendas.
- An inventory of the on-going training processes and tools at the country level, whether by our own organizations, by other UN-organizations with stronger country presence or by any other (incl. non-UN) organizations should be established.
- A variety of training elements needs to be developed and tailored to different audiences: lighter versions for the top policy makers and the general public, and more detailed technical versions for the middle-range professionals.

#### **4.4. Monitoring and evaluation**

In addition to ongoing, long-term, macro research on various aspects of social protection, its impact on socio-economic development and its importance in the context of the current crises, the UN is developing the Global Impact and Vulnerability Alert System. The GIVAS will combine high and low frequency and pulse indicators for “real-time assessment” of countries or populations. The SPFI should link to and support existing efforts and identify remaining SPF-specific knowledge gaps where applicable.

Evaluations and reporting activities on the global levels can only be undertaken if additional funding can be made available to the lead agencies.

Important steps towards an SPF monitoring and evaluation system are:

- 1) Compilation of an inventory of existing data bases;  
Create/expand inventory of existing programmes (agencies and countries);  
Create/expand inventory of existing tools/materials and how to access/utilize them;  
Undertake/expand/coordinate the mapping and identification exercises of vulnerability, and poverty.
- 2) Consideration of ways and means for specific monitoring of initiatives established (or coordinated) in the context of the SPFI by UN Country Teams. The question what indicators should be developed has to be clarified.
- 3) Focus on monitoring by Governments at the country level. Strengthening of national capacities to monitor through provision of technical advisory services; link to ongoing activities and recognize the requirement for additional funding. Ministries of Finance should be encouraged to second an economist to national SPF task forces for the Monitoring and Evaluation activities as well as the cost-benefit and fiscal space analysis. Consideration should be given to agreeing a set of standard indicators.

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- 4) Develop a robust frameworks for evaluation, including impact evaluation, that can be used at country level to learn lessons for fine-tuning programme design and to generate the evidence of impact and cost-effectiveness needed to build political support and secure the budgetary allocations required for national scale-up



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## Annex I.

### CEB Communiqué, 5 April 2009, Paris, France

We, the United Nations System Chief Executives, are meeting at a time of the worst global financial and economic crisis since the Great Depression of the 1930s. What began as a collapse of the US sub-prime mortgage market has quickly spread through global financial markets impacting the real economy, undermining consumer and business confidence and triggering further contraction in demand. World trade is falling and commodity prices have declined sharply. The world faces multiple financial, economic and social crises compounded by vulnerability from earlier food and energy crises. Livelihoods of rural and urban poor families are deteriorating rapidly. Jobs are being lost everywhere at an alarming pace. The crisis will affect all countries with a serious and disproportionate impact on the poorest. Accelerating trends of climate change present unprecedented new risks and demand a fundamental reorientation of production and consumption patterns. It is imperative that we turn this crisis into an opportunity for a sustainable future.

We welcome the historic decisions of the recent G-20 Summit and the commitment of \$1.1 trillion of additional resources to address the crisis. We underscore the central importance of a truly global stimulus, strengthened financial regulation and oversight to prevent a recurrence of the crisis and the need for coordinated policies to ensure that all available resources for stimulus have the maximum global impact. We welcome the strong emphasis of the G-20 on assisting developing countries on keeping opening trade, and on the additional financing for trade. However, specific commitments to additional resources are also required to assist the poorest, while avoiding the risk of resuming a cycle of unsustainable indebtedness.

The social effects of the crisis are already disturbing and could worsen. If action is not taken urgently, it can be devastating for the most vulnerable and voiceless, with growing social insecurity and displacement of people. The achievement of the MDGs is at stake. Progress in reducing poverty and hunger in developing countries is being set back. The 850 million people already suffering from chronic hunger in 2006 will increase to around one billion in 2009. The middle class in many countries is being weakened. The vulnerable groups, children, women, youth, elderly, migrants and people with disabilities, are hit the strongest.

Even before the onset of the current financial crisis, significant challenges existed in terms of food, education, health, water and sanitation, housing and minimum welfare for the most needy. Poverty and deprivation define the lives of too many.

In the face of this unfolding crisis, the multilateral system must deploy all its resources and capacities in a rapid and effective response, while upholding the principles, values and goals to which the international community has committed. Open economies and societies must be defended to avoid the risk of reverting to inward-looking policies, protectionism and even xenophobia. Human rights, democracy, social justice and peace must be preserved.

CEB underlines the risk of a reduction in development assistance at this time and the need to ensure that all efforts are made to prevent a global economic crisis from becoming a humanitarian and security crisis of potentially immense proportions. CEB reiterates that the commitments made earlier to increase ODA must be met. This means that donors will deliver at least \$300 billion in aid over the next two years.

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International policy coordination is crucial. The crisis is multidimensional and calls for policy coherence at global, regional and national levels. It is impacting countries differently and requires policy responses specific to national priorities. We call upon stakeholders to build on the current momentum of intensified multilateral cooperation in order to promote a fully inclusive framework of global governance.

The capacity of governments to design, afford and implement the right policies, while coordinating them with international partners, must be strengthened. The multilateral system plays a central role in articulating and delivering a global and coherent response to the crisis, and in translating it into action at the country level. At the country level, United Nations and IMF/WB representatives should work together in a joint and complementary approach to the crisis.

We, the United Nations System Chief Executives, are determined to take decisive and urgent action. In view of the multiple facets of the crisis and our collective mandates and responsibilities, we have agreed on nine joint initiatives. This common commitment is designed to assist countries and the global community to confront the crisis, accelerate recovery and build a fair and inclusive globalization allowing for sustainable economic, social and environmental development for all, while facing the future in a spirit of conviction of the need for transformational change:

1. **Additional financing for the most vulnerable:** advocating and devising a joint World Bank - UN system mechanism for the common articulation and implementation of additional financing, including through the World Bank proposed Vulnerability Fund.
2. **Food Security:** strengthening programmes to feed the hungry and expanding support to farmers in developing countries.
3. **Trade:** fighting protectionism, including through the conclusion of the Doha round and strengthening aid for trade initiatives and finance for trade.
4. **A Green Economy Initiative:** promoting investment in long-term environmental sustainability and putting the world on a climate-friendly path.
5. **A Global Jobs Pact:** boosting employment, production, investment and aggregate demand, and promoting decent work for all.
6. **A Social Protection Floor:** ensuring access to basic social services, shelter, and empowerment and protection of the poor and vulnerable.
7. **Humanitarian, Security and Social Stability:** Emergency action to protect lives and livelihoods, meeting hunger and humanitarian needs, protecting displaced people and shoring up security and social stability.
8. **Technology and Innovation:** developing technological infrastructure to facilitate the promotion and access to innovation.
9. **Monitoring and Analysis:**
  - strengthening macroeconomic and financial surveillance and implementing an effective economic early warning system;
  - Urgently establish a UN system-wide vulnerability monitoring and alert mechanism to track developments, and report on the political, economic, social and environmental dimensions of the crisis.

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Policy coherence and coordination are essential. Promoting coordination of strengthened financial oversight and of economic stimulus packages will enhance their overall effectiveness; and providing relevant policy advice on countercyclical policies will contribute to protecting people, accelerating the way out of this crisis and preventing its recurrence.



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## **Annex II.**

### **Universal Declaration of Human Rights (1948) – Articles 22, 25, 26**

<http://www.un.org/en/documents/udhr/>

On December 10, 1948 the General Assembly of the United Nations adopted and proclaimed the Universal Declaration of Human Rights the full text of which appears in the following pages. Following this historic act the Assembly called upon all Member countries to publicize the text of the Declaration and "to cause it to be disseminated, displayed, read and expounded principally in schools and other educational institutions, without distinction based on the political status of countries or territories."

#### **Article 22**

Everyone, as a member of society, has the right to social security and is entitled to realization, through national effort and international cooperation and in accordance with the organization and resources of each State, of the economic, social and cultural rights indispensable for his dignity and the free development of his personality.

#### **Article 25**

- (1) Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control.
- (2) Motherhood and childhood are entitled to special care and assistance. All children, whether born in or out of wedlock, shall enjoy the same social protection.

#### **Article 26**

- (1) Everyone has the right to education. Education shall be free, at least in the elementary and fundamental stages. Elementary education shall be compulsory. Technical and professional education shall be made generally available and higher education shall be equally accessible to all on the basis of merit.
- (2) Education shall be directed to the full development of the human personality and to the strengthening of respect for human rights and fundamental freedoms. It shall promote understanding, tolerance and friendship among all nations, racial or religious groups, and shall further the activities of the United Nations for the maintenance of peace.
- (3) Parents have a prior right to choose the kind of education that shall be given to their children.

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## **Annex III.**

### **Convention on the Rights of the Child – Selected Articles**

<http://www.unicef.org/crc/> and <http://www2.ohchr.org/english/law/crc.htm>

The 1989 Convention on the Rights of the Child is the first legally binding international instrument to incorporate the full range of human rights—civil, cultural, economic, political and social rights. The Convention sets out these rights in 54 articles and two Optional Protocols. It spells out the basic human rights that children everywhere have: the right to survival; to develop to the fullest; to protection from harmful influences, abuse and exploitation; and to participate fully in family, cultural and social life. The four core principles of the Convention are non-discrimination; devotion to the best interests of the child; the right to life, survival and development; and respect for the views of the child.

#### **Article 4.**

1. States Parties shall undertake all appropriate legislative, administrative, and other measures for the implementation of the rights recognized in the present Convention. With regard to economic, social and cultural rights, States Parties shall undertake such measures to the maximum extent of their available resources and, where needed, within the framework of international co-operation.

#### **Article 7.**

1. The child shall be registered immediately after birth and shall have the right from birth to a name, the right to acquire a nationality and, as far as possible, the right to know and be cared for by his or her parents.

#### **Article 18**

1. States Parties shall use their best efforts to ensure recognition of the principle that both parents have common responsibilities for the upbringing and development of the child. Parents or, as the case may be, legal guardians, have the primary responsibility for the upbringing and development of the child. The best interests of the child will be their basic concern. States Parties shall take all appropriate measures to ensure that children of working parents have the right to benefit from child-care services and facilities for which they are eligible

2. For the purpose of guaranteeing and promoting the rights set forth in the present Convention, States Parties shall render appropriate assistance to parents and legal guardians in the performance of their child-rearing responsibilities and shall ensure the development of institutions, facilities and services for the care of children.

3. States Parties shall take all appropriate measures to ensure that children of working parents have the right to benefit from child-care services and facilities for which they are eligible.

#### **Article 24**

1. States Parties recognize the right of the child to the enjoyment of the highest attainable standard of health and to facilities for the treatment of illness and rehabilitation of health. States Parties shall strive to ensure that no child is deprived of his or her right of access to such health care services.

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## Article 26

1. States Parties shall recognize for every child the right to benefit from social security, including social insurance, and shall take the necessary measures to achieve the full realization of this right in accordance with their national law.

## Article 27

1. States Parties recognize the right of every child to a standard of living adequate for the child's physical, mental, spiritual, moral and social development.

2. The parent(s) or others responsible for the child have the primary responsibility to secure, within their abilities and financial capacities, the conditions of living necessary for the child's development.

3. States Parties, in accordance with national conditions and within their means, shall take appropriate measures to assist parents and others responsible for the child to implement this right and shall in case of need provide material assistance and support programmes, particularly with regard to nutrition, clothing and housing.

4. States Parties shall take all appropriate measures to secure the recovery of maintenance for the child from the parents or other persons having financial responsibility for the child, both within the State Party and from abroad. In particular, where the person having financial responsibility for the child lives in a State different from that of the child, States Parties shall promote the accession to international agreements or the conclusion of such agreements, as well as the making of other appropriate arrangements.

## Article 28

1. States Parties recognize the right of the child to education, and with a view to achieving this right progressively and on the basis of equal opportunity, they shall, in particular:

- (a) Make primary education compulsory and available free to all;
- (b) Encourage the development of different forms of secondary education, including general and vocational education, make them available and accessible to every child, and take appropriate measures such as the introduction of free education and offering financial assistance in case of need;
- (c) Make higher education accessible to all on the basis of capacity by every appropriate means;
- (d) Make educational and vocational information and guidance available and accessible to all children;
- (e) Take measures to encourage regular attendance at schools and the reduction of drop-out rates.

## Article 32

1. States Parties recognize the right of the child to be protected from economic exploitation and from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral or social development.

2. States Parties shall take legislative, administrative, social and educational measures to ensure the implementation of the present article. To this end, and having regard to the relevant provisions of other international instruments, States Parties shall in particular:

- (a) Provide for a minimum age or minimum ages for admission to employment;

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- (b) Provide for appropriate regulation of the hours and conditions of employment;
  - (c) Provide for appropriate penalties or other sanctions to ensure the effective enforcement of the present article.

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## **Annex IV.**

### **Concept Note on the CEB Social Protection Floor Initiative (May 2009)**

UN System Chief Executives Board for Coordination (2009): Global financial and economic crisis – UN System, Joint crisis initiatives, Initiative VI on a Social Protection Floor.

<http://www.ilo.org/public/libdoc/igo/2009/433767.pdf>



## Annex V.

### Overview of relevant policy instruments of collaborating agencies

Policy Area	Activities/Policy Instruments	Agency
Social Protection General	<ul style="list-style-type: none"> <li>– Advise on and capacity building for design, costing, financing, implementation, monitoring of SP policies/programmes</li> <li>– Cash Transfers</li> </ul>	All agencies
Health		
<ul style="list-style-type: none"> <li>• Governance</li> </ul>	Contracting	WHO, ILO
<ul style="list-style-type: none"> <li>• Financing</li> </ul>	Risk pooling, pre-payment mechanisms	WHO; ILO, World Bank
<ul style="list-style-type: none"> <li>• Improving access</li> </ul>	Transfers (e.g. CCTs) linked to health services, e.g. maternal and child or reproductive health	World Bank, ILO, WFP, UNICEF
Education		
<ul style="list-style-type: none"> <li>– Promoting a holistic approach for achieving MDG education and EFA</li> </ul>	<ul style="list-style-type: none"> <li>– Advocacy through the numerous EFA-related forums and task forces on (i) the right to education, (ii) for increasing investments in education and (iii) for mainstreaming the concept of the SPF into national education policies as well as curricula</li> </ul>	UNESCO, UNICEF, UNDP, World Bank, IPC-IG
<ul style="list-style-type: none"> <li>– Ensuring universal access to an essential level of quality education through adequate national educational policies, plans and budgets</li> </ul>	<ul style="list-style-type: none"> <li>– Education sector strategies and plans inclusive of social protection, pro-poor measures for the most vulnerable</li> <li>– Capacity development and expertise mobilization</li> <li>– Increased spending on basic education</li> <li>– Monitoring and Analysis of relevant trends in education</li> <li>– Transfers (e.g. CCTs) linked to education</li> <li>– Increased spending on Basic Education</li> <li>– Social Pensions for the elderly</li> </ul>	
Water and Sanitation/Housing	<ul style="list-style-type: none"> <li>– Cash/in kind benefits, WASH programmes</li> </ul>	UNHABITAT, UNICEF
Food Security/Nutrition	<ul style="list-style-type: none"> <li>– Farmer Field School</li> <li>– Junior Former Field and Life School</li> <li>– Homestead Gardening</li> <li>– Community-level nutrition</li> <li>– Emergency food assistance and nutrition interventions</li> <li>– Food Transfers, e.g. Micronutrient supplementation</li> <li>– Trade and tax policies</li> <li>– Increase access to costly agricultural inputs</li> <li>– Food Safety</li> <li>– Insurance mechanisms/contingency plans</li> <li>– School Feeding</li> <li>– Cash or in-kind Benefits</li> </ul>	FAO, WFP, UNICEF, IMF
Protection from adverse effects of natural hazards	<ul style="list-style-type: none"> <li>– Early warning systems</li> </ul>	WMO, WFP
Labour market	<ul style="list-style-type: none"> <li>– public works programmes</li> <li>– unemployment benefits/insurance</li> <li>– child labour and youth programmes</li> </ul>	ILO, FAO, WFP, UNDP, UNICEF, World Bank



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## Annex VI.

### Overview of existing tools ordered by activities of SPF approach

The table below is still incomplete but will be available online and up-dated on a regular basis. See <http://www.ilo.org/gimi/gess/ShowTheme.do?tid=1321>

Activities	Existing Tools
1 Raising awareness/Advocacy	<p><b>General</b></p> <ul style="list-style-type: none"><li>- Analytical work on the impact of SPF measures</li><li>- Internet platforms / Joint Websites (e.g. Food, Agriculture and Decent Work)</li><li>- Newsletters, networks</li><li>- Conventions, recommendations, resolutions</li><li>- Ministerial Fora (regional and subregional Fora of Ministries of Social Development) (UNESCO)</li><li>- Exchange of country experiences</li><li>- DevINFO database system for monitoring human development</li></ul> <p><b>Education</b></p> <ul style="list-style-type: none"><li>- EFA: Education for all partnerships, forums, high level group, press packages etc.</li></ul> <p><b>Water and sanitation, Housing</b></p> <ul style="list-style-type: none"><li>- International Guidelines on access to basic services for all (UNHABITAT)</li></ul> <p><b>Children</b></p> <ul style="list-style-type: none"><li>- State of the World's Children (UNICEF)</li><li>- Situation Analyses (UNICEF)</li><li>- Country Reports of the Global Study on Child Poverty and Disparities (UNICEF)</li></ul> <p><b>Natural hazards and other climate related risks</b></p> <ul style="list-style-type: none"><li>- Sensitization training seminars and workshops</li><li>- Documentation of best practices</li></ul>
2 Establishing / organizing a joint SPF task force	<ul style="list-style-type: none"><li>- Sector wide approaches, sector groups</li></ul>
3 Taking stock of present SPF situation (pre-crisis)	<p><b>General</b></p> <ul style="list-style-type: none"><li>- General statistics and databases: Labour market statistics, Social Security Inquiry, Inventory on health micro-insurance schemes in Africa (ILO)</li><li>- Public Expenditure Tracking tools PETS (WB, ILO)</li></ul> <p><b>Education</b></p> <ul style="list-style-type: none"><li>- Education statistical databases (UIS UNESCO)</li><li>- Global Monitoring Report on EFA (UNESCO)</li><li>- Early warning systems (UNESCO)</li><li>- National education information systems</li><li>- Open EMIS – generic education information system for collecting and processing reliable data on education (UNESCO)</li></ul> <p><b>Health</b></p> <ul style="list-style-type: none"><li>- National Health Accounts (WHO)</li><li>- OASIS (Health financing system assessment)</li><li>- Health Budget Models (ILO)</li><li>- Commodity Security Stock Out Assessment Tool (UNFPA)</li><li>- Marginal Budgeting for Bottlenecks (UNICEF, UNFPA, UNAIDS, WHO and the World Bank)</li><li>- Assessment using quality of social health protection and coverage deficit indicators (ILO)</li><li>- Framework for assessment of depth and breadth of social health protection coverage based on vulnerability of countries (ILO)</li><li>- Providing for Health (P4H) assessment framework for social health protection systems</li></ul>

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Taking stock of the impact of the crisis

#### **Food**

- Emergency Food Security Assessment, EFSA (WFP)
- Comprehensive Foods Security and Vulnerability Assessments, CFSVA (WFP)
- Nutrition and food security Surveillance Systems (WFP)
- Rapid Livelihoods Assessment and Response Planning (in Emergency Situations) (FAO)

#### **Water and sanitation, Housing**

- Urban observatories database
- International Guidelines on access to basic services for all (UNHABITAT)

#### **Children**

- Joint Statement on Child Sensitive Social Protection (UNICEF, ILO, UNDP, WB at al.);
- Framework on children affected by HIV/AIDs (UNICEF; UNAIDS, Inter-Agency Task – Team on children affected by AIDS)
- Assessment tool for core capacities of the ministry with primary responsibility for child protection (UNICEF)
- Childinfo database (UNICEF)
- Child Rights Toolkit (2010) (UNICEF)

#### **Natural hazards and other climate related risks**

- Survey of existing national DRR policies (WMO)

#### **General**

- IMF inventory and analysis of response measures
- World Bank "Impact of the crisis" studies
- GIVAS
- Economic crisis PSIA window (country studies) (UNDP)

#### **Education**

- Ad hoc surveys to assess the effects of the crisis on supply of and demand for education, including public spending on education (UNESCO)

#### **Health**

- Providing for Health (P4H) assessment framework for social health protection systems

#### **Food**

- Rapid assessments on nutritional security (UNICEF, FAO, WFP)

#### **Children**

- UNICEF rapid assessments on nutritional security for children

#### **Gender sensitive tools**

- Poverty and Social Impact Analysis (PSIA) (WB, UNDP)

Country response to the crisis (if any)

- 4 Through national dialogue, elaborating a first definition/approach of the country specific Social Protection Floor policy

Rapid assessment tools and surveys

#### **General**

- Poverty and Social Impact Analysis
- Benefit incidence analysis
- Capacity Assessments
- Market assessments
- Needs Assessments
- Vulnerability analysis
- Household Expenditure Analysis
- Poverty Mapping
- Rapid Livelihoods Assessment and Response Planning (in Emergency Situations)
- ILO population model, economic model, labour market model
- Basic Social Protection assessment tool (ILO)
- Feasibility study guide (ILO)
- Tripartite social dialogue/Multi-stakeholder dialogue/national dialogue
- Achieving MDGs

#### **Education**

- UNES (UNESCO Education Support Strategy) for joint needs assessment and programming (UNESCO)
-

- 
- 
- Water and sanitation, Housing**
- International Guidelines on access to basic services for all (UNHABITAT)
- Natural hazards and other climate related risks**
- Factoring DRR, and more generally, risk management, in development policies, including SPF policies (WMO)
- 5 Evaluating the cost of the approach identified and potential financial sources that ensure long-term financial sustainability
- General**
- Social and Gender Sensitive Budgeting (ILO, UNICEF, UNDP/UNIFEM)
  - Marginal Budgeting for Bottlenecks (multiple agencies)
  - Social Protection Expenditure Review (ILO, World Bank, UNDP)
  - Sustainability assessments (fiscal and debt sustainability implications) (IMF)
  - Fiscal space analysis, mobilizing national resources (IMF)
  - Social Protection Program Expenditure Assessment Tool (UNDP)
- Children**
- Cost Estimation Model for Expanding Early Childhood Care and Education (UNICEF)
- Health**
- OASIS (WHO)
  - CHOICE (WHO)
  - SimIns (WHO)
  - Integrated Health Needs Assessment (UNDP)
  - Integrated Framework for AIDS Planning, Resource Estimation, Budgeting and Financing (UNDP)
- Education**
- Education Policy and Strategy Simulation Model (EPPSim) (UNESCO, UNICEF, UNDP)
- Food**
- Rural Development Needs Assessment (UNDP)
- Water and sanitation, Housing**
- Water and Sanitation Needs Assessment (UNDP)
  - Energy Needs Assessment (UNDP)
- Gender sensitive tools**
- Gender Needs Assessment (UNDP)
- Natural hazards and other climate related risks**
- Environment Needs Assessment (UNDP)
- 6 Reconsidering SPF proposal in light of step 5, then: back to step 4 or forward to Step 7 .
- Health**
- OASIS (WHO)
  - CHOICE (WHO)
  - SimIns (WHO)
- 7 Policy decision making process
- Assessment frameworks for draft social security legislations (ILO)
- 8 Implementation: Identify technical and financial support needs
- Training/Capacity Building (all agencies)
  - Targeting methodologies
  - Delivery mechanisms
  - MDG Acceleration Framework (UNDP)
- 9 Monitoring and evaluation
- Baseline Surveys
  - Technical guidelines on M&E by sectors (World Bank)
- Health**
- MAS Gestion (ILO/STEP)
- Education**
- Education statistical database
  - Early warning systems
- Food**
- Nutrition and Food Security Surveillance Systems
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## Annex VII.

### Tentative check-list of data for the country assessment and costing of the Social Protection Floor

1. Inventory of existing institutions and benefit programmes according to core thematic areas under the Social Protection Floor *(to be filled in during country assessments)*

Public Institution	Benefit programme	SPF ELEMENT 1. ESSENTIAL SERVICES				SPF ELEMENT 2. SOCIAL TRANSFERS			
		Water and Sanitation	Health	Education	Social work	Food security and nutrition to the poor and vulnerable	Income security and access to essential services	Health	Education
<i>Public institution a</i>	<i>Programme a</i>								
<i>Public institution b</i>	<i>Programme b</i>								
<i>Public institution c</i>	<i>Programme c</i>								
<i>Public institution ...</i>	<i>Programme ...</i>								

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## 2. National data

Time series for the past 2 to 10 years should be collected from existing nation data sources in relation to the following variables. Whenever projections for the future are available, they should be collected.

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Macro-economic data & Labour market data	<ul style="list-style-type: none"><li>• GDP at current price and GDP at constant prices by economic sector (annual growth rates)</li><li>• GDP at current price and GDP at constant prices by expenditure category (annual growth rates)</li><li>• GDP deflator by economic sector</li><li>• GDP deflator by expenditure category</li><li>• Labour and capital income shares of GDP</li><li>• National income – disaggregated data</li><li>• National average wage by economic sector</li><li>• Minimum wage, if applicable</li><li>• Price indices (including indices of export and import prices)</li><li>• Nominal interest rates</li><li>• Public social expenditure accounts</li><li>• Health accounts</li><li>• Labour force and labour force participation rates by sex and age, by geographical area</li><li>• Employment by economic sector and status and by geographical area</li><li>• Unemployment and underemployment</li><li>• Informal economy</li></ul>
General demographics	<ul style="list-style-type: none"><li>• Census information and data on general population by sex and age, in total and disaggregated by geographical area</li><li>• Mortality rates by sex and age, in total and disaggregated for selected population groups</li><li>• Infant and maternal mortality, U5MR</li><li>• Fertility rates by age of the mother</li><li>• Sex ratio of newborns</li><li>• Net migration flows by sex and age and details on countries of origin</li></ul>
Family and household statistics	<p><i>(Data from household surveys and poverty studies)</i></p> <ul style="list-style-type: none"><li>• Number of households by size (number of dependant children), geographical area, socio-economic group ranked in relation to work category of head of household (e.g. salaried employee, self-employed non-agriculture, self-employed agriculture, unemployed, retiree, other).</li><li>• Proportion of married persons by sex and age and by geographical area (if unavailable – reference to social insurance statistics could be useful)</li></ul>
Household income and expenditure	<p><i>(Data from household surveys and poverty studies)</i></p> <ul style="list-style-type: none"><li>• Number of households by average monthly income level, according to different socio-economic groups</li><li>• Composition of family income by source: employment salary, earnings from self-employment, earnings from agriculture activities, social transfers, others</li></ul>
Poverty	<ul style="list-style-type: none"><li>• National measure of the poverty line and other international data sources on calculation of the national poverty line; national and international norms and standards (multidimensional poverty)</li><li>• National measure of poverty, vulnerability classes and income (household or per-capita) by geographical area, by economic sector and according to main classes of sources of family income and/or dimensions of deprivations</li><li>• National measure of malnutrition and relevant statistics on nutrition</li></ul>

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### 3. Essential services of the Social Protection Floor: programme-specific data

Time series for the past 2 to 10 years should be collected from existing nation data sources in relation to the following variables. Whenever projections for the future are available, they should be collected.

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Food and nutrition security	<ul style="list-style-type: none"><li>• National nutrition outcome indicators</li><li>• Inventory of existing programmes, responsible administration, funding source, historical data</li><li>• Programme-specific data:<ul style="list-style-type: none"><li>• Provisions – eligibility criteria, benefit contents (e.g. subsidies, in-kind, cash transfers)</li><li>• Exposure groups and their main characteristics/profile</li><li>• Number of beneficiaries – by sex, age, household income level / classification, geographical area</li><li>• Total expenditure</li><li>• Administration operational expenses</li><li>• Benefit delivery capacity information</li><li>• Funding sources</li><li>• Existing studies on their review</li></ul></li><li>• National food support budget</li><li>• Existing assessments of food programmes and proposals for scaling up; proposals in need of financing</li><li>• Disease patterns; gender and age patterns of intra-household allocation of food; hygiene</li></ul>
Water and sanitation	<ul style="list-style-type: none"><li>• National water and sanitation outcome indicators</li><li>• Inventory of existing public services, responsible administration, funding source, historical data</li><li>• Specific data for each public service:<ul style="list-style-type: none"><li>• Description of services</li><li>• Served population groups and main characteristics relating to eligibility/access to public services</li></ul></li><li>• National water and sanitation budget</li><li>• Existing assessments of water and sanitation and proposals for scaling up; proposals in need of financing.</li></ul>
National system of health services	<p><i>Quality of services</i></p> <ul style="list-style-type: none"><li>• Maternal mortality ratio, U5MR</li><li>• National health outcome indicators</li></ul> <p><i>Public health services:</i></p> <ul style="list-style-type: none"><li>• National and decentralized legislation applicable to public health services</li><li>• Description of public infrastructure and supply of public health services (sanitation, health providers' referral system, number of hospital beds, number of health practitioners, health services at different levels I, II, III, other indicators on the availability and access of health services, exclusions, supply of medication, etc.)</li><li>• Availability of one or more than one set of basic (guaranteed) health services (by age, treatment/disease, sanitary level, etc.)</li><li>• National health budget and disaggregated data on public hospital budgets and other health services delivery mechanisms (levels I and II)</li></ul> <p><i>Non-public health services:</i></p> <ul style="list-style-type: none"><li>• Governing national legislation related to private health services</li><li>• Description of private offer of health services (number of hospital beds, number of practitioners, benefit package, etc.)</li></ul>
Education	<p><i>Education Sector Diagnosis – Situation Analysis</i></p> <ul style="list-style-type: none"><li>• Access to education (including identification of the most vulnerable groups failing to access education)</li><li>• Education quality (including identification of needs in terms of school construction, child friendly schools, textbooks provision and distribution)</li><li>• Education financing (including identification and costs of the programmes and measures that support access to education of the most vulnerable – like conditional cash transfers, demand-side interventions, scholarships and loans, school feeding programmes and also universal initiatives as the school fee abolition initiative (SFAI).</li><li>• Education management</li><li>• National education budget, National education outcome indicators</li><li>• Description of the public education system and details by geographical area (attendance, number of pupils, etc.)</li><li>• National and decentralized education programmes/projects: description of benefits (e.g. subsidies to cover education fees, distribution of school books, construction of schools, etc.) and eligibility provisions, target groups (e.g. geographical area, household categories, etc.), number of beneficiaries, total expenditure, funding sources</li><li>• Public programmes in place; scholarships, education subsidies, vouchers, community support, etc.</li><li>• Special needs education and programmes for poor and/or excluded population groups</li><li>• Existing assessments of education system and proposals for scaling up; proposals in need of financing.</li></ul>

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#### 4. Essential transfers of the Social Protection Floor: programme-specific data

Time series for the past 2 to 10 years should be collected from existing nation data sources in relation to the following variables. Whenever projections for the future are available, they should be collected.

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Transfers for unemployed, elderly, disabled	<ul style="list-style-type: none"><li>Existing programmes, institution responsible, donors, starting date</li><li>For each programme: description of the benefit package, type of benefits (cash/kind), population covered (target group, number of beneficiaries or people covered, percentage compared to the target population), qualifying conditions, total expenditure, share of administrative cost, level of benefit, source of financing</li><li>Critical analysis of existing programme, efficiency, effectiveness, impact</li><li>Programmes that could easily be extended from pilot phase to national coverage</li><li>Projects for new programmes; development or extension of existing programmes</li></ul>
Access to health	<p><i>Health expenditure:</i></p> <ul style="list-style-type: none"><li>National health accounts (if available)</li><li>Public and private expenditure, public/private ratio</li><li>Total health expenditure in % of GDP</li><li>Government health expenditure in total government expenditure</li><li>Government health expenditure in total health expenditure</li><li>Government health expenditure per capita</li><li>Social security expenditure on health in government health expenditure</li><li>Out-of-pocket expenditure in total health expenditure</li></ul> <p><i>Access to health services and affordability of services:</i></p> <ul style="list-style-type: none"><li>Deficit of legal/formal coverage in % of population</li><li>Utilization rates and average expenditure (inpatient/outpatient)</li><li>Existing social health protection programmes (transfers for unemployed, elderly, disabled)</li><li>Catastrophic health expenditure as share of total health expenditure</li></ul>
Access to education	<p><i>Basic national data:</i></p> <ul style="list-style-type: none"><li>Number of intakes disaggregated by gender</li><li>Number of pupils disaggregated by gender</li><li>Number of teachers disaggregated by gender and qualification</li><li>Number of classes</li><li>Number of textbooks</li><li>Total national budget</li><li>Total budget for education disaggregated by level of education, recurrent/capital costs</li><li>Total education expenditure</li><li>External funding to education if any</li><li>Household contribution</li></ul> <p><i>Access to education</i></p> <ul style="list-style-type: none"><li>Gross intake rate to primary education</li><li>Gross enrollment ratios at all education levels</li><li>Net enrollment ratios</li><li>Drop out rate</li><li>Survival rate +5years</li><li>Gender Parity index</li></ul> <p><i>Education quality (basic indicators)</i></p> <ul style="list-style-type: none"><li>Pupils-Teacher ratio</li><li>Qualified/non qualified teacher ratio</li><li>Class size</li><li>Pupil-Textbook ratio</li><li>Learning outcomes</li></ul> <p><i>Education financing (basic indicators)</i></p> <ul style="list-style-type: none"><li>Education as % of GDP</li><li>Education as % of national budget</li><li>Budget analysis: recurrent/capital costs</li><li>Pupil unit costs</li><li>Domestic/External Financing ratio</li><li>Public/private financing ratio</li></ul>

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## Annex VIII.

### Participants

#### ***Inter-agency consultation on the CEB Social Protection Floor initiative***

Turin, 13 – 15 October 2009

#### 1) Cooperating Agencies

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