



# User Guide: Social Protection System Readiness Assessment Tool

**Prepared by**

**Social Inclusion and Policy**

United Nations Children's Fund

3 United Nations Plaza

New York, NY, 10017, USA

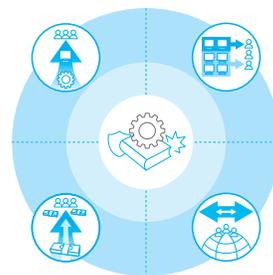
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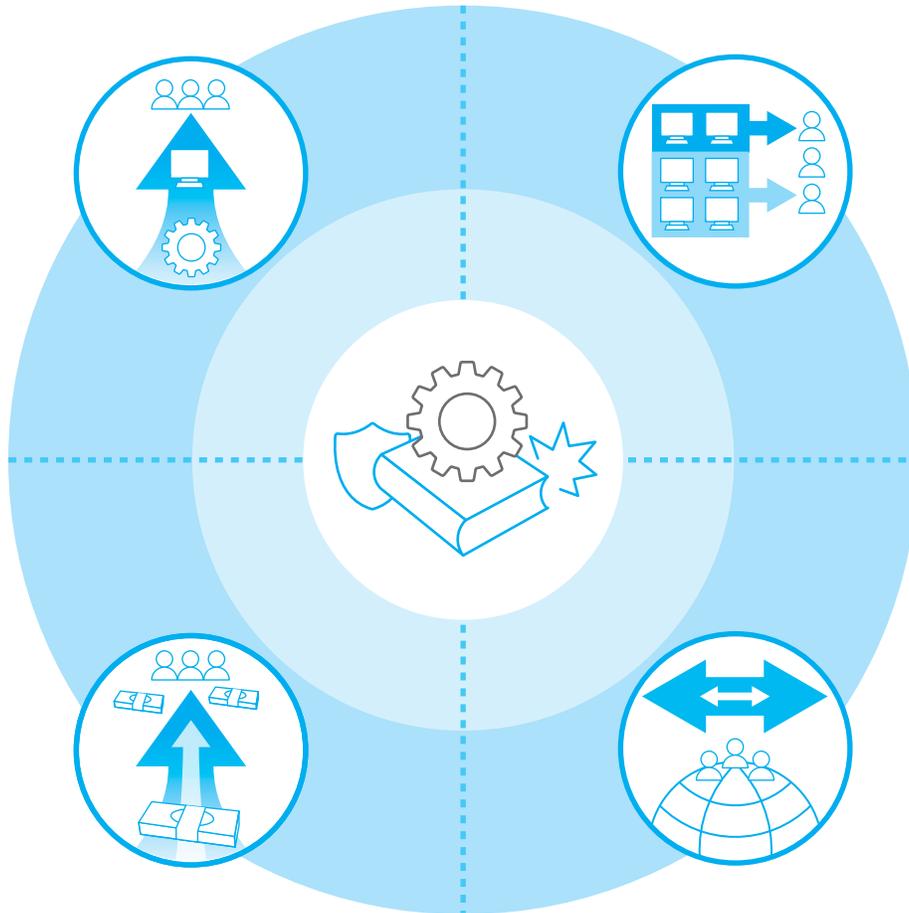
Visual Communication Design:

Shangning Wang, Jiayan He

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The infographic on the inside front cover represents figure 5 on page 18.



**User Guide:**  
**Social Protection System Readiness**  
**Assessment Tool**



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This tool and its accompanying user guide were jointly developed by Gabrielle Smith and Laura Phelps and builds on Smith's earlier work for UNICEF's Europe and Central Asia Regional Office. This product is the result of a collaborative effort across regions and divisions. It is grounded in UNICEF's past and ongoing work on social protection in crisis-prone countries and benefits from the extensive discussions the authors have had with social policy and emergency colleagues on shock responsive social protection during this consultancy. In particular, the authors would like to thank Nupur Kukrety for the overall steer and the technical discussions that have helped shape the content of this tool.

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## LIST OF ACRONYMS

<b>CCT</b>	Conditional Cash Transfer
<b>CO</b>	Country Office
<b>DRM</b>	Disaster Risk Management
<b>DRR</b>	Disaster Risk Reduction
<b>ECHO</b>	European Civil Protection and Humanitarian Aid Operations
<b>EMOPS</b>	Office of Emergency Programmes, UNICEF
<b>EPP</b>	Emergency Preparedness Platform, UNICEF
<b>EWS</b>	Early Warning System
<b>FEWS</b>	Famine Early Warning System
<b>HCT</b>	Humanitarian Cash Transfer
<b>HQ</b>	Headquarters
<b>MPG</b>	Multi-Purpose Grant
<b>MPS 5</b>	Minimum Preparedness Standard for HCT
<b>NGO</b>	Non-Governmental Organisation
<b>OCHA</b>	Office for Coordination of Humanitarian Affairs
<b>OPM</b>	Oxford Policy Management
<b>SRSP</b>	Shock-responsive Social Protection
<b>UNDP</b>	United Nations Development Programme
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>UNICEF</b>	United Nations Children's Fund
<b>WASH</b>	Water, Sanitation and Hygiene
<b>WFP</b>	World Food Programme

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# 1. Introduction

From the growing number and severity of climate disasters to ongoing political upheaval, the number of children and families living in communities vulnerable to shocks and facing emergency situations is growing, with potentially devastating impacts on children and their childhoods. When crisis hits, effective social protection support is often a crucial factor in determining whether children can quickly return to normality or whether their life paths will be permanently altered. All too often, however, national systems are either too weak to respond, or are not designed to have the flexibility to adjust, for example, through rapidly expanding to reach those that need support or temporarily increasing transfer size while families and communities recover.

In 2016 many humanitarian actors including UNICEF agreed major collective commitments with the aim of increasing investment in, and the scale, volume and quality of humanitarian cash transfer (HCT - see Annex 1: Glossary for this and other definitions). These include the [Grand Bargain](#)<sup>1</sup> and other commitments to HCT that were made at the World Humanitarian Summit; ECHO's [10 Common Principles for Multi-Purpose Cash-Based Assistance to Respond to Humanitarian Needs](#); the recommendations of the [High-Level Panel's report on HCT](#); and the call for action from the [Agenda for Humanity](#). Within this context there is growing interest about the potential of leveraging national social protection programmes and their underlying systems to provide support in emergencies, and for ways in which social protection systems can be supported to become more 'shock responsive'.

UNICEF has committed to increasing the scale and quality of HCT to meet the needs of children in emergencies, and as part of this is committed to strengthening links between disaster response and social protection. These commitments are reflected in UNICEF's Strategic Plan 2018-21 (Goal Area 5); sector level commitments on Social Protection in UNICEF's new [Core Commitments for Children in Humanitarian Action](#) (2020), [UNICEF's Guidance on Risk Informed Programming](#) (2018), and the Minimum Preparedness Standard for HCT (MPS 5) in the [Emergency Preparedness Platform \(EPP\)](#).

The development of this Assessment Tool within UNICEF is in response to the recognition (within the organisation and in the wider global humanitarian and development

communities) of the importance of developing and strengthening social protection across the humanitarian-development nexus. It links to UNICEF's [Programme Guidance: Strengthening Shock Responsive Social Protection Systems](#) by assessing the social protection system readiness to adjust/ adapt to new situations and scale up options as below:

- i. **Vertical expansion** of an existing programme or set of programmes. The benefit value or duration of the programme is temporarily increased for some or all existing recipients (e.g. top-ups). New components may also be added.
- ii. **Horizontal expansion** of an existing programme or set of programmes, to temporarily include new beneficiaries from affected communities.
- iii. **The activation of a new emergency programme that piggybacks on existing systems** (e.g. data, capacity, delivery mechanism) where possible. This could be led via a) the social protection sector or b) by external actors, in close coordination with social protection (e.g. Humanitarian, Disaster Risk Management etc).
- iv. Where relevant and feasible, ensuring **alignment** with external (i.e. parallel) responses to shocks (e.g. via HCTs - see [HCT Guidance](#)), to create ground for future expansion or to preserve and/or further strengthen an existing social protection system. For example, this could be an alignment of objectives, targeting method, transfer value or delivery mechanism.
- v. There are many cases where the social protection system may not be appropriate for a humanitarian response (e.g. where the government is party to a conflict or humanitarian principles cannot be upheld) yet there is a strong rationale, in terms of longer-term sustainability, to avoid as far as possible the setting up of completely **parallel** humanitarian programmes and systems.

This tool is part of UNICEF Shock-Responsive Social Protection (SRSP) toolbox which also includes:

1. [UNICEF's Global Social Protection Programme Framework](#)
2. [UNICEF's Programme Guidance on Shock-Responsive Social Protection](#)
3. [UNICEF's Humanitarian Cash Transfers Programmatic Guide](#)
4. [UNICEF's Emergency Preparedness Platform](#)
5. [Guidance on Risk Informed Programming \(GRIP\)](#)

1. The Grand Bargain is an agreement between more than 30 of the biggest donors and aid providers, which aims to get more means into the hands of people in need. It was first proposed by the former UN Secretary General's High-Level Panel on Humanitarian Financing in its report *Too Important to Fail: Addressing The Humanitarian Financing Gap* (2016), as one of the solutions to address the humanitarian financing gap. The Grand Bargain includes a series of changes in the working practices of donors and aid organisations that would deliver an extra billion dollars over five years for people in need of humanitarian aid. These changes include gearing up cash programming, greater funding for national and local responders and cutting bureaucracy through harmonised reporting requirements.



## 2. Objectives and Uses of the Tool

## 2.1 Audience/Users of the Tool

This tool has been developed for UNICEF Social Policy staff based in crisis-prone countries to facilitate a collaborative process, involving relevant government authorities and other development partners, to risk inform social protection systems. Outputs of the assessment can be further utilized by humanitarian stakeholders in designing humanitarian actions that can leverage and contribute to the ongoing efforts to strengthen social protection systems.

## 2.2 Objectives and Uses of the Tool

The tool is designed for use in countries with some form of social transfer programmes, and a medium to high risk of disasters (refer to the [webinar](#) for more details). It aims to:

- i. Assess the political, technical, operational and financial feasibility, or 'readiness', of the country's cash-based social transfer programme(s)<sup>2</sup> (and potentially public works/cash for work schemes where relevant) to provide cash assistance to people affected by shocks and stresses.
- ii. Identify opportunities for linkages with UNICEF's sector level activities strategies and for developing or supporting a 'cash plus' approach in emergencies alongside social transfers.
- iii. Assess the capacity, or 'preparedness' of UNICEF's Country Office (CO) to support such interventions.
- iv. Identify and compare possible options, for ways that social transfer programmes and their underlying systems can be used to meet needs at times of shock or disaster, including the role(s) for UNICEF.

### What the Assessment Tool will not do:

1. **This tool is NOT designed to replicate the existing MPS 5 tool of the EPP. On the contrary, it aims to complement the existing tool.** The MPS 5 tool covers both parallel and social protection systems but is focused primarily on UNICEF's internal preparedness to embark on HCT. The focus of the Social Protection System Readiness Assessment Tool is on social transfer programmes and their readiness to maintain their routine function and potential for scale-up in an emergency. The information gathered through this tool can help with filling some sections of the MPS 5 tool. **This tool does NOT rely on household level interviews for information collection**, but instead captures information from interviews conducted with a range of key informants including from national and local government, social services, financial service providers (FSP), research institutes, and the international community.
2. **This tool is NOT intended to be shared externally with key informants, for them to input data directly into the tool.** It should be populated by UNICEF social policy staff in consultation with sector/other agency colleagues or by consultants commissioned for the purpose of the Social Protection System Readiness Assessment. The analysis process generates outputs that can be discussed with other stakeholders to agree future actions.



2. Programmes should be non-contributory social transfer programmes that target poor and vulnerable households.

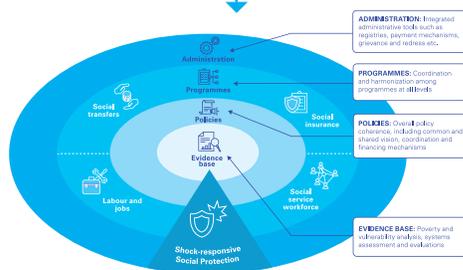


### **3. Format and Components of the Social Protection System Readiness Assessment Tool**

The [Assessment Tool](#) is designed in an Excel format that presents and captures information in a simple and logical format, for ease and speed of application.

UNICEF’s [Programme Guidance: Strengthening Shock Responsive Social Protection Systems](#) is the base document for this tool that includes a series of six modules. These modules are closely aligned with the 4 components of the social protection system and include 2 additional components to assess the context and UNICEF’s internal preparedness:

- Mapping of context
- Foundation of evidence
- Policy, strategy, legislation, financing and coordination framework
- Programmes
- Administration and delivery system
- UNICEF’s internal readiness



Each module is provided in a separate tab in Excel and is made up of sub-modules. Collectively this tool provides a systemic approach to arrive at a common understanding of the state of the current social protection system and Disaster Risk Management (DRM) system in a country, the opportunities and barriers for continuing routine functioning, scaling-up or leveraging social transfers for crisis response, and UNICEF’s capacity to support the same. It facilitates the generation of immediate next steps and sets defined priorities. Figure 1 provides an overview to each module and sub-module.

Each module comprises a concise series of data fields to be populated, and questions to be answered. These are listed in Column D and are phrased to be applicable across a range of country and emergency contexts. Where necessary, these questions are supported with concise guidance for users on how to answer the question. This includes instructions on how to record responses into the datasheet, what to think about in responding to the question, and what information to include. For questions that require responses as numerical scales (see below), the tool includes guidance on factors that users should consider in their decision. These instructions are listed in Column E.

The questions included in the tool draw from an array of materials - from UNICEF and external sources - representing the latest thinking in assessing the readiness of social protection systems for shock response.<sup>3</sup> It should be noted however that this is still an emerging field, and this tool should evolve over time to reflect new learning and changes in thinking.

The tool guides users to record focused, simple responses, and to synthesise and summarise evidence as much as possible, for ease of analysis. For this reason, the tool makes extensive use of tabular formats for data collection. For most questions, users are guided to select a ‘readiness’ score to summarise progress or readiness. This is on a simple numerical scale of 1-3, with an associated colour (red, amber, green) as a visual aid to facilitate later analysis. Text ‘response’ boxes are provided, for users to elaborate on the scores, providing all relevant information to justify their decision. Users are encouraged to record all relevant evidence sources on which assessments are based.

3. This includes UNICEF Headquarters’ (HQ) survey for assessing the ‘readiness’ of national cash transfer programmes for use in emergencies; UNICEF HQ’s cash preparedness questionnaire; OPM’s *Shock-Responsive Social Protection Systems Toolkit* (2018); The Cash Learning Partnership’s *Organisation Cash Readiness Tool* (2017); UNICEF’s Office of Emergency Programmes (EMOPS), EPP, MPS 5; UNICEF’s *Programme Guidance: Strengthening Shock Responsive Social Protection Systems* (2019); UNICEF’s *Global Social Protection Programme Framework* (2019) and *A Companion Guidance to UNICEF’s Social Protection Framework* (2019); and World Food Programme’s (WFP) *Update of WFP’s Safety Nets Policy: Policy Evaluation* (2019).

**Figure 1** Outline of the [Assessment Tool](#)

Module	Detail	Sub-modules
<p data-bbox="107 485 123 506">1</p>  <p data-bbox="172 527 269 548"><b>Mapping</b></p>	<p data-bbox="315 226 984 457">This tab is for broad scene setting and to inform the direction and scope of the rest of the assessment. It identifies which social transfer programme(s) to assess in detail and which key informants to engage with. It maps the roles of the respective ministries and other agencies in social protection and the Financial Service Providers (FSP) for social transfer programmes. It sets the scene for module 4 on social transfer programme design which collects information in greater detail.</p>  <p data-bbox="444 485 976 653"><b>Why this is important: This section provides a high-level mapping of social transfer programmes and key stakeholders working on social transfers, emergency preparedness and response, to inform the scope and direction of the assessment.</b></p>	<ul style="list-style-type: none"> <li data-bbox="1008 226 1256 254">1.1 Contextual aspects</li> <li data-bbox="1008 260 1273 287">1.2 Governance aspects</li> <li data-bbox="1008 294 1187 321">1.3 Disaster risk</li> <li data-bbox="1008 327 1341 375">1.4 Mapping cash-based social transfer programmes</li> <li data-bbox="1008 382 1360 430">1.5 Stakeholder mapping - social protection</li> <li data-bbox="1008 436 1422 485">1.6 Stakeholder mapping - emergency preparedness and response</li> <li data-bbox="1008 491 1398 539">1.7 Knowledge and attitude to social protection and SRSP</li> <li data-bbox="1008 546 1192 573">1.8 Coordination</li> <li data-bbox="1008 579 1365 716">1.9 Mapping of Financial Service Providers for current social transfer delivery and possible scale-up of cash assistance linked to national systems</li> <li data-bbox="1008 722 1175 749">1.10 Personal ID</li> </ul>
<p data-bbox="107 1094 123 1115">2</p>  <p data-bbox="172 1129 269 1178"><b>Data and Evidence</b></p>	<p data-bbox="315 779 984 1066">This provides essential high-level information on the broader country context which underpins the rest of the assessment and analysis. It builds an understanding of the poverty profile in the country; the types, severity and frequency of emergencies; and at-risk groups. It includes Early Warning System (EWS) evidence and information on refugees and Internally Displaced Persons (IDPs) where relevant. It highlights the vulnerability of children and any risks they face including those related to UNICEF sectors (nutrition; health; water, sanitation and hygiene – WASH; education and protection).</p>  <p data-bbox="444 1094 984 1409"><b>Why this is important: This ensures that poverty and vulnerability indicators are flagged in relation to disaster risk. Since social transfer programmes tend to target the poor, we need to be confident of an overlap between poverty and vulnerability to disaster to be sure that providing social protection in emergencies will benefit those most affected. It also highlights possible complementarities with UNICEFs wider work with children and where 'cash plus' programming should be a priority.</b></p>	<ul style="list-style-type: none"> <li data-bbox="1008 779 1273 806">2.1 Evidence on poverty</li> <li data-bbox="1008 812 1317 840">2.2 Vulnerability to disasters</li> <li data-bbox="1008 846 1240 873">2.3 Refugee contexts</li> <li data-bbox="1008 879 1192 907">2.4 IDP contexts</li> <li data-bbox="1008 913 1333 940">2.5 Sector linkages: education</li> <li data-bbox="1008 947 1295 974">2.6 Sector linkages: health</li> <li data-bbox="1008 980 1317 1008">2.7 Sector linkages: nutrition</li> <li data-bbox="1008 1014 1338 1041">2.8 Sector linkages: protection</li> </ul>
<p data-bbox="107 1703 123 1724">3</p>  <p data-bbox="172 1717 285 1801"><b>Policy, Legislation and Finance</b></p>	<p data-bbox="315 1440 984 1755">This assesses the laws and regulations for social protection and DRM, including implicit/explicit inclusion of shock responsiveness within the laws and regulations. It provides high level information on the legal and political context in which the social protection and emergency preparedness and response systems operate. It outlines coordination between key stakeholders. It details the existing sources of finance for social transfer programmes and the potential expansion of these for SRSP and disaster response. It explores the potential of contingency/disaster risk financing instruments for financing SRSP.</p>  <p data-bbox="444 1787 984 1955"><b>Why this is important: This outlines the legal, regulatory, political and financial context for social transfers and emergency preparedness and response, allowing the user to understand the opportunities and challenges for delivering emergency assistance through social transfers.</b></p>	<ul style="list-style-type: none"> <li data-bbox="1008 1440 1414 1499">3.1 Legal and policy context for social protection in emergencies</li> <li data-bbox="1008 1505 1406 1610">3.2 Institutional arrangements/ coordination for social protection, emergency preparedness and response</li> <li data-bbox="1008 1617 1398 1675">3.3 Financing disaster response and social protection</li> </ul>

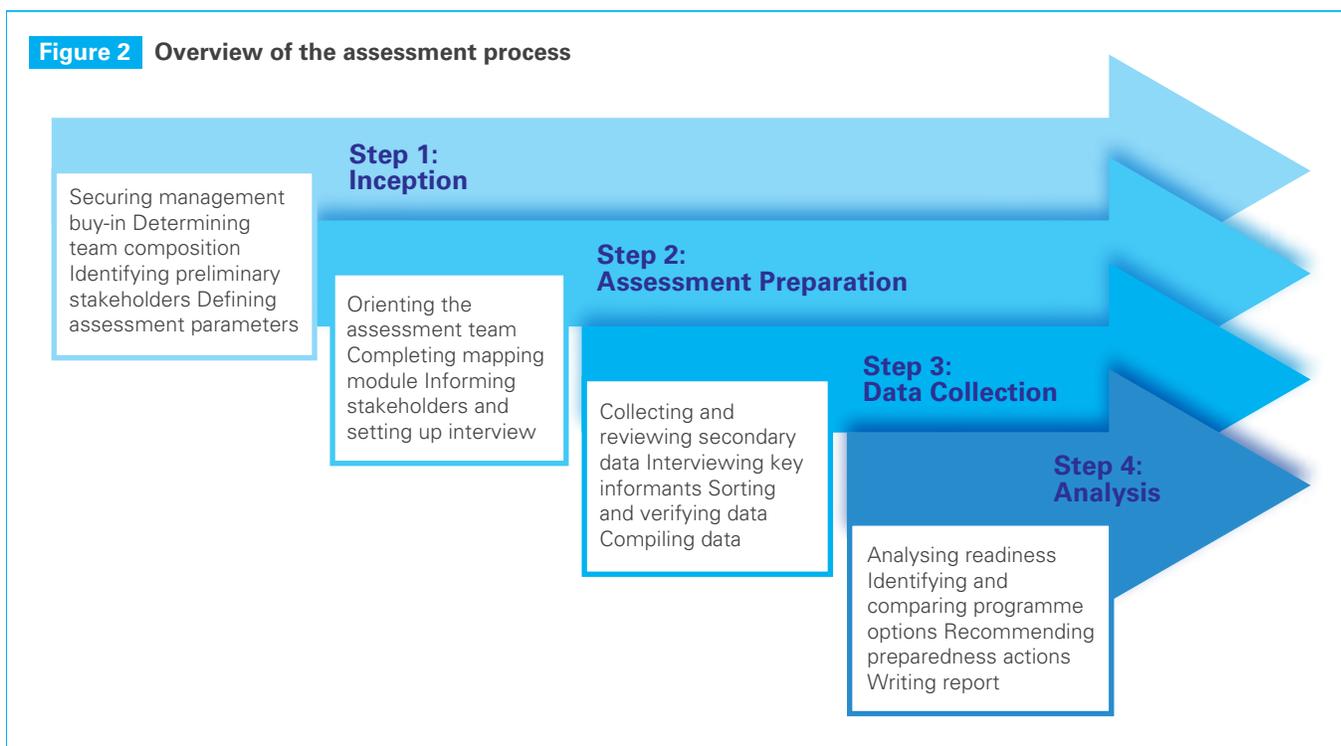
<p>4</p>	 <p><b>Programme Design</b></p>	<p>This provides a detailed assessment of specific social transfer programmes identified in module 1: mapping. Users select up to three of the programmes identified in the mapping for assessment in this section. These should be the programme or programmes deemed to offer the greatest opportunity for supporting an emergency cash response. It captures evidence on the design features of the programme, their effectiveness and alignment of these with the design of typical disaster response programmes to ascertain readiness for responding to shocks. It outlines any programmatic linkages with different sectors (health, nutrition, WASH, education and child protection).</p> <p> <b>Why this is important: To outline the specifics of the social transfer programme design and to identify the strengths and weaknesses of this design for effectively assisting, and minimising risks for, those affected by disasters.</b></p>	<p>4.1 Programme objectives 4.2 Targeting 4.3 Use of conditions 4.4 Transfer value 4.5 Transfer frequency 4.6 Risks 4.7 Linkages to services</p>
<p>5</p>	 <p><b>Administration</b></p>	<p>This provides a detailed assessment of specific social transfer programmes identified in module 1: mapping. It summarises the steps involved in the programme's underlying administrative processes (for registration, enrolment, cash delivery, communication and feedback, and monitoring), its procedural systems and institutions, and their effectiveness or capacity in normal times, linkages with 'cash plus' interventions and potential to function well and/or scale-up in the event of a disaster. It assesses the capacity of institutions that may be involved in surge capacity for a shock response e.g. FSPs who could increase coverage and frequency.</p> <p> <b>Why this is important: By analysing the detailed administrative process and the institutions and systems that provide them it is possible to identify opportunities (and barriers) for continuation of regular social transfer services during disasters and/or expansion of social transfer mechanisms in the event of a shock.</b></p>	<p>5.1 Administrative processes 5.2 Administrative process: registration 5.3 Administrative process: enrolment 5.4 Administrative process: payment delivery 5.5 Administrative process: communication 5.6 Administrative process: complaints and feedback mechanism 5.7 Administrative process: monitoring 5.8 Procedures and systems 5.9 Institutions – government 5.10 Institutions – payment service provider 5.11 Institutions – linked services 5.12 Institutions – surge capacity from non-governmental actors</p>
<p>6</p>	 <p><b>UNICEF's Readiness</b></p>	<p>This assesses UNICEF's ability to support the use of the national system of cash transfers for disaster response. It considers the extent of UNICEF's current support for and understanding of the national social protection and DRM systems, technical capacity for HCT, leadership and internal coordination for HCT as well as ability to engage in external coordination.</p> <p> <b>Why this is important: By assessing the capacity of UNICEF it enables the assessment team to analyse what UNICEF and its partners are able to effectively support the government in to prepare, and/or take forward in the event of a shock. Even though UNICEF may not be directly implementing humanitarian cash transfers under this approach, the right technical competencies for HCT are important at CO level to ensure that the support to government is technically sound.</b></p>	<p>6.1 Experience working with the national social protection system 6.2 Experience working with the national DRM system 6.3 Departmental coordination and knowledge sharing 6.4 Emergency Preparedness, HCT and Social Protection 6.5 Leadership on HCT and social protection 6.6 Expertise to support provision of social transfers in emergencies 6.7 Cash coordination</p>



# 4. Methodological Guidance on Completing the Assessment

The assessment and analysis process entails four interlinked processes/steps. These are outlined in Figure 2. This section of the user guide elaborates

on each step to provide users with the essential information to make effective use of the tool.



## Step 1: Inception

This step covers the activities that are important for UNICEF to complete before the onset of the exercise, to ensure an efficient and effective assessment.

### i. Securing Management Buy-in

Although this assessment is a relatively light touch exercise, in the sense that no community or household level data is to be collected or external enumerators used, **it nevertheless requires an investment of staff time to be done well.** In discussions with senior management, it will be important to highlight that this exercise will be crucial for UNICEF to be prepared to meet the *Core Commitments for Children in Humanitarian Action* (2020). Furthermore, COs may also wish to consider enlisting the support of a Shock Responsive Social Protection specialist (see ii below) which will also require resourcing. The team should consider the need for any translation during key informant interviews. **Management buy-in is needed to ensure the allocation of the necessary resources.**



### Typical Time Required

- Step 2: Preparation – 5 working days.
- Step 3: Data Collection – 10 working days (perhaps longer where distances are large/access is challenging).
- Step 4: Analysis – 3 working days.

In total a **minimum of 3-4 weeks** should be allocated to this assessment process.

(This assumes that the assessment is led jointly by one representative each from Social Policy and Disaster Risk Reduction/Management (DRT) or Emergency Response Team).

## ii. Defining Team Composition

The assessment is intended to be completed by existing UNICEF staff members. The tool has been developed for application by a multi-sectoral team and should be managed by staff that have knowledge of the social protection and DRM systems in the country. It is recommended that, in most contexts, staff from Social Policy teams should lead the assessment in close coordination with Disaster Preparedness/Emergency staff.

Other sections/units also need to be involved to some degree in the assessment. Operations and Finance staff play a core role in the implementation of HCTs through parallel systems and will have specific expertise to bring to bear on aspects of the assessment and analysis such as the wider FSP landscape, and the readiness of social protection payment systems. To maximize opportunities for development 'cash plus' and integrated programming, then depending on the context, sector leads for nutrition, health, protection and education may also be required to feed into data collection and analysis.<sup>4</sup> Ideally these staff members should be included throughout all stages of the assessment. If they contribute in a more ad hoc way, care must be taken to ensure that they fully understand the objectives and can participate meaningfully in the analysis.

Where Social Policy teams are not familiar with SRSP, and/or where UNICEF co-leads other work commitments which limit the time they can allocate to the assessment, **COs can request the support of a Shock-Responsive Social Protection specialist to assist in data collection and, especially, in analysis** - either from the relevant Regional Office (RO) or the HQ, another CO, or an experienced consultant. In general, it is a good idea to involve a specialist from outside the country programme to lend objectivity to the analysis.

Where assessment teams comprise 3 or more members, it will be useful to identify one team member to act as overall coordinator of the assessment exercise. In most cases this would be the Social Policy lead.



### Completing the Assessment Tool and Analysis Requires Teams with:

- Previous experience in undertaking technical assessments.
- An understanding of the basic uses of Excel.
- Knowledge of the social protection and DRM systems in the country.
- Access to other relevant expertise within the CO (in technical sections, operations, finance, senior management).
- Understanding of SRSP programme options, benefits and challenges.

## iii. Identifying and Informing Preliminary Stakeholders

Whilst the mapping activities at the beginning of the assessment (Step 2) will exhaustively identify the key stakeholders to involve in the assessment, based on the assessment team's knowledge it should be possible to identify and prioritise a number of key informants from the outset. This includes governmental and non-governmental actors (NGOs, UN, donors) that are known to be engaging in social protection and social transfers; engaging in disaster preparedness and response especially around cash assistance; and any that have had experience with supporting or implementing SRSP in the country. It will also include relevant staff within UNICEF (for module 6: UNICEF readiness).

At this stage it will be useful to consider external actors' likely interest in collaboration/resource sharing, their 'openness' or sensitivity to the assessment and any factors which may influence the quality (or 'bias') of information collected from these sources.

This is a [UNICEF tool](#) for UNICEF programming. However, as mentioned above, the outputs should assist strategic response and capacity planning across government and the assessment is intended to be the first step towards longer term engagement between UNICEF and government, as well as other agencies, on SRSP. It is vital that government and other stakeholders are involved from the outset. The goal is for the assessment process to be as collaborative as possible, where this is feasible.

4. Though also see point made under (iv) below on involvement of section leads, when setting the assessment scope.

Note that at this stage it is not a capacity building process. If government or other actors are not already engaging in this space, it may be better for UNICEF to undertake the assessment activities alone and to share and discuss findings once results are available. However, stakeholders must still be informed of the assessment plans, and relevant permissions sought.

**The sample Terms of Reference in Annex 2 can be used to inform government on the assessment objectives and expected outcomes.**

#### *iv. Defining Assessment Parameters*

The assessment process is not a statistical compilation of data, rather the tool aims to enable a ‘good enough’ assessment of the current situation, making best use of existing secondary data and the team’s own knowledge, and adding insights from key informants to fill gaps. Based on the time and resources (staff and logistics) agreed by management for the assessment, teams should plan the scope of data collection activities accordingly. A limited number of key informant interviews should be prioritised in order to fill gaps in this knowledge.

A key activity here is pre-defining geographic locations for the assessment. In any country context the assessment must include not only national level stakeholders/strategic decision makers but also operational staff who implement social transfer programmes day to day and who understand what is working well and the constraints faced.

As a guide, data should be collected from these operational teams in at least one, ideally two, provinces/districts. These districts should, ideally be in those areas of the country that are prone to disasters. The aim is to include a spread of disaster contexts (for example areas facing the effects of conflict versus areas prone to floods) as this may have a bearing on the assessment findings. Where time is constrained, a location relatively close to UNICEF country office and matching the requirements above could be visited. Another option could be to see if it is possible to bring stakeholders from more remote districts to UNICEF office or a mutually convenient location for a meeting, with costs covered by UNICEF. In countries covering an expansive geographical area and/or where there are Federal governments, where

the disaster risk profile, social protection programme coverage and stakeholder composition will vary across the country, assessment teams should consider how many sub-national locations it will be feasible to cover in the assessment. There may be trade-offs to consider in selecting locations in terms of i) UNICEF’s presence/prior knowledge/strategic interest to continue programming; ii) locations that are the most vulnerable to disaster; iii) locations where social transfers are well developed/ where there is interest in SRSP.

In contexts of insecurity and/or poor access, assessment teams should engage with UNICEF’s security focal point to assess security considerations for undertaking an assessment in the areas indicated, and review or develop security protocols as needed.

Note, while one objective of the assessment is to identify opportunities for linkages with UNICEF’s sector strategies and for developing or supporting a ‘cash plus’ approach, there may be capacity or other constraints that can limit UNICEF’s application of such programming in practice. In such contexts, the engagement of sections is less important and in the interests of time, these parts of the Assessment Tool where sector linkages are discussed (in module 2, module 4, module 5) can be omitted.



#### **Box 1: Checklist for Country Teams**

**Before starting, country teams undertaking this assessment need to ensure that they have:**

1. Secured management buy-in to the process and allocated the required time and resources.
2. Recruited any necessary external support.
3. Agreed on who will lead the process and secured inputs from Social Policy and DRR/emergency teams.
4. Secured the necessary participation from other sections.
5. Informed relevant government and non-government actors.
6. Provisionally agreed on scope of data collection (where, when, which social protection mechanism to focus on).

## Step 2: Assessment Preparation

### i. Orienting the Assessment Team

The [Assessment Tool](#) is intended to be used by those UNICEF staff members with expertise in social protection and DRM systems in the country. These staff, whilst knowledgeable in their areas of expertise, may not necessarily have extensive knowledge or experience in humanitarian cash transfers or in the concept of using social transfer programmes to provide assistance during disasters and shocks. Therefore, questions and instructions in the various modules are intended to be clear and to have the sufficient level of guidance. It is important for all users to familiarise themselves with the tool's structure and content. This will help to identify and clarify any issues or questions that are not clear, establish a common base of understanding between all team members on what each module of the tool is collecting, the questions to be asked and the process for recording information.

Once the team is familiar with the tool, the team leader should lead the team in developing a plan for how each module, and sub-components, will be completed. This process should:

1. Assign responsibilities for data collection to specific team members.
2. Identify the likely sources for data and prioritise key informant interviews to fill major gaps and to triangulate secondary data sources.
3. Include a tentative work schedule for data collection (based on contextualising the general guidance for how much time is needed that is presented in Step 1 above).

It is expected that all data would be collected and synthesised within three to four weeks (full time equivalent), though the actual timeframe in calendar days may be longer depending on the availability of team members and key informants.

### ii. Completing the Mapping Module

The mapping module (module 1 in the [Assessment Tool](#)) is the preparatory step that will inform the planning and execution of the rest of the assessment.

It will identify the main social transfer programmes to take forward for detailed assessment. It is important

to agree early on which social transfer programmes to focus on. These will be non-contributory social transfer programmes reaching poor and vulnerable households with children (note: they don't have to specifically target children to be effective at supporting children). In Federal contexts where states have their own social transfer programmes, or where local governments have developed social transfer programmes, these may also be considered in the mapping exercise in addition to national programmes.

Up to three programmes can be taken forward for detailed analysis, based on the following.



#### Selecting social transfer programmes for assessment should be based on the following indicators:

- I. Year Established. Programmes that have been running for longer will have had a greater chance to 'go to scale' in terms of coverage, and administrative systems will be better established and well understood.
- II. Coverage. The higher the coverage (both geographical and in terms of the population) the better it is, as more people will already be enrolled. If programmes do not have national coverage, then overlaps with 'at risk' locations are essential.
- III. Previous experience of scaling-up. Any programme that has previously supported a shock response action will be a good option to explore.
- IV. It should follow that any 'flagship' national programme will generally have good coverage across the country and will have had investment in administrative systems. These programmes are often the starting point for the creation of national socioeconomic registries of households. If such a flagship programme exists, it will be useful to include it in the assessment.

Module 1 also identifies the key social protection and DRM stakeholders to interview. These include any government DRM actors, or non-governmental humanitarian actors, working on HCT, any stakeholders already working on SRSP, and actors with possible capacity/potential/interest to support 'surge'/joint partnership. Remember, it is important to include those who are involved in the actual implementation of relevant programmes (i.e. not only the high-level decision makers).

Once this module is completed then subsequent modules can be completed. Data can be collected in parallel across all other modules.

### *iii. Informing Stakeholders*

The success of the assessment relies on UNICEF's ability to mobilise individual key informants with the relevant expertise, to access the information required. A key challenge in an effective assessment process can be obtaining the endorsement and participation of key stakeholders. As early as possible the assessment team should liaise with all relevant strategic partners and stakeholders to solicit their interest in collaboration as key informants and/or resource sharing. This will be especially important for government stakeholders where formal protocols may need to be observed.

Figure 3 below gives guidance on the typical key informants to include. **When arranging interviews, the agenda in Annex 3 can be used to guide the essential key informant interviews.**

## Step 3: Data Collection

The data collection process is intended to be iterative, with findings and experiences during data collection informing the design of subsequent data collection activities.

### *i. Collecting and Reviewing Secondary Data*

Any assessment must strike a balance between being workable and replicable by busy country teams, whilst ensuring that sufficient breadth and depth of information is captured to enable adequate analysis. This tool takes this as the starting point and aims to guide teams to collect a level of information that is good enough to inform analysis whilst being mindful of country team workloads.

Review of secondary data sources including policy and strategy documents, action plans, programme documents, evaluations and lessons learned reviews will allow the team to formulate responses to aspects of the Tool and to identify the focus for key informant interviews to fill the gaps.

The Assessment Tool should not duplicate other assessment activities but should rather make use of and reference existing data. Of relevance here is the information available in the EPP. Many COs are now prioritising information collection for MPS 5, and this process will be useful for completion of specific questions in the MPS 5 Tool.

**Note that in module 6: UNICEF readiness, the self-analysis is only effective if the team are honest about both their capacity and areas for development. In light of the updated *Core Commitments for Children in Humanitarian Action (CCCs)*, resources can be argued for enhancing investments in capacity building.**

While exact data sources will vary depending on context, typical secondary data sources per module are outlined below in Figure 3.

### *ii. Interviewing Key Informants*

Assessment teams should prepare for each key informant interview in advance of the meeting. The focus of the interview should be agreed between team members. Some key informants will be useful for very specific aspects of the assessment (such as interviews with social protection FSPs which are focused on in specific sections of module 4 and 5), whereas others may contribute evidence and information for multiple areas of the assessment. Key informants can also be a useful way to triangulate and verify information. Question guides based on the questions from all relevant sections of the tool should be prepared in Word.

It is important to ensure the reliability of information collected from key informants as much as possible. The assessment team can take simple steps to ensure this, such as:

1. Have two team members undertake each interview, for more complete notes and to triangulate and ensure a common understanding on the information collected.
2. Cover the same topics with more than one key informant, to triangulate findings between interviews.

**Figure 3** Hints on typical data sources

Tool Module	Secondary data sources	Key informants
1  <b>Mapping</b>	<ul style="list-style-type: none"> <li>• UNICEF data/reports</li> <li>• Ministry of Disaster Response website</li> <li>• Ministry of Social Protection website</li> <li>• Department for Disaster Risk Reduction website</li> </ul>	<ul style="list-style-type: none"> <li>• Lead authority for SP/ Emergencies</li> <li>• Other partners interested in SRSP, DRR or disaster response e.g. WFP, (I)/NGOs</li> <li>• Financial service providers</li> <li>• Social policy, emergency and DRR leads in UNICEF</li> <li>• Red Crescent/Cross emergency HCT lead</li> </ul>
2  <b>Data and Evidence</b>	<ul style="list-style-type: none"> <li>• MICS/MODA</li> <li>• Global child poverty indicators e.g. <a href="https://data.unicef.org/#">https://data.unicef.org/#</a></li> <li>• EPP data</li> <li>• National/regional DRR analysis data</li> <li>• National EWS system data e.g. IPC, FEWS</li> <li>• UNHCR – refugee data</li> <li>• <a href="http://www.internal-displacement.org/">http://www.internal-displacement.org/</a> - IDP data</li> <li>• OCHA – humanitarian context data</li> <li>• Humanitarian sector clusters nationally/globally – data/website</li> <li>• Ministry of Education website</li> <li>• Ministry of Health website</li> <li>• Red Crescent/Cross website</li> </ul>	<ul style="list-style-type: none"> <li>• Lead minister for SP/DRR/ Emergencies</li> <li>• Other agencies interested in SRSP e.g. WFP SP lead</li> <li>• Red Crescent/Cross emergency HCT lead</li> <li>• Cash Working Group in the country (if it exists)</li> <li>• Education, Health, Nutrition, Protection leads in the government/international community</li> <li>• Social policy, emergency, DRR education, health, nutrition, protection leads in UNICEF</li> </ul>
3  <b>Policy, Legislation and Finance</b>	<ul style="list-style-type: none"> <li>• Ministry of Emergency Services website</li> <li>• Ministry of Social Welfare/Protection website</li> <li>• Government emergency coordination body minutes/website</li> <li>• World Bank website</li> </ul>	<ul style="list-style-type: none"> <li>• National/Regional/Local government ministers involved in SP/Emergencies, DRR</li> <li>• SP financial service providers</li> <li>• Financial service provider for SP</li> <li>• National SP thinktank/research unit</li> <li>• SP lead for WFP in the country/region</li> <li>• SP lead for WB in country/region</li> </ul>
4  <b>Programme Design</b>	<ul style="list-style-type: none"> <li>• Ministry for Social Welfare/Protection website</li> <li>• Red Crescent/Cross website</li> <li>• SP financial service providers website</li> </ul>	<ul style="list-style-type: none"> <li>• Local/regional level managers/social workers for SP programme</li> <li>• Local/regional government ministers for SP/ DRR/emergency</li> <li>• Social policy, emergency and DRR leads in UNICEF</li> <li>• Local Red Crescent/Cross lead</li> <li>• Local bank/post office</li> </ul>
5  <b>Administration Systems</b>	<ul style="list-style-type: none"> <li>• Ministry for Social Welfare/Protection website</li> <li>• Red Crescent/Cross website</li> </ul>	<ul style="list-style-type: none"> <li>• Ministry for Social Welfare/Protection</li> <li>• Regional/Local government ministers involved in SP/Emergencies, DRR</li> <li>• Cash working group, if existing</li> <li>• Local/regional level managers/social workers for SP programme</li> <li>• Local Red Crescent/Cross lead</li> <li>• Local bank/post office</li> </ul>
6  <b>UNICEF Readiness</b>	<ul style="list-style-type: none"> <li>• EPP data</li> </ul>	<ul style="list-style-type: none"> <li>• Social policy, emergency and DRR leads in UNICEF</li> </ul>

### iii. Sorting and Verifying Data

The master assessment template in Excel should be saved in a shared drive that is accessible to all members of the assessment team. The assessment team should agree on a process for inputting and updating information into the master template. For certain elements of the [Assessment Tool](#), where data is coming from a single source, and/or compiled by a single team member, it makes sense for data and scores to be inputted directly into the template. In other areas where synthesis of information is needed from across secondary data sources and one or more key informant interviews, information will be compiled iteratively into the template and scores should be assigned in Step 4: Analysis, once all data for that question is fully collected. This will also allow teams to triangulate and further verify findings between sources.

### iv. Compiling Data

An assessment that attempts to reproduce all that is known will be infeasible and ineffective. Team members should synthesise what is known, across all relevant sources, in a few sentences, using cross referencing to more detailed reports or studies as appropriate. The Assessment Tool should provide enough information to answer the question (demonstrating consideration of all 'key issues' listed) and, for questions assigning a score, to justify the choice of that score, providing an easy reference point for all stakeholders. It should also flag any questionable data sources/gaps in data.

Cells that cannot be completed should be left blank, with an explanation that the question is not applicable or that information is not available. It is likely that there will be some gaps in the data templates at the end of data collection and these gaps can be an indicator of what information gaps still exist.

## Step 4: Analysis

This analysis process should be completed by a multi-sectoral team. As a minimum this should comprise staff from the Social Policy and DRR/emergency teams. Ideally, analysis should also include representatives from other relevant technical sections, operations and finance, as well as from country management since they will be key in actioning the proposed options and associated preparedness measures.

### i. Analysing Readiness

On the basis of the assessment findings the assessment team will complete a systematic analysis of the political, technical, operational and financial feasibility of using the current social protection system in country, to provide cash assistance in emergencies, and UNICEF's capacity to support the same.

The process involves:

1. Jointly discussing the assessment findings, as presented in each module and sub-module of the Assessment Tool.
2. For each question where a readiness score is to be assigned, jointly agreeing on the 'readiness score' to be assigned, based on all evidence presented in the Assessment Tool.
3. Filling in the agreed score in the cell provided and highlighting this in the relevant colour as per the coding (red = 1 'not ready'; amber = 2 'partially ready'; green = 3 'ready'). This creates visual 'typologies' of readiness on a 'traffic light' readiness scale, facilitating a rapid understanding of the situation, highlighting key barriers (i.e. red flag areas) and supporting quick decisions.
4. Filling in the 'summary conclusions' box per module, reflecting on the key aspects of readiness, the main bottlenecks/barriers to be aware of and the potential to mitigate these.

There is no hard and fast rule to determining feasibility. Much of this analytical process will be context specific and will be a judgement call based on consideration of multiple evidence sources and the opportunities and constraints identified. The checklist in Figure 4 provides some key pointers and considerations for assessment teams, that can help to guide the thought process when analysing the information in the tool to reach conclusions on feasibility of using social transfer programmes and systems for providing cash assistance during shocks and disasters, and keeping in mind different emergency contexts.

**Figure 4 Checklist to guide analysis**

Module		Key considerations at this stage of the analysis
1	 <b>Mapping</b>	<ul style="list-style-type: none"> <li>• Are there 'red flags' such as poor governance, lack of ID, or financial services, that will reflect on the potential for SRSP?</li> <li>• Does the assessment need to focus on social protection system readiness in relation to a particular shock or shocks? What are the most significant and recurring shocks, which have an economic dimension?</li> <li>• Which social transfer programme(s) show some potential for SRSP, for further analysis?</li> <li>• Is there good geographical overlap of the disasters of interest and the coverage of these social transfer programmes?</li> <li>• Are there likely to be any difficulties in generating political buy-in for SRSP?</li> </ul>
2	 <b>Data and Evidence</b>	<ul style="list-style-type: none"> <li>• What is the extent of overlap between poverty and vulnerability in disasters – both geographically and for particularly vulnerable groups?</li> <li>• Could cash assistance during emergencies help to overcome any of the needs and constraints identified by UNICEF technical sections?</li> <li>• Could any of the priority activities of UNICEF technical sections complement a shock response through social protection?</li> </ul>
3	 <b>Policy, Legislation and Finance</b>	<ul style="list-style-type: none"> <li>• In the case of a refugee crisis, is there any scope legally for including refugees in social protection schemes (if not, SRSP will need to focus on nationals only, or consider advocacy for regulatory change or consider parallel system).</li> <li>• Does coordination between social protection, DRR and DRM authorities within the government need to be improved?</li> <li>• How do disasters differ in their use of EWS? Are any likely to be easier to prepare for, in any SRSP?</li> <li>• Are there likely to be any difficulties in generating financing for SRSP?</li> </ul>
4	 <b>Programme Design</b>	<ul style="list-style-type: none"> <li>• How fit for purpose is the current social transfer programme design, for meeting the programme's intended objectives?</li> <li>• How fit for purpose is the current social transfer programme design, for helping disaster-affected households to access social protection? (coverage in disaster areas; coverage of vulnerable households; use of conditions; timing of payments; value of payments etc).</li> <li>• What changes might be feasible in the design, to improve it? What are the main barriers to overcome here (e.g. political; regulatory; capacity...)</li> <li>• Are there any protection risks and can these be mitigated?</li> <li>• For any technical sections identified in module 3, are the sector's target groups effectively included by the social transfer programme targeting criteria?</li> </ul>
5	 <b>Administration Systems</b>	<ul style="list-style-type: none"> <li>• What are the key bottlenecks in the administrative processes that affect assistance of routine social protection, and will these be increased following particular shocks?</li> <li>• Can processes easily be modified/simplified to overcome these barriers?</li> <li>• If not, is it worthwhile undertaking advocacy with the government to enable this?</li> <li>• Are there critical capacity gaps in the staff and systems that would need to be addressed, to prevent overburdening?</li> <li>• Will monitoring conditionalities at times of emergency overburden institutions or prevent payments being made on time, especially where the shock has affected staff and service?</li> <li>• Is it likely that during or following any particular shock, programme operations will be affected?</li> </ul>
6	 <b>UNICEF Readiness</b>	<ul style="list-style-type: none"> <li>• What are the main capacity gaps that UNICEF CO will need to address to move forward with supporting SRSP?</li> </ul>

## ii. Identifying and Comparing Programme Options

As mentioned in Section 1 above, UNICEF envisages several possible ways in which governments, and UNICEF, can use social protection systems to provide cash assistance to those affected by disaster.<sup>5</sup> These are outlined in Figure 5. Several different options may be feasible. Always remember that an alternative option is not linking and programming through a parallel cash transfer assistance.

1. **Government social protection ministry** makes **'design tweaks'** to a social transfer programme to ensure it can more effectively meet needs during and following a shock or disaster (UNICEF can have a technical assistance provision role).
2. **Government social protection ministry** scales up cash assistance they provide in response to a shock by **expanding vertically** (UNICEF can have a technical assistance provision and a financing role).
3. **Government social protection ministry** scales up cash assistance they provide in response to a shock by **expanding horizontally** (UNICEF can have a technical assistance provision and a financing role).
4. **Government social protection ministry or disaster management ministry or UNICEF/ other humanitarian actors** leverage, ('piggyback' on) parts of the government's social protection administrative systems, to provide emergency cash assistance in response to a shock.

**Figure 5** How existing social protection systems can be used to provide a response to shocks



### Design tweaks

*Adjusting the design of social protection programmes to take into consideration the crises a country typically faces, to ensure they are better able to maintain regular service in a shock and can best meet needs of those affected by shocks. This could be done through:*

- i. collection and incorporation of new variables on disaster vulnerability within routine registration (e.g. social registries) and targeting algorithms.
- ii. adoption of principles of 'disaster and climate smart targeting'.
- iii. modification of payment processes to coincide with peak times of need/avoid times when delivery will be disrupted.
- iv. embedding business continuity principles into Standard Operating Procedures (SOPs).



### Piggybacking

*Leveraging a social protection programme's administrative framework or systems to deliver assistance but running the response programme separately. This could be via:*

- i. use of a specific programme's beneficiary list.
- ii. use of data in a national registry or database of households underpinning social protection.
- iii. use of a particular payment mechanism.
- iv. use of social protection staff.



### Vertical expansion

*Temporarily increasing the benefit value or duration of the benefit provided on an existing social protection programme, for all or some of the existing beneficiaries. This could be done via:*

- i. a top up to the regular transfer amounts over the longer term.
- ii. the introduction of extraordinary payments or transfers to cover the disaster response.
- iii. adding 'cash plus' support activities such as targeted nutrition and health services.



### Horizontal expansion

*Temporary inclusion of new, disaster affected, beneficiaries into a social protection programme. This could be done via:*

- i. the extension of the programme's geographical coverage to underserved areas.
- ii. an extraordinary enrolment campaign to rapidly enroll those who fit the programme criteria and who have been affected.
- iii. modification/relaxation of eligibility criteria to allow more people to benefit.

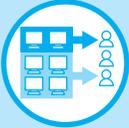
Sources: OPM (2018), UNICEF (2019).<sup>6</sup>

5. These options are taken from UNICEF's *Programme Guidance: Strengthening Shock Responsive Social Protection Systems* (2019), which draws from OPM's *Shock-Responsive Social Protection Systems Toolkit* (2018).

6. Ibid.

Each of these options presents different opportunities and challenges, set out in Figure 6.

**Figure 6** Options for using social protection systems to provide assistance during shocks and disasters - opportunities and constraints to be aware of

Option	Opportunities	Challenges
 <p><b>Design Tweaks</b></p>	<ul style="list-style-type: none"> <li>• Ensures continuity of routine social protection following a shock – building resilience and a prerequisite for any scaling-up of social protection post-disaster.</li> <li>• Improves design to better address vulnerability (both idiosyncratic and due to shocks) (e.g. targeting criteria and method; transfer value; payment frequency/schedule).</li> <li>• Can focus investment strategy (expansion of coverage; capacities) on areas affected by shocks.</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of political will to make changes.</li> <li>• Need to satisfy multiple development agendas.</li> <li>• Adjustment could divert the programme from its core objective.</li> </ul>
 <p><b>Vertical Expansion</b> (by government with support from UNICEF)</p>	<ul style="list-style-type: none"> <li>• Quick access to a pre-defined caseload.</li> <li>• Builds on existing administrative systems.</li> <li>• Clear lines of coordination - operations stay within the parameters of the existing programme.</li> </ul>	<ul style="list-style-type: none"> <li>• Some but not complete overlap between beneficiaries and those affected by disasters.</li> <li>• Political economy and institutional coordination factors can also present real barriers to effective execution.</li> </ul>
 <p><b>Horizontal Expansion</b> (by government with support from UNICEF)</p>	<ul style="list-style-type: none"> <li>• Leverages existing administrative systems rather than setting up parallel systems.</li> <li>• Reaches a broader spectrum of the disaster affected – fills some of the gaps in vertical expansion.</li> </ul>	<ul style="list-style-type: none"> <li>• Difficulties in rapidly targeting a new caseload – identification and communication.</li> <li>• Requires establishing criteria for temporary inclusion.</li> <li>• Could risk reducing the clarity of (and therefore the legitimacy of) the underlying programme.</li> <li>• For the above reasons, possibly a lack of political support.</li> </ul>
 <p><b>Piggybacking</b> (by government or UNICEF)</p>	<ul style="list-style-type: none"> <li>• Leverages existing systems to reach caseloads on a temporary basis quickly and efficiently, whilst avoiding the difficulties of horizontal expansion.</li> </ul>	<ul style="list-style-type: none"> <li>• Need strong operating systems for targeting and delivery.</li> <li>• Success depends on quality of data in social registry.</li> <li>• Political economy factors – for example, will data/social registries be shared?</li> <li>• Requires strong coordination between institutions.</li> </ul>

Based on the findings of the readiness analysis, the assessment team should collectively identify a small number of feasible programme options and consider the benefits and limitations of these and implications for government, UNICEF, and other actors. The assessment team should use all evidence from the assessment and the guidance on enablers and barriers in Figure 4 to make these decisions.

Findings can be summarised using the template in Figure 7. Based on the conclusion of feasibility, two or three priority options should be taken forward to the next, final stage of analysis. **See Annex 4 for a country example of this completed analysis.**

As mentioned in Section 1, in the short to medium term, many country contexts will continue to require delivery of some HCT through a parallel humanitarian system, to meet all needs. Analysis should conclude whether a parallel HCT response will also be needed.

The following question should be used to guide the analysis:



**Analysis checklist:**

- I. Are adaptations to social transfer programmes needed, to improve continuity and effectiveness of routine social protection, in normal times or following a crisis?
- II. Do social transfer programmes have potential to scale-up/ adjust provision of cash assistance to people affected by shocks or disasters, and what are the main enablers and constraining factors?
- III. Could any of the administrative systems used on these social transfer programmes be used to deliver an HCT programme to people affected by shocks or disasters, and what are the main enablers and constraining factors?
- IV. Will these programme options be appropriate in all types of disaster or shock, and feasible in all scales of disaster?
- V. Which vulnerable groups would not be covered by providing assistance through the social transfer system in these ways?
- VI. Taking into account all of the findings from the assessment, which programme options are most appropriate and/or feasible, and which have greater priority?
- VII. Taking account of all findings from the assessment, how likely is it that provision of HCT through a parallel system will also be needed in the short to medium term? Which are most appropriate and/or feasible, and which have greater priority?

**Figure 7** Template for comparing programme options

Option	Detail	Enabling factors	Constraining factors	Conclusion on feasibility
CONCLUSIONS				
<b>Programme option(s) to take forward:</b>		<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> </ol>		
<b>Is there need for a parallel HCT in the short to medium term?</b>				

### iii. Recommending Preparedness Actions

For the programme options prioritised in 4.2 above, teams should then brainstorm a series of concrete preparedness actions for UNICEF and its partners to move forward with. This should include actions that will be needed to address the main constraints identified in the assessment, for example:

- How to overcome capacity gaps?
- How to overcome gaps in finance?
- How to influence and convince gatekeepers?
- How to ensure coordination?

Teams should consider:

1. The range of actions that could be provided by UNICEF CO (e.g. technical assistance; financial resources; advocacy; system strengthening; capacity building; provision of 'cash plus', etc).
2. Any implications these actions have for UNICEF HQ or RO (i.e. which actions require higher level organisational support).
3. Any engagement needed from different stakeholders to realise these actions (central and local government, Red Crescent/Cross, UN agencies, FSPs, etc).
4. Proposed timeline for implementation (0-2, 2-5 or 5+ years).

Findings can be summarized using the template in Figure 8 below, adding new rows for each separate action. **An example of this can be found in Annex 5.** This plan can serve as the basis for discussion with UNICEF senior management and external stakeholders.

### iv. Writing the Report

The [Assessment Tool](#) has been designed to give a summary of the key findings and conclusions and a visual representation of the main results (through the 'traffic lights' system), enabling the CO to see where the main opportunities and barriers are. However, UNICEF will need to share and discuss the results of the analysis – findings, priority response options and proposed preparedness actions - with government (and other) external counterparts in country. For this purpose, a concise summary report of the main findings and outputs is useful. It is suggested that the assessment report follow this format:

1. Introduction
  - 1.2 Background and Rationale for Study
  - 1.3 Study Objectives
  - 1.4 Summary Methodology – including limitations and a list of key informants.
2. Summary of Assessment Findings – copy and paste the main conclusions from modules 1-6 of the Assessment Tool here.
3. Identifying Potential Programme Options – copy and paste Figure 7 above.
4. Recommended Preparedness Actions – copy and paste Figure 8 above.
5. References

**Annex 6 outlines this format in more detail to support report writing.**

**Figure 8** Template for planning recommended preparedness actions

Programme Option	Recommended preparedness actions needed	Support the UNICEF country office can provide	Support needed from UNICEF RQ/ HQ	Engagement required from government and partners	Timeframe (0-2 years; 2-5 years; +5 years)
<b>Option 1:</b> (for example, design tweaks to programme X....)					
<b>Option 2:</b> (for example, vertical expansion of programme Y...)					
<b>Option 3:</b> (for example, piggybacking on the social protection administrative systems...)					



## Annex 1

## Glossary

Cash Transfers	
<b>Humanitarian Cash Transfers</b>	The provision of assistance in the form of money (either physical currency/cash or <i>e-cash</i> ) to beneficiaries (individuals, households or communities) as part of a humanitarian response. Cash transfers are distinct from both vouchers and in-kind assistance. Additionally, in humanitarian contexts, cash transfers can be disbursed to beneficiaries, either through a parallel system or UNICEF may provide grants to national governments in order for them to distribute cash transfer to individuals or households directly, as part of a humanitarian assistance.
<b>Voucher</b>	A paper, token or e-voucher that can be exchanged for a set quantity or value of goods or services. Vouchers are restricted by default, although the degree of restriction will vary based on the programme design and type of voucher. They are redeemable with preselected vendors or in 'fairs' created by the implementing agency. The terms vouchers, stamps, or coupons might be used interchangeably.
<b>Commodity Voucher</b>	Commodity vouchers, or vouchers, are exchanged for a fixed quantity and quality of specified goods or services at participating vendors. Commodity vouchers share some similarities with in-kind aid in that they restrict and specify the assistance received, but it is accessed at local markets through traders.
Types of cash transfers	
<b>Qualifying:</b> <i>Activities or obligations which must be fulfilled to receive assistance.</i>	
<b>Unconditional</b>	Unconditional cash transfers are provided to beneficiaries without the requirement that they perform certain actions ('conditions'), such as attending school or completing vaccinations.
<b>Conditional</b>	A conditional transfer requires beneficiaries to undertake a specific action/activity (e.g. attend school, build a shelter, attend nutrition screenings, undertake work) to receive assistance, i.e. a condition must be fulfilled before the transfer is received. Cash for work/assets/training are all forms of conditional transfers.
<b>Utilization:</b> <i>Limitations, if any, on use of assistance received. What a transfer can be spent on after the recipient receives it.</i>	
<b>Unrestricted</b>	Unrestricted transfers can be used entirely as the recipient chooses i.e. there are no restrictions imposed by the implementing agency on how the transfer is spent. They are different from the multipurpose cash transfer in the sense that they allow a wider programmatic flexibility in terms of coverage of needs and linkages with the 'plus' component.
<b>Restricted</b>	A restricted transfer requires the beneficiary to use the assistance provided to purchase specific items or types of goods or services. Vouchers are by default restricted transfers, as there will at minimum be restrictions on where and for which items a voucher can be spent.
<b>Design of Cash Transfer:</b> <i>What the interventions aim to achieve (objective) and/or how they are designed.</i>	
<b>Sector Specific Intervention</b>	A cash transfer programme intervention designed to achieve sector-specific objectives. Sector-specific cash transfers can be restricted or unrestricted, and conditional or unconditional.

<b>Multi-Purpose Child Grants</b>	A Multi-Purpose Grant (MPGs) or a Multi-Purpose Cash Transfer (MCAs) is a regular or one-off cash transfer corresponding to the amount of money a household needs to cover, fully or partially, a set of basic and/or recovery needs. They are, by definition, unrestricted cash transfers. The MPG/MCA can help meet a Minimum Expenditure Basket (MEB) or other calculation that determines basic needs but can also include a one-off or recovery cash transfer.
<b>Basic Needs</b>	The items that people need to survive. Safe access to essential goods and services such as food, water, shelter, clothing, health care, sanitation and education.
<b>Cash Plus Child Grant (Humanitarian)</b>	Complementary programming where cash transfer programmes (conditional or unconditional) are combined with other modalities (such as service delivery) or activities. UNICEF uses this approach and terminology to refer to one-off or regular cash grants that link with complementary services and/or activities. Examples include unrestricted cash grants linked to school attendance or to referrals to specific services.
<b>Types of Implementation Models</b>	
<i>System used to deliver cash transfers to beneficiaries.</i>	
<b>Parallel System</b>	A system established by UNICEF with implementing partners (UN agencies/INGO/Private Sector etc), to deliver humanitarian cash transfers directly to crisis affected households and children. In this system, UNICEF manages all the operations with or without implementing partners and provides the funding to deliver humanitarian cash transfers to implementing partners (UN agencies/INGO/Private Sector etc).
<b>Mixed System</b>	This is a system which combines elements from both parallel and national systems to deliver humanitarian cash transfers to beneficiaries. Under this system, the features of the existing social protection system which could be used include: the beneficiary list, payment delivery system, transfer amount, or social workforce, for instance.
<b>Through a National System</b>	This refers to instances when the existing national social protection system is used fully/scaled up to deliver humanitarian cash transfers directly to crisis affected households and children. Under this system, UNICEF provides either technical assistance, or funding and technical assistance to the government.

### General Glossary for Guidance

**Financial Service Provider (FSP):** An entity that provides financial services, which may include e-transfer services. Financial service providers may include e-voucher companies, financial institutions (such as banks and microfinance institutions) or mobile network operators (MNOs). FSPs includes many entities (such as investment funds, insurance companies, accountancy firms) beyond those that offer humanitarian cash transfers or voucher services, hence within cash transfer literature FSP generally refers to those providing transfer services.

**Management Information System (MIS):** Refers to systems (or software applications) that manage information for the functioning of registration and eligibility systems (see social registry) – or the operation of specific programmes to deliver benefits and services (e.g. payments transactions, conditionality monitoring, etc).

**Social Assistance/Social Transfers:** Predictable direct transfers, in cash or in-kind, to individuals or households to protect them from the impacts of shocks and support the accumulation of human, productive and financial assets.

**Social Protection:** A set of policies and programmes aimed at preventing or protecting all people against poverty, vulnerability and social exclusion throughout their life-course, with a particular emphasis towards vulnerable groups.

**Social Protection Programme:** Programmes that form a part of the national social protection system and are designed to address poverty and vulnerability e.g. child benefit/grants, social transfers, public work programmes, social insurance etc. These can be contributory or non-contributory and can be delivered in-kind or as cash transfers.

**Social Protection System:** An integrated social Protection system comprises four inter-related parts:

1. **A Foundation of Evidence.** Data that provides the basis for social protection programming and functioning of the system. This includes evidence of poverty (including child poverty), vulnerability, effectiveness of existing programmes, remaining gaps in programme areas etc.
2. **Policy, Coordination and Financing of Social Protection Systems.** Includes social protection laws, policies, and strategic frameworks; national coordination mechanisms between ministries that oversee social protection, and appropriate financing for integrated social protection systems to function effectively.
3. **Programmes.** These are the core of the social protection system and include social transfers, social insurance, labour and jobs, social service workforce etc.
4. **Administration and Integrated Service Delivery.** This focuses on core tools that facilitate the business process of the social protection programmes. It includes integrated beneficiary and social registries, management information systems (MIS), delivery, grievance and redress mechanisms, human resources and sub national coordination mechanisms.

**Single Registry:** A registry (organized into a database) which houses comprehensive (i.e. not programme specific) information on potential and actual beneficiaries. It aims to collect, record and store updated and historical information on individual and household characteristics and circumstances and verifies and checks information consistency.

**Social Registry:** Information systems that support outreach, intake, registration, and determination of potential eligibility for one or more social programmes (in which case it can be referred to as 'Integrated Social Registry'). In practice, social registries centralise data integration up front, collecting/compiling data for a registry of potential beneficiaries that is then drawn upon for eligibility determination of specific programmes.

**Shock-Responsive Social Protection:** Ability of the social protection system to maintain its routine function in times of crisis and/or scale-up/flex/adjust on its own or in coordination with other departments/ministries to accommodate new populations and needs as a result of the shock; and to contribute to resilience building of individuals, households, communities and systems to future shocks.



## Annex 2

# TOR for the Development of the Social Protection System Readiness Assessment Tool

There is increasing recognition of the importance of strengthening social protection across the humanitarian-development nexus. Shocks and disasters are becoming more frequent and severe, driven by factors including environmental degradation and climate change, and humanitarian crises are becoming more protracted. With [Sustainable Development Goals \(SDG\)](#) target 1.3 explicitly calling for the implementation of ‘nationally appropriate social protection systems and measures for all, including floors’ and by 2030 the ‘substantial coverage of the poor and vulnerable’, country and national agendas have increasingly focused on developing social protection programmes to address the life cycle risks of populations.

There is a need to change the ‘business as usual’ approach to conceiving and delivering emergency assistance (as short-term, siloed, standalone responses, through parallel systems), and to build links between emergency assistance, disaster risk management and development programming to more effectively address the drivers of crises, build resilience and respond to the needs of populations in crisis prone areas.<sup>7</sup>

In 2016, UNICEF and other actors agreed major collective commitments with the aim of increasing the scale, volume and quality of humanitarian cash transfers (HCT).<sup>8</sup> Within this context there is growing interest about the potential of leveraging national social protection programmes and their underlying systems to provide support in emergencies, and for ways in which social protection systems can be supported to become more ‘shock responsive’.

Social protection is a promising solution to bridge the humanitarian-development divide due to several factors. Social protection helps households to manage risk and can build the resilience of households that are vulnerable to disasters, preventing a fall into poverty and negative impacts for children. There are also commonalities in the way that emergency assistance (in the form of humanitarian cash transfers) and social protection programmes (in the form of cash-based social transfers) are designed and implemented. While evidence is still emerging, experiences of several governments, including the government of [INSERT COUNTRY], in developing ‘shock responsive’ national social protection systems, in particular social transfer programmes, suggest that this approach has potential to enhance resilience to disasters, improve response times, reduce costs of delivering emergency assistance, reduce duplications and gaps and improve national capacities to manage disasters. At the same time, as with any programme approach, there will be challenges to address, and trade-offs to consider. The enabling factors and potential barriers in national social protection systems must be well understood, to inform the feasibility of using these at times of shock and to effectively prepare for these interventions.

Supporting its national government partners to develop and strengthen social protection systems to address needs in crisis contexts is a strategic objective for UNICEF. To this end, in 20—[YEAR] UNICEF [INSERT COUNTRY/HQ] have commissioned an assessment to build understanding of the opportunities and challenges

7. For example, the Grand Bargain commitments (2016); the New York Declaration for Refugees and Migrants (2016).

8. These include the Grand Bargain commitments that were made at the World Humanitarian Summit (2016); ECHO’s *10 Common Principles for Multi-Purpose Cash-Based Assistance to Respond to Humanitarian Needs* (2015); the recommendations of the High-Level Panel’s report on HCT, *Too Important to Fail: Addressing The Humanitarian Financing Gap* (2016); and the call for action from the Agenda for Humanity.

to supporting provision of, or delivering, cash transfers through national social protection systems during a crisis in [INSERT COUNTRY]. The objectives of this study are to:

1. Assess the political, technical, operational and financial feasibility, or 'readiness', of the country's cash-based social transfer programme(s) to provide cash assistance to people affected by shocks and disasters.
2. Identify opportunities for linkages with UNICEF's sector strategies and for developing or supporting a 'cash plus'<sup>9</sup> approach in emergencies alongside social transfers.
3. Assess the capacity, or 'readiness' of UNICEF's CO to support such interventions.
4. Identify and compare possible options, for ways that the programme(s) of interest or their systems can be used to meet needs at times of shock or disaster, including role(s) for UNICEF.

The assessment will involve interviews with key informants identified as key stakeholders for shock responsive social protection in the country.

The output will be a summary report of the findings of the assessments, setting out a series of potential options for ways forward, that UNICEF will use a basis for reflections with the government of [INSERT COUNTRY] and partners.



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9. Complementary programming where cash transfer programmes (conditional or unconditional) are combined with other modalities or activities. UNICEF uses this approach and terminology to refer to one-off or regular cash grants that link with complementary services and/or activities. Examples include unrestricted cash grants linked to school attendance or to referrals to specific services.

## Annex 3

# Example of a Draft Agenda for Data Collection

The following is a suggested agenda for a 5-day assessment. The people to meet are outlined below the agenda and the day and timing of these meetings needs to be adjusted according to availability. It is however recommended that

the meetings are no less than an hour and ideally 1.5-2 hours for key actors. The agenda can be adjusted but the areas in bold are essential to the assessment and should be included.

Time	Mon	Tues	Weds	Thurs	Fri
<b>9-10.00</b>	9-10 Intro meeting in UNICEF with deputy/country representative	9-10.30 Center for social work (including local level social workers involved in SP)	9.30 -11.00 Philanthropy NGO	9-10.30 District/local level government staff involved in SP	9.30-11.30 Analysis of findings
<b>10-11.00</b>		10-11.00 UNDP		10.30-11.30 WFP	
<b>11-12.00</b>	11-13.00 Ministry of Social Protection	10-13.00 Ministry of Emergencies/Interior	11-12.00 Commercial bank/mobile money service provider	11.30-13.00 SP expert, Center for Social Policy	11.30-13.00 comparing programme options
<b>12-13.00</b>			12.13.00 Cash Working Group		
<b>13-14.00</b>	Lunch break	Lunch break	Lunch break	Lunch break	Lunch break
<b>14-16.00</b>	14-16.00 Institute of Social Protection (oversees social registry)	14-15.30 Ministry for Finance	14-15.00 Red Cross	14-15.00 National bank who makes the social transfers	14.00-16.00 recommending preparedness actions
<b>15-16.00</b>		15.30-16.30 World bank			
<b>16-17.00</b>					

### Essential interviewees to meet:

1. Ministry of Social Protection
2. Ministry of Emergencies/Interior
3. Ministry for Finance
4. Economic research institutes/social policy experts
5. INGOs involved in HCT
6. Red Crescent/Cross involved in HCT
7. NGOs involved in HCT
8. Donors funding HCT/SRSP
9. National bank with coverage in remote emergency prone areas

### Optional interviewees to meet (according to context):

10. UNDP
11. World Bank
12. Center for social work

## Annex 4

# Template for Comparing Programme Options

The following table provides an example of the completed template (see Figure 7) from the Kenya Social Protection System Readiness Assessment (2019).

Option	Detail	Strengths and enabling factors	Limitations, and constraining factors	Conclusion on feasibility
<b>1. Long term system strengthening on the National Safety Net Programme (NSNP) Inua Jamii</b>	Evidence building, investment and design tweaks to make the NSNP Inua Jamii long term programmes and systems more relevant and effective at building resilience in crisis settings.	<ul style="list-style-type: none"> <li>• A national programme with existing operations manual and training, ensuring changes can be disseminated in a harmonised way.</li> <li>• In line with UNICEF's core mandate, applied through resilience lens.</li> <li>• UNICEF's existing long-term social policy funding (SIDA) could be used.</li> <li>• Necessary precursor to any institutionalised shock response action inside Inua Jamii.</li> <li>• Many of the actions/changes needed do not have a major cost implication to the programme for implementation.</li> <li>• Several of the actions needed from UNICEF's side are low cost (attending steering committee meetings; engaging in policy dialogue; advocacy).</li> <li>• Gets UNICEF more engaged in the cash transfer/shock responsiveness space with the major actors.</li> </ul>	<ul style="list-style-type: none"> <li>• UNICEF needs to ensure the expertise and commitment to engage as needed.</li> <li>• Regarding changes to registration – this does have a cost implication for the GoK. Unlikely that the approach to NSNP registration (short windows) will be relaxed in the next 3 years given the investments the GoK has already committed to, to finance Hunger Net Safety Programme (HSNP).</li> </ul>	<ul style="list-style-type: none"> <li>• It is feasible, and highly appropriate since strong and effective long-term programmes are a pre-requisite to any flexing and scaling in shock response.</li> <li>• UNICEF could support this directly, and it can provide a route into other options. This is a priority.</li> </ul>
<b>2. Vertical expansion of NSNP Inua Jamii</b>	Topping up existing beneficiaries at times of shock (drought, flood).	<ul style="list-style-type: none"> <li>• Operationally speaking, this is the simplest to do, only involving changes to the cash delivery activity in the programme cycle.</li> <li>• The payment cycle (once funds are disbursed by Treasury), appears to function relatively well, and the digital payment mechanism supports this flexibility.</li> <li>• Certainly, some overlap between the programme's beneficiaries and those that are likely to be affected (poorest). For those already on the programme, could be a quicker way to reach them.</li> <li>• UNICEF is already amending the SAU's payment MIS to track and separately reconcile additional payments on the NICHE programme.</li> <li>• Government (SPS, DCS, DSD) and World Bank seem open to testing this approach and UNICEF is well placed to support pilot.</li> <li>• Complementarities with UNICEF's forthcoming NICHE programme.</li> <li>• UNICEF's existing long-term social policy funding (SIDA) could be used for a pilot.</li> <li>• The financing portfolio being put together for shock response under KSEIP has potential to support such actions going forward.</li> </ul>	<ul style="list-style-type: none"> <li>• Needs to be financed by non-government sources in the immediate future (any piloting).</li> <li>• The programmes do not include all those who are vulnerable to drought/flood. There are others who fit the criteria but that are excluded due to low coverage. There are also others who do not fit the criteria but are vulnerable to disasters. Would need an additional intervention to reach these households.</li> <li>• The bi-monthly payment cycle may not be agile enough to quickly respond. However, any changes to increase the frequency/move forward the payment schedule would need to consider Local Government Authorities (LGA) and FSP staff capacities as well as the effect on beneficiaries.</li> <li>• Need capacity assessment of country officers' ability to manage the extra workload (not just accepting the assumptions from national offices).</li> <li>• Need to establish such an activity in the departmental budgets, to avoid similar funding delays to Isiolo.</li> <li>• Need to adapt the payment MIS.</li> <li>• If it were successful, need to be aware that there will be competition between the Ministry of devolution and ASALs and Ministry of SP and Labour, on where such a shock response function sits (funds, systems).</li> <li>• The above competition could still risk the drought financing instruments being developed under KSEIP being labelled as 'HSNP/NDMA only'.</li> <li>• Current EWS and triggers for HSNP not relevant for any flood response.</li> </ul>	<ul style="list-style-type: none"> <li>• Seems operationally feasible.</li> <li>• A pilot would begin generating the evidence of actual efficiency and effectiveness, to inform future discussion on the ways forward for shock responsive social protection in Kenya, in time for the social register development.</li> <li>• Need to consider what emergency needs such a top-up would be expected to cover.</li> <li>• Any pilot needs to be financed by UNICEF/other and would need to be combined with another approach to reach non-beneficiaries.</li> </ul>

Option	Detail	Strengths and enabling factors	Limitations, and constraining factors	Conclusion on feasibility
<b>3. Horizontal expansion of NSNP Inua Jamii</b>	<p>This could be achieved through:</p> <ol style="list-style-type: none"> <li>1. Relaxing the criteria (poverty score/age etc).</li> <li>2. Relaxing proof of eligibility (home visit, documents).</li> <li>3. Scaling-up registration activities to quickly enrol others who do fit the usual criteria (including the existing list in the SAU MIS of assessed cases).</li> </ol>	<ul style="list-style-type: none"> <li>• Allows you to cover those who are not currently NSNP beneficiaries but are affected by disaster. HSNP had this function but is only available in 4 (soon 8) countries.</li> <li>• Option iii) will not change the parameters of the long-term programmes, it will just focus on those who fit the usual criteria. This is straightforward (providing there is capacity to undertake rapid registration) and this could also help to increase the coverage of the long-term programmes. There are some households in the SAU MIS that are already pre-identified.</li> </ul>	<ul style="list-style-type: none"> <li>• Option i) would be politically challenging to design and difficult to communicate. There were concerns expressed by government authorities about how this could be achieved, and how to exit people without creating confusion and tensions.</li> <li>• Option ii) would need careful communication and would require amendments to the programme's operational procedures.</li> <li>• Option iii) would be helpful at widening coverage, but the reason for this current exclusion is budgetary limitations of the GoK, limiting further registration. So, this may put pressure on the long-term programme.</li> <li>• Registration is not regularly open, so still unclear how quickly any new registration and enrolment round could be mobilised, or whether staff would have the capacity to do this. On the HSNP this does not happen post-shock.</li> <li>• The fact that the social register is coming on board kind of negates the need for this option anyway (see below).</li> </ul>	<ul style="list-style-type: none"> <li>• Option i) and ii) not considered the most appropriate options in the short to medium term.</li> <li>• Option iii) is potentially possible but would need to be sure that the government could take any new caseload on in the long term. Given the focus on developing the social register (below), suggest that this isn't pursued for now.</li> </ul>
<b>4. 'Piggybacking' on NSNP systems</b>	<p>Developing the social register module of the SPS single registry to support shock response (by government, UNICEF, other humanitarian actors...).</p>	<ul style="list-style-type: none"> <li>• Clear donor and GoK buy-in – it's the objective that the forthcoming social registry will support rapid disaster response through government led systems and processes, and that others will be able to access the data for other responses as needed.</li> <li>• This option strengthens national systems and can inform design of schemes to quickly reach non-regular social protection beneficiaries, without interfering with the targeting parameters of the existing NSNP programmes.</li> <li>• It is being financed by KSEIP and the time frame and TOR are already developed.</li> <li>• Added value for UNICEF to engage here, to help conceptualise the ways that the register will inform future shock responses and be applied by government/others (e.g. critically reviewing the application of the poverty threshold in shock response).</li> <li>• UNICEF is financing the social register development (through WFP).</li> </ul>	<ul style="list-style-type: none"> <li>• UNICEF need to actively engage in this space, on a regular basis.</li> <li>• Still unclear how gaps in the register will be filled or how up to date (and accurate) the data will be.</li> </ul>	<ul style="list-style-type: none"> <li>• The registry will be completed in 2023 so use of it for programmes is a few years away. But important for UNICEF to engage now in its development and rule setting, through the Steering Committee.</li> </ul>
<b>5. 'Cash plus' and section alignment</b>	<ol style="list-style-type: none"> <li>1. Nutrition – improve nutritional outcomes/resilience of Inua Jamii or HSNP beneficiaries through linked programmes.</li> <li>2. Education – reducing risk of drop out, especially during lean seasons.</li> </ol>	<ul style="list-style-type: none"> <li>• Nutrition - Can align with NICHE, which is already i) making links with NSNP and ii) developing systems for topping up NSNP grants (in normal times). Also gives an opportunity to explore 'cash plus' approaches benefiting HSNP households too.</li> <li>• Education – interest from education section to consider more cash-based interventions and address economic demand side barriers to education.</li> </ul>	<ul style="list-style-type: none"> <li>• Nutrition – any additional activities would need financing. Need to be careful not to overburden NICHE. Forging links with HSNP would need discussion with World Bank/others (but there is potential under KSEIP).</li> <li>• Education – starting from zero and would need to fully understand education barriers. Likely that any financial assistance to reduce drop-out would need to be given for more than just the lean seasons to have any impact.</li> </ul>	<ul style="list-style-type: none"> <li>• NICHE provides a definitive programmatic entry point to engage immediately, as part of option 2 (vertical expansion) above.</li> <li>• Education can and should be further explored.</li> </ul>

Option	Detail	Strengths and enabling factors	Limitations, and constraining factors	Conclusion on feasibility
<b>6. Parallel response</b>	UNICEF implements HCT through a parallel (non-government) system during disasters.	<ul style="list-style-type: none"> <li>In large-scale disasters in the short to medium term there will be a need to still have (coordinated) humanitarian response outside of government systems.</li> <li>UNICEF can partner with WFP (common UN approach).</li> </ul>	<ul style="list-style-type: none"> <li>UNICEF has not engaged in this space so far in Kenya and don't have the requisite systems or the expertise to do this quickly.</li> <li>It is also a crowded space – WFP, many NGOs, and KRCS already intervene and are arguably more experienced and better placed to deliver.</li> </ul>	<ul style="list-style-type: none"> <li>Certainly, parallel systems will still be needed – the question is the added value of UNICEF intervening directly. If such a response was needed it should be through a partnership with WFP, using WFP's systems to provide complementary support for children.</li> </ul>

**Conclusions:**

<b>Programme option(s) to take forward from the above:</b>	<ol style="list-style-type: none"> <li>Long term system strengthening on NSNP Inua Jamii, for resilience in crises.</li> <li>Exploring potential of vertical expansion (top ups) for NSNP Inua Jamii.</li> <li>Supporting development of the social registry.</li> </ol>
<b>Is there need for a parallel HCT in the short to medium term:</b>	Highly likely, but limited value for UNICEF to engage in implementing this directly.



## Annex 5

# Template for Planning Recommended Preparedness Actions

The following table provides an example of the completed template (see Figure 8) from the Kazakhstan Social Protection System Readiness Assessment, 2019.

Programme Option	Recommended preparedness measure	Actions for UNICEF CO	Implications for UNICEF RO/ HQ?	Actions needed by government and partners	Timeframe (0-2; 2-5; +5 years)
<b>1. Ensuring continuity of the TSA during crises</b>	Disaster-proofing the TSA	<p>Schedule meeting with the MoI, MoLSP and emergency committee to discuss needs and requirements and seek agreement to collaborate.</p> <p>Read the TSA manual to understand the entry points and define the shocks to be included.</p> <p>Develop a TOR for the activity, to include drafting SOPs and developing brief training materials.</p> <p>Assess UNICEF CO capacity to lead this activity; if required, recruit a short-term stretch assignment position to lead the process.</p> <p>Develop a costed roll-out plan with the Emergency Committee.</p> <p>Potentially provide financial resourcing for roll out of the training.</p> <p>Carry out an assessment of the supply side of employment services and the potential penalties imposed.</p>	Supporting recruitment of technical support as required, which could come from another CO.	<p><b>Emergency committee:</b></p> <ul style="list-style-type: none"> <li>Approval on collaboration.</li> <li>Review and input into TOR.</li> <li>Share details of training plan with UNICEF.</li> <li>Ensure training on the new SOPs is rolled out.</li> </ul> <p><b>MoLSP/MoI:</b></p> <ul style="list-style-type: none"> <li>Approval on the collaboration.</li> </ul>	0-2 years
<b>2. Exploring a model for horizontal expansion of TSA for flood response (UNICEF supported) with possible vertical expansion component</b>	Further data analysis on humanitarian cash response at sub-national level to provide evidence for the potential feasibility/ appropriateness in priority locations, e.g. through the 'cash plus' pilot in Eastern Kazakhstan.	<p>Engage with Red Crescent/IFRC to jointly plan the 'cash plus' pilot extension– to include data collection in 1 flood affected region where the TSA is already being implemented. During this time analyse data available to support an argument for HCTP:</p> <ul style="list-style-type: none"> <li>Research gaps – minimum wage/minimum subsistence level – hidden poor.</li> <li>Analyse Red Crescent data on cash expenditure usage + cost effectiveness cash vs in-kind (agreement between IFRC and UNICEF).</li> <li>Analyse local authority data on emergency social assistance.</li> <li>Use social influencers to advocate to the government about the use of HCTP.</li> </ul> <p>Preparedness: Revise decision EPP/adaptations to plans to ensure HCT is considered an appropriate (EPP/ MPS 5) UNICEF HCT capacity building.</p>	Capacity building support to CO	<p><b>Red Crescent IFRC:</b></p> <ul style="list-style-type: none"> <li>Co-define locations for data collection on cash (using overarching UNICEF/ IFRC framework agreement).</li> <li>Define data to be collected.</li> </ul> <p><b>Emergency committee regional/district Akims:</b></p> <ul style="list-style-type: none"> <li>Agree on study locations.</li> <li>Ensuring engagement of key informants.</li> <li>Providing required data.</li> </ul>	0-2 years

Programme Option	Recommended preparedness measure	Actions for UNICEF CO	Implications for UNICEF RO/HQ?	Actions needed by government and partners	Timeframe (0-2; 2-5; +5 years)
	<p>With the Red Crescent and alongside the 'cash plus' prepare for supporting implementation of a pilot disaster response linked to the TSA in one region.</p>	<p>Based on the analysis of humanitarian cash (cost effectiveness of cash versus in-kind/use of HCT by households) by UNICEF/Red Crescent, further define the approaches to be piloted. Pre-crisis, this can include potentially one, or all, of:</p> <ul style="list-style-type: none"> <li>i) pre-enrolling existing, non-beneficiary households listed in the MIS system that fall just outside of the threshold cut off for assistance; and/or including households who have received the birth allowance in the last 3-5 years; set thresholds for expanding assistance;</li> <li>ii) defining top-ups to existing TSA beneficiaries to meet new emergency needs; iii) register additional households into the TSA in the pilot communities.</li> </ul> <p>The latter may need to be led by staff other than the TSA's staff so as not to over burden them. In terms of a shock response post-crisis, this can potentially include activation of all the above (however it is likely that given capacities and the time available, any efforts to respond to a newly registered TSA caseload should be done through a parallel system).</p> <p>Define the key programmatic elements of the extended 'cash plus' pilot project, the humanitarian needs it would aim to meet and how transfer value would be calculated; roles of all stakeholders; training and capacity building requirements; for any component of response planned through a parallel system, the payment service provider to use; any plans for linking with or supporting UNICEF section objectives; any additional monitoring mechanisms, budget, timeline, etc).</p> <p>Amend the 'cash plus' concept note.</p> <p>Engage with the Emergency Committee, MOLSP, District level authorities to seek the required approvals.</p> <p>Capacity building government (with Red Crescent as partner?) to ensure understanding of and support for HCTP (Cash/SP training for government). Use as advocacy opportunity (impact, dependency).</p> <p>Define the arrangements for financing the planned shock response (i.e. transfer of funds to government) and if necessary, establish partnership agreement for this collaboration with emergency committee.</p> <p>Seek funding for the pilot from the Utemuratov Fund.</p> <p>Influence future government SP/emergency strategy.</p>	<p>Share lessons learned: studies from other country experiences, in the region and globally.</p> <p>Provide access to UNICEF guidance and other best practices for shock responsive social protection.</p> <p>Provide access to technical assistance and guidance on design of HCT if needed.</p> <p>Guidance/support from UNICEF DFAM on assessment of FSPs for emergency cash deliver, if needed.</p>	<p><b>Red Crescent/IFRC:</b></p> <ul style="list-style-type: none"> <li>• Capacity building of Red Crescent Kazakhstan.</li> <li>• Manage short-term technical support to the pilot design.</li> </ul> <p><b>Emergency Committee:</b></p> <ul style="list-style-type: none"> <li>• Approval on collaboration.</li> <li>• Review and input into concept note.</li> <li>• Agreement between Mol and MoLSP on SRSP and/or UNICEF (Vice President buy-in).</li> <li>• Agreement on MIS for scale-up to make links between social assistance beneficiaries (and those that applied but were just outside the eligibility criteria and/or other SA beneficiaries).</li> <li>• Sign up to formal partnership agreement if required.</li> <li>• Inform relevant staff at State level.</li> </ul> <p><b>Utemuratov Fund:</b></p> <ul style="list-style-type: none"> <li>• Agree, sign off on and commit funding for the pilot.</li> <li>• Amendments to include a HCTP statement of intent with Mol/MoLSP.</li> </ul>	<p>0-2 years (ideally want design ready early 2020, to plan for testing in 2020 flood cycle)</p>

Programme Option	Recommended preparedness measure	Actions for UNICEF CO	Implications for UNICEF RO/HQ?	Actions needed by government and partners	Timeframe (0-2; 2-5; +5 years)
	Testing feasibility of the approach in a flood emergency setting.	<p>According to the project plan, provide technical assistance and operational resources to the Emergency Committee and LGAs as necessary for them to undertake the required preparedness actions (communication, enrolment, logistical preparations, etc).</p> <p>In the event that registration of non-TSA households is included, led by human resources outside of the TSA, provide technical assistance to recruit the necessary resources.</p> <p>In the event of a vertical or horizontal expansion post-shock, according to the project plan, provide technical and operational resources alongside the Red Crescent to the and LGAs as necessary for them to implement the response.</p> <p>In the event that the pilot includes a component of assistance to a newly registered TSA caseload delivered by Red Crescent, provide technical assistance and advocacy support.</p> <p>Invest in UNICEF monitoring and evaluation and in capturing lessons learned.</p>	Provide access to technical assistance to support implementation if needed.	<p><b>Emergency Committee:</b></p> <ul style="list-style-type: none"> <li>Lead any contractual amendments required with the TSAs payment service providers.</li> <li>Ensure project is rolled out according to the agreed plan.</li> </ul> <p><b>Utemuratov Fund:</b></p> <ul style="list-style-type: none"> <li>Oversight of programme progress and performance according to agreed indicators.</li> </ul>	0-2 years (UNICEF's plan for testing in the 2020 flood cycle requires preparedness measures are implemented in the first half of 2020)
	Policy dialogue on next steps and the potential to take approaches to scale	<p>Share results and lessons with the national government.</p> <p>Based on these findings, and any learning from the parallel workstream on the TSA (below), lead discussions on and present options and recommendations for providing cash assistance linked to social protection, with a view to developing a costed strategy/plan for a nationally owned cash-based response.</p> <p>Update UNICEF's own internal strategies and plans (EPP; social protection work plan) according to these priorities.</p>		<p><b>MoLSOP/Mol:</b></p> <ul style="list-style-type: none"> <li>Key inputs into defining the strategy.</li> <li>Endorsement of any strategy.</li> </ul> <p><b>Emergency Committee:</b></p> <ul style="list-style-type: none"> <li>Discussion and agreement on the role of national and regional emergency institutions.</li> <li>Endorsement of any strategy.</li> <li>Define long term financing options for shock response components.</li> </ul>	3-5 years (with view to agreeing a strategy for if/how to take this forward by 2022, before any possibility of 'Phase 2' of the NSSSP).
<b>3. Supporting further development of the TSA to make it useful for disaster response.</b>	Support the government in defining the role of the TSA in humanitarian-response	<p>Meet with the Emergency Committee, Vice Prime minister's Office and the MoLSP to discuss how the TSA can best support humanitarian programme response.</p> <p>Support Department of social assistance of MoLSP and Department of mobilisation of MNE, to convene a round table discussion to seek agreement on the shared registry use for emergency scale-up and defining what the inclusions would be for targeting.</p> <p>Engage with the MoLSP and the Emergency Committee to develop an action plan for the way forward.</p> <p>Working with other actors that are considering/ have experience in linking with the TSA (e.g. Red Crescent), analyse these experiences and develop recommendations for how best to institutionalise processes.</p>	Source relevant expertise.	<p><b>Red Crescent:</b></p> <ul style="list-style-type: none"> <li>Sharing experiences of engaging with TSA and defining recommendations.</li> </ul>	0-3 years

## Annex 6

# Report Writing Format

- ✓ This is a suggested reporting format which needs to be completed using information from the accompanying tool and adapted by context.
- ✓ A tick sign indicates what should be considered in this section.
- ✓ Where there is a body of text this needs to be adapted according to the context.

## 1. Introduction

### *i. Background and Rationale for the Study*

The development of this Assessment Tool within UNICEF is in response to the recognition of the importance of strengthening social protection across the humanitarian-development nexus. Shocks and disasters are becoming more frequent and severe, driven by factors including environmental degradation and climate change, and humanitarian crises are becoming more protracted. There is a need to change the 'business as usual' approach to conceiving and delivering emergency assistance (as short-term, siloed, standalone responses, through parallel systems), and to build links between emergency assistance, disaster risk management and development programming to more effectively address the drivers of crises, build resilience and respond to the needs of populations in crisis prone areas.<sup>10</sup>

In 2016 UNICEF and other actors agreed major collective commitments with the aim of increasing the scale, volume and quality of humanitarian cash transfers (HCT).<sup>11</sup> Within this context there is growing interest about the potential of leveraging national social protection programmes and their underlying systems to provide support in emergencies, and for ways in which social protection systems can be supported to become more 'shock responsive'.

Social protection is a promising solution to bridge the humanitarian-development divide due to several factors.

Social protection helps households to manage risk and can build the resilience of households that are vulnerable to disasters, preventing a fall into poverty and negative impacts for children. There are also commonalities in the way that emergency assistance (in the form of humanitarian cash transfers) and social protection programmes (in the form of cash-based social transfers) are designed and implemented. While evidence is still emerging, experiences (of UNICEF and others) in supporting national social transfer systems to respond to emergencies suggest that in the right context this approach has potential to enhance resilience to disasters, improve response times, reduce costs of delivering emergency assistance, reduce duplications and gaps and improve national capacities to manage disasters.<sup>12</sup>

At the same time, as with any programme approach, there will be challenges to address. For example, social transfer programmes may not effectively include those most vulnerable to disasters. Meanwhile where national systems are inflexible, processes bureaucratic and systems and institutions lacking in capacity, or where there is a lack of political willingness, this can create barriers to effective programming. The enabling factors and potential barriers in national social transfer programmes and their underlying systems must be well understood, to inform the feasibility of using these at times of shock and to effectively prepare for these interventions.

This assessment tool was initially developed for UNICEF ECARO and piloted in five countries in the region.<sup>13</sup>

10. For example, the Grand Bargain commitments (2016); the New York Declaration for Refugees and Migrants (2016).

11. These include the Grand Bargain commitments that were made at the World Humanitarian Summit (2016); ECHO's *10 Common Principles for Multi-Purpose Cash-Based Assistance to Respond to Humanitarian Needs* (2015); the recommendations of the High-Level Panel's report on HCT, *Too Important to Fail: Addressing The Humanitarian Financing Gap* (2016); and the call for action from the Agenda for Humanity.

12. For example, as demonstrated in the evaluations of UNICEF's cash assistance in Nepal and WFP's emergency social safety net in Turkey, and in the review of UNICEF and WFP's programmes in the Philippines.

13. Armenia, Tajikistan, Serbia, Uzbekistan and Kyrgyzstan.

The learning from this has fed into the development of a global tool, to build UNICEF's understanding of the opportunities and challenges to supporting provision of, or delivering, cash transfers through national social protection systems during a crisis. By conducting a readiness assessment, country offices (CO) can assess how opportunities and challenges vary between contexts, and ways that national social transfer systems can be leveraged and addressed, as well as identifying where shock responsive social protection is not appropriate.

## ii. Study Objectives

For example [TO BE ADAPTED BY CONTEXT]:

1. Assess the political, technical, operational and financial feasibility, or 'readiness', of the country's cash-based social transfer programme(s) to provide cash assistance to people affected by shocks and disasters.
2. Identify opportunities for linkages with UNICEF's sector strategies and for developing or supporting a 'cash plus' approach in emergencies alongside social transfers.
3. Assess the capacity, or 'readiness' of UNICEF's CO to support such interventions.
4. Identify and compare possible options, for ways that the programme(s) of interest or their systems can be used to meet needs at times of shock or disaster, including role(s) for UNICEF.

## iii. Summary Methodology

The pilot assessment was led by [INSERT LEADS ROLE] working in close partnership with UNICEF [INSERT COUNTRY] [INSERT ROLE e.g. Social Policy and Programme Officer, Resilience Officer]:

- A desk review of secondary data was completed followed by consultations with UNICEF focal points to understand the social protection and disaster risk management (DRM) context in [INSERT COUNTRY], UNICEF's role and their needs/requirements.
- The country team filled in certain sections of the Assessment Tool template in Excel, based on secondary data and their own knowledge. This focused primarily on the introductory mapping module, which was then shared with the {CONSULTANT/TEAM LEAD} and used to define the focus and priorities for the assessment mission. It identified [INSERT NAMES OF SOCIAL TRANSFER

PROGRAMMES SELECTED FOR THE ASSESSMENT] for more detailed analysis, along with the key external actors to consult with in social protection and DRM spheres. This informed the schedule for a data collection mission in the country.

- The [CONSULTANT/TEAM LEAD] accompanied the team on a five-day mission to [ADD LOCATION], during which time key informant interviews were completed with a range of stakeholders listed in Figure 1, to complete the Assessment Tool, focusing on these programmes. Interviews were also held with UNICEF's section leads, to understand more about sector-specific vulnerabilities, their programme priorities, and explore opportunities for supporting a 'cash plus' approach. Interview findings and additional secondary data shared by key informants were used to complete the Assessment Tool template.
- Data collected in the Assessment Tool was collectively analysed by the [CONSULTANT/TEAM LEAD], the [ADD UNICEF ROLES SUPPORTING ASSESSMENT e.g. social policy officer and the resilience officer]. This ensured a systematic analysis of the current social protection and DRM systems in country, their respective strengths and weaknesses for providing cash-based assistance during emergencies, and UNICEF's capacity to support the same. Analysis centred on the creation of visual 'typologies' of readiness using a 'traffic light' 1-3 scale, to facilitate a rapid understand of the situation, highlight key barriers and support quick decisions.
- Based on the findings of this analysis, the team then systematically considered a range of possible programme options for providing cash assistance through the social protection system during shocks and disasters and assessed the related enablers and constraining factors to determine which could potentially be feasible and appropriate for the context. A small number of feasible programme options was then taken forward to a final stage, examining a range of preparedness actions required and their implications for UNICEF, the government and other actors. After the mission the [CONSULTANT/TEAM LEAD] further developed the comparative analysis, programme options and preparedness actions.

**Limitations:**

The pilot studies are intended to be a relatively light touch exercise. It will usually not be feasible to assess all programmes or consider all emergency contexts, and COs must orient the study from the outset towards the programmes, locations and emergency contexts of highest importance/potential.

- ✓ Consider points on large geographical areas; security; conflict; differences in regional disaster risk profile and time allocated for the assessment

**Contextual:** [INSERT COUNTRY] is an [UPPER/MIDDLE/LOW]-income country, with [WELL/MODERATELY/POOR]-developed social protection systems (coverage; budget; functioning, MIS, legislation).

**Governance:**

- ✓ Add here information on the type of governance structure; public local and national governance; public service delivery. Comment on the extent of decentralisation in the design, implementation and funding of social transfer/emergency programmes/ financial autonomy/budget allocation for emergencies/sufficiency of reserves; corruption. Is UNICEF unable to partner with the government on humanitarian response for any reason?

**Figure 9** List of key informants

- ✓ To be completed for all key informants

Organisation	Role/Name	Role/function

## 2. Summary of Assessment Findings

This section presents the headline findings and main conclusions from each module of the system readiness assessment. Readers can refer to the completed Assessment Tool template for further information.

- ✓ Include overarching information here such as key social assistance mechanisms; coverage; number of beneficiaries; functionality of the systems; precedence/use of cash/in-kind in emergencies; barriers to accessing social assistance; key stakeholders; government position on humanitarian cash.

**Disaster risk:** the [INSERT COUNTRY] EPP outlines [NUMBER] risks. Of these, the ones of greatest interest for this assessment are [LIST EMERGENCIES].

**Mapping cash-based social transfer programmes:**

- ✓ Comment here on the social transfer programmes selected including number of beneficiaries; length of time it has been operational, number of beneficiaries awaiting processing; the sum transferred to households/individuals; the regularity of transfer, the % of the transfer rate as compared to the minimum wage; effectiveness of the transfer (does the transfer meet its goal); where beneficiaries are clustered (rural/urban/regions), % of beneficiaries which are children/benefit children under 5/16 years; recent changes to the social transfer (transfer rate; coverage etc).

*Module 1: Mapping*

- ✓ Add information from the Assessment Tool tab 1 'Mapping'

### Stakeholder mapping SP and disaster responses:

- ✓ Which actors are actively involved in the design; implementation and coordination of cash-based social transfer programmes/emergency? Which key actors are actively involved in emergency preparedness and emergency assistance for relief and recovery? Have stakeholders in the SP and DRM spheres considered the concept of social protection across the nexus?

### Knowledge and attitude to SP and SRSP:

- ✓ What is the level of national government support/buy-in for social protection and especially social transfers? What is the level of interest and experience in government for using national social transfer systems to provide cash assistance in emergencies? What is the level of interest and experience among key donors for using national social transfer systems to provide cash assistance in emergencies? What is the level of interest and experience among UN and NGOs for using national social transfer systems to provide cash assistance in emergencies? Who takes the lead in an emergency (military; international community; local businesses, local NGOs); is cash considered part of the assistance? Is there support to include cash more routinely in response? What structures exist for coordination of SP/ social transfers, emergency preparedness and cash-based disaster response?

### Coordination:

- ✓ What structures exist for coordination of SP/ social transfers, emergency preparedness and cash-based disaster response?

### Mapping Financial service providers (FSPs):

- ✓ Comment on the banks/mobile networks used to deliver SP and coverage; outreach mechanisms for housebound/disabled individuals; support for bank account applications; barriers to applications. Are there other FSPs that may have potential to support delivery of cash in emergencies? What is the coverage across the country?

### Personal ID:

- ✓ What are the main recognised forms of ID to verify identity when engaging with government services? Comment on the national ID card (if one exists); national coverage/level of access to the main forms of ID within the population, barriers to getting the card; What forms of ID are needed to verify identity when opening an account with banks/mobile money services? Legislation in place for replacement of ID card following a crisis; cost/documents required for replacing the card; has there been any precedent for replacing ID cards in emergencies/creating proxies for ID/ or softening the conditions for ID card replacement?

### Key conclusions:

- ✓ Summarise key conclusions e.g. Focus primarily on the national programme that reflects the highest proportion of social assistance beneficiaries to vulnerable households, including a high proportion of children. Focus geographically and by shock and where UNICEF is likely to have a role in supporting disaster response (in order of priority, e.g. earthquake, flood/landslide response; harsh winters).

## *Module 2: Data and Evidence*

- ✓ **Add information from the Assessment Tool tab 2 'Data and Evidence'**

### Evidence on poverty and vulnerability to disasters:

- ✓ Comment on the countries' poverty/extreme poverty rate including geographical areas vulnerable to poverty; % of the population living below the subsistence minimum level (including rural/urban differences; most vulnerable groups e.g. households with a large number of dependents (including children, unemployed, pensioners, disabled persons). What is known about child poverty? Are there particular populations or demographic groups that are more likely to be poor? Comment if children are at a higher risk of poverty than adults; % of

children living in poverty (rural and urban); what are the indicators that increase child poverty e.g. single-headed households; in households with low-levels of education; unemployment or being out of labour force; in large households; in families with many children; or in households where a family member has a disability. Is there evidence about which population groups or demographic groups are vulnerable to these shocks?

#### Refugees and IDPs:

- ✓ Comment on the situation for IDPs/Refugees (and, if relevant, economic migrants) and their access to social protection/other services linked to their (un)registered/(un)documented status.

#### Sector linkages:

- ✓ What sector-specific specialisms does UNICEF have in that country (health, education, nutrition, protection) and do any of them have 'cash plus' programmes? Can learning from these be linked to shock responsive social protection? Are any geographical regions/population groups more vulnerable to shocks?

#### Conclusions:

- ✓ Summarise linkages/overlap between poverty; vulnerability to disasters and social assistance programmes; Are the social assistance programmes selected a good representation of poverty and vulnerability or is there a group that is excluded? Is the coverage sufficient in disaster affected areas? Is there potential in future to consider alignment/integration of any SRSP preparedness activities with UNICEF's wider sectoral strategies.

### *Module 3: Readiness of Policy, Legislation and Finance*

- ✓ **Add information from the Assessment Tool tab 3 'Policy, Legislation and Finance'**

#### Legal and policy context for SP in emergencies:

- ✓ Comment on legal and regulatory provisions/policy environment that exist for both social protection and emergency preparedness/response. Are there clear roles and responsibilities for scale-up? Are legislative changes required? Do these laws and policies provide scope for continuing or scaling-up social protection to meet needs of those affected by disasters? Do they mention provision of cash to people affected by emergencies? Does the country have a functioning early warning system and if so, how well does it function? Are there policies and plans for building disaster preparedness/business continuity within public services? Are contingency plans for local authorities in place?

#### Institutional arrangements/coordination for social protection, emergency preparedness and response:

- ✓ Comment on the quality of coordination of social protection/emergency preparedness within government, and between government and external stakeholders. Are there policies and plans for building disaster preparedness/business continuity within public services? Comment on the inclusion of social protection authorities in the coordination of emergency preparedness and response, and humanitarian cash activities. Is there an overlap in coordination bodies for social protection and emergencies?

#### Financing disaster response and SP:

- ✓ Comment on government financing of the social transfer/emergency programme(s) of interest. How is the social assistance funded; is the budget protected; are there contingency funds; how much does it cost; how are costs divided between federal and state government? Comment on the likelihood that these finances could be used to finance a shock response through the social protection system. If donor funded how long will this last; is the government interested to explore risk financing options?

**Conclusions:**

- ✓ Summarise possibilities of linking shock response with social transfer programmes. Does the policy and legal space exist, or will this need to be developed? Where would the financing come from? Is the government open to adapting the legal and regulatory frameworks? Who would be the key person(s)/ministries(s) within the government for UNICEF to work with?

### *Module 4: Readiness of Programme Design*

- ✓ **Add information from the Assessment Tool tab 4 'Programme design'**

**Programme Objectives:**

- ✓ What are the programme objectives?

**Targeting:**

- ✓ Comment on the targeting mechanism (criteria/threshold). Do the targeting criteria include those population groups that are known to be most vulnerable to impacts of rapid onset natural/geophysical/slow onset/civil conflict/displacement-related disasters? Are these targeting criteria effective to achieve the programme's stated objectives? Could the targeting criteria be relaxed or modified to include other affected and vulnerable groups during times of crisis? What are the documents required; the barriers/transaction costs? Comment on the administrative process; MIS systems/databases; verification process, time taken to apply for/be processed for social assistance. If disaster vulnerability criteria is used, is social assistance contingent on certificate for unemployment; are there conditions to the social assistance or is it unconditional? Also consider exclusion/inclusion error, overlaps with this target group and those affected by disasters; bottlenecks to targeting; outreach; previous use of social assistance criteria for targeting in emergencies

**Use of conditions:**

- ✓ Comment on use of conditions attached to receipt of transfer; exemptions, exit criteria e.g. per capita income exceeds the poverty threshold or upon expiration or termination of a social contract exclusions for example death, migration, hospitalisation, imprisonment or accusations of provision of false information. Where conditions for receipt of the transfer exist, could these be relaxed during times of crisis?

**Transfer value, frequency:**

- ✓ What is the transfer value? How was it decided and how often is it reviewed? Is the transfer value sufficient to achieve the programme's stated objectives? What is the frequency of the transfer? Average amount of transfer and cut off (e.g. age of children, per capita income); frequency of transfer; length of transfer from application (e.g. transfer for 6 months before re-application is required); value of transfer against cost of living. Could the transfer value be topped up to provide additional cash to beneficiaries in the event of a crisis? Could the frequency of transfer be easily amended in the event of a crisis?

**Risks in the design:**

- ✓ Does this design (criteria/use of conditions) present any risks to effective programming or risk of harm to affected populations?

**Linkages to services/'cash plus':**

- ✓ As part of the current programme design are there linkages to other programmes and services that are relevant to the needs of children that will complement the cash transfer?

## Module 5: Readiness of Administrative Systems

### ✓ Add information from the Assessment Tool tab 5 'Administration'

#### Administrative processes:

- ✓ Are administrative steps and processes for registration, enrolment, payment, grievance and monitoring clearly defined at national/regional/local level?

#### Registration:

- ✓ Comment on the steps in the registration process (from initial application/data collection to a decision), and any barriers to registration (including management information systems; documents required; verification of document processes). Comment on the ability of the registration process to regularly identify and register new beneficiaries. Is the eligibility of enrolled beneficiaries regularly and robustly re-verified? Comment on transaction costs for verification of documents; time taken for processing; lack of clear thresholds; ID replacement processes/cost. Could these registration processes easily be used or modified after the shock to register more people for assistance?

#### Enrolment:

- ✓ Comment on the steps in the enrolment process. What personal identifying data is recorded (documents/address/ID)? What ID is required by the service provider to open these accounts or distribute cards? Comment on the performance of the administrative process for enrolment. Do they require a pre-existing bank account or does one have to be opened for them? Can economic migrants/IDPs/refugees be enrolled? What is the previous emergency precedent? Could this enrolment process easily be used or modified after a shock to enrol more people for assistance?

#### Payment delivery:

- ✓ What is the cash delivery mechanism used on the programme? Comment on the steps in the payment process (ATM,

mobile phone, home visit etc); regularity of payments; personal ID required to receive payment; administrative system functionality; any precedents of cash payments in emergencies; how infrastructure is likely to affect payments during emergencies. Could the payment process easily be used or modified after a shock or scaled-up at times of crisis?

#### Communication:

- ✓ Comment on the performance of the administrative system for communication. Are people aware of who is eligible to apply for SP, and how is communication in rural areas? Could these communication processes easily be used or modified after a shock or scaled-up at times of crisis?

#### Complaints, feedback and monitoring:

- ✓ What are the channels for receiving and addressing feedback, complaints or grievances from beneficiaries and communities? Comment on the steps in the process for logging and responding to feedback and complaints. Comment on the steps in the monitoring process. Comment on the performance of the administrative process in addressing these. Do programme monitoring activities collect any data of use for identifying and assisting those vulnerable groups that are a priority for UNICEF?

#### Procedures and Systems:

- ✓ Potential to scale-up during an emergency. Could a programme continue/recover its day-to-day operations and/or easily modify its operations? Comment on how beneficiary data and accounts are managed and if this data could be effectively used in an emergency. Comment on Standard Operating Procedures in place; system recovery post-emergency; weakness in the systems e.g. number of social protection staff to process applications. Is there a social registry in place and could this be used in an emergency?

### **Institutions – governments/payment service providers/linked services/surge capacity:**

- ✓ Human resource capacity to continue business/scale-up as usual in the event of a crisis. Do service providers have the capacity to continue business/scale-up in the event of a crisis? What is the capacity of the participating services to continue 'business as usual' in the event of a crisis? What is the health/education/nutrition/protection case management and referral service capacity to scale-up service provision in the event of a crisis? If no service linkages exist is there potential to create such linkages/'cash plus' programming through the programmes of UNICEF and its partners? What is the capacity of non-governmental actors/Red Cross movement to support the programme to continue its operations or scale-up assistance during a crisis?

#### **Conclusions:**

- ✓ Summarize key conclusions.

### *Module 6: Readiness of UNICEF CO*

- ✓ **Add information from the Assessment Tool tab 6 'UNICEF's readiness'**

#### **Experience of working with national SP/DRM systems:**

- ✓ What level of support has UNICEF provided to the government concerning its social transfer programme. What level of support has UNICEF provided to other elements of SP system development in country? Comment on EPP status and general support for and engagement with HCT/SRSP. What level of support has UNICEF provided to the government concerning disaster preparedness? What level of support has UNICEF provided to a national disaster response?

#### **Coordination and knowledge sharing:**

- ✓ Summarise UNICEF's experience in country, by team, and between teams and coordination between them.

#### **Emergency preparedness, HCT and SP:**

- ✓ Comment on the state of roll out of MPS 5 emergency preparedness standard on HCT. Comment on the readiness of operation teams to assess and contract FSPs for HCTs? Comment on the involvement of social policy staff in the EPP to date.

#### **Leadership on HCT and SP:**

- ✓ Comment on the support of senior management for UNICEF working with national SP systems for disaster response. Comment on the inclusion of HCT/links with SP in strategic plans

#### **Expertise to support social transfers in emergencies:**

- ✓ Comment on UNICEF's ability to lead/support/facilitate an HCT response in country and regionally (needs assessment, assess feasibility of cash as a response option, assess FSPs, assess risks, calculate an emergency cash transfer, define targeting strategy, carry out PDM, mitigate beneficiary data protection risks). Include information on potential partners and where they require support (capacity building, application of best practice, post distribution monitoring, market analysis, analysis of the cost effectiveness of cash versus in-kind).

#### **Cash coordination:**

- ✓ Comment on the level of participation in relevant coordination mechanisms.

#### **Conclusions:**

- ✓ Summarise key conclusions.

### 3. Identifying Potential Programme Options

#### *i. Lens for the Analysis*

Governments and their partners worldwide have tested various approaches for using social protection as a mechanism during disasters.<sup>14</sup> Existing social protection programmes and systems can be leveraged in different ways to provide cash assistance to people affected by crises. UNICEF envisages four possible ways in which governments, with (or without) UNICEF's support, can use social protection systems to provide cash assistance to those affected by disaster, presented in Box 1.

This is founded on the typology of approaches to Shock Responsive Social Protection (SRSP) developed by OPM/DFID (more details are presented in Figure 10 and Box 2). Note that the options presented here are not mutually exclusive and the best potential may well involve implementing a combination of these options. It is also not an exhaustive or prescriptive list of ways that social protection systems can be used, or activities that can take place across the nexus in humanitarian settings.



**Box 2:**  
**Ways that social protection systems can provide cash assistance in emergencies**

1. **Government social protection ministry** makes '**design tweaks**' to a social transfer programme to ensure it can more effectively meet needs during and following a shock or disaster (UNICEF can have a supporting role).
2. **Government social protection ministry or disaster management ministry or UNICEF/other humanitarian actors** make use of ('**piggyback**' on) parts of the government's social protection administrative systems, to provide emergency cash assistance in response to a shock.
3. **Government social protection ministry** scales-up cash assistance they provide in response to a shock by **expanding vertically** (UNICEF can have a supporting and a financing role).
4. **Government social protection ministry** scales-up cash assistance they provide in response to a shock by **expanding horizontally** (UNICEF can have a supporting and a financing role).



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14. Documented experiences to date are well captured in OPM's Shock-Responsive Social Protection Systems Research: Literature Review, 2nd Edition, (2017).

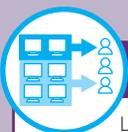
**Figure 10** How existing social protection systems can be used to provide a response to shocks



**Design tweaks**

Adjusting the design of social protection programmes to take into consideration the crises a country typically faces, to ensure they are better able to maintain regular service in a shock and can best meet needs of those affected by shocks. This could be done through:

- i. collection and incorporation of new variables on disaster vulnerability within routine registration (e.g. social registries) and targeting algorithms.
- ii. adoption of principles of 'disaster and climate smart targeting'.
- iii. modification of payment processes to coincide with peak times of need/avoid times when delivery will be disrupted.
- iv. embedding business continuity principles into Standard Operating Procedures (SOPs).



**Piggybacking**

Leveraging a social protection programme's administrative framework or systems to deliver assistance but running the response programme separately. This could be via:

- i. use of a specific programme's beneficiary list.
- ii. use of data in a national registry or database of households underpinning social protection.
- iii. use of a particular payment mechanism.
- iv. use of social protection staff.



**Vertical expansion**

Temporarily increasing the benefit value or duration of the benefit provided on an existing social protection programme, for all or some of the existing beneficiaries. This could be done via:

- i. a top up to the regular transfer amounts over the longer term.
- ii. the introduction of extraordinary payments or transfers to cover the disaster response.
- iii. adding 'cash plus' support activities such as targeted nutrition and health services.



**Horizontal expansion**

Temporary inclusion of new, disaster affected, beneficiaries into a social protection programme. This could be done via:

- i. the extension of the programme's geographical coverage to underserved areas.
- ii. an extraordinary enrolment campaign to rapidly enroll those who fit the programme criteria and who have been affected.
- iii. modification/relaxation of eligibility criteria to allow more people to benefit.

Sources: OPM (2018), UNICEF (2019).<sup>15</sup>

Evidence from other contexts highlights that even where such options are feasible and appropriate, more traditional programming approaches (i.e. standalone humanitarian responses) are still needed – in the short term whilst the capacity of national systems is further developed, and beyond, since national social transfer programmes will always have gaps in coverage. In such programmes there

may be opportunities to design and implement disaster responses in a way **that aligns with, strengthens or supports the development of** emerging social protection programmes or systems, to facilitate social protection approaches in crises in future.

15. These options are taken from UNICEF's *Programme Guidance: Strengthening Shock Responsive Social Protection Systems* (2019), which draws from OPM's *Shock-Responsive Social Protection Systems Toolkit* (2018).

**Figure 11 Social protection approaches during crises: opportunities and challenges**

Option	Opportunities	Challenges
 <p><b>Design Tweaks</b></p>	<ul style="list-style-type: none"> <li>• Ensures continuity of routine social protection following a shock – building resilience and a prerequisite for any scaling-up of social protection post-disaster.</li> <li>• Improves design to better address vulnerability (both idiosyncratic and due to shocks) (e.g. targeting criteria and method; transfer value; payment frequency/ schedule).</li> <li>• Can focus investment strategy (expansion of coverage; capacities) on areas affected by shocks.</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of political will to make changes.</li> <li>• Need to satisfy multiple development agendas.</li> <li>• Adjustment could divert the programme from its core objective.</li> </ul>
 <p><b>Piggybacking</b> (by government or UNICEF)</p>	<ul style="list-style-type: none"> <li>• Leverages existing systems to reach caseloads on a temporary basis quickly and efficiently, whilst avoiding the difficulties of horizontal expansion.</li> </ul>	<ul style="list-style-type: none"> <li>• Need strong operating systems for targeting and delivery.</li> <li>• Success depends on quality of data in social registry.</li> <li>• Political economy factors – e.g. will data/social registries be shared?</li> <li>• Requires strong coordination between institutions.</li> </ul>
 <p><b>Vertical Expansion</b> (by government or UNICEF)</p>	<ul style="list-style-type: none"> <li>• Quick access to a pre-defined caseload.</li> <li>• Builds on existing administrative systems.</li> <li>• Clear lines of coordination - operations stay within the parameters of the existing programme.</li> </ul>	<ul style="list-style-type: none"> <li>• Some but not complete overlap between beneficiaries and those affected by disasters.</li> <li>• Political economy and institutional coordination factors can also present real barriers to effective execution.</li> </ul>
 <p><b>Horizontal Expansion</b> (by government or UNICEF)</p>	<ul style="list-style-type: none"> <li>• Leverages existing administrative systems rather than setting up parallel systems.</li> <li>• Reaches a broader spectrum of the disaster affected – fills some of the gaps in vertical expansion.</li> </ul>	<ul style="list-style-type: none"> <li>• Difficulties in rapidly targeting a new caseload – identification and communication.</li> <li>• Requires establishing criteria for temporary inclusion.</li> <li>• Could risk reducing the clarity of (and therefore the legitimacy of) the underlying programme.</li> <li>• For the above reasons, possibly a lack of political support.</li> </ul>

*ii. Analysis of Programme Options in*

✓ **Focus on the key social protection programme(s)**

The analysis explored each of the various ways that the programme, or its systems, could potentially be leveraged, as per Box 2 above.

The assessment team used all evidence from the assessment, and the typical benefits and challenges listed in Figure 11, to guide decision making on the likely enablers and constraining factors/challenges in the [INSERT COUNTRY] context.

This also considered differences according to the type of disaster or shock, and scale of the emergency, focusing on the north of the country and on the three emergency contexts prioritised in Module 1 of the assessment:

✓ **Add list of type of emergencies that the assessment focused on**

Based on this, conclusions were made on the likely feasibility and appropriateness of each option, and which have greater priority for UNICEF. This considered not only whether it could potentially be possible, but also on the appropriateness of responding in this way (including from perspective of added value for programmes and benefits to affected populations). This also considered the type and scale of disaster, and whether UNICEF can have a role (priorities/capacities/skillset).

Conclusions were also made about the likelihood that additional HCT through parallel systems will be needed to fill gaps, especially in the event of a large-scale disaster.

Findings are presented in Figure 12. Based on this analysis, three options, identified as providing greatest opportunity/priority for UNICEF in the short term, were taken forward to the next step – see Section 4.

**Figure 12** Analysis of programme options

	Programme	Programme option	Enabling factors	Constraining factors	Conclusion on feasibility and appropriateness
1					
2					
3					
4					

**Conclusions:**

<b>Programme option(s) to take forward from the above:</b>	1. X 2. X 3. X
<b>Need for parallel HCT in the short to medium term</b>	



## DOCUMENT MANAGEMENT INFORMATION PAGE

<b>Document Title</b>	User Guide: Social Protection System Readiness Assessment Tool
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<b>Responsible Manager</b>	Natalia Winder Rossi
<b>Document Summary</b>	This document serves as the user guide for the social protection system readiness tool. This tool is a part of UNICEF's toolkit on shock responsive social protection. It will help UNICEF and partner staff to support governments in programme countries to risk inform their social protection system, in particular the social transfer programmes.
<b>Regulatory content the Document Replaces</b>	N/A
<b>Topics Covered</b>	Shock Responsive social protection
<b>Corporate Risk Area</b>	Results-based Management and Reporting;
<b>Reference / Links to Enabling Legislation and Background</b>	N/A
<b>Links to Relevant Policy</b>	N/A
<b>Links to Relevant Procedure</b>	N/A
<b>Links to Relevant Guidance</b>	<ul style="list-style-type: none"> <li>• UNICEF's Programme Guidance: Strengthening Shock Responsive Social Protection Systems (<a href="#">PD/GUIDANCE/2019/005</a>)</li> <li>• UNICEF's Global Social Protection Programme Framework (<a href="#">PD/GUIDANCE/2019/003</a>)</li> <li>• A Companion Guidance to UNICEF's Global Social Protection Programme Framework: Activities, tools and resources to support implementation of UNICEF's 10 action areas in Social Protection (<a href="#">PD/GUIDANCE/2019/004</a>)</li> <li>• UNICEF Guidance on Risk Informed Programming (<a href="#">PD/GUIDANCE/2018/002</a>)</li> </ul>
<b>Links to Relevant Training Materials</b>	N/A
<b>Links to Other Knowledge &amp; Information Resources</b>	UNICEF Humanitarian Cash Transfer <a href="#">Programmatic Guidance</a>

