

Gap Analysis Tool

Instructions to the reader:

This tool was developed to support the development of a roadmap for Adaptive Social Protection (ASP) in Indonesia.

The goal of the “Gap Analysis” is to help governments and partners understand how far the current situation, that is current efforts in the context of ASP, aligns or diverges from the desired ideal future situation for an established ASP system. The notion of a future desirable situation for ASP can relate to different time horizons and thus provides a broad spectrum for the analysis.

The gap analysis is conducted for each of the ASP ‘building blocks’: (1) institutional arrangements and partnerships; (2) programmes and their delivery systems; (3) data and information; and (4) finance. Within each building block, the analysis focuses on specific ‘change domains’, i.e., areas in which change is considered necessary to establish a comprehensive ASP system.

Using the template below, information on the ‘current situation’ and the ‘desired future situation’ is captured. This information can be compiled through an in-country mapping exercise based on desk review and expert consultations, as well as a review of concepts and global best practice for ASP.

By comparing the ‘current situation’, and the ‘desired future situation’ the ‘gap’ can be defined, which can then inform next steps and recommendations for an ASP Roadmap. For each of the identified gaps, options should be developed in a next step. Certain options may be feasible in the short or medium term, while others are only feasible in the longer term.

INSTITUTIONAL ARRANGEMENTS

Thematic area	Change domain	Desired future situation (EXAMPLE)	Gap	Current situation
Leadership & cooperation	Leadership	ASP objectives are actively promoted by high level authorities of government, and embedded in high-level strategies		
	Objective setting	Clear objectives, including targets and indicators, set within relevant ASP policies and frameworks that outlines priorities, accountability, and direct programmatic efforts		
		Periodic monitoring, evaluation and revision of objectives, targets, and indicators based on achievements realized		
	Horizontal & vertical cooperation	Clear roles and responsibilities (including complementarities) established for all government actors at all levels, including across relevant SP, DRM and CCA programmes and measures		
		Inter-ministerial coordination mechanisms established and functional, including sharing of data & information		
		Coordination mechanisms in the implementation of ASP that also link with the local level.		
	Partnerships	Standardized guidelines for design and implementation of ASP programmes and measures in place, including at local level		
		Comparative advantages in design and delivery of ASP programmes and measures of governmental and non-governmental actors identified		
		Agreements with non-governmental actors and coordination mechanisms in place and functional		

Legislation and policies	Coherence and comprehensiveness of legal and regulatory framework	ASP reflected in national legal-regulatory framework		
		Complementarities between laws and regulations related to ASP within and across relevant sectors identified		
	Coherence and comprehensiveness of national policies, strategies and plans	ASP principles embedded in medium- and long-term government policies, strategies and plans		
		ASP principles embedded in relevant sectoral approaches		
Institutional capacities	Human resources and capacities	Sufficient human resources at national and subnational level for ASP provided (including surge capacities)		
		Sufficient infrastructural capacities at national and subnational level for ASP (including surge capacities) identified and put in place		
	Institutional/ organizational capacities	Appropriate institutional procedures at national and subnational level for ASP identified and put in place		
		Multi-sector, people-centred guidelines and safeguards established for ASP system and programme design and delivery (including terms of exit and scale down of ASP programmes and measures, and how to refer and link beneficiaries across programmes)		

PROGRAMMESAND DELIVERY SYSTEMS

Thematic area	Change domain	Desired future situation (EXAMPLE)	Gap	Current situation
Programme design	Absorptive, adaptive and transformative capacity of programmes	Existing & new programmes are designed for flexibility and scalability where appropriate, including preparedness and response		
		Regular programmes (and their support systems) adjusted and strengthened to reduce risk over time and ensure reliable delivery and coverage to those in need		
		Prioritized SP, DRM and CCA programmes connected to make them more integrated and adaptive to current and future natural and climate-driven hazards and their impacts		
	Support systems and tools	Risk and programme layering approach is available & applied by policy makers for reviewing & developing ASP programmes & measures, with a view to addressing multi-dimensional risk and enhancing transformative capacity of programming		
		Inter-operable support systems adjusted or designed to facilitate flexible delivery and complementary programming for ASP		
	Convergence and alignment of programmes and capacities (including to non-traditional actors)	Prioritized SP, DRM and CCA programmes link their investments, tools and capacities to enhance the overall coverage, comprehensiveness and adequacy of support to the most vulnerable		
		Non-traditional actors, or those outside SP, DRM and CCA sectors (including but not limited to the private sector) are engaged, and their conditions understood and met as required, for ASP programme design and delivery.		

Programme delivery	Monitoring and assessment of ASP programmes and measures Assessment and enrolment	Joint monitoring, evaluation and learning framework and teams for ASP programmes and measures (whether newly designed or a convergence of existing programmes) available & applied, to adjust programmes and ensure accountability to end users and beneficiaries		
		Ability to adapt and modify registration, assessment procedures, criteria and screening processes, as well as enrolment procedures based on shock type to ensure accessibility		
		Target population are involved in and informed about available ASP programmes and measures across the programme cycle (including effective information and communication in post-shock settings)		
		Mechanisms that allow for on-demand or periodic registration, as well as updating of data in social registry and beneficiary MISs (or similar information systems for SP, DRM and CCA) in place and functional		
	Provision and beneficiary management	Cross-sectoral indicators (e.g. socio-economic, food security, exposure and vulnerability to natural hazard-induced shocks) combined and linked to inform eligibility and enrolment decisions for ASP programmes and measures		
		Ability to adapt and modify transfer modalities, frequency, values, timing, duration and conditionalities before, during and after a shock		
		Sufficient capacity (including stand-by capacity) to ensure payment and other delivery processes		

		for ASP programmes and measures remain fully functional, including in post-shock settings		
		Grievance redress mechanisms for ASP programmes and measures in place and fully functional, linked to cross-sectoral monitoring, evaluation and learning system		

DATA AND INFORMATION

Thematic area	Change domain	Desired future situation (EXAMPLE)	Gap	Current situation
Data coherence and quality	Data coherence	Multi-actor data protocols outlining responsibilities for data collection have been established and are followed		
		A coherent data collection methodology is commonly agreed, and cross-sectoral definitions and indicators are established and utilised		
	Data quality	Data accuracy, completeness, relevance and currency of relevant ASP information systems assured through appropriate updating, validation, and data management processes		
		Data protection and privacy measures integrated and applied by all ASP systems, programmes and partners		
Data and information systems & mechanisms	Information systems	Social registry utilised by SP, DRM and CCA programmes for ASP programme cycle management and coordination where appropriate		
		Beneficiary registries adapted for scalability and made inter-operable to support information sharing and coordination for ASP as appropriate		
		Risk-informed information systems for ASP (e.g. early warning, geographic information, climate projections) integrated into the ASP programme cycle and beneficiary databases as necessary		
	Risk and impact analysis mechanisms	Integrated and cross-sectoral risk assessment approaches established and utilised for ASP system and programme design and delivery		

		Cross-sector mechanisms for shock & disaster impact assessment established		
	Monitoring, Evaluation and Learning systems	Joint process monitoring established to monitor ability of measures to support households and systems in building resilience through ASP approaches, in an ongoing manner.		
		Joint assessment framework established to evaluate overall programme effectiveness, efficiency, and equity (e.g. impact assessment)		
		Development and dissemination of lessons learnt and best practice resources, informed by monitoring and evaluation findings		
Data & information sharing and exchange	Legal framework	Legal framework enabling data sharing aligned with data protection guidelines, with independent regulatory oversight, established		
	Data sharing protocols and mechanisms	Data sharing protocols and mechanisms established based on joint standards and principles, defining horizontal, vertical and public data sharing arrangements		
	Data infrastructure	Software, hardware and human resources provided across sectors to ensure sufficient data infrastructure and delivery (including surge) capacity		

FINANCING

Thematic area	Change domain	Desired future situation (EXAMPLE)	Gap	Current situation
Disaster risk financing based on the risk layering approach	Contingency financing	Financial reserves in contingency budget lines and credit arrangements are available to cover ASP costs before, during and after disasters		
	Public sector services and infrastructure	Public asset insurance is extended to ASP-relevant public sector facilities and infrastructure		
	Introduction of new risk financing instruments	Framework conditions conducive to impact investing for ASP-are established based on reliable and objectively verifiable trigger mechanisms (e.g. emergency status)		
Budgeting and disbursement mechanisms for ASP	Budget planning and disbursement mechanisms	Enhanced financing of ASP programs is based on agreed financial assessment criteria as well as appropriate early warning systems, trigger mechanisms and liquidity management that enable timely delivery of benefits		
		SP programs reduce subsidies and targeting errors significantly to focus more on poor and vulnerable groups while reducing waste and strengthening financial sustainability		
		Robust delivery mechanisms provide cash and non-cash benefits to verifiably eligible target groups in a timely manner		
	Strengthening of subnational administration for PFM (including DRFI)	Capacities of subnational administrative structures in disaster-prone areas meet agreed standards to manage ASP-relevant data, information, and financial resources		

	Improved budget transparency and accountability	International audit standards are applied in all key ASP sectors and reports are made available to the public		
	Coordination and communication between PFM actors	ASP-relevant experiences of subnational structures responsible for PFM are regularly and systematically compiled, assessed, and shared		
	Access to means of personal identification	Effective mechanisms are in place to ensure that no one is denied access to nationally recognized means of personal identification or discriminated due to religious or gender affiliation		
Long-term financing for resilience	Protection and expansion of fiscal space	Fiscal forecasts based on hazard-sensitive scenarios inform decision makers		
	Domestic resource mobilization	Progressive tax policy and administration prioritizes the needs of poor, vulnerable and marginalized communities while reinforcing fiscal space and financial resilience for sustainable ASP financing		
	Resilience of poor households and micro-, small and medium-size enterprises	Poor and vulnerable beneficiaries of ASP programs use important financial services in an active manner to improve their resiliency		
		Poor and vulnerable households and businesses adopt financial coping strategies that help them to minimize the long-term negative impacts of disasters on their livelihoods and assets		
		A conducive legal-regulatory environment enables rapid expansion and product diversification in the business insurance industry		
		State programs for resilience investment facilitate MSMEs' access to loans through sovereign guarantees, community crowdfunding, PPPs etc.		

		Coherent national legal-regulatory framework for gender equality regarding rights to land and inheritance is established and applied		
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