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Swiss Agency for Development and Cooperation SDC

**Evaluation 2019/2**

# **Independent Evaluation of SDC's Performance in Social Protection 2013 - 2017**



# **Independent Evaluation of**

## **SDC's Performance in Social Protection 2013 – 2017**

Commissioned by the Evaluation and Corporate Controlling Division  
of the Swiss Agency for Development and Cooperation (SDC)

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<b>Donor</b>	SDC – Swiss Agency for Development and Cooperation
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**Bern, December 2019**

## I Evaluation Process

Evaluations commissioned by the SDC's Board of Directors were introduced in the SDC in 2002 with the aim of providing a more critical and independent assessment of the SDC activities. These Evaluations are conducted according to the OECD DAC Evaluation Standards and are part of the SDC's concept for implementing Article 170 of the Swiss Constitution, which requires Swiss Federal Offices to analyse the effectiveness of their activities. The SDC's **Senior Management** (consisting of the Director General and the heads of SDC's departments) approves the Evaluation Program. The **Evaluation and Corporate Controlling Division**, which reports directly to the Director General, commissions the evaluation, taking care to recruit independent evaluators and manages the evaluation process.

The Evaluation and Corporate Controlling Division identified the primary intended users of the evaluation, and invited them to participate in a **Core Learning Partnership (CLP)**. The Core Learning Partnership actively accompanied the evaluation process. It commented on the evaluation design (Approach Paper); it validated the evaluation methodology (Inception Report); and it provided feedback to the evaluation team on their preliminary findings. During a capitalization workshop and a presentation on the Draft Evaluation Report, the Core Learning Partnership had the opportunity to comment on the evaluation findings, conclusions and recommendations.

The evaluation was carried out according to the evaluation standards specified in the Terms of Reference.

Based on the **Final Report of the Evaluators**, the **Senior Management Response (SMR)** was approved by the SDC's Board of Directors and signed by the SDC Director-General.

The SMR is published together with the **Final Report of the Evaluators**. Further details regarding the evaluation process are available in the evaluation report and its annexes.

### Timetable

Step	When
Approach Paper finalized	June 2018
Implementation of the evaluation	September 2018 – May 2019
Senior Management Response in SDC	December 2019

## **II Senior Management Response**

The Management Response states the position of the SDC Board of Directors on the recommendations of the Independent Evaluation of SDC's Performance in Social Protection 2013-2017.

### **Introduction**

The Swiss Agency for Development and Cooperation (SDC) commissioned an independent evaluation of SDC's Performance in Social Protection with the two-fold purpose to a) take stock of the portfolio of the SDC projects and programmes engaging in social protection or having a social protection component (period 2013-17), and b) analyse the SDC's engagement in social protection to provide evidence-based inputs to propose a theory of change including a narrative, positioning the SDC and its Swiss partners in the future. The evaluation assessed the performance – *relevance, effectiveness, efficiency, and to the extent possible the sustainability* – of the SDC's strategies, programmes, projects and partnerships, as well as its operational instruments and institutional processes, regarding social protection.

The evaluation team had access to the full range of SDC documentation. It interviewed a large number of key stakeholders, led focus group discussions, conducted field visits to Albania and Zimbabwe/Southern Africa Region, analysed eight (8) case studies, and made an e-survey as well as a performance assessment (quantitative and qualitative data) on identified 87 project/programmes relevant for this evaluation.

The Management Response was submitted to the Board of Directors for approval and signed by the SDC Director-General. It sets forth concrete measures and actions to be taken, including the division of responsibilities and a time horizon for implementation by the concerned units of the SDC.

### **Assessment of the evaluation**

The evaluation was conducted by a team of independent experts in accordance with international standards. The evaluation process was well managed and included close involvement of the SDC's Core Learning Partnership comprising staff from all SDC departments.

The evaluation report provides a timely and useful assessment of the activities SDC undertakes in the field of social protection. The main objectives – assessing the relevance, effectiveness and efficiency of the SDC's performance in social protection – have been met by the evaluators. The SDC appreciates the comprehensiveness of the evaluation report and the sound analysis of key elements of the SDC's performance in social protection.

The report's analysis and resulting recommendations are considered to be useful for strengthening the strategic orientation of social protection within SDC.

The SDC's Senior Management thanks the evaluation team and the SDC staff involved for their effort and the substantial and comprehensive report. It especially thanks the offices who contributed to the field missions and case studies. The SDC's Senior Management is committed to implementing the recommendations set out in the Management Response.

## Main findings

The overall conclusion of the evaluation is that the SDC is utilising social protection as an effective and relevant modality to contribute to its core mandate of reducing poverty and inequalities, strengthening economic growth, tackling global risks, saving lives and alleviating suffering and enhancing resilience. By targeting vulnerable groups, social protection addresses the structural causes of poverty, exclusion and inequality in line with the 2030 Agenda and its core principle of Leaving No One Behind. According to the evaluators, social protection within SDC may best be conceptualised as an important complementary policy field that enhances and fosters links with other sectors thereby strengthening and maximising their outcomes. Such a multi-sectorial approach implies working across sectors and taking an integrated and systemic approach to social protection.

In terms of results achievement, the evaluation states that SDC's engagement in social protection can be considered successful, although with potential for improvement. Measures contribute – directly and indirectly – to increasing coverage of social protection mechanisms, increase the quality of services provided, also by improving the efficiency and effectiveness of administrative and delivery systems and enhance livelihoods. Whilst SDC has developed internal papers reviewing and reflecting on its engagement in the area, the findings indicate that SDC lacks a coherent and systematic approach to social protection so far. With the exception of health most projects only implicitly address social protection. The evaluation report concludes that this is due to a lack of a systematic, coherent and aligned approach to supporting social protection interventions, which threatens the impact, efficiency and sustainability of SDC's social protection interventions.

The evaluation team notes that the SDC's lab-approach of testing different delivery options at local level before going into scale-up is of unique innovative character. However, the know-how, expertise and results generated often remain "hidden" in sectors and themes because they are simply not recognised as contributing to social protection goals.

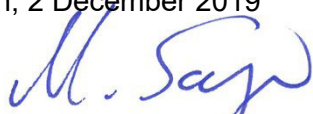
## Key elements of the Management Response

The SDC Senior Management considers also Social Protection as a modality most relevant to address Leaving No One Behind and is glad that various components of Social Protection are currently successfully implemented in different SDC programmes. Although we cannot allocate more human resources and we will not turn Social Protection into an SDC theme, we concur with the Evaluation findings that this modality can enhance SDC's impact on poverty and resilience through more systematic work and exchanges within an SDC community of practice (members of the current Core Learning Partnership). Out of the 10 recommendations, 6 are 'fully agreed' (green), 3 are 'partially agreed' (orange) and 1 is 'disagreed' (red). This shows a high level of convergence with the evaluation findings and that the SDC agrees to seize the opportunity to improve its results by the means of Social Protection. The key measures are summarised as follows:

1. Enhance the engagement in social protection	Orange
2. Develop guidance documents for social protection	Green
3. Identify social protection priority themes	Green

4. Strengthen social protection within SDC through capacity development	
5. Develop a nexus in social protection	
6. Seek more pro-active partnerships in social protection	
7. More balanced use of SDC tools	
8. Stronger focus on PPDP	
9. Better Monitoring for results in social protection	
10. Improve data management and ensure quality on results reporting	

Bern, 2 December 2019



Manuel Sager, SDC Director General

Annex: Table overview of recommendations, management response and measures

## Annex: Overview of recommendations, management response and measures

Recommendation 1		
<p><b>Enhance the engagement in social protection:</b> SDC has a solid basis in social protection both in terms of presence in the field and know-how and expertise on which to build and expand upon. This represents a widely unexplored opportunity for SDC to strengthen and enhance its engagement in social protection supporting partner countries in contributing to the SDGs and 'LNOB'. The evaluation presents three scenarios for the SDC to consider, potential options going forward, linked to an enhanced engagement in social protection: <b>a) Scenario 1 "leave it the way it is b) Scenario 2 "making it important without being a priority theme",</b> implemented in a more systematic way: the SDC internal working group on social protection develops a set of guidance documents and capacity material for social protection. Social protection is established as a permanent topic in the context of one of the existing thematic networks [...]. A learning partnership with an external knowledge hub on social protection is supporting the thematic network, <b>c) Scenario 3 "make it a priority theme"</b>. Social protection is upgraded. This implies an increase in financial and human resources in order to invest in and implement more social protection programmes. SDC is recognized as international player in the area of social protection. [...] The scenarios should not be understood as mutually exclusive but rather as increasing levels of engagement. In this respect, the different scenarios may also be understood as a process/continuum that involves different stages that are building upon each other. [...] Not further engaging in social protection at all would clearly mean a missed opportunity for SDC (see report, p. 46-49).</p>		
Management response		
Fully agree	Partially agree	Disagree
<p>Social protection has gained recognition on global and national development policy and advocacy agendas, not only as a fundamental right but as an effective way to tackle poverty and inequalities in supporting vulnerable populations. 8 SDGs and targets explicitly require social protection. SDC identified social protection as an effective approach to contribute to its core mandate of reducing poverty, tackling global risks, saving lives and alleviating suffering (see: SDC Issue paper on social protection, 2017, and SDC reflexion paper in view of the dispatch on Switzerland's cooperation 2021-24). The SDC Management welcomes the acknowledgment of its engagement in social protection by the independent evaluation and is glad to take position.</p> <p>The SDC's Management understands the investment in a more coherent and systematic approach to social protection as key to implement the SDC guidance Leave No One Behind, in line with its commitments therein. Subsequently, the SDC's Management is in favour of improving the engagement in social protection and welcomes the three proposed scenarios to strengthen SDC's work on social protection over time in different stages.</p> <p>As scenario 1 corresponds to the current level of engagement, scenario 2 appears as adequate to foster support, build up knowledge and anchor social protection better in the institution by relying on the existing structures. It is addressed more systematically within ongoing operations, without making social protection a new theme. The progress will have to be reviewed after two years in view of the Dispatch 2025-28.</p> <p>The SDC's Management acknowledges that the adequate inclusion of social protection includes staff capacities and know-how. These human resources should be sought primarily within the existing structures of concerned thematic networks while specific expertise may be additionally required from external sources (backstopping).</p> <p>Internally, the members of the Core Learning Partnership (CLP) that accompanied the evaluation, will follow up on the recommendations of the evaluation under the coordination of the poverty focal point and support of the Peace, governance and inclusion thematic cluster (white cluster).</p>		



Measures	Responsibility	Timing
a) The CLP members follow up on the recommendations	<u>Poverty Focal Point</u> (FP) and CLP	2019-23
b) Establish learning partnership with external knowledge hub on social protection	<u>Poverty Focal Point</u>	2019/20
c) Review progress on scenario 2 and propose further steps to the Directorate	<u>Poverty Focal Point, CLP;</u>	2022/2023

Recommendation 2		
<b>Develop guidance documents for social protection:</b> The development of a social protection framework that summarizes and sets out SDC's understanding of social protection in development is key in order to provide conceptual and strategic guidance for a more structured engagement of SDC in social protection (see report p. 49).		
<b>Management response</b>		
<b>Fully agree</b>	Partially agree	Disagree
<p>In line with recommendation 1, the SDC's Management agrees to develop a social protection working aid with the aim to establish a common understanding for SDC's engagement in social protection.</p> <p>The document will be consulted with relevant staff in the field and provide guidance on how the LNOB principle can be implemented and strengthened through social protection.</p>		
Measures	Responsibility	Timing
a) Prepare a working aid on social protection defining a framework for more strategic engagement in the institution as a tool to enhance LNOB.	<u>Poverty FP</u> , CLP with sounding board of representative staff	2020-21

Recommendation 3		
<b>Identify social protection priority themes:</b> Based on the quantitative and qualitative analysis of SDC's social protection portfolio and taking into consideration Agenda 2030 and 'LNOB' the evaluation proposes the following themes: governance, food security/ agriculture, health, and employment and economic development.		
<p>In these areas, SDC has a solid basis of social protection activities and expertise on which to build on. This list is by no means closed but is understood as a good start (see report, p.50).</p>		
<b>Management response</b>		
<b>Fully agree</b>	Partially agree	Disagree
<p>As confirmed by the evaluation, SDC is already active in addressing social protection in several themes. SDC Management agrees to show the relevance of social protection and make the link to existing priority themes more visible where this is useful to achieve the overall objectives of SDC, especially the principle of Leaving No One Behind. The engagement in social protection clearly implies addressing gender and other exclusion factors.</p>		
Measures	Responsibility	Timing
a) The working aid will explicit the contribution of social protection to existing themes.	<u>CLP</u>	2020



Recommendation 4		
<p><b>Capacity development:</b> In order to strengthen social protection within SDC, a capacity development and learning package is needed, including via anchoring social protection within the SDC as a thematic network or unit where project officers can seek technical advice in order to be able to stronger integrate the topic of social protection into their work and create productive synergies with other themes.</p>		
Management response		
Fully agree	Partially agree	Disagree
<p>The SDC's Management is committed to foster capacity development in social protection within existing structures and using existing resources.</p> <p>While the SDC's Management acknowledges the relevance of social protection and the necessity to provide technical advice, it will not create a new stand-alone theme with a new thematic network or unit. It rather regards social protection as a modality of choice to implement the principle of LNOB and thereby a priority of the poverty focal point supported by the cluster on Peace, Governance and Inclusion. The poverty focal point must be equipped to provide appropriate support and advice.</p> <p>The SDC's Management agrees that where demand exists, the following options may be explored: the existing Shareweb on Poverty-Well-being could host already existing online learning tools on social protection; learning events and a social protection training module may be introduced (in coordination with other thematic networks and the SP Community of Practice, the Health network can organise/host a webinar on social health protection and financial protection-related issues; the employment and income FP will continue its capacity building work in the area of inclusive insurances; the focal point cash of HA may also contribute to learning as social protection systems are increasingly being used to deliver humanitarian cash assistance, including building the capacity of systems to respond to shocks and how to operationalise the linkages between humanitarian cash transfers and social protection.</p>		
Measures	Responsibility	Timing
a) Organise learning events with thematic networks	<u>Poverty FP with the thematic networks and Cash FP of HA</u>	2020-2023
b) Provide social protection online training on the Shareweb Poverty-Wellbeing using already existing tools	<u>Poverty FP with backstopping</u>	2020
c) Define social protection training module and how to integrate to existing SDC training (e.g. QA, cluster white)	<u>Poverty FP and QA</u>	2020
d) Gradually incorporate social protection mandates into the ToRs of the concerned thematic FP.	<u>Heads of thematic units</u>	2020-2023

Recommendation 5
<p><b>Develop a nexus in social protection:</b> Enhance the existing internal dialogue between Development Cooperation and Humanitarian Aid with the aim to develop a common vision on how to better link and strengthen long-term and short-term approaches in the context of an adaptive social protection approach.</p>

Management response		
Fully agree	Partially agree	Disagree
<p>In the beginning of 2019, the independent Evaluation of the Linkage of Humanitarian Aid and Development Cooperation at SDC (Nexus)<sup>1</sup> was published. In line with its management response, the Senior Management fully agrees on developing a nexus in social protection. Social protection bears great potential to provide examples of where and how to operationalise the nexus: in response to recommendation 1 and 5 'build an evidence base and specific examples of where and how the SDC has implemented a nexus'; and recommendation 7 'encouragement of partners to develop and pursue innovative approaches'.</p> <p>The nexus is also high on the international agenda to further develop the evidence base on when and how it is appropriate to link humanitarian response to social protection systems and strengthen coordination and opportunities for co-working between humanitarian and social protection stakeholders.</p> <p>Furthermore, the topic of catastrophic insurance schemes links the Humanitarian Aid with the Development Cooperation. Insurance schemes at country level have the potential to offer more effective and efficient responses than traditional humanitarian interventions, and hence transform disaster risk management and financing. The existing dialogue between the Development Cooperation and the Humanitarian Aid will be strengthened.</p>		
Measures	Responsibility	Timing
a) As a follow up to the nexus evaluation's recommendations 1, 5, 7 identify concrete cases (e.g. cash transfer programme) for learning journeys on social protection to pilot nexus discussion in order to establish a common integrated social protection approach and define good practice.	Cash FP in coordination with CLP	2019-20

Recommendation 6		
<p>Seek more pro-active partnerships in social protection: In order to strengthen social protection as a development topic – also with a view to SDC's internal ownership and commitment – a more systematic and active engagement in international initiatives and partnerships on social protection is recommended. This would also enhance entry-points for stronger synergies between country level and programme level initiatives and increase the visibility of SDC's engagement (report p. 51).</p>		
Management response		
Fully agree	Partially agree	Disagree
<p>SDC is already selectively engaged in international/global exchanges and collaboration with international stakeholders involved in social protection, i.e. social health protection (WHO, P4H).</p> <p>More regular exchanges with international initiatives and partners is indeed essential. Strategic international partners in social protection are the WB, ILO, UNICEF, Australian Aid, BMZ/GIZ, and Irish Aid.</p> <p>However, with the human resources constraints, it is not possible to entertain international policy dialogue and partnerships at a deeper level and to engage more pro-actively in social protection. SDC will only be able to very selectively and strategically participate in such partnerships and dialogue in a very ad-hoc manner – as it is done today (e.g. in health or in the Grand Bargain Cash Workstream). SDC is</p>		

<sup>1</sup> The evaluation report can be found here:

<https://www.news.admin.ch/newsd/NSBExterneStudien/1000/attachment/de/4391.pdf>

aware that reduced capacities for dialogue might affect its visibility as a player in social protection.		
Measures	Responsibility	Timing
a) Define engagement with strategic social protection partners and platforms at international level in the social protection Working Aid.	<u>CLP</u>	2020

Recommendation 7		
<b>More balanced use of SDC tools:</b> SDC's engagement in social protection has a strong focus on technical assistance. A more balanced use of SDC's tool box of instruments, for example a stronger engagement in policy dialogue or public private development partnerships (PPDP) may help to enhance the impact and sustainability of SDC's intervention in social protection.		
Management response		
Fully agree	<b>Partially agree</b>	Disagree
The SDC's Management agrees to consider the options of engagement (modalities) which will require deeper discussions with the units in charge of PPDPs (Engaging with the Private Sector EPS) and multilateral priorities (Global Institutions etc.). Enhanced policy dialogue at international level will not be possible given the current human resources at disposal but within specific country operations, policy dialogue at local and national level will take place as with other topics.		
Measures	Responsibility	Timing
a) The working aid (see recommendation 2) elaborates on different forms and levels of engagement in social protection, exemplifying on SDCs experience of the GP Health	<u>CLP</u>	2020
b) Selecting forms and levels of policy dialogue and engagement in social protection at country level	<u>Concerned Heads of cooperation</u>	ongoing

Recommendation 8		
<b>Stronger focus on PPDP:</b> Social protection is a highly technical policy field with a largely unexplored field of cooperation with private commercial partners, e.g. on the development of software and data-banks for social protection management systems or on the (mobile-based) delivery of cash transfers. There is also a potential to stronger involve private commercial providers of social protection.		
Management response		
Fully agree	<b>Partially agree</b>	Disagree
SDC has experience with working with private commercial partners in the fields of agriculture and catastrophic insurance, as well as in cash transfers. Especially in the field of insurance, SDC is partnering with the Swiss (re-)insurance sector in order to drive inclusive insurance forward. Apart from these, SDC's expertise in PPDPs in social protection is relatively limited and SDC therefore cannot commit to a stronger focus on other areas.		
Measures	Responsibility	Timing
a) Include recommendations on PPDPs in social protection in the working aid.	<u>Poverty FP and CLP</u>	2020/21

Recommendation 9		
<b>Monitoring for results in social protection:</b> SDC should develop a set of basic social protection indicators that allow to measure progress and consistently report on them. Improved monitoring will allow SDC to better highlight the results of social protection and its contribution to achieving the Agenda 2030 and 'LNOB' and its value for money.		
<b>Management response</b>		
<b>Fully agree</b>	Partially agree	Disagree
<p>A set of basic indicators will be included in the working aid for possible use in SDC programmes, bearing in mind that SDC is seeking to reduce and simplify indicators</p> <p>As regards health programmes, a basic set of indicators among which proxies for social health protection (e.g. reduction of out-of-pocket expenditures) have been defined and are currently used at country strategy and/or at project level.</p>		
Measures	Responsibility	Timing
a) Basic set of social protection indicators included in the working aid, and contributing to the thematic results indicators of the White Cluster.	<u>FP Poverty with other focal points</u>	2020

Recommendation 10		
<b>Improve data management and ensure quality on results reporting:</b> If social protection as a development outcome shall be better monitored and measured and the efficiency and effectiveness of its social protection interventions improved, SDC will need to improve its data management systems making better use of its data on all levels. This would also include the development of quality standards with regards to reporting requirements.		
<b>Management response</b>		
<b>Fully agree</b>	Partially agree	Disagree
<p>This recommendation concerns all SDC's work. Improving data management and quality of results is a wide ranging endeavour which requires several steps, most of which will be undertaken to contribute to digitalise the results data management system at SDC.</p>		
Measures	Responsibility	Timing
a) Provide guidance to structure results data to improve quality, as contribution to the project of digitalisation of results data management system at SDC.	<u>Head of QA</u>	2020 ongoing

# III Evaluators' Final Report

Commissioned by the Evaluation and Corporate Controlling Division  
of the Swiss Agency for Development and Cooperation (SDC)

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## Abbreviations and Acronyms

ASPIRE	Atlas of Social Protection: Indicators of Resilience and Equity (World Bank)
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Federal Ministry for Economic Cooperation and Development) (Germany)
CaLP	Cash Learning Partnership
CCT	Conditional Cash Transfer
CHF	Swiss Francs / Community Health Funds
CLP	Core Learning Group
CODI	Core Diagnostic Instrument
COOF	Cooperation Office (of SDC)
CPF	Child Protection Fund Zimbabwe
CSTL	Care and Support for Teaching and Learning
CTP	Cash transfer programming
DAC	Development Assistance Committee (of OECD)
DC	Development Cooperation
DDLG	Democratisation, Decentralisation, and Local Governance
DFID	Department for International Development (United Kingdom)
DMS	Data Management System (of SDC)
DRR	Disaster risk reduction
E+C	SDC Evaluation and Corporate Controlling Division
EPS	Engagement with the Private Sector
FAO	Food and Agriculture Organization of the United Nations
FDFA	Federal Department of Foreign Affairs
FOPH	Federal Office of Public Health
FSIO	Federal Social Insurance Office
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH (German International Cooperation Agency)
GOPA	Gesellschaft für Organisation, Planung und Ausbildung mbH (GOPA Consultants)
HA	Humanitarian Aid
HBF	Health Basket Fund
HCT	Harmonised Cash Transfer (programme in Zimbabwe)
HPSS	Health Promotion and System Strengthening (project in Tanzania)
HQ	Headquarters (of SDC)
HRBA	Human Rights-based Approach
HSCT	Harmonised Social Cash Transfer
HSD	Human Security Division (of FDFA)
IDS	Institute of Development Studies

IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
IMF	International monetary fund
IMIS	Insurance Management Information System
ISPA	Interagency social protection assessment tool
ISSA	International Social Security Association
LAC	Latin America and the Caribbean (region)
LMP	Labour Market Policies
LNOB	Leave no one Behind
LRI	Livestock Risk Insurance (in Mongolia)
MASAM	Mainstreaming social accountability (project in Mongolia)
MDG	Millennium Development Goals
MIS	Management Information System
MTR	Mid-term review
NGO	Non-Governmental Organisation
NWOW	New Way of Working
OECD	Organisation for Economic Co-operation and Development
OSS	One-Stop-Shop
P4H	Providing for Health
PASS	Programme d'appui au Système de Santé (du Sud-Kivu) (Health System Support Programme)
PiR	Protection in the Region (initiative)
PPDP	Public Private Development Partnerships
R4	Rural Resilience and Integrated Risk Management in Southern Africa (project R4 initiative)
RVAA	Regional Vulnerability Assessment and Analysis
SA	Social Assistance
SADC	Southern African Development Community
SALMIC	Social Assistance in Low and Middle Income Countries (database of the University of Manchester, Global Development Institute)
SAP	Software System (of FDFA)
SCBF	Swiss Capacity Building Facility
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goal
SECO	State Secretariat for Economic Affairs SECO – Economic Cooperation and Development
SEM	State Secretariat for Migration
SEVAL	Swiss Society for Evaluation (Schweizerische Evaluationsgesellschaft)

SMCG	Swiss Micro Insurance Consultancy Group
SME	Small and Medium Enterprise
SMH	Small and medium enterprise
SP	Social Protection
SPF-I	Social Protection Floor Initiative
SPIAC-B	Social Protection Inter-Agency Cooperation Board
SPSU	Sistema de Proteccion Social Universal (Universal Social Protection System of El Salvador)
SSI	ILO Social Security Inquiry
SWAp	Sector-Wide Approach
TA	Technical Assistance
TdHL	Fondation Terre des Hommes Lausanne
ToC	Theory of Change
ToR	Terms of Reference
TVET	Technical Vocational Education and Training
UCT	Unconditional Cash Transfer
UHC	Universal Health Care
UN	United Nations
UNDG	UN Delivering Together For Development
UNDG	Delivering Together For Development
UNHCR	United Nations High Commission on Refugees
UNICEF	United Nations International Children's Emergency Fund
VAA	Vulnerability Assessment and Analysis
WB	World Bank
WFP	World Food Programme
WHO	World Health Organization
WOGA	Whole of Government Approach

## Executive Summary

### Subject Description

The evaluation analyses the performance of the Swiss Agency for Development and Cooperation's (SDC) strategies, programmes, projects and partnerships, as well as its operational instruments and institutional processes, regarding social protection. The evaluation presents findings, conclusions and recommendations from a strategic and an operational perspective, plus presents a theory of change and narrative to conceptually define and support the positioning of SDC and its Swiss partners in social protection.

### Evaluation Methodology

The evaluation corresponds to OECD-DAC and SEVAL evaluation standards and criteria: relevance, effectiveness, efficiency, and sustainability. The evaluation followed a mixed-methods approach to data collection and analysis, and used a variety of standard methodological approaches: portfolio review, context analysis, documentation review, key informant interviews, focus group discussions, online questionnaire survey, performance assessment (quantitative and qualitative data), two field mission visits, plus case study analyses. The evaluation was conducted during the period September 2018 to May 2019.

### Major findings and conclusions

**Social protection** has gained growing importance on the international development agenda. There is a growing body of evidence that social protection plays a **key role for sustainable development and growth**: Targeting in particular vulnerable groups, it addresses the structural causes of poverty, exclusion and inequality **contributing to broad-based and inclusive growth** in line with the **2030 Agenda** and its core principle of 'Leave No One Behind' (LNOB).

Social protection is an **economic investment**. Without basic social protection that fosters health, adequate levels of nutrition and social stability, a country cannot **unlock its full productive potential**. Social protection **influences individual decisions to migrate** and **facilitates the return of refugees** into their countries of origin by stabilising social cohesion and strengthening economic growth (*return capability*).

The SDC is utilising **social protection** as an **effective and relevant modality** to contribute to its core mandate of reducing poverty and global risks, alleviating suffering and promoting peace. During the period from 2013-2017, **87 SDC projects containing a social protection focus** within the overall project scope were identified. Social protection interventions are focused in the areas of **system strengthening, social insurance** (social health insurance and weather induced or agricultural micro insurance), **social assistance** (in-kind and cash transfers, public works) and **labour market policies**.

The **social protection portfolio** is implemented across many of SDC's priority themes, but is **primarily addressed in the context of: Governance; Food Security and Agriculture; Health; Employment and Economic Development**. For the majority of projects social protection is not the principal focus but is a part of the overall measures that are being carried out aiming at a broader goal.

**Social protection within SDC** may best be conceptualised as an important **complementary policy field** that **enhances and fosters links with other sectors** thereby **strengthening and maximising their outcomes**. Such a **multi-sectorial approach** implies working across sectors and **taking an integrated and systemic approach to social protection**. Whilst SDC has developed internal papers reviewing and

reflecting on its engagement in the area, the findings indicate that **SDC lacks a coherent and systematic approach to social protection** so far.

In terms of results achievement, **SDC's engagement in social protection** can be considered **successful**, although with potential for improvement. Measures contribute – directly and indirectly – to **increasing coverage** of social protection mechanisms, **increase the quality** of services provided, also by **improving the efficiency and effectiveness** of administrative and delivery systems and **enhance livelihoods**. With the exception of social health insurance and micro-insurance, most of these outcomes are achieved as a non-specified result or by-product of projects rather than by design. This **lack of a systematic, coherent and aligned** approach to supporting social protection interventions **reduces substantially impact, efficiency and sustainability** of SDC's interventions in this field.

Although being a “player by accident” rather than by strategy, SDC is well equipped to address a variety of social protection areas: SDC has a **long-standing experience and expertise with regards to a range of social protection mechanisms**. It is a highly reputable player in the field of **social insurance** (health and agricultural micro-insurance). It has long-standing experiences with regards to **operational and systemic aspects** of social protection, e.g. cash transfer programming or grievance and redress.

SDC's **focus on strengthening local delivery mechanisms of social protection**, also by **including non-state actors** shows strong **affinity to the Swiss welfare scheme** with its highly decentralised and localised solutions, as does the focus on **strengthening transparency and participatory citizen's engagement**. The mixed system approach with a strong **role for private actors** is most obvious in SDC's **micro-insurance** area where SDC collaborates with commercial insurance partners. Overall however, the integration of private actors in social protection is rather limited.

SDC's approach at country or regional level is commonly based on a **parallel approach that combines national level with local level interventions (“sandwich approach”)**. This mixed approach is highly efficient while at the same time providing **good value for money**, especially for a small donor like SDC.

SDC's **long-term presence in countries** and its **simultaneous way of working** are very well placed to **create long-term impact**. This is only achievable in a **close and coordinated approach with partner countries and development partners active in social protection** at national, regional and global level. Whilst this tends to work well in the area of health, **SDC's engagement in policy dialogue** is rather **limited** with regards to its other intervention areas, threatening the creation of political ownership and sustainability over time.

Against the background of a dramatic increase of funding requirements for humanitarian aid in the context of increasingly protracted crisis situations and **the need to maximise humanitarian-development aid linkages**, SDC has **started an internal dialogue between the humanitarian and the development arm** which also encompasses (adaptive) social protection mechanisms. However, this dialogue is still evolving and did **not yet yield concrete results**. At country and project level, the nexus seems to be somehow easier to realise, but is only developing slowly being confined to few countries so far (e.g. Mali).

In order to build SDC's leverage in the area of social protection and increase impact and sustainability, a **more balanced use of SDC's toolbox of instruments** for the delivery of its support is necessary. This refers in particular to SDC's limited engagement in the **policy dialogue on social protection** to the extent as it is with health or cash transfers in

a humanitarian context (e.g. P4H or the Cash Learning Partnership). A **stronger engagement in national, regional and global social policy debates** would allow SDC to better position itself as a **social protection player** and bring in specific **Swiss know-how and expertise** in a more systematic way thereby also **gaining visibility and profile**.

**SDC's approaches in social protection** are considered having a **strong innovative potential** by partner organisations and donors. **SDC's lab-approach of testing different delivery options at local level** before going into scale-up underpins this innovative character. However, the **know-how, expertise and results generated often remain "hidden" in sectors and themes** because they are simply not recognised as contributing to social protection goals.

**Knowledge and expertise in social protection** within SDC is **very technical** while **lacking the systemic knowledge on social protection** and the way it is working **as a policy field**. This tends to limit the effectiveness and sustainability of SDC's social protection interventions, because SDC is **not in a position to plan** or implement more strategically and **steer processes**. It also reduces the capacity of identifying **potential synergies with other projects and themes**.

SDC has refocused its monitoring on measuring for results. However, the fact that social protection is not a recognised development topic implies that **results in social protection are largely not monitored or reported on**. As a result, **outputs and outcomes largely go unnoticed**, especially as they are under other themes and sectors.

As social protection is not a development theme, **no knowledge hub or learning material** exist for SDC staff. At country level, project staff is usually too busy to engage in social protection learning. Where SDC is engaged in multilateral donor funds on social protection **"learning by doing"** is being practiced, e.g. through the participation in donor working groups.

## Recommendations

Against this background the report makes the following recommendations:

- **Enhance the engagement in social protection:** SDC has a solid basis in social protection both in terms of presence in the field and know-how and expertise on which to build and expand upon. This represents a widely unexplored opportunity for SDC to strengthen and enhance its engagement in social protection supporting partner countries in contributing to the SDGs and 'LNOB'. The evaluation presents three scenarios for the SDC to consider, potential options going forward, linked to an enhanced engagement in social protection: a) leave it the way it is (with some slight changes), b) making it important without being a priority theme, c) make it a priority theme.
- **Develop guidance documents for social protection:** The development of a social protection framework that summarizes and sets out SDC's understanding of social protection in development is key in order to provide conceptual and strategic guidance for a more structured engagement of SDC in social protection.
- **Identify social protection priority themes:** Based on the quantitative and qualitative analysis of SDC's social protection portfolio and taking into consideration Agenda 2030 and 'LNOB' the evaluation proposes the following themes: governance, food security/ agriculture, health, and employment and economic development.



- **Capacity development:** In order to strengthen social protection within SDC, a capacity development and learning package is needed, including via anchoring social protection within the SDC as a thematic network or unit where project officers can seek technical advice in order to be able to stronger integrate the topic of social protection into their work and create productive synergies with other themes.
- **Develop a nexus in social protection:** Enhance the existing internal dialogue between Development Cooperation and Humanitarian Aid with the aim to develop a common vision on how to better link and strengthen long-term and short-term approaches in the context of an adaptive social protection approach.
- **Seek more pro-active partnerships in social protection:** In order to strengthen social protection as a development topic – also with a view to SDC’s internal ownership and commitment – a more systematic and active engagement in international initiatives and partnerships on social protection is recommended. This would also enhance entry-points for stronger synergies between country level and programme level initiatives and increase the visibility of SDC’s engagement.
- **More balanced use of SDC tools:** SDC’s engagement in social protection has a strong focus on technical assistance. A more balanced use of SDC’s toolbox of instruments, for example a stronger engagement in policy dialogue or public private development partnerships (PPDP) may help to enhance the impact and sustainability of SDC’s intervention in social protection.
- **Stronger focus on PPDP:** Social protection is a highly technical policy field with largely unexplored field of cooperation with private commercial partners, e.g. on the development of software and data-banks for social protection management systems or on the (mobile-based) delivery of cash transfers. There is also a potential to stronger involve private commercial providers of social protection.
- **Monitoring for results in social protection:** SDC should develop a set of basic social protection indicators that allow to measure progress and consistently report on them. Improved monitoring will allow SDC to better highlight the results of social protection and its contribution to achieving the Agenda 2030 and ‘LNOB’ and its value for money.
- **Improve data management and ensure quality on results reporting:** If social protection as a development outcome shall be better monitored and measured and the efficiency and effectiveness of its social protection interventions improved, SDC will need to improve its data management systems making better use of its DMS on all levels. This would also include the development of quality standards with regards to reporting requirements.

# 1 Introduction

## 1.1 Purpose of the Evaluation

The purpose of this evaluation is to assess the performance – *relevance, effectiveness, efficiency, and to the extent possible the sustainability* – of the Swiss Agency for Development and Cooperation (SDC) strategies, programmes, projects and partnerships, as well as its operational instruments and institutional processes, regarding social protection. The purpose is backward and forward-looking: performance assessment of the portfolio of social protection programmes/projects, during the period 2013-2017, as the basis to provide evidence-based inputs to propose a theory of change, including a narrative, positioning the SDC and its Swiss partners in the field of social protection in the future, as well as findings, conclusions and recommendations on whether and how the SDC's approaches can be strengthened from a strategic and operational point of view.

The knowledge generated by the evaluation should contribute to improve the SDC performance in social protection through learning within the organization and among its partners, as well as support SDC's policy steering and management functions/ operations. Additionally, the evaluation should provide substantive support to the SDC Board of Directors' accountability function in reporting to the Swiss parliament and the public.

The independent evaluation is commissioned by the SDC Evaluation and Corporate Controlling Division (SDC, E+C), which has an overarching institutional scope to generate evidence as to SDC's overall contribution to international cooperation results.

## 1.2 Methodological approach

The evaluation corresponds to OECD-DAC and SEVAL evaluation standards and criteria. The evaluation, with summative and formative elements, applies theory-based developmental evaluation approaches, such as contribution analysis, theory of change, results-based assessment, plus operational and institutional process analyses. A participatory evaluation approach has been followed, notably regular consultations during the evaluation process with staff members of the SDC via the Core Learning Partnership (CLP). The evaluation is conducted during the period September 2018 to May 2019.

The evaluation approach, methodology and analytical framework were developed on the basis of the ToR for this assignment and the consultations via the CLP. The analytical framework is established in the Evaluation Matrix (see Annex 2), defining the evaluation questions addressed demarcated on the basis of the evaluation criteria. The evaluation is based on a mixed-methods approach to data collection and analysis, and a variety of standard methodological approaches: portfolio review, context analysis, documentation review, key informant interviews, focus group discussions, questionnaire survey (selected SDC staff), performance assessment (quantitative and qualitative data), two field mission visits (to Albania, and to Zimbabwe/ Southern Africa region), plus case study analyses.

Triangulating quantitative and qualitative data sources and methods of analysis is essential to provide rigour as to the evidences presented and findings reported, and to support further development of the theory of change linkages and policy narrative regarding SDC's engagement in social protection. Furthermore, with institutional learning at the SDC also at the core of the evaluation, analysis of the approaches and practices of other donors, multilateral organisations, private sector and academia on social protection are also included in the scope of the research, analyses and reporting processes<sup>1</sup>.

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<sup>1</sup> See Annexes 8-10 for an overview of international and bilateral donor actors' approaches to social protection, plus of international initiatives, and thinking on linking humanitarian assistance to social protection.

The evaluation approach and methodology is structured so as to aggregate performance assessment detail of the SDC portfolio in social protection at four key different levels:

- On the basis of the overall programme portfolio,
- On the basis of the focus area of activity (modalities) for the SDC engagement,
- On the basis of the instruments utilised by the SDC for implementation/ delivery,
- And on the basis of regional, country and development context demarcation.

The initial goal of the evaluation was to take stock of the extent of the SDC portfolio addressing social protection as a topic during the 2013-2017 period<sup>2</sup>. This was informed by the earlier light-mapping exercise<sup>3</sup> of the SDC's engagement in the area and the more recent mapping exercise undertaken by the SDC's internal working group on social protection, plus by the evaluator's review of the broader portfolio of the SDC projects (public information provided on the portfolio on the FDFA/ SDC Project Database<sup>4</sup>).

On the basis of further project documentation review, to assess the extent to which social protection issues are clearly addressed within the context of the identified projects (as a major project component/ goal, or as one of the overall key project components, or as part of a project component), the evaluator proposed to the SDC a portfolio of 87 projects<sup>5</sup> addressing aspects of social protection for the performance assessment, covering 34 individual states, as well as including a range of regional and/or global project initiatives<sup>6</sup>.

After the end of stocktaking of SDC's engagement in social protection, the evaluation team subsequently defined a code list based on the evaluation questions. The list is attached in Annex 12, as separate spreadsheets in the excel file. All 87 projects underwent the coding process based on the previously agreed coding list (more than 300 documents). The data collected this way was both, quantitatively in excel (see separate excel sheet) and qualitatively (with Atlas.Ti software). The performance scores are based on this exercise. These scores are based on external or internal evaluation reports, if available. If no rating was possible based on reports (mainly due to lack of sufficient documentation), the performance score was given by the evaluation team based on available documents (e.g. Credit Proposals) and the coding exercise. The quantitative statistical analysis was enriched with context indicators from the ILO, the World Bank's Aspire database and the University of Manchester's SALMIC<sup>7</sup> database, and was undertaken with the help of STATA software. The results of the statistical tests and descriptive tables are presented in Annex 12.

In conducting the analysis and in assigning performance assessment ratings, the evaluator has utilised a 5-grades 'scoring criteria' to assign 'performance ratings'.

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<sup>2</sup> Projects implemented at some point during 2013 to 2017; this includes projects that started prior to 2013, as well as projects for which the implementation period extends beyond 2017.

<sup>3</sup> SDC/IDS (2016) Briefing Note: Light-touch mapping of SDC activities in social protection.

<sup>4</sup> The evaluation team reviewed a list of approx. 125 projects provided by SDC. Of these, about 55 projects build part of the final portfolio. About 35 projects were added by the evaluation team through thorough review of the public project database (198 projects were assessed for their potential social protection anchorage).

<sup>5</sup> Projects, programmes, secondments and contributions.

<sup>6</sup> See Annex 4 for an overview of the SDC portfolio, and Annex 5 for the detailed portfolio.

<sup>7</sup> Social Assistance in Low and Middle Income Countries, [www.social-assistance.manchester.ac.uk](http://www.social-assistance.manchester.ac.uk)

**Table 1: Scoring criteria for assigning performance ratings**

<b>Excellent (5)</b>	Performance is expected to achieve all of the intended objectives and to exceed key target achievement ( <i>has succeeded beyond the original scope of expectation</i> ).
<b>Good (4)</b>	Performance is expected to mostly achieve all of the intended objectives ( <i>has largely succeeded</i> ).
<b>Adequate (3)</b>	Performance is expected to achieve progress linked to the majority of the intended objectives but has faced some performance constraints ( <i>while some progress has been made it is not yet demonstrated that success will, overall, be achievable within the original scope of expectation</i> ).
<b>Poor (2)</b>	Performance is not expected to achieve progress linked to a majority of the intended objectives ( <i>has to a significant degree failed to meet expected targets</i> ).
<b>Unacceptable (1)</b>	Performance is not expected to achieve any of the intended objectives ( <i>has failed</i> ).

### 1.3 Limitations to the approach and validity of the findings

Regarding the approach and methodology for the evaluation, the key limitations are:

- SDC does not address social protection as a priority theme and social protection is only partially addressed as a topic in SDC's "Manual on the SAP characteristics" regarding the codification of project actions<sup>8</sup>. As such, the SDC's coding of projects often does not clearly label/ identify social protection as an issue or activity. Thus while 87 projects during the period 2013-2017 have been identified as containing a linkage to aspects of social protection, this cannot be considered as the full SDC portfolio; other projects of relevance may well also exist within the SDC portfolio.
- The evaluation is primarily based on 'desk-research' and not original 'field-research'. As such, the availability of core documentation linked to the performance of the portfolio (e.g. End of Phase Reports, mid-term or external evaluation reports, contractor progress or final reports), as well as, at times, the quality of the analysis provided in the available assessment reports, has presented certain limitations for the data collection and analysis process. Linked to the 87 projects in the portfolio<sup>9</sup>, a sufficiently detailed level of performance related data was available for 64 projects, which have formed the basis for the detailed statistical performance assessment. For the other 23 projects, basic coding of the actions was undertaken (e.g. SDC Division, priority theme, social protection focus area of intervention, country/ region).
- The performance score is predominantly based on the assessment of internal reports and credit proposals for a future phase (56% of the 64 performance scores) or external evaluation reports (20%). Twenty-four % of the scores are purely based on the evaluation team's own assessment of credit proposals and of follow-up reports and analysis of project implementation, taking into account design, relevance, initial/ short-term results as well as probability of reaching sustainability. The focus of the performance assessment relates to the social protection component of projects rather than an assessment on the overall project.

<sup>8</sup> Section 13 of the Manual (the characteristic sector) implicitly addresses certain aspects of social protection in the framework of the established SDC sector groups/ themes, primarily in the context of the codes on Employment and Economic Development (20010, 20012), Health (20053, 20057), and Migration (20071). The Manual does not incorporate the OECD-DAC Creditor Reporting System (CRS) Purpose Code 16010 (social/ welfare services); but does incorporate the CRS code 16020 as SAP code 20010.

<sup>9</sup> Implementation of 8 of the 87 projects commenced during year 2017, with initial progress/ results reported by implementing partners during 2018; non-final, draft progress reports were not utilised for the assessment.

- The online questionnaire survey was open to selected SDC staff (30 at HQ and 27 at Embassies/COOFs) in December 2018; this coincided with the evaluator's timing of a request to individual staff relating to project-specific documentation gaps. While recognising the end-of-year timing of the survey would potentially result in a limited response-rate, 56% of the invited participants did respond: 25 complete questionnaire responses, 7 as partial responses. This is an adequate response-rate.
- Outside of the direct contexts from which data was collected, certain difficulties exist in regard of asserting attribution to the SDC projects regarding outcomes, given the number of other development and private sector partners involved, including frequently via pool funding mechanisms or as implementing partner of SDC projects. However, we recognise this is a general, not a social protection specific, limitation.

## 2 Background Context (Social Protection)

### 2.1 Social Protection in the international context

Social protection can be generally understood as “all collective measures that protect people against social and economic risks”.<sup>10</sup> Different definitions on social protection exist depending largely on the emphasis different organisations and institutions put on specific aspects, such as the set of providers (public/private) it includes, the types of risks and overall principles (subsidiarity, universality, etc.).<sup>11</sup>

In a development context, it encompasses **social insurance** based on contributory mechanisms and organised on state, community or cooperative basis, including also private insurance schemes<sup>12</sup>, **social assistance**, such as cash and in-kind transfers (food, vouchers or productive inputs/ assets), and complementary measures that support beneficiaries to increase and strengthen their livelihoods (**active labour market policies**).

#### Box 1: The functions of social protection (Three P's and One T)

##### Three P's and One T

Social protection mechanisms are usually distinguished based on their impact and the way they minimize risk. Four core functions can be distinguished:

- (a) **PROTECTIVE dimension** refers to mechanisms that support people to cope with risks (for example natural hazards or economic crisis), that have already occurred (ex-post). Here social protection helps to smooth consumption and protect livelihoods.
- (b) **PREVENTATIVE dimension** refers to supporting people before a risk occurs (ex-ante) in order to prevent risks (through livelihood measures) or mitigate their effects once they occur (old age, sickness or unemployment). By strengthening resilience and diversification of livelihoods social protection helps to prevent people from impoverishment or from using negative coping strategies, such as selling off productive assets or taking children out of school.

<sup>10</sup> Von Benda-Beckmann, F. and K. 1984. Coping with Insecurity. An 'Underall' Perspective on Social Security in the Third World. *Focaal*, No. 22/23. Nijmegen: Universiteit van Nijmegen, pp. 7-31.

<sup>11</sup> See also SDC's reflection paper, SDC. 2018. Leveraging Switzerland's experience to enhance SDC's engagement in Social Protection.

<sup>12</sup> Considering the scope of the report and the development context, the definition used in the present evaluation goes beyond the common definition of social protection, considering also private insurance schemes under the insurance pillar. This refers in particular to commercial micro-insurance approaches in the context of agricultural and weather-based risks.

- (c) **PRODUCTIVE dimension** refers to the income enhancing and livelihood stabilising effect of social protection. By increasing household purchasing power, cash transfers may have a positive impact on local economies. Linking social protection to employment measures or skills training enables beneficiaries to enhance their livelihoods and incomes and sustainably graduate out of social protection measures.
- (d) **TRANSFORMATIVE dimension** aims at reducing the vulnerability of households and individuals to risks caused by economic, social or political exclusion and inequalities (ex-ante). This aspect refers in particular to the rights-based dimensions of development, transparency and social accountability.

Over the last two decades, many countries have significantly extended social protection coverage and reinforced their social protection systems. Nonetheless, only 45% of the world's population are effectively protected by a social protection system in at least one policy branch/ area with wide regional variations<sup>13</sup>. This means that the majority of the world's population remains unprotected. This share is even more reduced when considering the access to comprehensive social protection systems. The World Social Protection Report 2019 shows that in 2015, only 29% of the working-age population and their families had access to such systems meaning that almost three quarters had not (ILO 2017).

## 2.2 Social Protection in the context of international cooperation policy

Over the last two decades, social protection has gained increasing importance on the international development agenda. Whilst having been regarded as a luxury that countries will engage once they have achieved sufficient economic growth, there is now widespread evidence across the globe that social protection is an important complementary measure to growth and development.

The increasing recognition attributed to social protection in advancing sustainable and inclusive development is also underlined by the inclusion of social protection in the 2030 Agenda for Sustainable Development and the accompanying Sustainable Development Goals (SDGs). Social protection is mentioned either as an associated target or in the indicators in SDG1, SDG5, SDG8 and SDG10. Contributing to poverty reduction, gender equality and women's empowerment, inclusive growth and reduced inequality social protection is considered one key element of leaving no one behind.

The developmental impacts of social protection with regards to other policy and development fields are illustrated in an expansive and growing body of literature:

- Social protection is an economic investment: Without basic social protection that fosters health, adequate levels of nutrition and social stability, a country can simply not unlock its full productive potential. Social protection supports economic growth by building and protecting human capital and other productive assets and empowering poor individuals to invest or to adopt higher return strategies. Through enhancing community assets and infrastructure social protection creates local economy effects, whilst acting as a stabilizer of aggregate demand at the macro-level with positive effects on social cohesion and inequalities.

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<sup>13</sup> Europe and Central Asia 84.1%, Northern America 78.5%, Americas 67.6%, Latin America and the Caribbean 61.4%, Northern Africa 39.2%, Asia and the Pacific 38.9%, Africa 17.8%, Sub-Sahara Africa 12.9% (ILO. 2017. World Social Protection Report. ILO: Geneva).

- Evidence shows that higher levels of public social protection expenditure are associated with lower levels of poverty and inequality with positive impacts on social cohesion and integration<sup>14</sup>.
- Social protection plays a key role in mitigating economic crisis and shocks: The 2008 global financial, fuel and food crisis showed that countries best able to buffer the impact of the crisis were those that already had comprehensive social security systems in place, confirming the vital role of social security as a social and economic stabilizer. They provided policy-makers with immediate responses to respond to the crisis and to offer adequate protection to those affected – often at no additional costs<sup>15</sup>.
- Social protection mechanisms promote productive employment and decent work. Cash transfers, active labour market programmes, health insurance and family support policies, such as child-care and care for disabled people, have been shown to encourage labour market participation, including women and young people<sup>16</sup>. Cash transfers have been found to be critical for funding job search, supporting quality training and skills development, increasing access to credit and bolstering the resilience of agricultural smallholders in maintaining production.
- Social protection is important for human development: by providing reliable mechanisms that enable people to protect themselves in times of crisis, people do not have to resort to negative coping strategies such as a reduction in food intake, selling off productive assets in order to be able to pay for health services or stopping sending children to school. There is clear evidence that social cash transfers have a positive impact on hunger and nutrition.<sup>17</sup> The provision of financial risk protection mechanisms (universal health insurance) reduces the risk of falling back into poverty when ill, thus contributing to better and more equitable health outcomes. By reducing demand-side barriers, such as transport, clothing or the need for children as a labour force, cash transfers, free tuition, free school feeding programmes and

<sup>14</sup> Chowdhury, A. 2011. Social Protection for shared prosperity and inclusive growth, ILO: Geneva.

<sup>15</sup> Countries reacted to the crisis with a whole range of measures, many of them within already existing social protection. One of the most common responses included the modification of existing benefit schemes by increasing transfer levels or extending the period of coverage. Brazil, Canada and the US prolonged for example, the period of unemployment coverage for employees in crisis hit sectors, while other countries, including the US or Jordan increased transfer levels of existing schemes, including housing allowances, disability benefits or pensions. Other measures included one-off measures, such as emergency or solidarity grants (South-Africa, Australia or the Philippines). Some countries relaxed eligibility criteria or conditionalities for the period of the crisis to ease access to benefit schemes and prevent people from being excluded, including the reduction of minimum work qualifying periods, the duration of contribution payments or qualifying age, suspension of job search obligations or allowing temporary workers to be covered (Japan, Sweden). Many governments subsidized employers to maintain employment levels and the employment relationship. Tax measures to boost and smooth individual and household income, short-time work as well as the temporary extension of existing schemes to previously uncovered parts of the population were also part of the package to react to the crisis (for an extensive overview see ISSA. 2012. Coping with the crisis: Managing social security in uncertain times. ISSA: Geneva, available from: <https://www.issa.int/ru/topics/coping-with-crisis/issa-publications>

<sup>16</sup> For instance, in South Africa, labour market participation among those receiving cash transfers was 13–17% higher than in similar non-recipient households, with the greatest difference among women (Economic Policy Research Institute. 2004. The social and economic impact of South Africa's social security system. Cape Town: South Africa Department of Social Development.)

<sup>17</sup> Cash transfer programmes in Mexico, Malawi, and Colombia demonstrate reductions in the numbers of children with stunted growth. Children in South African households receiving a pension grow on average five centimetres taller than those in households without a pension (Case, A. 2001. Does money protect health status? Evidence from South African pensions, NBER Working Paper No. 8495, Cambridge: National Bureau of Economic Research); Tirivayi, N.; Knowles, M.; Davis, B. 2013. The interaction between social protection and agriculture: A review of evidence, Rome: Food and Agriculture Organization; Yablonski, J.; O'Donnell, M. 2009. Lasting benefits: The role of cash transfers in tackling child mortality, London: Save the Children UK.



the supply of free learning materials, have been shown to lead to higher school enrolment rates, fewer school drop-outs and less child labour.<sup>18</sup>

- Social protection is a human right enshrined in the Universal Declaration of Human Rights and the International Covenant on Economic, Social and Cultural Rights, art. 9, which further underline its importance for strengthening social cohesion and creating stable and peaceful societies.<sup>19 20</sup>
- Social protection plays an important role in managing migration flows, stabilizing societies and encouraging economic development. Evidence suggests that social protection influences individual decisions to migrate and facilitates the return of refugees into their countries of origin by stabilising social cohesion and strengthening economic growth (*return capability*): migrants who are considering returning to their home countries would have a much greater likelihood of doing so if a functional social protection system were in place and the portability of social security benefits was secured. The extent to which social protection influences migration decision clearly depends on the conditions and the predominant motives for emigration and flight in the countries of origin. However, the better social protection schemes are established and the better they work, the stronger the role they play in migration decisions. The adequacy, frequency and reliability of benefits influences, whether individuals and households consider migration amongst other options.<sup>21</sup> Investing in functioning social protection systems as a sustainable long-term strategy would thus, make a major contribution to (future) migration pressures.

A range of bilateral donors have focused their attention on social protection as a development priority (e.g. BMZ/ GIZ, DFID, Irish Aid or Australian Aid). International organisations and financing institutions traditionally not involved in the topic have identified social protection as an important complementary policy field that enhances and fosters links with their own traditional policy fields. For example, UNICEF's advocates for child- and gender-sensitive approach that perceives social protection policies as an integral part of child protection.<sup>22</sup> FAO has developed a framework of social protection around rural development and food security, emphasising the role of social protection for sustainably strengthening food and nutrition security.<sup>23 24</sup>

An important stepping stone in emphasizing the key role of social protection for development is the ILO's social protection floor recommendation (2012, No. 202<sup>25</sup>) that has found broad political consensus in the wake of the global financial crisis recognizing the positive role of social protection in mitigating its worst social and economic outcomes. It is complementing the ILO social protection minimum convention No. 102 of 1952<sup>26</sup>.

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<sup>18</sup> For example, Patel, L. 2012. "Poverty, gender and social protection: Child Support Grants in Soweto, South Africa", in *Journal of Policy Practice*, No. 11: 106–120.

<sup>19</sup> "(...) universal and lasting peace can be established only if it is based upon social justice" ILO Constitution, Preamble,

[https://www.ilo.org/dyn/normlex/en/f?p=1000:62:0::NO:62:P62\\_LIST\\_ENTRIE\\_ID:2453907:NO#declaration](https://www.ilo.org/dyn/normlex/en/f?p=1000:62:0::NO:62:P62_LIST_ENTRIE_ID:2453907:NO#declaration)

<sup>20</sup> <https://www.ohchr.org/en/professionalinterest/pages/cescr.aspx>

<sup>21</sup> Schüring, E. et al. 2018. Social protection as an alternative to migration? An assessment of the role of social protection in reducing push factors for migration in different country contexts. DGUV, Volume 78, available from: [https://gvg.org/allgemein/publikationen/studie\\_migration/](https://gvg.org/allgemein/publikationen/studie_migration/)

<sup>22</sup> UNICEF Social Protection Strategic Framework, available from:

<https://www.unicef.org/socialprotection/framework/>

<sup>23</sup> FAO. 2015. Nutrition and Social Protection. FAO: Rome.

<sup>24</sup> For a detailed discussion on the strategic frameworks of the most important bilateral donors and international organisations see Annex 8.

<sup>25</sup> See Annex 9 for a summary overview of the Social Protection Floor Recommendation (2012, No. 202).

<sup>26</sup> R202 - Social Protection Floors Recommendation (No. 202) Recommendation concerning National Floors of Social Protection Adoption: Geneva, 101st ILC session (14 Jun 2012). The recommendation has been recognized by a range of international organisations and fora, including the Agenda 2030, ECOSOC and the

Recognizing the different contexts and pre-conditions for social protection across the world, in particular the existence of large informal economic sectors, it argues for a stepwise approach to social protection based on a guaranteed social protection floor.<sup>27</sup>

### 2.3 Making the business case for social protection

Social protection programmes are critical for inclusive growth: they raise household incomes, consumption and savings, boost aggregate demand and enhance people's resilience in the face of shocks, e.g. those that may result from climate change or other.

Evidence shows that the returns of social protection programmes as measured by intermediate indicators of growth (such as food security, health and education), are substantial. Social cash transfers have positive outcomes for food security, consumption, education, health, psychological wellbeing, asset accumulation, savings, labour and income at household level: Mongolia's universal Child Money Programme (CMP) has significantly reduced monetary poverty. Estimations indicate that the CMP contributed to a 12 % reduction in the incidence of poverty and a reduction in poverty gap by 21%. The transfer is clearly pro-poor: 34% of beneficiaries belong to the poorest population groups. This is also shown by the benefit incidence ratio which is twice as high in the poorest quintile compared to the richest quintile (Ortiz et al. 2019)<sup>28</sup>.

Transfers tend to have positive effects on the local economy. On average, a transfer of USD 1 results in an average increase in income of USD 0.08–0.81 in the local economy, when accounting for inflation (Van Keesteren et al. 2018)<sup>29</sup>. Studies using the Local Economy-Wide Impact Evaluation (LEWIE) model<sup>30</sup> show that most of the African unconditional cash transfers create large income multipliers in local economies, ranging from 1.27 to 2.52 per dollar transferred to eligible households (Davis et al. 2016)<sup>31</sup>.

Social protection strengthens social ties within communities. Various evaluations have found increases in (informal) village savings schemes, sharing arrangements, and informal in-kind support, as well as new or strengthened social networks.

Higher, more regular and predictable transfers over a longer duration are likely to improve long-term outcomes, as do more comprehensive social protection schemes: In 2009, El Salvador introduced the Universal Social Protection System (Sistema de Protección Social Universal – SPSU) seeking to ensure universal social protection in the areas of health, food, income security and vocational training. As a result, poverty rates fell from 39.9% (2008) to 34.5% (2012), while the Gini index of inequality fell from 0.48 to 0.41 during the same period. The SPSU had also significant impact on other sectors of the economy, generating productive chains with an emphasis on strengthening local economies (Ibid).

Started in 1999 as a pilot programme, the community based health insurance scheme (CBHI) in Rwanda has since been rolled out nationwide covering 96% of the population. It

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G20 summits. Whilst recommendations are not open for ratification, the ILO social protection minimum convention to date has been ratified by 56 countries, most recently by Russian Federation (2019), Argentina (2016), Brazil (2009), Chad (2015), Dominican Republic (2016), Honduras (2012), Jordan (2014), Romania (2009), Saint Vincent and the Grenadines (2015), Ukraine (2016) and Uruguay (2010).

<sup>27</sup> Access to basic health care, basic income security for children, working age population and elderly persons.

<sup>28</sup> Ortiz, I., Schmitt, V. and De, L. 2019. 100 years of social protection: The road to universal social protection systems and floors: Volume I: 50 country cases. International Labour Office: Geneva

<sup>29</sup> Van Keesteren, F. et al. 2018. The Business Case for Social Protection in Africa. Synthesis report series. INCLUDE: The Hague.

<sup>30</sup> LEWIE models show that unconditional cash transfers create economic multipliers not only on eligible households, but also on the local economies of which they are part (Ibid.)

<sup>31</sup> Davis et al. 2016. From Evidence to Action: The Story of Cash Transfers and Impact Evaluation in Sub-Saharan Africa. FAO: Rome

has greatly contributed to improving health standards in Rwanda, including increased life expectancy at birth and reduced child and maternal mortality, thereby meeting MDG 4. The CBHI system has helped to reduce out-of-pocket (OOP) payments making health care more affordable for its members. People can access care before their condition worsens, which decreases the total cost of treatment.

Evidence from the Latin America suggest that countries with higher social expenditure aimed at the lowest income quintile have lower under-5 mortality rates than those spending less (PAHO 2018)<sup>32</sup>: The number of people living below the national poverty line in Brazil declined from 44 million in 2000 to 17.9 million in 2014, and the Gini index declined from 59 to 51.3 over the same period. In this period, Brazil invested significantly in social protection and public services. Actions included increasing the minimum wage and public expenditure on health, education and other social services, and extending non-contributory pensions for rural informal sector workers and other disability payments. Conditional Cash Transfer programmes have been consolidated and expanded in the form of the Bolsa Familia (Family Allowance Program), targeted at extremely poor households and poor parents with children living at home. In 2010, the Bolsa Familia CCT programme covered 12.8 million families, more than 51 million people. The overall cost of non-contributory cash transfers in Brazil is approximately 2.5 percent of GDP (Ibid.).

In 2017, Argentina budgeted for an increase in its social protection function to take it up to 12.07 percent of GDP, with plans to maintain and expand various cash transfer programmes (such as the universal child allowance and family allowances) and to create a programme of historical redress for retirees and pensioners (Ibid.).

Social protection is highly effective in mitigating crisis situations. The suddenly shrinking economy, high inflation rates and sharply rising prices, especially for foodstuffs in the context of the first Asian crisis had serious social and political consequences. To mitigate and reduce the worst effects of the crisis on poor and vulnerable groups, the Indonesian government introduced a series of short-term social transfer programmes. Public works measures, scholarships and food subsidies aimed to alleviate the negative impacts of the crisis on the poor, played a central role in food and nutrition security. Poverty decreased from 33% (1998) to 12% (2002), and social development, in terms of health and education indicators, stabilised. Although many programmes had serious design flaws they played a central role in the rapid recovery of the Indonesian economy and were responsible for ensuring that social progress achieved before the crisis was not lost (Rohregger 2017)<sup>33</sup>.

The Philippine Department of Integrated Livelihood and Emergency Employment Programme (DILEEP) links disaster and climate risk management with social security and active labour market policies. It provides short-term wage employment and facilitates entrepreneurship for people affected by natural calamities and economic shocks, and also enrolls beneficiaries in social insurance. It uses pre-existing administrative capacity of social protection and employment programmes to set up emergency measures and reconstruction programmes in the event of natural disasters. 90% of beneficiaries have seen their incomes increase and 45% were able to generate employment from their livelihood projects. DILEEP helps to rehabilitate communities and encourages and trains people to build sustainable community-based enterprises through the efficient use of locally available resources and raw materials (Ortiz et al. 2019).

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<sup>32</sup> PAHO. 2018. Just Societies: Health Equities and Dignified Lives. Executive Summary of the Report of the Commission of the Pan American Health Organisation on Equity and Health Inequalities in Latin America. Washington D.C.: PAHO.

<sup>33</sup> Rohregger, B. 2017. The Role of Social Protection for Food and Nutrition Security. GIZ: Eschborn. Examples from practice and International Discussion, available from: [socialprotection.org](https://socialprotection.org)

The way social protection schemes are set up and managed plays a significant role to what extent they effectively reach their target group: Despite the existence of basic social services and benefits in South Africa, a significant number of people did not have effective access. Through the Integrated Community Registration Outreach Programme (ICROP) the South African Social Security Agency (SASSA) developed an outreach programme delivering social services through fully equipped mobile one-stop service units or vehicles equipped with modern technology, facilities and personnel. Through this measure accessibility and adequacy of existing benefits and services has improved, social protection coverage extended effectively (ibid.).

With regards to cost-efficiency of social protection programmes, evidence is still limited, but mostly points to the benefits outweighing the costs. Generally, cost-benefit ratios are negative in the start-up phase of the programme (usually in the first 15 months), and become (more) positive over time. Projections of future costs and benefits find ratios improving with the duration of the programme, as well as when indirect benefits, such as the future benefits of education, are included. Comparing the cost effectiveness of various programmes, it appears that programmes integrating various social protection instruments (e.g. cash transfers and asset trainings) or social protection with other social measures (e.g. combining free maternal health care with improving the quality of health clinics) have higher value for money than single interventions (Van Keesteren et al. 2018).

## **2.4 Social Protection in the context of Switzerland**

Social protection has played a key role in the formation of the social contract in many developed and developing countries, including Switzerland. As a basic right it is anchored in many constitutions. Social protection mechanisms have begun to emerge on a large scale in Europe in the second half of the 19<sup>th</sup> century in order to mitigate the worst effects of industrialisation and free markets' failures. Economic motives also lied at the heart of the substantial investments and expansion of European social welfare schemes during the 20<sup>th</sup> century, notably so after World War II. Apart from providing a basic welfare-state and income security for all, investments in welfare were also aimed at a stronger involvement of the state in boosting demand and fighting recession. They played a key role in enabling and sustaining the steady economic growth and in promoting labour market participation and almost full employment that many countries in Europe have witnessed prior to the global financial crisis in 2008, through the steady provision of a productive labour force and purchasing power.

This pattern also holds for Switzerland although its welfare system has grown at a much slower pace than in many other European countries and compared to other European welfare states, shows specific peculiarities that have greatly influenced its development, in particular its direct-democratic setting and its federal structure.

Switzerland has developed over the years a multi-tiered system of social protection, where financing, decision making powers and implementation are shared between the different levels of government. Whilst this is largely attributed to its strong federal structure, the direct democratic setting of Switzerland appears to have also played an important role in limiting and postponing the introduction of national regulatory frameworks for certain social policy areas by the federal government, which, on several occasions, were opposed in favour of decentralised welfare initiatives (e.g. old age insurance in 1939 or health and employment insurance in 1990). The latter include public welfare schemes at canton level or pension schemes, health insurance schemes, insurance companies or benevolent societies.

In this way, the need for solutions at national level was postponed creating instead a wealth and variety of decentralised welfare systems which continued to exist even when national solutions were found complementing and supplementing national social protection measures and impacting on the living conditions of Swiss citizens. At the same time, these decentralised welfare schemes serve as a laboratory for the introduction of new social protection mechanisms and for the development of innovative solutions to be eventually taken over by the national level. Up to date, cantons retain substantial room for manoeuvre in several important areas of social policy, including social assistance, family policy, social services or education<sup>34</sup>.

Both, the importance of direct-democratic tools in its wider sense and the tendency for decentralised solutions are also discernible in SDC's approach to social protection and provide in the evaluators' view important potential angles of *Swissness* with regards to SDC's approach in social protection.

The emphasis of SDC's interventions on aspects of social accountability, transparency and participatory decision-making processes for service delivery at local level and its long-standing expertise in this field also play an important role for the development of efficient and effective social protection schemes. In low-income countries delivery mechanisms at local level, especially in the remote areas, tend to be weak; in addition, nationally designed social protection programmes often do not take account of local contexts which in turn tends to make delivery of social protection even more challenging, such as geographic or demographic conditions. In this context, the role of social accountability mechanisms is extremely important. This is all the more the case with regards to decentralisation processes which many low-income and transition economies were undergoing over the last decades with the goal to bring services closer to the poor.

The need for tailor-made solutions that fit country contexts also fits well with SDC's focus on decentralised approaches and local solutions that respond to local needs and serve as a laboratory to test innovative solutions for potential national scale-up, including the integration of non-state actors.

## **2.5 Important Swiss stakeholders in the context of Switzerland's international cooperation in social protection**

The SDC, the State Secretariat for Economic Affairs (SECO), the State Secretariat for Migration (SEM), and the Human Security Division (HSD) of the Federal Department of Foreign Affairs (FDFA) are the main federal offices responsible for the implementation of Switzerland's international cooperation policy. With regard to social protection as a policy issue, none of these federal offices has a specific corporate policy or strategy on the topic. Nevertheless, in implementing its overall mandate each office potentially addresses issues that directly link to or partially overlap with certain aspects of social protection.

- SECO: via actions to promote effective institutions and services, including public finance reform and budgeting, more specifically in regard to social insurance (health or pension financing), plus via financing mechanisms to promote climate protection.
- SEM: in regard to Switzerland's migration foreign policy and cooperation at a multilateral level and via cooperation provided in a humanitarian context in countries of origin and host countries under SEM's "Protection in the Region" (PiR) initiatives.
- HSD: actions to promote peace and human rights, and its focus on the protection of the civilian population against violence in armed conflicts, and of displaced persons.

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<sup>34</sup> Armingeon, K., Bertozzi, F. and Bonoli, G. 2004. 'Swiss Worlds of Welfare' in West European Politics, Vol.27, No.1 (January 2004), pp.20–44; Schmid Walter (2013), Besonderheiten der Schweizer Sozialpolitik, in A. M. Riedli et al. (ed.), Handbuch Sozialwesen Schweiz, 419-427, Bern.

Other Swiss federal offices that exercise competence linked to social protection include:

- Federal Social Insurance Office (FSIO): the International Organisations Unit represents Switzerland on social security policy in key international organisations, particularly at the UN, the ILO, the OECD, the Council of Europe and the International Social Security Association (ISSA).
- Federal Office of Public Health (FOPH): in regard to Switzerland's Health Foreign Policy, bilateral and multilateral cooperation on public health issues.

Other important stakeholders and potential partners in regard to engagement on issues of social protection include the Swiss private sector, notably in regard to its insurance/re-insurance expertise, plus Swiss NGOs in regard to their development and humanitarian actions to alleviate poverty via local community development and protection initiatives.

### 3 Evaluation Findings

#### 3.1 Theory of Change regarding SDC's engagement in social protection

Based on the overall objectives of SDC's development approach, and the findings of the evaluation, a Theory of Change for SDC's engagement in social protection has been developed which has been further tested and modified in the course of the evaluation – see Figure 1 below (following the explanatory “narrative” regarding SDC's engagement):

- (1) Based on its various development instruments (technical assistance, PPDP, policy dialogue, budget support, capital funds), the SDC intervenes through the following social protection modalities: social assistance, social insurance, active labour-market policies, and systems-strengthening to support partner countries in effectively implementing social protection mechanisms with the aim to increase coverage and quality, in particular for the most vulnerable.
- (2) Through measures meant to strengthen the overall framework for social protection (systems-strengthening), including capacity development, strengthening national and local governance structures, or by increasing fiscal space for social protection, the SDC supports partner countries in improving the quality of already existing social protection schemes rendering them more efficient, effective and transparent, as well as broadening the revenue base for social protection in order for countries to sustainably finance social protection in the long-run. All of these measures support the building of a coherent and comprehensive social protection scheme increasing the coverage of social protection mechanisms for the most important social and economic risks throughout the life-cycle and enabling improved access of people to basic social services. A comprehensive and well-functioning social protection system is also a precondition for building adaptive social protection systems that link social protection schemes with measures of climate change adaption and disaster risk reduction with the aim to strengthen the resilience of poor and vulnerable groups. By making social protection systems more resilient to catastrophic risks, the synergies between humanitarian aid and social protection schemes are strengthened<sup>35</sup>. Through complementary measures aimed at strengthening the productive potential and self-help capacity of beneficiaries the SDC contributes to improving their livelihoods and helping them move beyond minimum living standards and eventually allowing them to graduate out of social protection schemes.

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<sup>35</sup> Governments may for example, react much quicker to emergencies by providing concerned population group with specific measures using established social protection mechanisms (*climate-smart social protection mechanisms*).

- (3) As a result, all people have a basic income security that allows them to satisfy their most basic needs and prevents them from falling into long-term poverty-traps, such as undertaking debts or applying negative risk-management strategies to cope with social and economic risks (such as taking children out of school or selling off productive assets). People enjoy equal access to basic services and reliable protection against the most important social and economic risks throughout the life-cycle. This enables people to plan better for their future and invest in higher-return activities, such as staying longer in education or taking higher-risk activities (e.g. investing in productive assets and capital). The fact that non-labour constrained households and individuals have improved their skills and productive capacities enables them to sustainably strengthen their livelihoods rendering them also more resilient to future shocks and hazards.
- (4) Social protection effectively contributes to long-term poverty reduction and to human development. Aiming at providing equal opportunities for all, it is a key instrument of inclusive growth and favours sustainable development. Having a positive impact on social and economic inequalities it promotes gender equality and helps building stable, cohesive and peaceful societies. Social protection increases people's resilience and agency and empowers them to make their own choices by building self-reliance, not dependency<sup>36</sup>.
- (5) Social protection provides an important complementary measure to humanitarian aid. Through livelihood measures social protection measures also help to strengthening the resilience of communities and individuals thereby enabling them to better cope with future shocks, in particular with regards to climate change induced risks. At the same time, social protection measures help mitigating their consequences.
- (6) In doing so, social protection mechanisms contribute to inclusive social and economic development ensuring that no one is left behind. In the context of the Agenda 2030 it contributes directly or indirectly to the following goals: SDG 1 (End poverty in all its forms everywhere), SDG 3 (Ensure healthy lives and promote well-being for all at all ages), SDG 5 (Achieve gender equality and empower all women and girls), SDG 8 (Promote inclusive and sustainable economic growth, employment and decent work for all) and SDG 10 (Reduce inequality within and among countries). More broadly, social protection programmes have a positive impact on Goal 2 (food security), Goal 4 (education) and on Goal 16 (peaceful and inclusive societies).<sup>37</sup>

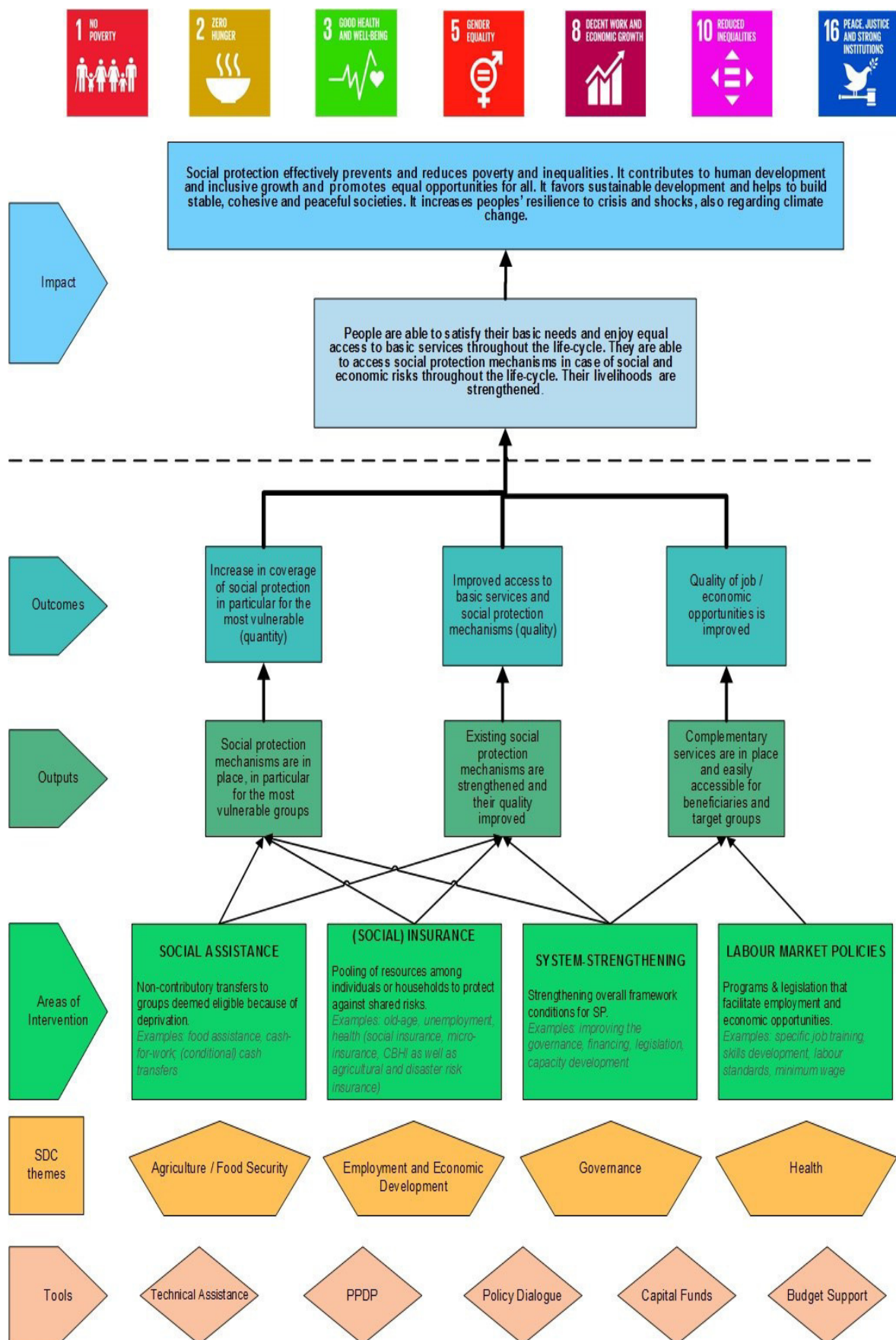
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<sup>36</sup> SDC (2018) Leveraging Switzerland's experience to enhance SDC's engagement in Social Protection: Reflexion Paper in view of the Dispatch on Switzerland's International Cooperation 2021-2024.

<sup>37</sup> **SDG target 1.3:** implement nationally appropriate social protection systems and measures for all, including floors; **SDG target 3.8:** Achieve universal health coverage (UHC), including financial risk protection, access to quality essential health care services, and access to safe, effective, quality, and affordable essential medicines and vaccines for all; **SDG target 5.4:** Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies, and the promotion of shared responsibility within the household and the family as nationally appropriate; **SDG target 8.5:** By 2030 achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value; **SDG target 10.4:** Adopt policies especially fiscal, wage, and social protection policies and progressively achieve greater equality.



**Figure 1: SDC engagement in social protection – Theory of Change**



## 3.2 Relevance

### 3.2.1 SDC's approach to social protection as a topic

Social protection is not explicitly identified as a strategic priority goal of the Federal Council Dispatches on Switzerland's International Cooperation, although certain aspects of social protection are clearly mentioned as areas for the SDC's focus, e.g. in regard to SDC supporting the formulation of public social protection policies in Bangladesh. Furthermore, SDC does not have a specific corporate policy or strategy to guide its engagement on social protection as a development issue<sup>38</sup>.

The SDC is utilising social protection as an effective and relevant modality to contribute to its core mandate of reducing poverty and inequalities, strengthening economic growth, tackling global risks, saving lives and alleviating suffering. But, so far, it has not considered social protection to be a stand-alone priority theme or a transversal theme within its development cooperation perspective. Rather, it implements social protection tools and approaches, where deemed relevant, within the context of its existing priority themes/domains and portfolio of activities.

The evaluation has identified 87 projects supported by SDC during the period 2013-2017 containing a social protection focus within the overall project scope. These are undertaken across the SDC organisation (Departments and Divisions), at both project and programme level, including global initiatives, via both development cooperation and humanitarian aid.

**Table 2: SDC's social protection portfolio within the organisation**

SDC Department	SP projects (No.)	Of the SP portfolio (%)
Global Cooperation	7	8
South Cooperation	47	54
Eastern Europe Cooperation	14	16
Humanitarian Aid	13	15
Institutional Partnerships Division	6	7

Of the 87 projects, 67 are undertaken within a specific partner country (covering 34 individual countries), while 11 projects are undertaken within a specific region (covering 7 regions), and 9 projects are undertaken with a broader/ global coverage of the support. The geographical coverage of SDC's social protection portfolio is summarised below<sup>39</sup>.

**Table 3: Geographical coverage of the SDC social protection portfolio**

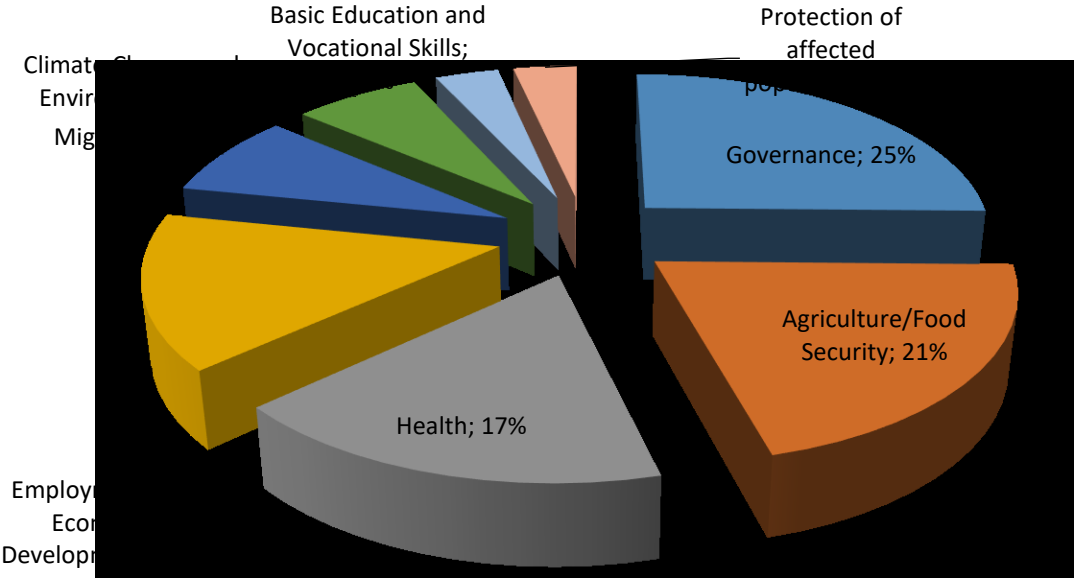
Region	Countries/ Regions	SP projects (No.)	Of the SP portfolio (%)
Global	---	9	10
Africa	12 countries + 5 regions	29	33
Asia	10 countries + 1 region	22	25
LAC	5 countries + 1 region	13	15
Eurasia	3 countries	4	5
Western Balkans	4 countries	10	11

<sup>38</sup> Over the past years a set of briefing notes, internal issue and reflexion papers have been prepared related to social protection and SDC's engagement in the area, including: SDC/IDS (2016) Briefing Note Light-touch mapping of SDC activities in social protection; SDC (2017) Issue Paper on social protection; SDC (2018) Leveraging Switzerland's experience to enhance SDC's engagement in social protection, Reflexion Paper in view of the Dispatch on Switzerland's International Cooperation 2021-2024.

<sup>39</sup> See Annex 4 for an overview of the SDC portfolio, and Annex 5 for the detailed portfolio.

The social protection portfolio is primarily undertaken within the context of SDC's themes: Governance; Food Security/Agriculture; Health; Employment and Economic Development. Other themes addressing social protection aspects, to some extent, include: Migration; Climate Change; Education and Vocational Skills; Protection of affected population.

**Figure 2: Social protection portfolio across the SDC's priority themes**

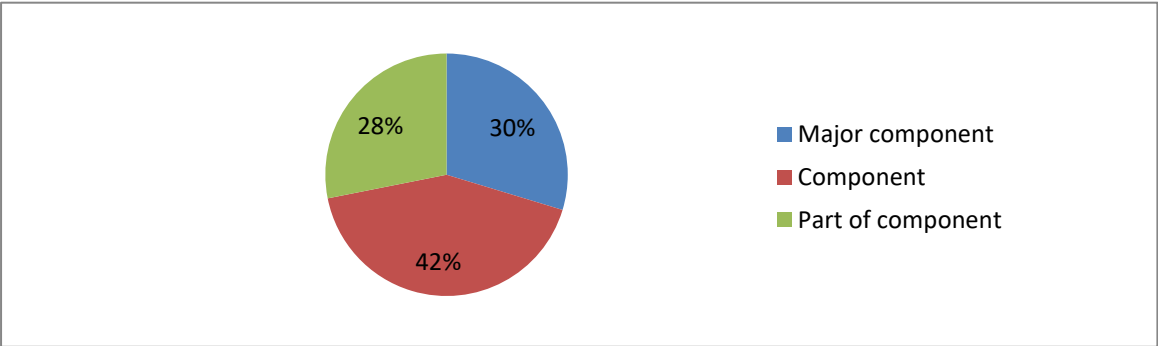


The indicative funding planned for the portfolio is CHF 370 million. However, this refers to the total planned volume of projects and not specifically to the social protection components.

The extent to which social protection issues are addressed by the portfolio varies (see Figure 3). Three modalities are distinguished:

- Major component: The project is designed with the purpose of specifically strengthening social protection.
- Component: The social protection component is part of the overall measures that are being carried out aiming at a broader goal, e.g. the overall purpose is resilience strengthening and social protection is one of the components of getting there.
- Part of a component: Social protection is somehow a by-product of other components, for example a social accountability mechanism in a governance project that – amongst others – also contributes to strengthening social protection mechanisms or systems.

**Figure 3: Extent to which the SDC projects address social protection issues**



### 3.2.2 Strategic orientation and alignment of SDC's social protection portfolio

Reflective of the time period covered by this evaluation (2013-2017), the portfolio of SDC projects is primarily aligned toward contribution to the Millennium Development Goals (MDGs). More than half of the social protection portfolio indicate MDG1 as the priority goal, MDG4 is the main priority for more than 10% of the portfolio, closely followed by MDG3 as the priority. MDGs 2, 5, 7 and 8 are also frequently addressed by the portfolio, though to a lesser extent<sup>40</sup>, more commonly as the second MDG addressed by projects.

However, apart from indicating prioritisation of the basic MDGs that the projects align with (e.g. MDG1), the portfolio generally provides limited further specification in regard to the precise MDG targets or indicators that projects or programmes address. The portfolio provides no reference to other international policies or initiatives on social protection (e.g. the ILO Social Protection Floor Initiative (2012), or the ILO Social Security Convention (1952)) in terms of its alignment to international commitments/ norms.

The main exception in this regard are projects addressing social health protection that commonly refer to international standards/ norms – for example, the Health Basket Fund in Tanzania contributes to achievement of MDGs 4 and 5 and utilises some of the MDG indicators as project performance indicators, including number of births in health facilities, number of births with skilled birth attendance, under-five and infant-mortality rate.

Furthermore, the SDC is also actively engaged in global social protection initiatives such as: Providing for Health (P4H - dedicated to health financing, economics and social health protection for universal health coverage (UHC)); the Grand Bargain (strengthening the link between humanitarian cash transfers and social protection), and in the Cash Learning Partnership (CaLP - dedicated to cash and voucher assistance via humanitarian aid).

Although it is evident that the portfolio is consistent with the SDGs and enhances what was to become the 2030 Agenda guiding principle of 'Leave No One Behind' (LNOB), only a limited number of the projects designed/ developed as Credit Proposals during 2016-2017 make explicit reference to the SDGs and SDG targets that they specifically align to.

The majority of projects is well aligned with relevant national or regional development strategies, most notably national growth and development as well as poverty reduction strategies. Many are also aligned with specific sector strategies, for example agricultural policies, national health policies or food security strategies. With the exception of projects addressing social health insurance and the nexus between humanitarian aid and development cooperation, the projects do not provide reference/ alignment to national social protection strategies. This reflects the fact that SDC's engagement in social protection is undertaken in the context of SDC's priority themes and therefore projects primarily reference other sectorial development strategies (e.g. food/ nutrition, economic development, governance/ decentralisation) for the policy framework. It is not evident to the evaluator that SDC assesses whether existing national social protection strategies are coherent or complement these lead sectorial development strategies. Credit Proposals in the portfolio do not systematically provide reference as linkage to national social protection strategies even where these do exist; the exception in this regard is of SDC projects in which the production of a strategy was directly supported in an earlier phase – which is clearly highlighted in all follow-up Credit Proposals (e.g. in Albania).

While not directly aligning to the goals of a country's social protection strategy, it is evident that the individual projects do systematically consider and take into context the overall

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<sup>40</sup> MDG1 Eradicate extreme poverty and hunger, MDG2 Achieve universal primary education, MDG3 Promote gender equality and empower women, MDG4 Reduce child mortality, MDG5 Improve maternal health, MDG7 Ensure environmental sustainability, and MDG8 Develop a global partnership for development

needs and challenges at the level of the citizens (country or regional). The design orientation/ quality of the SDC projects is generally very good in this regard. However, consideration of development issues and the targeting of projects from a specific social protection orientation/goal is often only implicitly undertaken, not by design.

The majority of SDC's projects in the portfolio were developed in close collaboration with development partners active in partner countries, thereby promoting greater coherence and potential synergy of donors' support. A significant number of the SDC projects are also undertaken in direct collaboration with donor partners, traditionally with like-minded donors as the implementing partner for the SDC's contribution (via its general, or more frequently, its 'earmarked' financial contribution to specific objectives within the wider context of another donor's programme). To a far lesser extent is SDC itself the lead actor/ initiator in the management of other donors' funding in the area of social protection.

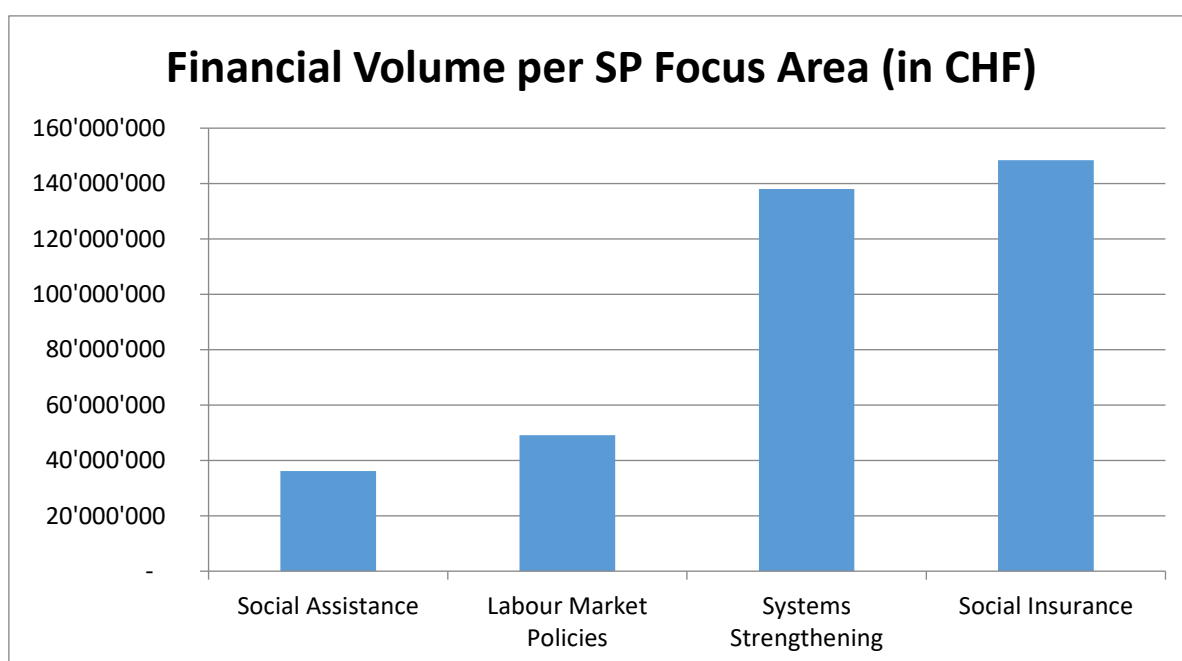
### 3.2.3 SDC's social protection intervention areas and instruments of support

SDC's portfolio focuses support via four social protection areas of activity: System Strengthening; Social Insurance; Social Assistance; and Labour Market Policies – as summarised below. Each intervention area is relevant to supporting the promotion of social protection, and are also referred to as relevant intervention areas in the social protection strategies and approaches of other relevant donors in the field<sup>41</sup>.

**Table 4: Focus areas of support for SDC social protection projects**

Social protection focus/ area	SP projects (No.)	Of the SP portfolio (%)
System Strengthening	32	37
Social Insurance	28	32
Social Assistance	16	18
Labour Market Policies	11	13

**Figure 4: Financial volume per social protection focus area<sup>42</sup>**



<sup>41</sup> See Annex 8 for an overview of social protection approaches of the most relevant donors and initiatives.

<sup>42</sup> Swiss NGO programme contributions are not included in terms of financial volume; the programmes are diverse in terms of actions and countries, and social protection implicitly addressed as 'a part of a component'.

A significant focus of the SDC social protection portfolio is in the area of system-strengthening, including capacity development support (for example the piloting of innovative delivery and targeting models/ approaches), strengthening financing, delivery or legislation of social protection programmes with the aim of improving their quality, efficiency and effectiveness. Strengthening the social accountability angle and mechanisms for citizen's engagement, in order to improve access to services and the quality of citizen-oriented services, is also an important field of intervention in a range of projects. The vast majority of the portfolio focused on system-strengthening is addressed as 'a component' or 'part of a component' in the wider context of project domain-specific policy goals. SDC supports social protection system-strengthening in all global regions.

A further significant focus of the portfolio relates to social insurance, primarily in regard to social health insurance (approx. 50% of the insurance portfolio), agriculture insurance (approx. 30% of the portfolio), and weather-risk insurance (approx. 20% of the portfolio). Almost 50% of the insurance portfolio is being implemented as 'a major component'. SDC supports social insurance projects in all global regions except for Eurasia; the projects primarily target support in Africa and in LAC, then in Asia, and partially in Eastern Europe.

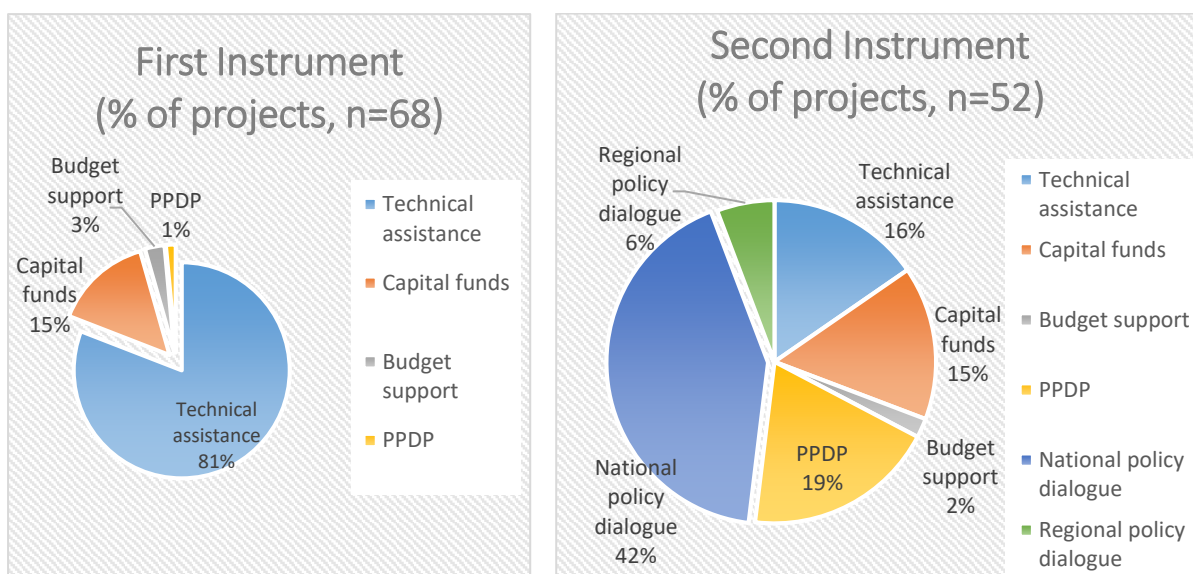
In regard to social assistance, SDC is implementing a mix of interventions: cash transfers, and public works, as well as initiatives to strengthen potential linkages (a 'nexus') between humanitarian aid's short-term goals and longer-term development cooperation goals. The substantial majority of the projects focused on social assistance is being implemented as 'a component' or 'as part of a component' in the wider context of projects. SDC primarily supports social assistance projects in Africa, in part also in Asia, plus in LAC.

In regard to the SDC projects primarily focused on labour market policies, and how these potentially combine with social protection systems, the extent of the portfolio is limited. While Switzerland (and the SDC) is clearly, and rightly, recognised for its expertise in terms of promoting a dual-system of technical vocational education and training (TVET) and skills development as a means to promote greater equality of opportunity for all, the substantial number of these actions are targeted to broad groups of persons (e.g. youth), without having a social protection angle, i.e. specifically focusing toward the poorest, marginalised or vulnerable persons within the generic group. Projects in the portfolio address two aspects: (1) projects that do very specifically focus on the poorest and marginalised as a target group in terms of promoting skills, employability and job-opportunities within a country context, and (2) projects supporting safe migration and the decent work and rights' protection for migrant workers and their families in countries where overseas migration for employment is a major factor (e.g. Nepal, Sri Lanka). For the overwhelming majority of the portfolio the social protection policy angle is carried out as 'a component' or 'as part of a component' in the wider context of projects. SDC primarily supports projects in Eastern Europe and in Asia, partially in LAC and in Africa.

In the context of social protection, projects and programmes deploy the whole SDC toolbox of instruments, including: Technical Assistance; Capital Funds; Budget Support; PPDP; and Policy Dialogue. Whilst all the tools are deployed, the extent to which this is happening vary significantly – as summarised in Figure 5.



**Figure 5: Tool box of instruments used in SDC's social protection portfolio**



**Technical Assistance** (capacity building/ institution and systems-building/ enhancing): is the principal instrument for the implementation of SDC's support in the area of social protection. It is the main instrument for approximately 81% of the projects in the portfolio. Given the highly technical nature of the topic this comes with no surprise. The strong focus on these dimensions in SDC's work creates sustainability but tends to bring innovation inducing systemic changes; in this respect it is highly relevant for contributing to intended outcomes in a sustainable way. SDC has a very strong expertise with regards to health systems strengthening and social health insurance; SDC has a strong expertise in systems strengthening (governance) and cash transfer programming; however, what is missing with regards to the latter two, is partly the social protection relevance or perspective in the technical work.

**Capital Funds:** is the second instrument of choice for the implementation of SDC's support in the area of social protection: the main instrument for approximately 15% of the project portfolio; primarily in regard to systems strengthening and social insurance activities; plus as a complementary instrument to support TA on social assistance.

**Budget Support:** as an instrument overall it seems to loose importance and is increasingly substituted by performance-based financing (mainly due to accountability issues): it is the main instrument for only approximately 3% of the project portfolio. More commonly, SDC operates via multi-donor trust funds ("multi-bi"), e.g. the Employment Fund in Nepal, the Child Protection Fund in Zimbabwe, or R4 as a regional programme.

**PPDP:** has not been significantly utilised as an instrument linked directly to social protection: it is the main instrument for only approximately 1% of the project portfolio. SDC is involving private sector partners, including Swiss partners, but this could be further improved, e.g. linked to the development of software and MIS for health insurance, or mobile payment devices/ transfer, or with regards to social marketing strategies and procedures.

**Policy Dialogue:** in most areas, except for social health insurance and to some extent cash transfers (in the context of humanitarian aid), SDC is not extensively active in global, regional or national political dialogue in social protection policy. Whilst SDC is clearly engaged in policy dialogue in the development areas that are considered country priorities (e.g. agriculture or food security), SDC does not directly engage in social protection policy

dialogue. Where the SDC works with in a consortium with development partners it is usually them who take over the policy dialogue, especially those who are considered social protection champions in development (e.g. UNICEF).

Looking at the toolbox of SDC instruments available for the delivery of its support, the available instruments overall are relevant to support social protection needs. Overall, however, with the exception of social health protection, there is no balanced and coherent use of the tools. Whilst there is a strong focus on technical and financial support, including an appropriately strong focus on capacity development, the level of SDC's engagement with the private sector is still relatively under-developed, while policy dialogue on social protection, with a few exceptions, is weak in most cases at the national and global levels.

### **3.2.4 Design quality and coherency of the portfolio of social protection actions**

Overall, the projects are suitably designed, internally coherent and appropriate for achieving the intended project specific results. The projects are traditionally clearly defined in terms of the identification of the development needs/ challenges to be targeted, the results to be achieved, the key partners and stakeholders linked to implementation, and generally also in terms of defining a credible project specific Theory of Change. The only notable level of variability in terms of the quality of project design is linked to the depth of the risk-analysis and mitigation-planning that is detailed in the Credit Proposals.

The projects addressing aspects of social protection are primarily designed as single interventions – each worthy in itself – rather than as elements of a coherent package of related social protection measures supported by SDC linked toward utilising social protection as the means of delivery for development goals. In part this reflects the fact that while the SDC supports a range of partner countries and regions linked to social protection, the extent of the portfolio at partner country level is traditionally limited to one or two projects (23 of the 34 individual partner countries), rather than being a significantly sized portfolio. In addition, the majority of the portfolio focuses on social protection not as a 'major component', but as 'a component' or 'as part of a component', at times implicitly, in the context of projects spread across thematic-domains. Thus, detailed consideration of the potential coherency or the synergy amongst projects from a specific social protection angle, where the actions may be one part of a component, is not common.

But, in eleven partner countries, plus in the Southern Africa region, the SDC portfolio 2013-2017 extends to a minimum of 3 projects (up to 6 projects in Bangladesh) with a social protection angle<sup>43</sup>. However, the extent to which the portfolio of actions in these countries is internally coherent, and that results and goals have been developed to build linkages and synergy within the portfolio, is not strong. Internal coherency of the portfolio of actions, notably at partner country level, also by linking up to SDC's global programmes, is strongest in regard to the social health insurance interventions (see Box 2). In addition, in Albania a concerted effort has been made by SDC to build on the results of its initial projects addressing social protection, so as to consolidate and enhance these going forward with the design of new project priorities and the adoption of a comprehensive approach to supporting systems-building/ enhancing.

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<sup>43</sup> The portfolio includes 3 projects for Mali, Mozambique, Nepal, Bolivia, Colombia, Cuba, and Serbia, 4 projects in the Southern Africa region, in Tanzania, Mongolia, and Albania, and 6 projects in Bangladesh.

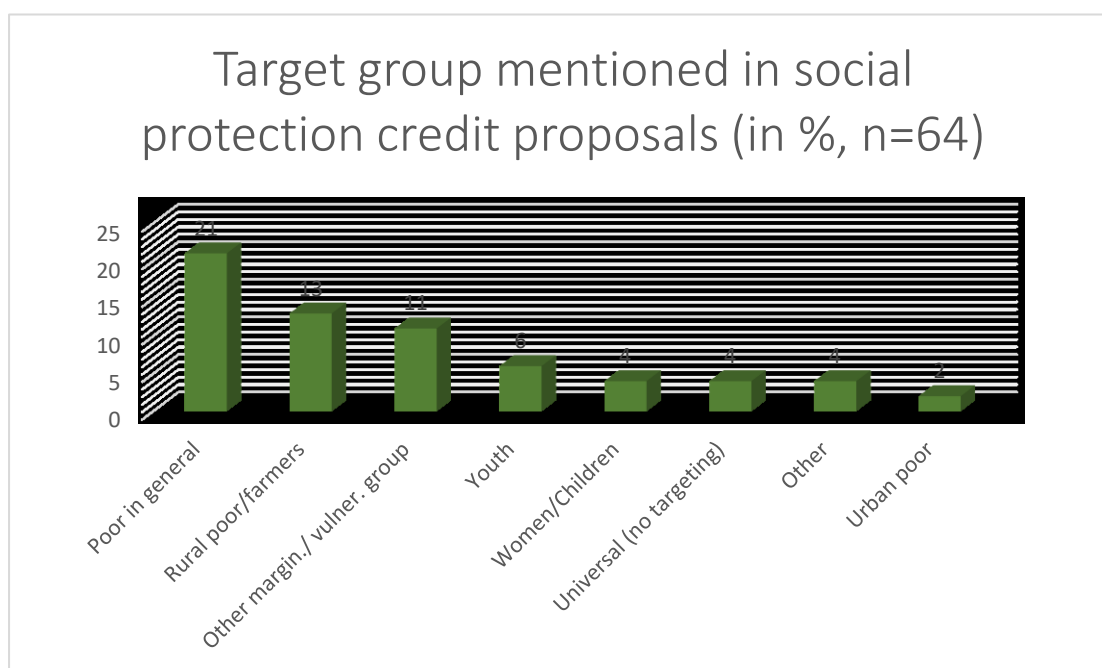


## Box 2: Creating Synergies towards Universal Health Coverage in Tanzania

Within regards to social health protection, SDC has a range of relevant programmes being implemented in Tanzania. The Health Sector Reform Support Programme or Health Basket Fund (HBF) in place since 1999 has been designed as a pooling mechanism of donor resources to improve the overall health of the Tanzanian population. The programme aims at providing an overall national financing mechanism that enables Tanzania to improve the quality of services, especially at the local level. This also includes – at the local level – the establishment of a financial protection mechanism in order to remove financial barriers to accessing health care. The latter is supported by SDC through its Health Promotion and System Strengthening Project (HPSS) that supports the development and expansion of community health funds (CHF) working towards universal access to health care, including transparent and accountable management systems and improved quality of services through strengthening local social accountability. Both projects are complemented by two global initiatives: Providing for Health (P4H), a global network supports the Ministry of Health with its finance strategy and the openIMIS initiative (an open source Health Insurance Management Information System) which is informed by and developed thanks to the experiences and lessons learnt from the locally implemented HPSS programme. This example shows, how a coordinated approach at country level and by including also the expertise available through global programmes can produce synergies that may enable to support countries in a more comprehensive and effective way.

Swiss/ SDC Cooperation Strategies each define the key target group(s) of final-users/ beneficiaries of Switzerland's international cooperation support: at the level of the overall strategy, plus in more detail at the level of each of the thematic-domains of intervention. The strategies also provide a brief definition of key terminology, such as 'the poor', the 'disadvantaged' or 'marginalised' group(s), or of 'vulnerable' persons. At the project portfolio level, each project defines the specific, direct partners<sup>44</sup> linked to delivery of the support and also the intended target group of final users/ beneficiaries. The social protection portfolio primarily targets as the final beneficiaries of the support: the poor in general, or marginalised and disadvantaged groups of persons in particular, or youth, children, rural poor/ farmers, etc. – as summarised below.

**Figure 6: Target group mentioned in social protection credit proposals<sup>45</sup>**



<sup>44</sup> Implementing partner(s), government partners and agencies, public/private sector service-provider groups

<sup>45</sup> "Other" falls under the SP focus area "Systems-Building/ Enhancing". This refers to (sub-national) governments, civil society organizations or generally citizens as main target group of the project intervention.

The majority of social protection projects in the portfolio deliver support and achieve results via addressing three inter-linked levels of intervention: (1) promoting citizen's access to and use of services, (2) strengthening public and private service-providers' capacity to offer services/ support, and (3) in promoting development of the national policy and enabling environment. SDC traditionally takes a longer-term perspective toward the interventions via a series of project phases over the medium- to longer-term period, with each clearly results-based as to its anticipated achievements over the period: 35% of the social protection projects are focused on the piloting of approaches/ models, 44% on the scaling-up of pilots, and 21% are focused on national level reforms. The "sandwich approach"<sup>46</sup> (as well as SDC's longer-term commitment to projects is appropriate in terms of supporting the promotion of social protection and wider project outcomes at the grassroots level (in terms of both the demand-side and the supply-side), and in terms of building national capacity and local ownership for the scaling-up of programmes and reforms over the medium/ longer-term perspective to deliver substantive and sustainable results. This often presents a challenge to the partner country governments.

However, while the projects are suitably designed, internally coherent and appropriate for achieving the intended project specific results, a weakness exists in terms of measuring social protection results as these are not always specified as direct outputs or outcomes. This reflects that social protection is often not a 'major component' of projects and may at times be more of an implicit by-product in terms of results. SDC does not measure its social protection results unless they are anticipated as a direct output and – but this is largely limited to social health insurance – as outcome in the overall goals or component-goals. This is also the case in the context of systems-strengthening, e.g. improving local service delivery of public services by strengthening social accountability or capacity building, insurance literacy, the development of vulnerability assessment tools. All these measures have a positive impact on fostering social protection systems, which in turn result in improved access, coverage or quality of service. But the results are hardly measured. In this way, outputs, outcomes and impacts relevant in the context of social protection go unnoticed, as does SDC's contribution (in particular in terms of its contribution to the MDG/SDGs) and its effective role as a social protection player.

### **3.2.5 Understanding of social protection within the SDC**

The general understanding of social protection as a topic in development policy amongst staff within the SDC is rather diffuse and very broad. It is associated with a range of concepts in an intuitive rather than a systematic way. The topic is commonly linked by staff to international reference frameworks, in particular social protection as a goal of the SDGs and 'LNOB'. Social protection is mainly perceived as supporting wider development goals such as sustainable poverty reduction, the reduction of inequality, the promotion of resilient livelihoods, inclusive growth, social inclusion and reaching out to the most vulnerable in society, the promotion of gender equity, and the preparedness of vulnerable communities against risks (preventative). Naturally, each SDC division/staff interviewed by the evaluator views the concept of social protection and its potential application primarily from the angle of its own specific thematic or geographical focus. There is awareness that social protection is an emerging "hot topic" on the development agenda (with a humanitarian aid and development cooperation "nexus"). While there are a variety of "correct" associations with social protection, overall there is no coherent understanding of its content, mechanisms and its overall objectives. The evaluation questionnaire survey of SDC staff indicates that more than 80% of the respondents did not feel: "adequately

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<sup>46</sup> By "sandwich-approach" we refer to a parallel approach which simultaneously combines interventions at the national policy level with interventions at the local implementation level (front-line services).

informed about... SDC's policy goals and delivery approaches for its engagement in promoting social protection". Staffs in the SDC working within areas dealing with social protection directly (e.g. social health protection, micro-insurance, cash transfer payments) have more concrete associations with the terms and goals of social protection as a development issue.

There is a strong view among our interview partners that SDC already does a lot in terms of social protection, but that the organisation does not recognise it as such (as a topic) and/or does not communicate it well ("making it more explicit"). For some respondents the reasons for this lie in the fact that SDC has a very fragmented, diverse portfolio in social protection. Furthermore, since social protection is not an explicit area of engagement for the SDC, potential links are not always clearly developed and lack a systemic approach and a narrative that links up to what SDC already does, as well as its wider development objectives. Additionally, social protection tends to be discussed in a rather narrow, technical way, referring mainly to implementation mechanisms, e.g. cash transfer payments, social health insurance and micro-insurance, without embedding it in a broader development narrative and a theory of change. One of the reasons why social protection is considered a "difficult topic" appears to be related to the fact that the term itself is "politically loaded": as being associated with notions of welfare and dependency ("giving out money to the poor"), rather than an economic investment that supports individuals/families and communities to escape from poverty, to manage life-cycle risks, and to contribute to their own well-being, across the life-cycle and generations.

### 3.3 Effectiveness

#### 3.3.1 The delivery of social protection results

Overall, SDC interventions in social protection show good results in terms of contributing to the improvements in the provision and the operation of social protection systems, in particular the quality of service provisions at the local level. In some instances the outputs are highly significant, for example with regards to the extension of one-stop-shops in Mongolia or the improved quality of safety net services through better targeting in Bangladesh. In terms of directly supporting the expansion of social protection mechanisms, SDC has been successfully contributing to the expansion of the Harmonised Cash Transfer (HCT) programme in Zimbabwe and the weather index based insurance in the context of the R4 programme covering a range of countries in Southern Africa.

The evaluator's performance assessment of the social protection portfolio 2013-2017 – of 64 projects for which sufficient documentation and reporting on results was available – is summarised below. Overall the performance is good, although with clear potential for improvement: the mean performance rating for the portfolio is 3.52 (on a scale of 1 to 5).

**Table 5: Performance assessment rating of SDC's social protection portfolio**

<b>Projects (Rating)</b>	<b>Unacceptable (1)</b>	<b>Poor (2)</b>	<b>Adequate (3)</b>	<b>Good (4)</b>	<b>Excellent (5)</b>
<b>Number</b>	0	5	25	30	4
<b>As a %</b>	0%	8%	39%	47%	6%

From the in-depth qualitative analysis, underpinned by the analysis of a sample of 33 of the projects in the case study reports, and based on the established and empirically underpinned pathways between social protection and poverty - well-being, it can be concluded that SDC makes important contributions towards achieving the MDGs/SDGs at country level through social protection. By providing support to countries in increasing the

coverage of social protection mechanisms and improving the quality of services, SDC supports countries in preventing people from falling into poverty and reducing the number of those who are already poor. SDC interventions have a strong focus on reaching the most vulnerable and poor, and overall the portfolio shows a strong synergy between the SDC project objectives and in meeting the needs of the targeted populations. The support of national and/or local social health protection mechanisms for example has significantly reduced out-of-pocket expenditure on health for poor and vulnerable groups (e.g. in Tanzania). An external evaluation of a Disaster Risk Reduction (DRR) programme that includes also agricultural micro-insurance as a risk-transfer mechanism in case of shock has established that for every dollar invested, 4-8 dollars of loss are saved<sup>47</sup>. SDC intervention helps to strengthen human development, as has been impressively shown in the context of the Health Basket Fund in Tanzania where a significant reduction in child mortality by 50% has led to the achievement of MDG4. And it also contributes to increase the employability and the income opportunities of the most vulnerable, as shown in the context of the Employment Fund in Nepal.

However, the extent to which the projects are effectively reaching the target group varies: not all interventions effectively reach the poor and most vulnerable as intended in the Credit Proposals, for example the labour market/ employment measures for disadvantaged youth in Kosovo. This appears to be related on the one hand, to the context where projects are implemented (e.g. the relatively limited size of the formal economy and labour market in Kosovo, plus potential job opportunities that exist for people within the near-region). On the other hand, this appears to be related to the fact that even pro-poor measures need to have the specific means in place to make them accessible for the most vulnerable and excluded groups, which at times appears to come in as an “after-thought” only, for example for displaced persons and returnees in conflicts (Mali), or vulnerable children in Zimbabwe.

Detailed analysis of 33 projects is provided in the case study reports (see Annex 7), with a brief summary provided below for a range of different projects and mix of focus areas.

### **Box 3: Effectiveness of selected SDC social protection projects**

#### **Mongolia: One-Stop-Shops (OSS) Systems Strengthening for improving social development**

Delivering social services and transfers across a very sparsely populated country, like Mongolia is challenging. Obtaining a public administrative service requires visiting several service-providing departments, which can be located at considerable distances from each other. Launched in 2007 with support from the Swiss Development Cooperation, the One-Stop-Shop (OSS) Project established facilities where citizens can receive several kinds of public services and a number of privately delivered notary and banking services. These accessible and customer-oriented “one-stop-shops” aimed to increase accessibility, transparency, and efficiency of public service delivery, as well as reduce corruption and transaction costs. Implemented nation-wide since 2013, the One-Stop-Shops (OSSs) deliver social protection and employment counselling services, as well as notary and banking services at *aimag* (provincial) and *soum* (district) levels. Bringing together officers from different social protection schemes, employment programmes, and other public and private services, it has enhanced coordination between institutions in charge of social protection and employment promotion and the quality of public services provided to the population by reducing duplication and inefficiencies. It also diminishes the dichotomy between social welfare and social insurance and fosters the creation of a comprehensive social protection system. As of today, these OSSs have served over 4.3 million clients, including 2.8 million customers in rural areas and 1.5 million in Ulaanbaatar City. Over 60% of the population use the OSS on a regular basis. Over 90% confirm that the OSS saves them time and thus money. In addition, improved transparency of service delivery has reportedly reduced rent-seeking behaviour of public officials.

<sup>47</sup> 7F-07768 Bolivia Scaling-up of Programme for Disaster Risk Reduction (PDRR)

**Tanzania: Community Based Health Insurance**

The Health Promotion and System Strengthening Project (HPSS) aims at improving the health of the Tanzanian population in three regions (Dodoma, Morogoro and Shinyanga). Based on a comprehensive approach that aims at tackling supply and demand aspects of health systems, they shall become more responsive to health needs and demands. In the context of social protection three pillars are particularly relevant: 1) the development and expansion of community health funds (CHF) as an alternative to the fee-for-service scheme working towards universal access by removing financial barriers to accessing health care and 2) development and utilisation of the Insurance Management Information System (IMIS) for transparent and accountable management of CHF insurance scheme (enrolment of CHF members, validity status of members and processing of insurance claims) and 3) the development of social accountability mechanisms to increase the quality of health care services at local level by raising the awareness of local population groups of their health needs and enabling them to influence district health planning (health promotion). The programme has started 2010 and currently runs in its second phase. Currently only 29 districts out of 72 have access to this programme and to the matching grants from the Ministry of Health and Social Welfare. Although coverage continues to grow it remains feeble, lying at around 10 % of the households in pilot region. Nonetheless, in 2018 an improved CHF model developed by HPSS has been adopted as national policy and is now being scaled-up nationwide (185 districts).

**Zimbabwe: Social Assistance as a complementary measure to strengthen child protection**

The Child Protection Fund Zimbabwe (CPF) is implemented by SDC through a multi-donor trust fund managed by UNICEF. Taking a holistic approach to child vulnerability which simultaneously addresses household poverty, gender disparities, disability, HIV and risk of violence, exploitation and abuse the CPF follows a three-pronged approach to child protection: a) improving access to child protection services, b) cash transfer interventions to reduce extreme poverty in the most vulnerable households and c) activities towards bolstering community economic resilience. As part of these interventions, the CPF supports the Harmonised Cash Transfer Programme, the national social cash transfer programme. The CPF finances regular and reliable bi-monthly cash payments under the HSCT reaching over 52.000 food-poor and labour-constrained households (83% with children). As a result, early marriage, school dropouts, under-age sex could be significantly reduced (control group / 12 months into the programme). Despite major draw-backs in the most recent past, the CPF - a follow-up to a SDC humanitarian response programme - is an interesting example of a successful transition from HA to DC (nexus) aiming at developing and institutionalizing more sustainable solutions in the context of continued political instability and economic collapse in Zimbabwe.

**Nepal: Employment Fund**

Evolving from a prior, successful and innovative SDC skills development project, implemented by the Swiss NGO Helvetas, the Employment Fund was established, together with the government and other donors (UK, World Bank) in 2008, with the objective to upscale donor funding in the area via a mechanism for pool funding. The Fund provided vocational technical skills training and testing as per national occupation profiles, plus job-placement and business start-up support for trainees provided by the training providers; primarily targeting economically poor youth with a strong focus on disadvantaged groups (persons that suffer discrimination based on gender, ethnicity, caste, or disability). SDC support delivered skills training for around 100,000 youth in short-term vocational trainings and testing. Of these trainees, 50% were women and 84% came from disadvantaged groups. Of these trainees, up to 95% completed the training and up to 90% were successfully trained/ skills certified. Of all the graduates, 74% were gainfully employed (for a minimum of six months on a monthly income at least equivalent to that of the minimum wage in the formal sector), while 90% were overall placed in jobs post-training. A tracer study of graduates indicated that 67% were gainfully employed after three years of graduation, and 19% had started their own business, the average earnings of these graduates was significantly above the minimum wage. The project also supported national partners linked to the quality enhancement of occupational skills standards and skills testing systems, and the capacity building of up to 40 training and employment providers.

**Bolivia: Promotion of Micro-insurance for agricultural production (PROSEDER)**

Micro-insurance is recognised as a useful tool for poverty reduction. However, costs for developing micro-insurance products are too high for the private sector to assume them alone. SDC shares this risk with the PROFIN Foundation, who will validate the technical, legal and financial feasibility of commercialising agricultural micro insurances in Bolivia. Project outputs include research and development of agricultural micro-insurance products in 3 departments and 21 municipalities, conducting valuable pilot measures whose results allowed to adjust the programme (e.g. the inclusion of other crops, replication by other actors), providing more than 1000 smallholders with insurance coverage reach (who did not have access to adequate risk-management tools before) as well as developing a micro-insurance against hail in coordination with municipalities. PROFIN was capacitated in managing risk-transfer funds and gained a reputation in facilitating and innovating for the development of micro-insurance and agricultural insurance. Moreover, PROFIN has assisted the government in the elaboration of law 144 that prescribes the creation of agricultural insurance, based on the evidence generated by SDC funded pilot projects.

**3.3.2 Measuring the achievement of social protection results**

The main challenge in measuring SDC's performance and its achievements on social protection is that SDC generally does not measure its social protection results unless they are anticipated as a direct output and as outcome in the overall goals or component-goals. Measuring progress on social protection often appears to be coincidental rather than systematic. A major reason for this is the fact that social protection is not recognised as a priority theme or a cross-sectorial topic in SDC, and SDC has no consistent and coherent approach or set of indicators to measure social protection results. What is more, social protection outputs or outcomes delivered are often not recognised as such, e.g. linked to the use of social accountability mechanisms or the introduction of one-stop-shops.

There are some notable exceptions to this (see Box 4) in the area of social health protection, micro-insurance and to a lesser extent social assistance in the context of a nexus approach. However, at times measuring for progress linked to social protection does not seem to be very coherent and systematic either. If social protection indicators are inserted, they are very much output focused and less progress oriented. As a result, outcomes formulated tend to be unrealistic, the theory of change claiming outcomes that are totally unrealistic to reconcile with programme's activities.

**Box 4: Selection of social protection indicators in SDC projects**

Social Assistance	Social Insurance	Systems building	LMP
<i>(CPF Zimbabwe)</i> Harmonised Social Cash Transfer (HSCT) beneficiary households in the targeted areas have improved economic capacity to protect children Number of households benefiting from receiving sector based social service provision 75% of target beneficiaries are girls, boys and other vulnerable persons	<i>(R4, Southern Africa)</i> Number of households directly assessing index-based insurance disaggregated by sex <i>(Mongolia Livestock-insurance)</i> Percentage of total herders in selected aimags purchasing Livestock Risk Insurance (LRI) <i>(PASS-Sud-Kivu)</i> Taux d'adhésion de la population y compris des indigents à la mutuelle de santé (désagrégé pas sexe) Taux de nouvelles adhésions > 2% par an <i>(Great Lakes Region)</i> Satisfaction des mutualistes et proportion de personnes vulnérables	<i>(Roma Inclusion Serbia)</i> Extent of participation of vulnerable target groups in project planning processes for social services <i>(Lao – Public Admin. Reform)</i> Number of households that receive two or more basic services from their district Number of people (disaggregated by sex, age, disability & ethnicity) who give feedback on services received	<i>(Employment Fund Nepal)</i> Number of graduates who report having received satisfactory support for job placement <i>(Enhancing Youth Employment Kosovo)</i> Ratio of youth unemployment rate to overall unemployment rate (baseline: 1.6, target: decrease by 10 % based on labour force survey) (impact) Number of jobs created as a result of investment facilitated by the project (output) Satisfaction of young men and women with skills training offer (outcome)

SDC works a lot on the system's level. Here the impact of projects on the most vulnerable groups is more difficult to measure and monitor, also in terms of social protection measures, for example through strengthening social accountability or creating legal frameworks, such as the comprehensive national social inclusion framework in Albania or the SADC framework on CSTL (Care and Support for Teaching and Learning). Whilst some projects have indicators in place that measure results based on disaggregated data by gender, poverty-status, minority-status, etc. (for example the MASAM project in Mongolia), this is not consistently applied across all projects.

Furthermore, apart from a few exceptions<sup>48</sup>, longer-term impact or country-context data is measured only in those intervention areas where social protection is an integral and recognised part of the intervention, in particular health or micro-insurance. With regards to the other sets of interventions that are usually implemented as a sub-component only or where their value added to social protection is not recognized (typically in the area of governance), impact is fragmented. Moreover, not being recognised as social protection, these measures are often simply not measured or monitored for social protection outcomes and impacts, such as the extent to which they mitigate or prevent risks.

Whilst SDC sets indicators and monitors for overall goals under its programme domains, social protection context results (increase in quality, increase in coverage, etc.) do not tend to be monitored unless being done by partner organisations (for example, UNICEF). Even if data is available through partner organisations or via external audits or mid-term

<sup>48</sup> A tracer study carried out in the context of the Employment Fund in Nepal, for more details see case study on ALPMs (7F06976 / Annex 9.4).



review, they are not generally used for regular monitoring or annual reporting. This tends to reduce the effectiveness of programmes in the long-run, also in terms of allowing for programme adaptations and modifications. Developing a more consistent approach in measuring social protection or, as a minimum improving the reporting on social protection outcomes would allow building a stronger case for social protection within SDC.

### **3.3.3 Potential for scaling up: Sandwich approach and economies of scale through partnerships**

SDC's approaches in social protection appear to follow a certain pattern based on delivering results that simultaneously addresses both the policy and the implementation level. This type of working – combining support for the development of policy frameworks and guidelines around a specific topic while at the same time implementing pilots at the local level that serve as laboratories to develop show-case models for potential scale-up later on – present realistic opportunities for scaling up at country level and also at a regional level, as the regional programmes in Southern Africa impressively show.

#### **Box 5: Scaling up of projects results in the Southern Africa region**

##### **Southern Africa region: Regional Vulnerability Assessment and Analysis (RVAA)**

The programme is implemented in almost all the SADC-members informing about broader approaches to tackling food insecurity including safety nets and social protection. The national Vulnerability Assessment and Analysis (VAAs) reports are based on a commonly agreed methodology and indicators agreed at SADC level which are constantly adapted to new challenges and risks. In this way a comparability of data across regions can be ensured and an RVAA can be carried out. Working in such a way presents also a realistic opportunity for transformative change, because it allows for innovative approaches to be developed and tested on a small-scale to be scaled-up via a set of multiple policy instruments at national or regional level. These instruments typically include national legal frameworks or by-laws which in some cases may also provide financial allocations for the implementation at local level. At regional level, these may take the form of regional strategic frameworks and policies. The establishment of platforms that allow for cross-country learning, exchange and show-case of country specific interventions at local level, are another important mechanism that help to promote scale-up. A regular exchange where countries report on progress made on regional strategies also tends to create a certain peer pressure for countries to implement innovations and comply.

For a small (financial) donor, as SDC, such an approach is also important with regards to economies of scale, i.e. to achieve much with relatively little investments. However, whilst this approach is very successful its effectiveness is only given when both dimensions work efficiently. Where this is not the case, scale-up through ownership is much more difficult to achieve.

With regards to systems strengthening, the component lends itself naturally to contribute to the building of more integrated and coordinated social protection systems, for example through the improvement of quality of public service management, social accountability mechanisms, delivery mechanisms for cash transfers or the development of management information systems. In this area in fact scale-up of achievements and innovative interventions have been most successful, for example, the national scaling-up of one-stop-shops in Mongolia based on a Swiss pilot in a few regions which took place within a few years into programme implementation. This was only possible because the government had developed a national framework for scaling up which also included a clear financing plan.

In terms of partnerships, SDC tends to work closely with government bodies both at national or local level. This collaboration takes place directly or – what seems to be more often the case – in the context of multi-donor trust funds, Sector-Wide Approach (SWAp)



or co-funding mechanisms with other donors (“multi-bi” projects). The close collaboration with government in itself provides an important opportunity for scaling up which – to judge from the qualitative analysis – also tends to be realistic in many cases.

SDC works closely with a range of development partners that can be considered social protection champions, such as DFID, UNICEF or the World Bank. These partnerships are very effective when looking at results achieved. However, as SDC is not considered a social protection player and does not consider itself as one, these partnerships tend to lack strategic direction. In fact, it is often SDC who is chosen as a partner to fill a financing gap rather than because of its technical skills and know-how in the field of social protection or because it is SDC who is actively seeking collaboration in this field. This tends to reduce impacts of SDC’s interventions and its engagement in the field goes unnoticed, reducing it to a project financier rather than an active implementation partner.

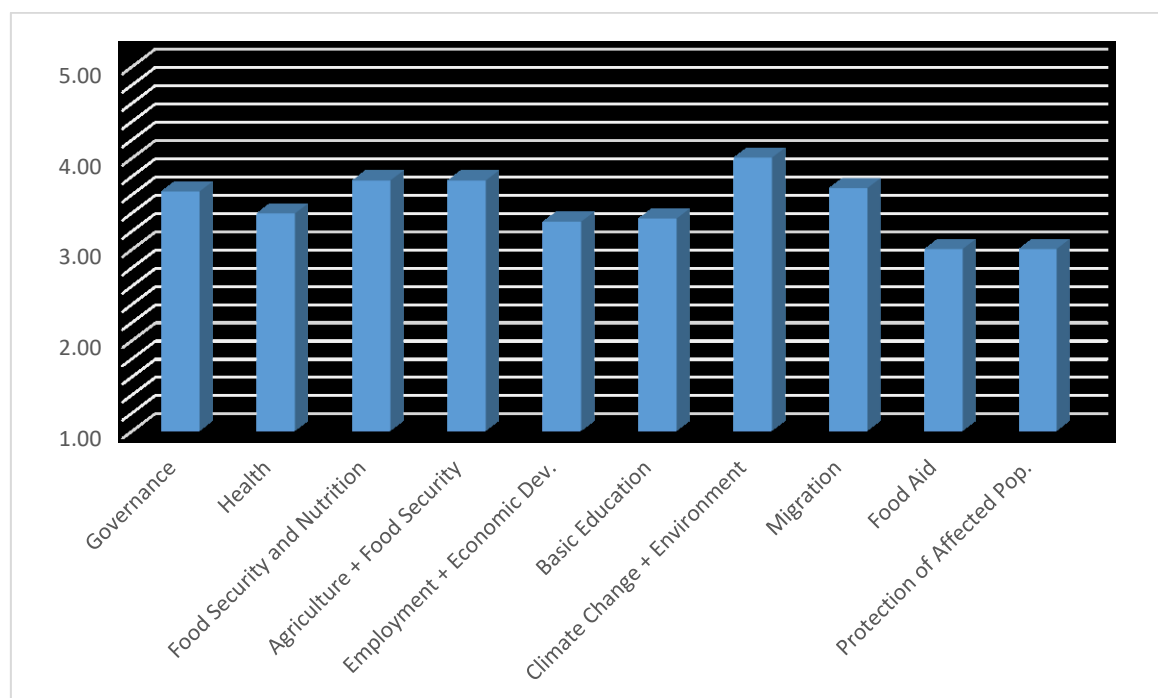
Whilst these partnerships provide an important multiplier for SDC’s intervention the strong dependency of SDC on these partnerships in social protection is also a risk, as donors have different budget requirements, reporting lines, programme durations and shifting national priorities which may undermine the effectiveness of a programme in the long run (for example the Child Protection Fund in Zimbabwe).

### 3.3.4 Maximising development impact through synergies: SDC priority themes, SDC’s use of tools and expertise in social protection

While SDC’s social protection related interventions often do facilitate greater impact of the SDC’s priority themes or overall development objectives (e.g. in particular food security, inclusive growth and poverty reduction, gender equality, resilience, social inclusion and cohesion, local governance reform/ local public services and accountability), this is traditionally in a rather erratic way.

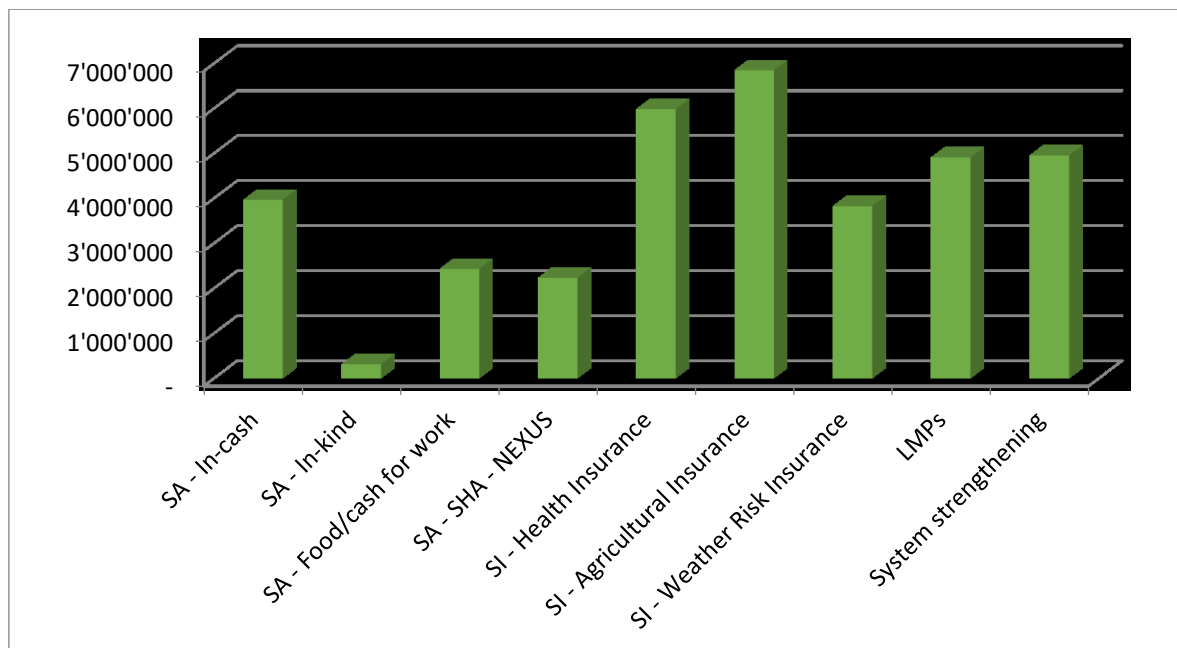
The performance assessment rating of the portfolio does not show a significant variation in terms of project performance on the basis of the SDC priority themes of intervention under which the social protection actions are supported – see Figure 7 below.

**Figure 7: Portfolio performance scores, by SDC priority theme**



Social health insurance is the social protection area where SDC is using its instruments in the most coherent and effective way. This is related to the fact that health is a SDC priority theme which also determines resources and capacity. In terms of technical assistance SDC's most comprehensive expertise and know-how lies with social health insurance.

**Figure 8: Financial volume per social protection focus area, average per project**



In comparison to other intervention areas, health programmes tend to have a much higher financial volume (see Figure 8). It is the only area where budget support is practiced (e.g. Tanzania or Kyrgyzstan). A very popular instrument for SDC in social protection is multi-donor trust funds that are used across many countries and social protection areas of interventions. Health is also the domain where policy dialogue is most often and most coherently used, both at national and global level.

The use of PPDP in social protection is so far limited to micro-insurance and mobile transfer schemes, for example the regional programme MiCRO covering Bolivia, Colombia, Cuba, Haiti, Honduras, Nicaragua and Guatemala. Especially social protection systems with its complex operational and administrative apparatus would provide a range of opportunities for a closer collaboration with the private sector, for example the development of specific software for health insurance, management information systems (MIS), mobile payment devices, or with regards to social marketing strategies and procedures. A promising partnership is with the SCBF, a public-private development partnership set up to assist financial institutions such as insurance companies, microfinance banks, savings and commercial banks, in significantly scaling up their outreach to poor people in developing countries. The SCBF is effectively mobilizing expertise, and producing feasibility studies and relevant evidence on the effectiveness of specific interventions.

With regards to social assistance the SDC has a strong technical know-how as regards to specific operational aspects (e.g. cash transfer programming in a humanitarian context) and in this field is a recognized stakeholder with a certain degree of policy influence at global level. However, beyond that SDC is not actively engaged in a policy dialogue on social protection. In view of the SDC's recent focus to build a humanitarian development nexus and attempts to push a nexus approach at country level, in partner countries, it

would be very important to stronger engage in social protection in a more systematic and strategic way, including also at the policy (dialogue) level: this would not only be beneficial for strengthening the nexus from a humanitarian perspective but also for supporting the social protection cause, which in many countries with a strong dependency on humanitarian assistance, is weak. SDC appears to enjoy a good reputation with government bodies, also at the highest level, for example in Mali where the SDC is building a social protection nexus and policy dialogue.

With regards to other intervention areas, policy dialogue on social protection is often taken over by other development partners with which SDC is working in the context of multi-donor arrangements, such as UNICEF, DFID, or others. This appears to be mainly due to the lack of technical expertise, strategic guidance and capacity constraints on part of SDC to actively and systematically engage in such fora, for example the donor working group on social protection or other national dialogue forums. This limits the extent as to which SDC can influence the social protection agenda and at the same time, the ability of SDC to position itself as a social protection actor, being more often put in a re-active rather than pro-active role when it comes to engage in social protection. This is regrettable as SDC could provide a small but significant lever in strengthening and promoting political commitment for social protection, in particular with regards to its multi-sectorial dimension. Based on its experience and reputation in other sectors, SDC could emphasise the role of social protection as a policy area to link up to in order to strengthen sector outcomes in, for example, food security, resilience or employment and income, to mention a few.

### **3.4 Efficiency**

#### **3.4.1 SDC's portfolio management in social protection**

The portfolio of social protection related projects have, on the whole, been efficiently managed by the SDC and the project implementing partners in order to reach the intended target group of final users/ beneficiaries. Nevertheless, the performance of the portfolio is somewhat mixed in regard to the extent of project efficiency.

A frequent constraint identified across the case study analyses relates to the efficiency of national decision-making processes where this is required at key points (within the implementation process, or in terms of take-up and the institutionalisation of the delivered results). Where delays have occurred in this regard – for example in authorisation for formal start-up of project implementation, or the schedule to launch specific project initiatives or activities, or the formal adoption of new models/ approaches, or the adoption of legislation, or in the provision of national financing, or delayed public procurement – this has affected the wider efficiency of project management and the delivery of specific results as planned. At times this results in a mere delay of delivery of activities benefiting the final beneficiaries, i.e. compared to the intended timeline for achieving results or annual progress targets, rather than the non-delivery of the intended benefits. However, delays linked to the adoption of policy, legislation or regulatory by-law, or in the provision of financing for the scaling up of measures, do have a more severe impact in terms of the efficiency and effectiveness of projects reaching the most vulnerable or excluded persons.

For a minority of the projects, delays in terms of reaching the most vulnerable groups and excluded persons have occurred on the side of the implementing partner(s), e.g. in the context of multi-donor trust funds, where differences can emerge amongst donors as to the approach to be adopted for the delivery of components and/or inter-linkages, or due to the overall slow pace of project implementation that international partners (NGOs or UN-agencies) can at times face due to limited technical capacity of the partner, available for timely provision, in the specific context of the country / region. For a small minority of

projects the efficiency constraints have been due to the partially flawed design of the interventions, or the failure to adequately consider implementation or contextual risks. In the case of insurance related projects, a common efficiency constraint in terms of projects adequately reaching and benefiting the final beneficiaries is the limited financial literacy of the target population, which is not adequately addressed as a key delivery or as a potential risk.

### **3.4.2 The role of Swissness in social protection**

SDC has sought to utilise other Swiss-based actors' expertise and/or to coordinate its social protection programmes/ goals with these partners where relevant, although the overall extent to which this has occurred in practice is somewhat limited.

In the context of a 'Whole of Government Approach', the SDC consults with other federal offices in regard to Swiss international cooperation and development policy. But, as social protection is not a priority development theme for Switzerland to pursue, there is limited necessity for intense or frequent consultation between offices in the area. The SECO largely addresses social protection issues and delivery functions implicitly, e.g. in the context of its supporting public finance reform and budgeting processes of national or local government, which may include specific aspects of social insurance (health or pension financing) systems. At partner country level, the development of synergies and coordination between SDC and SECO, where suitable at the strategic and the project level, is fully considered, and judged by staffs of both offices as efficient in terms of the results and synergy. The HSD and the SEM focus support on preventative/ protective measures linked to conflict transformation and to migration, promoting peaceful resolution of crises, and suitably supporting vulnerable persons and the displaced (internally or migrant) persons in-country/ region. The SDC's collaboration with the HSD and the SEM is primarily in fragile contexts and in humanitarian crisis, linked to the protection and the rights of affected persons, e.g. in the Middle East and North Africa region. Basic social protection is implicit in the wider perspective, not as a specific rights-based issue. SDC has also collaborated closely with SEM in the Western Balkans region, in order to support the extension, scaling-up and continuity of certain projects (e.g. in social housing).

SDC's Swiss NGO programme contribution partners<sup>49</sup> do not directly identify or declare social protection itself as a specific policy goal nor possess policy documents in the area – with partial exception of Fondation Terre des Hommes' focus on the rights of children, including child protection. But, the NGOs do often deliver social protection results implicitly rather than as a primary goal within their programme design, via mechanisms to promote the social and economic opportunities, social inclusion and well-being of the poorest or marginalised persons, e.g. skills development or local economic/ job initiatives targeted to disadvantaged groups, including minorities, or protection actions in humanitarian context. Linked to the social protection portfolio Swiss NGOs and research institutes are involved as the implementing partner or as a project partner in 17 of the projects<sup>50</sup>. The average performance score rating for these projects is 3.8 (on a scale of 1 to 5), i.e. overall good.

In regards of the mobilisation of Swiss private sector partners/ actors, while Switzerland is recognised for its insurance/ re-insurance expertise, this is only partially deployed in the SDC's social insurance portfolio. Swiss private sector partners are involved in 14 of the projects. The most mentioned partner is Swiss RE, other partners are the SCBF (Swiss Capacity Building Facility), the SMCG (Swiss Micro Insurance Consultancy Group), SMH

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<sup>49</sup> The evaluation has primarily reviewed the focus of the following Swiss NGOs in detail: Fondation Terre des Hommes (TdHL), Helvetas, Caritas Switzerland, HEKS/EPER, Solidar Suisse, and the Swiss Red Cross.

<sup>50</sup> Via mandates, e.g. Swisscontact, HEKS, Helvetas, TdHL, and Swiss TPH, as partners on projects, e.g. the University of Zurich, Swiss Labour Assistance (SAH), Swiss Solidarity (Glückskette)

(Swiss Microfinance Holding), sarmap SA (a Swiss-based technology company providing remote sensing technology), and the Syngenta Foundation. The average performance score rating for these projects is 3.3 (on a scale of 1 to 5), i.e. overall adequate.

### **3.4.3 SDC institutional and operational processes and social protection**

SDC's management procedures and approaches have generally been conducive to supporting the efficient implementation and delivery of the social protection projects.

Due to the longer-term planning perspective that the SDC traditionally follows in its development projects, most projects are implemented with long-standing partners (government and other donors, or NGOs). Overall this ensures that SDC can build strong and collaborative relationships that allow for the efficient and timely steering and adaptation of project perspectives based on opportunities or risks, as well as periodic results-based assessment reviews of projects.

The longer-term presence of the SDC in partner countries is also vital for developing partnerships with the national/ local authorities, and with local service providers. This is important to implement appropriate context-based solutions and to ensure that sustainable structures are in place, as well as to strengthen the extent and breadth of ownership and political will for the adoption, continuation/ extension of project approaches and the delivery of sustainable results. However, while the strong focus on support to capacity and systems strengthening is essential to promoting systemic changes that impact on citizens in the country/ region, this does entail the increased risk that delays in national decision-making processes can negatively affect project and results efficiency. In this regard, the SDC's traditionally limited role at country level in terms of its engagement via policy dialogue or in terms of donor coordination linked to social protection related issues at the wider policy level can also limit the overall efficiency of its specific portfolio.

Recognising the SDC's cash transfer expertise in humanitarian aid contexts, the SDC has efficiently and effectively focused its available technical expertise via the secondment of staff to international partners, notably UN-agencies such as the WFP. This suitably blends the SDC's stock of human resource expertise with the financial means of the WFP and other donors that take on responsibility to directly finance in-kind or in-cash transfers.

In terms of capacity development and strengthening in the field of social protection during the period of 2013-2017, the extent of support or guidance available to SDC staff within the organisation linked to SDC's engagement on issues of social protection was minimal. Nevertheless, a range of briefing papers on different aspects of development policy and poverty reduction were/ are now available in the SDC, which in part address certain goals of relevance to social protection, e.g. cash transfer payments, insurance for smallholder farmers and vulnerable households against catastrophic events, inclusive local governance for poverty reduction, social protection and migration and Agenda 2030, plus the IDS/SDC (2016) Briefing Notes and the SDC (2017) Issue Paper on social protection.

During 2018, the SDC undertook the preparation of specific guidance on the Agenda 2030 concept of 'Leave no One Behind', highlighting the OECD-DAC multi-dimensional poverty framework that the SDC applies: economic, human, political, socio-cultural, and protective dimensions of poverty. The guidance also details issues of inclusion, vulnerability, equality, and equity. A series of thematic working aids on 'LNOB' in practice were also prepared addressing an initial range of the SDC's thematic domains: Agriculture & Food Security; Decentralization & Local Governance Education; Employment & Income; Health. No guidance document on social protection is foreseen, although it is mentioned as a key dimension in the overall document/ guidance on the Agenda 2030 concept of 'LNOB'.

Based on feedbacks received from SDC staff (at HQ and Embassy/COOFs), it was indicated that issues of social protection are partially, but not frequently, considered within the context of the SDC Thematic Networks, largely driven by the demand of participants, but that social protection, as a topic, is not anchored within the context of the Networks.

### **3.5 Sustainability**

#### **3.5.1 Modular approach and systems strengthening**

SDC's strategies tend to take a systemic and comprehensive approach aiming at long-term and sustainable solutions to development challenges. Interventions in social protection tend to be conceived of as being part of this solution, in particular at country level where social protection is considered one of the measures in a network of policies and measures to strengthen sustainable development outcomes, for example in the field of agriculture and food security, employment and income or disaster risk management.

This is encouraging but often too little to make a sustainable impact. It needs at least a component to get somewhere. The fact that social protection is thus usually not a major component but one measure that is accompanying others implies, however, a limitation to social protection's contribution to sustainable long-term solutions. This is not the case for social health insurance for which the SDC has a clear mandate, human capacity and expertise in developing and implementing long-term solutions in social protection with a strong emphasis on strengthening ownership through policy dialogue.

In regards to system strengthening, SDC's interventions in many countries are very successful in contributing to more resilient, efficient and effective social protection schemes through for example, big data for vulnerability assessment in Southern Africa (VAA), or the development of IMIS in Tanzania. Although interventions are often highly specialised to specific operational programme aspects, they prove to have a long-term impact. SDC's approach of working at the local delivery level, while simultaneously intervening at national level supporting government in developing policy strategies or national frameworks ("sandwich-approach"), provides another important potential entry-point for ensuring greater political ownership and financial and political sustainability.

Whilst the interventions in social assistance so far are rather limited, the nexus approach provides a potential platform to promote stronger engagement in the topic on a more sustainable basis. SDC is a recognized player in cash transfer programming and is also engaged in policy dialogue at a global level (notably via CaLP).

In terms of its partnerships SDC is well connected to a range of other donors with a much broader financial portfolio in social protection. This represents an important multiplier for SDC in terms of creating sustainable solutions by pooling financial resources, know-how and political influence. However, these partnerships are not always stable, as partners tend to have different budget and reporting lines, different project cycles and may change their priorities overall with negative consequences for project outcomes/ achievements.

From the qualitative analysis it is evident that the SDC is very successful in contributing to innovative approaches in key dimensions of social protection aiming at preventing and mitigating risks of future economic, social, political or climate-induced crisis – in the context of themes, such as governance or agriculture and food security. A range of projects report on these impacts: for example, the R4 project in Southern Africa shows that farmers, who have been insured via the insurance mechanisms offered by the projects, were effectively able to better mitigate the climate shock both on an individual level, i.e. food intake, and on the productive level. The programme on Community Health Funds in Tanzania shows that insured people were able to reduce significantly their out-

of-pocket expenditure to access/ utilise health services. Complementary measures that support vulnerable groups to gain access to meaningful employment provide an important aspect in preventing people from falling into poverty, contributing to their social inclusion, social cohesion, plus their empowerment (for example the Employment Fund in Nepal).

Engaging in a more systematic and comprehensive way in social protection would clearly increase the impact on reducing and preventing future risks and contribute to a more sustainable development approach. In some countries this will also mean stronger engagement between development cooperation and the humanitarian arm of the SDC in order to develop complementary solutions in the context of a nexus-approach. For the time being, and in order to get a more realistic picture of the extent to which SDC's social protection interventions contribute to risk prevention and mitigation, embarking on a more systematic way of measuring, monitoring and reporting on outputs, outcomes and impacts on social protection at project level, and possibly at country level, would already help a lot.

### **3.5.2 If you want to go far go slow and be innovative**

SDC usually takes a long-term approach in programme implementation (10 -15 years). This also holds for the social protection interventions which mostly run over two or three phases. This long-term approach is an important lever to create sustainability beyond the end of SDC support as it allows political commitment, ownership and capacity to evolve. In this regard the SDC's approach in terms of simultaneous ways of working at both the implementation (service delivery and take-up) and the policy level as a way to create sustainability appears to be very effective, also at the regional level, for example in the context of the Southern Africa Region where SADC provides an important political arena for developing regional policies that are then implemented across its Member States.

SDC is recognized as a small but innovative donor ("mind-changer"). In the area of social protection, SDC is implementing or supporting programmes that work on very specific aspects of social protection systems and their operations, such as the nexus, electronic cash transfer modalities, local social accountability mechanism or big data management. These systems building aspects imply a sustainability dimension as they provide a systemic input that renders actions more efficient and effective, also in terms of making interventions more cost-efficient and simpler to implement, enabling greater sustainability.

With regards to its engagement in policy dialogue in social protection, the analysis shows that the direct engagement of SDC strongly varies from one type of intervention to the other. Looking across the different intervention areas, it appears that this is also related to the varying degree of expertise and know-how SDC has in the respective social protection fields<sup>51</sup>.

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<sup>51</sup> In the area of health where SDC has a lot of expertise, it is strongly engaged in policy dialogue and is a recognized player at national and global level. As to the other types of social protection intervention areas, this is less the case.

## 4 Lessons learned

### 4.1 Factors contributing to or hindering results achievement

The following issues are highlighted in regards to factors influencing results achievement.

#### Contributing factors:

- SDC has a lot of experiences and skills in social protection and is actively contributing towards improving and strengthening social protection schemes with its different sets of instruments across various countries and regions. The knowledge and experience clearly varies from one area to the other. The expertise in the area of social insurance – both social health protection and micro-insurance – is for example much wider than in the area of social assistance. Overall however, SDC has a good knowledge base and expertise to build on, especially at decentral project and country level.
- The fact that SDC is strongly involved in co-financing of multilateral projects at country level (“multi-bi projects”)<sup>52</sup> in which SDC is usually in a financing position enables SDC to indirectly acquire this missing know-how through donors and international organisations considered to be development champions in this area, e.g. World Bank, UNICEF or DFID.
- The adaptive organisational structure of SDC with its strong decentralised character allows for a lot of flexibility in programme planning and implementation also beyond priority themes. This makes SDC a very flexible donor with a great openness towards new topics. This also holds for social protection: within the global programmes and the priority thematic domains (in particular DDLG/governance, employment and income, vocational skills development, health, food security and nutrition), but in particular at country level, there is a lot of openness towards the topic which is also reflected in size of SDC’s social protection portfolio which – being an organisation that does not have social protection as a priority or transversal theme – is quite vast.
- The 2030 Agenda constitutes an overarching framework for Switzerland’s international cooperation and its national policies. SDC is currently engaged in mainstreaming the targets of the Agenda 2030 in its workflows, for example the LNOB guidance. It is within this context that there is an increasing realisation that social protection as a topic is a key element for achieving the Agenda 2030 goals.
- SDC’s interventions in social protection are often considered as being highly innovative (mind-changer) by its social protection partners at country level. The lab-approach that enables to test different innovative solutions before going to national scale turns out to be very useful in this. The interventions might be small in terms of investments or addressing only a specific operational or administrative aspect – usually only a component or part of a component - but can produce great outcome and impact in terms of increasing the efficiency and effectiveness of social protection delivery systems.

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<sup>52</sup> Switzerland finances so-called “multi-bi” projects, which are paid with bilateral funds, implemented by a multilateral organisation and complemented by bilateral projects in a Swiss priority country or region. Multi-bi projects provide the opportunity to actively exchange experiences between Switzerland and multilateral organisations, and make use of Swiss expertise, scale-up best practice and influence global policies.



### **Hindering factors:**

- Whilst SDC produces a lot of positive social protection outputs, outcomes and impact, these are often “hidden” in other intervention areas and priority themes and are often not even recognised as such unless looked upon through a “social protection” lens. This produces effectiveness and sustainability by accident rather than through management for results.
- The fact that SDC has no common notion or basic framework of social protection is a major hindering factor for SDC to engage in a more strategic and systematic way in the topic and further enhance its impacts. SDC does engage in social protection by accident but not by design.
- Switzerland has a lot of technical know-how and expertise with regards to specific social protection domains, such as health or very specific operational aspects, such as cash based programming where SDC has an expert pool that is seconded to a wide variety of international humanitarian organisation<sup>53</sup> to support them in these aspects. This knowledge and expertise tends to be very technical and often confined to very specific aspects while more conceptual and systemic knowledge on social protection as a policy field and as to how it may interlink with other development fields is missing. This tends to limit the effectiveness and sustainability of SDC’s social protection interventions, because SDC is not in a position to plan or implement more strategically. It also reduces the capacity of identifying potential synergies with other projects and themes in the area of social protection.
- The lack of capacity implies that SDC – while taking part in social protection projects – is not in the position to influence and participate in the policy dialogue of social protection at country and global level to the extent as it does with other topics. This also reduces the use of Swiss expertise in this context.
- There is a growing interest from the humanitarian assistance towards stronger integrating short-term humanitarian aid with long-term social protection measures. However, their communication with the development arm with regards to this nexus or new ways of working is only just starting, at least at headquarter level. Whilst at country level there are already concrete attempts under way to stronger align and integrate approaches, at headquarter level the dialogue is still in the beginning and still lacks a vision for further collaboration.
- Humanitarian aid has a lot to offer in terms of expertise for development aid to stronger engage in the topic. There are high expectations towards a stronger alignment of both sectors from their side. However, there appears to be little reflection within the humanitarian assistance arm as to how humanitarian aid itself may more effectively/ strongly contribute to the creation of long-term solutions in the form of a stable social protection scheme. Especially in fragile contexts where crisis are protracted and where social protection schemes are only beginning to emerge covering only a small fraction of the population, this hinders the creation of stronger synergies between the development and the humanitarian aid arm.
- SAP data sheets are still structured based on the MDG framework. It does not mention SDGs so far, which would also facilitate to make the link to social protection (as part of SDG 1, SDG 2, SDG 3, SDG 5, SDG 8 and SDG 10 and 16).

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<sup>53</sup> In our portfolio the following secondment projects are included: 7F07650, 7F08304, 7F08594, 7F08789, 7F09373, 7F09529

## 5 Conclusions

### 5.1 SDC Policies, Strategies, Programmes/Projects, and Partnerships

The SDC is utilising social protection as an effective and relevant modality to contribute to its core mandate of reducing poverty and inequalities, strengthening economic growth, tackling global risks, saving lives and alleviating suffering. The evaluation has identified 87 projects supported by SDC during the period 2013-2017 containing a social protection focus within the overall project scope. Social protection interventions within SDC are focused in the areas of system strengthening, social insurance (social health insurance and weather induced or agricultural micro-insurance), and social assistance (cash transfers and public works), to a lesser extent as labour market policies.

Projects are undertaken across the SDC organisation (Departments and Divisions), at both project and programme level, including global initiatives, via both development cooperation and humanitarian aid. The social protection portfolio is undertaken within the context of many of SDC's priority themes, but is primarily addressed in the context of: Governance; Food Security; Health; Employment and Economic Development. For the majority of projects the strengthening of social protection is not the principal focus but is a part of the overall measures that are being carried out aiming at a broader goal.

The evaluation findings indicate that social protection within SDC may best be conceptualised as an important stand-alone topic in development with a strong cross-sectorial potential. It is an important mechanism to tackle the structural causes of poverty, exclusion and inequality, thereby contributing to broad-based, inclusive growth in line with the 2030 Agenda core principle of 'Leave No One Behind'. Social protection mechanisms are an important tool for health and well-being across the lifecycle, they have a key role for strengthening food security and nutrition and for increasing resilience of peoples' livelihoods and shock responsiveness in the context of increasing climate risks.

Whereas a multi-sectorial approach to social protection that identifies and maximises its linkages to other sector outcomes is a relevant approach, working across sectors does require an integrated and systemic approach to social protection that allows for the progressive strengthening of social protection structures and mechanisms in a coherent, efficient manner. While SDC has over the recent years prepared internal papers reviewing and reflecting on SDC's engagement in the area, the evaluation findings indicate that SDC currently lacks an integrated and systemic approach to social protection as a topic.

Overall, the projects are suitably designed, internally coherent and appropriate for achieving the intended project specific results. The projects are traditionally clearly defined in terms of the identification of the development needs/ challenges to be targeted, the results to be achieved, key partners, stakeholders and final beneficiary target groups. In ten partner countries, plus in the Southern Africa region, SDC's social protection (2013-2017) portfolio includes 3 to 4 projects, in Bangladesh the portfolio extends to 6 projects. However, the extent to which the portfolio of actions in these countries is internally coherent is not strong. Internal coherency of the portfolio of actions, also by linking up to SDC's global programmes, is strongest in regard to the social health insurance.

In terms of outputs and outcomes, SDC's engagement in social protection can be considered successful, but with clear potential for improvement: the mean performance assessment rating for the portfolio is 3.52 (on a scale of 1 "unacceptable" to 5 "excellent").

Measures contribute – directly and indirectly – to increasing coverage of social protection mechanisms, increase quality of services provided, enhancing livelihoods and improving the efficiency and effectiveness of administrative and delivery systems. With the exception

of social health insurance and – though to a much lesser extent – micro-insurance, and in the absence of any clear strategic orientation in the form of a policy frame or guidance document, most of these social protection outcomes are achieved as a non-specified result or by-product within the wider context of projects rather than by design. The lack of a systematic, coherent and aligned approach to supporting social protection interventions reduces the impact, efficiency and sustainability of SDC's social protection interventions.

The priorities, constraints and needs of social protection vary according to the country context and require appropriately adapted solutions. Although being a “player by accident” rather than by strategy, SDC is well equipped to address a variety of issues and challenges: SDC has over the years acquired experience in a range of areas in social protection. It is a highly reputable player in the field of social insurance, in particular health and agricultural micro-insurance. It has long-standing knowledge and experiences with regards to operational aspects in delivering social assistance mechanisms, for example cash transfer programming or grievance and redress mechanisms/social accountability. It engages in systems strengthening/ governance aspects, including MIS, software development for managing social protection data base. SDC's focus in addressing and strengthening local delivery mechanisms of social protection, also by including non-state actors shows a strong affinity to the decentralised character of the Swiss welfare scheme with its highly decentralised and localised solutions, as does the strong focus on strengthening transparency and participatory citizen's engagement that is also visible across SDC's interventions in social protection. The focus on an integration of a mixed system with a strong role for private actors is most obvious in SDC's micro-insurance area where collaboration with commercial insurers at project level and Swiss commercial insurers through their advisory role at SDC HQ-level takes place (e.g. Swiss Re).

SDC's approach at country or regional level is commonly based on a parallel approach which combines interventions at the national policy level with interventions at the local implementation level (front-line services). This mixed approach is highly efficient while at the same time good value for money especially for a small donor like SDC. A precondition for this approach to work is that interventions at both levels are well aligned and effective. Social protection programmes and policies should ideally be comprehensive in nature and designed and implemented according to the country-specific context and together with national governments. In this manner, sustainability and effectiveness of programmes can be ensured, as well as ownership and political commitment at national and regional level. Against this background SDC with its long-term approach and its way of working simultaneously, both at local-delivery and policy level is very well placed to create long-term impact. However, this can only be achieved if there is a close and coordinated approach with other stakeholders and development partners active in social protection at national, regional and global level, as well as policy dialogue with partners in the area at a strategic level. Whilst this tends to work well in the context of health, where SDC has an excellent know-how and expertise to engage in a close policy dialogue at national, regional and global level, this is not the case across all the social protection areas and much less in social assistance. In the context of multi-bilateral projects this may to a certain extent be compensated for by other donors well versed in social protection. However, a lack of engagement in policy dialogue may lead to uncoordinated approaches that focus too much on technical issues without creating political ownership and sustainability over time.

Against the background of a dramatic increase of funding requirements for humanitarian aid in the context of increasingly protracted crisis situations and the need to maximise humanitarian-development aid linkages by working towards collective outcomes, social protection is increasingly being discussed by the Swiss humanitarian arm which aims at a

stronger cooperation with the development arm on this topic. SDC's humanitarian arm has a lot of experience in the field of cash transfer programming in a humanitarian context and is increasingly seeking ways to develop so-called adaptive and shock-responsive social protection measures that require a close collaboration (nexus) between institutionalised social protection measures aiming at protecting people against transitory and structural social and economic vulnerabilities and short-term measures aiming at alleviating short-term vulnerabilities. Whilst SDC's expertise in cash transfer programming has so far been mainly confined to supporting international organisations, its support is increasingly requested also in working towards adaptive and shock-responsive social protection programmes. Internally however, the dialogue between the humanitarian and the development parts of SDC in developing a common approach towards strengthening social protection and better linking short-term and long-term solutions for support, in particular in fragile contexts has only just started. At country and project level, the integration of humanitarian and development aid aiming at a stronger alignment of responses seems to be easier than at the conceptual level. However, also here the nexus is only developing slowly and only confined to some countries so far.

In order to be able to engage in a closer active collaboration, there is need to establish social protection as an independent topic of development within SDC. Whilst the form in which this may take place may vary (three scenario options are presented, see Recommendation 1), there is an urgent need to building a better and clearer understanding and vision of the role of social protection in achieving SDC's overall goals and the way it may enhance and promote other development themes' outcomes. This dialogue around the development of a basic social protection framework and strategy would also need to include a definition of priority intervention areas and themes to which social protection in SDC should specifically link up to.

## **5.2 SDC Institutional and Operational Approaches, Instruments and Processes**

Looking at the toolbox of SDC instruments available for the delivery of its support, the available instruments overall are relevant to support social protection needs. However, with the exception of social health insurance, there is no balanced and coherent use of the tools. Whilst there is a strong focus on technical and financial support, including an appropriately strong focus on capacity development, the level of SDC's engagement with the private sector is still relatively under-developed, while policy dialogue on social protection, with a few exceptions, is weak in most cases. A more balanced use of tools is necessary to build SDC's leverage in the area, and to increase impact and sustainability. Closer engagement via policy dialogue would allow SDC to better position itself as a social protection player at regional and global level and bring in its specific Swiss know-how and expertise and in a more systematic way thereby also gaining visibility and profile.

SDC's approaches in social protection are considered having a strong innovative potential by partner organisations and donors. SDC's lab-approach of testing different delivery options at local level before going into scale-up underpins this innovative character. However, the know-how and expertise generated often remains "hidden" in sectors and themes, as it is not recognised as contributing to social protection. This is partly due to the fact that knowledge and expertise in social protection within SDC tends to be very technical and often confined to very specific operational aspects while lacking the systemic knowledge and overview on social protection and the way it is working as a policy field. This tends to limit the effectiveness and sustainability of SDC's social protection interventions, because SDC is not in a position to plan or implement more strategically and steer processes. It also reduces the capacity of identifying potential synergies with other projects and themes in the area of social protection – with exception

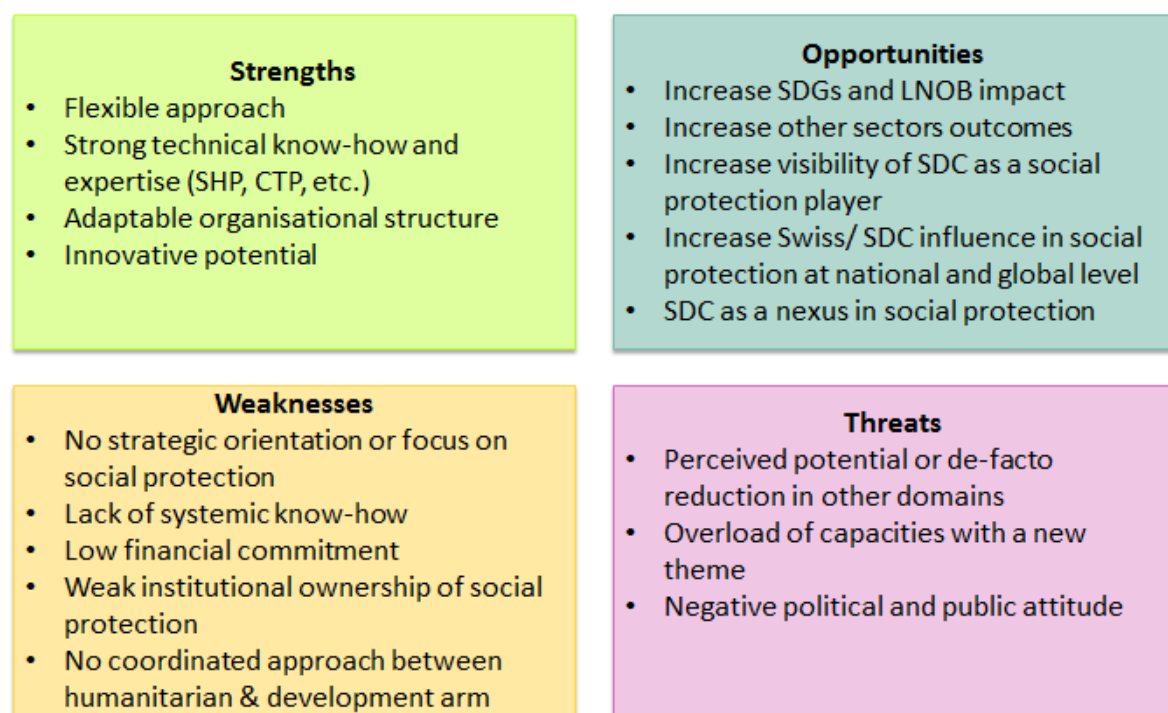
of health, where it is very efficiently practised in the area through regional health advisors who act as an interface between bilateral and global programmes in health. However, this would require human resources and more capacities within SDC on social protection.

SDC over the last years has refocused its monitoring on measuring for results. This does however, not include social protection. Despite its broad reported impact and the wide range of activities that SDC is supporting in the context of social protection, the fact that it is not a recognised development topic implies that results in social protection are largely not monitored or reported on. Outputs and outcomes largely go unnoticed, especially as they are under other themes and sectors. Where SDC is reporting on social protection indicators these are mostly input and output but rarely process indicators. Where SDC works with other donors, it tends to report on progress in social protection using other donors' tools and indicators, but this could be enhanced and done in a more systematic way by SDC.

As social protection is not a development theme, there is also no knowledge hub or learning material available for SDC staff to exchange and learn from. At country level project staff is usually too busy to engage in social protection learning although a learning need has been expressed during the evaluation. Where SDC is engaged in multilateral donor funds on social protection there is "learning by doing" going on, i.e. through the reading of project documents or the participation in donor working groups. A more structured offer of learning materials for social protection, mainly tools that allow for self-learning, would be a great asset in order to strengthen the capacity of SDC staff on the topic. Whilst there is a range of existing online-learning tools that could be tapped into, it would be necessary to develop some practical guidance notes on social protection within SDC. Beyond that it would be important to provide a knowledge hub where SDC staff and officers, when needed, may access up-to-date knowledge and receive advice.

### 5.3 SDC's engagement in social protection – overall SWOT analysis

**Figure 9: SDC's current engagement in social protection – SWOT analysis**



## 6 Recommendations

On the basis of the evaluation findings, lessons learned and conclusions, ten recommendations are made to the SDC regarding its engagement in social protection. These are sub-divided from a strategic and an operational point of view.

### 6.1 SDC Policies, Strategies, Programmes/Projects, and Partnerships

#### **Recommendation 1: Enhance the engagement in social protection**

In its projects and programmes as well as with regards to its international partnerships, SDC has a solid basis in social protection, both in terms of presence in the field and know-how and expertise on which to build and expand upon. This richness of expertise and know-how provides a widely unexplored opportunity for SDC to strengthen and enhance its current development portfolio and support partner countries in contributing to the SDGs and leaving no-one behind. Evidence suggests that SDC's engagement in social protection provides an important set of complementary interventions that help enhancing and maximizing outcomes in existing development fields, including governance, health, food security and agriculture, employment and economic development, migration, resilience and disaster risk reduction (DRR), education/vocational skills training. Taking a more systematic approach towards social protection than has been done so far, may enhance these impacts further providing a valuable input to achieving SDC's overall development goals as set out in the Dispatch and increase SDC's visibility with regards to social protection in its partner countries as well as at international level.

Various options exist, with three scenarios/ options outlined below for potential orientation.

#### **Scenario 1: Leave it the way it is (with some slight changes)**

Based on the work of the internal working group and the results of the evaluation, there is an increased awareness and sensibility concerning social protection, in particular with project and programme managers, who have been more closely involved in the process. Beyond that, SDC continues its engagement on social protection as usual, mainly at a decentral level. Activities are implemented across the four areas of intervention (social insurance, social assistance, LMP and system strengthening), mainly in governance, food security/ agriculture, health and employment and economic development. It continues its engagement with regards to the nexus approach and the development of adaptive social protection approaches. Social protection is being referred to here and there in country and sector strategies as well as policy papers, including the LNOB framework, but beyond that no systematic approach exists. Social protection largely remains a topic which is linked to the personal interest and endeavour of individuals within the organisation, including the social protection working group without any or little institutional embedding.

#### **Scenario 2: Making it important without being a priority theme**

Social protection in SDC is not a priority theme, but is implemented in a more systematic way: The SDC internal working group on social protection develops a set of guidance documents and capacity material for social protection. This includes thematic policy briefs that define the role of social protection in relation to selected priority themes (governance, food and agriculture, health and employment and economic development) and a guidance document on basic indicators for social protection in order to better measure and monitor social protection outcomes and provide information for improved planning at project/programme level. Also, SDC writes a policy document, which sets out the basic approach of SDC towards social protection. This allows implementing social protection in a more systematic way building in existing programmes, complementing existing programmes etc. Social protection is established as a permanent topic in the context of one of the existing thematic networks. Prioritised networks where social protection could

be hosted include governance, gender, conflict and human rights, and poverty<sup>54</sup> or agriculture and food security, climate change and DRR. A learning partnership with an external knowledge hub on social protection is supporting the thematic network to provide advice and evidence around social protection. The Shareweb on poverty well-being is renamed to include social protection. It is used as a web-portal for storing strategic papers, guidance tools and learning material on social protection. The increased role of social protection also contributes positively to SDC's engagement in the international partnerships concerned with social protection, including CaLP and the Grand Bargain.

### **Scenario 3: Make it a priority theme**

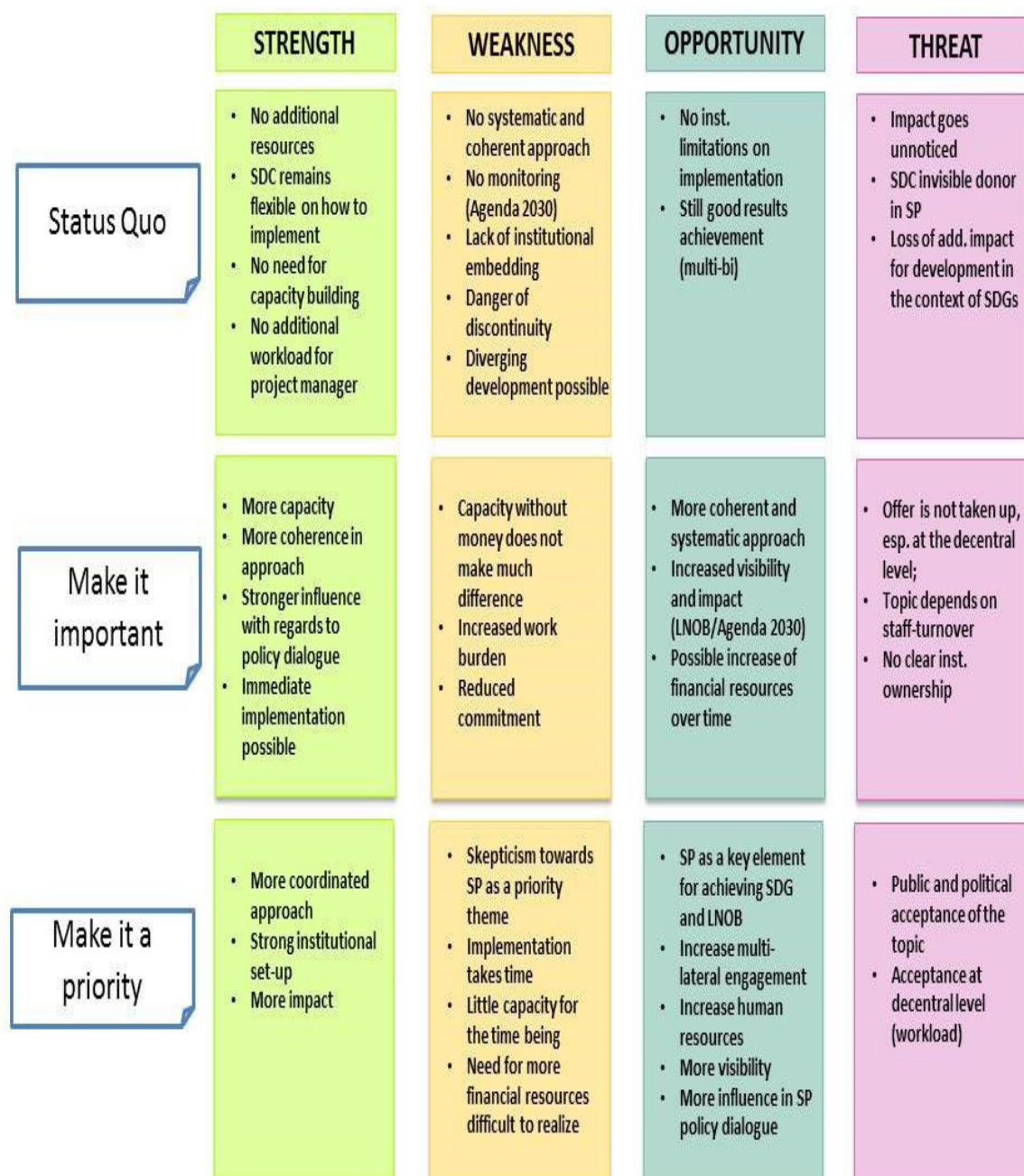
Social protection is upgraded to a priority theme. This implies an increase in financial and human resources in order to invest in and implement more social protection programmes. A thematic network for social protection is established with at least one resource person (similar to a focal point of a thematic network) who pro-actively advises SDC staff in the domain and at the same time ensures the technical quality of SDC operations and policy dialogue. The person also provides strategic advice to the directorate. Standardised processes and products in social protection are being developed on which project managers are planning and reporting on, both in the context of annual country/project reports or country strategies/programmes.

This also includes the development of a set of indicators. An SDC strategy on social protection is developed as well as thematic papers on specific sub-topics (e.g. cash transfers, targeting approaches, etc.), in order to support project implementation and policy dialogue. SDC is funding specific programmes on social protection. SDC is a recognised international player in the area of social protection and shows strong presence in the international fora (including SPIAC-B) as well as increases its influence in already existing global partnerships such as P4H, or CaLP, or Grand Bargain.

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<sup>54</sup> SDC is currently discussing a reform of its thematic networks in order to increase exchange and dialogue between the various networks with the aim to be in a better position to address increasingly complex development challenges. Governance, gender, conflict and human rights, and poverty in this scenario would be clustered in the white cluster; agriculture and food security, climate change and DRR in the green cluster.

**Figure 10: Enhancing SDC's engagement on social protection – SWOT analysis**



The scenarios should not be understood as mutually exclusive but rather as increasing levels of engagement. In this respect, the different scenarios may also be understood as a process/continuum that involves different stages that are building upon each other. Whilst the status-quo in the view of the evaluation team is basically achieved, the development of a set of indicators to better be able to measure and monitor social protection outcomes in a more systematic way than this evaluation was able to do may provide an important evidence base to underpin an enhanced engagement in social protection in the future.

Not further engaging in social protection at all would clearly mean a missed opportunity for SDC. One, from an institutional point of view: Though under the radar, social protection is already part of its development agenda and shows good results, in particular at project



and programme level. Strengthening what is there and applying it in more systematic way would not necessarily imply big changes (also with regards to additional resources) but would make a big difference at the outcome level. Two, from a political point of view: Beyond the Agenda 2030, in an increasingly socially and economically volatile world, there is a clear need to invest in social protection in order to enable people to live in peace and prosper without having to look for economic opportunities elsewhere. Sharing our wealth and addressing income inequality is not only important for developing countries but increasingly at a global level if societies wish to remain peaceful and prosperous. Three, there is a clear business case for focusing on social protection (see section 2): social protection has shown to reduce inequalities and strengthen inclusive and sustainable growth. It strengthens and enhances social and economic development and has positive outcomes on many dimensions of development whilst providing good value for money.

### **Recommendation 2: Develop guidance documents for social protection**

The development of a basic social protection framework that summarizes and sets out SDC's understanding of social protection in development is key in order to provide conceptual and strategic guidance for a more structured engagement of SDC in social protection by setting out the most important signposts for SDC to better frame and motivate its engagement in social protection internally and externally. Such a guidance document shall also define priority themes for a stronger engagement in social protection, as well as possibly also countries and regions and possibly also social protection areas of intervention (social insurance, social assistance, systems building or LMPs). Such a framework would also need to refer to the linkages between humanitarian aid and the development arm. Having a basic common understanding of the topic would also facilitate SDC's engagement in the political dialogue at national and international level and in positioning itself as a social protection player, thereby also gaining more visibility.

Understanding social protection as a complementary set of measures to foster and enhance linkages to other sectors implies that pathways and impacts, including the use of instruments, differ from one field to the other, for example between food security and employment and income. Measures taken may also differ between programme and project level. In order for SDC staff to better understand the potential role social protection may have in maximising other sector outcomes and being able to operationalise and implement this approach, we recommend the development of short policy briefs that explain the most common pathways as to how social protection is linked to other priority themes and the impact it may produce and by which means (e.g. the most common intervention areas). The short guidance notes (max. 2 pages) shall support the implementing structure in the formulation of credit proposals by providing basic arguments and possibly also concrete examples and promising practices.

The CLP or the internal working group on social protection under the guidance of the poverty desk may be best equipped to engage in such a dialogue. The participation of decentral implementation structures as a sounding board in the development of a social protection framework would be advisable.

### **Recommendation 3: Identify priority themes for SDC's engagement linked to social protection**

The notion of social protection as an independent policy field of intervention that fosters and enhances other sector outcomes automatically raises the question as to the type of

priority themes that should SDC aim at. Based on the quantitative and qualitative analysis of SDC's social protection portfolio and taking into consideration Agenda 2030 and 'Leave No One Behind' the evaluation team recommends the following themes:

- Governance (SDG 8 and 16)
- Food and agriculture/rural development (SDG 1, 2 and 5)
- Health and well-being (SDG 3 and 5)
- Employment and economic development (SDG 1, 5, 8 and 10);

In these areas, SDC has a solid basis of social protection activities and expertise on which to build on. This list is by no means closed but is understood as a good start. Other potential areas in terms of presence in the field, expertise and relevance are migration, climate change and DRR as well as education and vocational training.

#### **Recommendation 4: Capacity development in social protection**

In order to strengthen social protection within SDC, a capacity development and learning package is needed. We propose a three-pronged approach: (1) Establishment of an online platform (e.g. share-web poverty well-being) where different, already existing online learning tools on social protection are being made available; (2) Integration of a module on social protection in Swiss capacity development formats for SDC staff at headquarters and country level that links social protection to the SDC/Swiss context and logic; (3) Occasional learning events at SDC headquarters and country level to allow for exchange of experiences and provide opportunities for knowledge sharing and learning within and outside SDC.

The establishment of a thematic network or unit where project officers can seek technical advice in order to be able to stronger integrate the topic into their work and create productive synergies with other themes would be very helpful. This could be a separate unit or thematic network "social protection" but may also be institutionalised as a component of an already existing thematic network, in particular governance, gender, conflict and human rights, and poverty or agriculture and food security, climate change and DRR.

#### **Recommendation 5: Develop a nexus in social protection**

*"It is important to have a long-term perspective in order to be able to work efficiently in the short-term"*<sup>55</sup>

Enhance the existing internal dialogue between DC and HA with the aim to develop a common vision on how to better link and strengthen long-term and short-term approaches in the context of an integrated social protection approach. Based on a common vision and identified goals a guided process (for example theory of change approach) could help to identify the necessary steps and conditions needed in order to achieve the common objective and make it work. Such a common approach could then be tested at the local country level where integration and alignment currently appears to be easier than at the institutional level. Developing a common vision first would also help to move away from the strong institutional barriers (e.g. established institutional frameworks and processes, monitoring, finances and human capacities) that appear to provide an insurmountable

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<sup>55</sup> Senior SDC programme officer seconded to World Food Programme's Social Protection and Safety Nets Unit, Rome

challenge towards a closer cooperation on both, the development arm and the humanitarian arm. A conceptual debate underpinned by evidence would be more efficient in informing necessary institutional changes towards creating a continuum between emergency and development aid and move away from DC and HA being two separate fields of interventions with their own inherent logic, processes and ways of working. Such an approach is supported by Switzerland's commitment for the Grand Bargain (Agenda for Humanity) that it has endorsed with a range of other countries and donor-organisations<sup>56</sup>.

### **Recommendation 6: Seek more pro-active partnerships in social protection**

Through its membership in the United Nations and other international bodies, SDC is linked or part of a range of international initiatives on social protection, for example the social protection floor initiative, Social Protection Inter-Agency Cooperation Board (SPIAC-B), the Cash Learning Platform (CaLP) or the Grand Bargain. Except for CaLP this engagement is rather passive or reactive so far. In order to strengthen social protection as a development topic – also with a view to the internal ownership and commitment – a more systematic and stronger active engagement in the context of international initiatives and partnerships is recommended, also with the view of creating stronger synergies between country level and programme level initiatives. This would also increase the visibility of SDC's engagement around this topic and enable for a stronger exchange, also with regards to the Swissness of SDC in social protection.

## **6.2 SDC Institutional and Operational Approaches, Instruments and Processes**

### **Recommendation 7: More balanced use of SDC tools in social protection**

With regards to development instruments and tools, SDC's engagement in social protection has a strong focus on technical assistance. This is almost natural given the strong technical character of social protection as a development field. However, a more balanced use of SDC's tool box of instruments, for example a stronger engagement in policy dialogue or public private development partnerships (PPDP) may help to enhance the impact and sustainability of SDC's intervention in social protection.

Innovation could also be sought with regards to the way SDC structures its interventions: Whilst SDC's approach of working simultaneously both at the policy and implementation level is very effective and successful, other ways of approaching the topic should be considered. One option could be to increase its financial engagement in the context of its multilateral engagements where the technical components mainly lie with other partners. This strategy could also work the other way around, where SDC has strong technical know-how and skills, for example in cash transfer programming in the context of nexus to be implemented with the money of other donors.

### **Recommendation 8: Stronger focus on PPDP**

Social protection is a highly technical policy field where administrative processes, management and delivery may become very complex, especially in challenging contexts such as low-income countries. Technical solutions are increasingly promoted and used to

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<sup>56</sup> The Grand Bargain commits donors and aid organizations to providing 25 % of global humanitarian funding to local and national responders by 2020, along with more un-earmarked money, and increased multi-year funding to ensure greater predictability and continuity in humanitarian response, among other commitments.

facilitate and support some of these operational processes and systems, for example the identification and enrolment processes of beneficiaries, delivery of transfers or grievance and complaints mechanisms. Many of these solutions are IT-based. This is a largely unexplored field of cooperation with private commercial partners, for example the development of software and data-banks for social protection management systems. Another important field are front-line services, such as (mobile-based) delivery of cash transfers or the use of private companies for developing context-specific social marketing measures.

Beyond that there is also a potential to stronger involve private commercial providers of social protection in partner countries, as SDC is already doing with commercial insurers in the context of agricultural or weather based commercial insurance schemes (for example the SCBF). This could be further expanded.

### **Recommendation 9: Monitoring for results in social protection**

In order to create a stronger sustainability of social protection outcomes and allow for timely adjustments SDC should develop a set of basic social protection indicators that allow to measure progress and consistently report on them. In a multi-bi-context this may simply imply to consistently report and follow up on social protection indicators of partner organisations. In order to be able to monitor for results, indicators shall not only focus on output or input but also include more long-term, process-oriented indicators. Improved monitoring will allow SDC to better highlight the results of social protection and its contribution to achieving the Agenda 2030 and LNOB and its value for money.

### **Recommendation 10: Improve data management and ensure quality on results reporting**

The evaluation has found large differences in the quality of data available on social protection interventions. If social protection as a development outcome shall be better monitored and measured and the efficiency and effectiveness of its social protection interventions improved, SDC will need to improve its data management systems making better use of its DMS on all levels. This also includes improving data collection processes (and defining) responsibilities – either internally or outsourced - in terms of measuring more long-term outcome indicators. In order for data management to work well, it would also profit from the development of quality standards with regards to reporting requirements and subsequent quality management of those.

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## Annex 1: Terms of Reference

### 3 Goal and content of the mandate

#### 3.1 Introduction

The Evaluation and Corporate Controlling (E+C) Division of the Swiss Agency for Development and Cooperation (SDC) commissions evaluations with an overarching institutional scope to generate evidence of SDC's overall contribution to international cooperation results. E+C is outside the operational line and reports to the SDC Board of Directors. The winning bidder will be contracted by the SDC and has to be **independent** of the SDC (hereinafter called independent evaluation team, see also point 3.7.4). Their independence will be safeguarded throughout the evaluation process. Conducted within the overall SDC Evaluation Policy, evaluations also consider crosscutting themes of SDC in order to:

- Identify difficulties and solutions or best practices within SDC and externally **to support strategic decision-making** for future engagements on policy and operational level. Therefore, a stock-taking of SDC's performance compared to evidences from international practices and research is an important element of the evaluation.
- Contribute to **learning at institutional level** and to its partners and assess to which extent and how these best practices could be systematically applied within SDC.
- Provide substantive support to the SDC Board of Directors' **accountability** function in reporting to the parliament and the public.

The present independent evaluation is mandated by the Board of Directors of the Swiss Agency for Development and Cooperation (SDC) and commissioned by the E+C Division.

The Terms of Reference (ToRs) describe the context, goal and purpose of the evaluation and present the objectives and related questions of the evaluation. They further describe the expectations, the role of different actors, the road map and the selection criteria of the independent evaluation team.

This backward and forward-looking evaluation shall support the SDC in achieving the **objectives of the Dispatch on Switzerland's International Cooperation 2017-2020** to contribute to the achievement of the **Sustainable Development Goals (SDG)** as set out in the Agenda 2030. Ultimately, the evaluation shall assist the SDC to understand and position itself in social protection.

The independent evaluation team should offer expertise regarding evaluation and partnership development, innovative thinking, the ability to combine established methods with new approaches and to critically discuss, evaluate and share results with stakeholders throughout the evaluation process.

The independent evaluation team shall consist of a **team of at least two experts** with complementary expertise and experience, plus local consultants if relevant/needed. A total number of **150 working days** between September 2018 and Mai 2019 (see chapter 3.5.2 Process) may be allocated to the evaluation team.

These Terms of Reference have been composed exclusively by SDC staff. Reference documents can be found under point 9. Any interested bidder is invited to submit an offer for this mandate.

#### 3.2 Social Protection: Current and Future Challenges

The Agenda 2030 with its main principle 'leave no one behind' stresses the urgent need to address social equity. It highlights the role of social protection in eradication of poverty, improvement of gender equality and reduction of inequalities. Within the Agenda 2030 and the SDG the implementation of Social Protection Floors (SPF) and nationally appropriate social protection systems by 2030 is an explicit target as part of SDG 1 on the eradication of poverty. Social protection was originally adopted as a rather narrow approach with interventions forming a safety net for those particularly affected by shocks. In the meantime, it has evolved into a systemic approach that aims to prevent people from falling into poverty, to protect against the consequences of living in poverty, to promote people out of poverty and to address structural inequalities that trap people into poverty.

Today, only 27% of the world's population has adequate social security coverage and more than half lack any coverage at all. The absence of access to social protection constitutes a major obstacle to economic and social development. Social protection is a key element of national strategies to promote human development, social stability and inclusive growth. The ILO Social Protection Floors Recommendation, 2012 (No. 202), reflects a consensus on the extension of social security reached among governments and employers' and workers' organisations from 185 countries at all levels of development. Further, the roll-out of social protection floors is endorsed by the G20 and the United Nations.

### **Social Protection - a means to reduce poverty**

Social protection encompasses all public and private initiatives that provide income or consumption transfers to the poor people, protect the vulnerable people against livelihood risks and enhance the social status and rights of the marginalised people in society. According to OECD/DAC (2009) social protection directly reduces poverty, stimulates the involvement of poor women and men in the economy and contributes to social cohesion and stability. It protects the poorest and most vulnerable people in a downturn and helps make growth more pro-poor. Social protection supports them to safeguard their assets and adopt effective coping strategies to meet challenges arising from man-made and natural disasters, economic crises, illnesses or climate change. This allows households to invest in more productive but often riskier livelihood strategies. Social protection supports to build human capital, manage risks, promote investment and entrepreneurship and improve participation in labour markets. It builds self-reliance and reinforces the social contract that can help legitimise and strengthen the state, which is particularly important in fragile contexts. Social protection programmes can be affordable, including for the poorest countries, and represent good value for money.

Social protection can be voluntary or compulsory, targeted or universal, conditional or unconditional. Interventions can be through **social assistance** (e.g. cash transfers, child grants, school feeding), **social and productive insurance** (e.g. health, unemployment and agricultural insurance), and **labour market policies** (e.g. public works programme, minimum wage, maternity leave).

Context-specific targeting and delivery are critical design and capacity issues, which impact on costs and the ability to reach the poor and achieve desired outcomes. As social protection is generally seen as essentially linked to formal working environments, workers in the informal economy tend to be invisible to policy makers. Therefore, social protection policies need to be directed especially at people active in the informal economy to maximise reach and results. It is generally considered that the state – or decentralised entities – has the primary role in providing the framework for delivering social protection. However, non-state/private actors can play a vital role in delivering social protection programmes, as drawn from the experience in Switzerland. As it evolved also in Switzerland, social protection systems require strong and sustained political commitment when scaling-up to either control/survey or deliver lasting benefits and must be ideally integrated into national social policy frameworks. Investment in implementation systems, monitoring and evaluation, fiduciary risk management and accountability mechanisms are important for the effective and sustainable delivery of social protection.

### **International engagement in Social Protection initiatives**

The UK Department for International Development (DFID) was highly influential in social protection thinking globally in the early 2000s, when it argued for cash transfers to replace food aid, and financed the design, implementation and evaluation of pilot projects testing different approaches to targeting and delivering social cash transfers. DFID typically favours programmes that target the poorest 10% or 20% in rural areas and aim to 'graduate' working people out of extreme poverty. The EU is committed to supporting nationally-owned social protection policies, and to working with civil society and the private sector as well as the government in its partner countries. Regional organisations have taken a high stake in social protection and promote it in their member countries. For example the Livingstone call for action (2006) by the African Union was addressing social protection as a transformative agenda for the 21st century. Safety-nets, as one form of social protection, have proliferated across Africa in recent years. Spending on safety-nets in sub-Saharan Africa now amounts to about 1.5% of GDP.

The OECD/DAC has explicitly addressed social protection in a policy statement published in 2009. The *Social Protection Floor Window* is the first window of the **UN Joint Fund for the 2030 Agenda**. It was created under the leadership of the ILO with UNDOCO, UN MPTF Office, UNDP,

UNICEF and UNHCR and is probably the largest initiative in this context. Its funding focuses on core activities that UN agencies cannot do alone, but do better by joining forces. The Global Partnership for Universal Social Protection was launched in 2016 by the World Bank and the ILO in order to support countries to design and implement universal and sustainable social protection systems, referring to the integrated set of policies designed to ensure income security and support to all people across the life cycle.

Approaches by multilateral agencies and bilateral donors are two-fold (SDC-IDS Briefing Note 2): Either social protection is seen as a human right that should be universally accessible to all who need it (e.g. ILO, UNICEF, Germany) or it is seen as an instrument for achieving other development objectives such as poverty reduction and pro poor economic growth (e.g. World Bank, Australia, OECD).

### **Financial sustainability of Social Protection**

Today social protection measures are not only considered to be affordable but also empower nations to be accountable towards their populations. The costs of social protection measures can be kept relatively low and manageable by starting small and developing them over several years. There is growing demand in partner countries, and from regional institutions such as the African Union, for more public action on social protection. Many countries incorporate strategies and targets in these areas in their national development and poverty reduction programmes. As donors, OECD/DAC, but also the ILO and UN agencies recommend to respond positively to this increased demand and support these developing country policy initiatives. Donors' support for social protection programmes should provide adequate, long-term and predictable financial assistance to help partner governments establish gender-sensitive social protection programmes and create the conditions for those programmes to be politically and financially sustainable. This is especially important in the current situation of contracting fiscal space and declining financial inflows. The SDC, in collaboration with the State Secretariat for Economic Affairs (SECO) is one of the few agencies that have experience with innovative finance mechanisms, such as social/development impact bonds and/or blended finances, as well as in the humanitarian field. They are seen as promising instrument with regards to social protection. Such support must be provided through harmonised and coordinated financing mechanisms in support of nationally defined strategies and programmes. This requires:

- **Supporting developing countries' own efforts** to build the political commitment and policy processes needed to develop and implement social protection systems.
- Committing to a **long-term partnership**, including financial and technical support, to underpin developing countries' efforts to build social protection systems.
- Investing in developing country initiatives to **develop and share knowledge** on the effective design and implementation of social protection systems.

Bilateral agencies tend to provide financial support to social protection policy formulation and implementation, rather than technical inputs and policy advice. However bilateral agencies have invested in strengthening their technical expertise and many are developing their social protection strategies. Increasingly contingency funds are being built into social protection programmes that will make them 'shock-responsive' and allow them to scale up rapidly during crises.

### **Modalities of Social Protection Schemes**

Above mentioned social protection floors **are nationally defined sets of basic social security guarantees that should ensure, as a minimum that, over the life cycle, all in need have access to essential health care and to basic income security which together secure effective access to goods and services defined as necessary at the national level.** As such, they are a fundamental element of national security systems. Insurance schemes, cash transfers or labour market policies can figure as one element of a social protection system. **Insurance schemes** are contributory and require a state of an individual to subscribe to an insurance policy – mostly provided by a private insurance company that again is reinsured by big reinsurance companies (e.g. SwissRe). The insurance only pays when a certain define occurrence (trigger) happens. Nevertheless, insurance is a risk transfer mechanism only, and does not eradicate risks. Hence preventive measures are key for the SDC and accompany insurance schemes interventions. **Cash transfers** – often in humanitarian assistance and development cooperation – are regular, predictable, direct provision of cash to households in order to reduce poverty and vulnerability. The



term encompasses a range of instruments (e.g. social pension, child grants or public work programmes) and a spectrum of design, implementation and financing options. Instead of channelling financial assistance through a (costly) project design, the recipient receives direct cash assistance that can be unconditional or conditional (e.g. food vouchers, rebuilding a house after an earthquake or a tsunami, child benefits, social pensions etc.). **Labour market policies** comprise all kinds of regulative policies that influence the interaction between labour supply and demand. They consist of policies that provide income replacement as well as labour market integration measures available to unemployed or those threatened by unemployment.

### Previous reviews/evaluations

The evaluation of the EU support to social protection in external action (2007-2013) was published in January 2018. The report concludes that the EU support to social protection has concentrated largely on social assistance and social inclusion. In 2012 the EU has developed a specific policy guide on social protection, yet it remained a relatively minor part of the EU's cooperation portfolio. Nevertheless, it is reported to having contributed to a tangible progress in the fight for social inclusion and alleviation of poverty. However, country-level effectiveness has not been at the level of social protection as a broad system. The evaluation also states that the sustainability of many effects and benefits achieved remain fragile and that the quality of policy dialogue at country level has been variable. The evaluation recommended that the EU should consider scaling up its support to social protection and increase attention to sustainability in social protection support.

## 3.3 Social Protection at the SDC

### 3.3.1 Social Protection as a topic

The SDC has identified social protection as an effective modality to contribute to its core mandate of reducing poverty and inequalities, tackling global risks, saving lives and alleviating suffering. Social protection has emerged as a dominant topic of development policy in the last decade, based on the strong evidence of its effectiveness in supporting the most vulnerable populations, while upholding their human rights and dignity. The SDC has so far not considered social protection to be a stand-alone theme in its development cooperation, but uses social protection tools across its priority themes and activities. Besides, some specific aid delivery modalities (e.g. cash transfers) can build on (existing or yet to be built) social protection programmes.

The SDC understands social protection as a **modality effectively addressing the concept of 'Leave no one behind'**. It includes poverty reduction, equality and non-discrimination, gender equality, inclusive economic development, access to health care, education, decent work and governance. The SDC uses the definition of social protection put forward by the Institute of Development Studies (IDS), defining social protection as *all public and private initiatives that provide income or consumption transfers to poor people, protect the vulnerable against livelihood risks and enhance the social status and rights of the marginalised*.

The SDC pursues three specific objectives in its engagement in social protection: (i) reducing poverty and decreasing inequalities; (ii) promoting gender equality; and (iii) promoting resilience and preparedness of vulnerable communities.

Until now, the SDC has mainly focused its interventions on the categories of social assistance (non-contributory and regular transfers) and social insurance (contributory insurance schemes), with some projects on labour market policies. As one of the pioneers in humanitarian response, the SDC was one of the first actors to implement cash intervention modalities in response to the needs related to the people affected by the Tsunami in 2004. The SDC has since then evolved towards a solid competence in cash transfer programming in humanitarian assistance, targeted to individuals, households or communities. Unconditional and conditional cash transfer modalities are either implemented through direct money transfers or value and commodity vouchers. The latter is increasingly implemented through electronic vouchers, scratch cards and mobile voucher transfers and was further developed successfully in Haiti (together with WFP) and Jordan (together with UNHCR). Humanitarian actors have adopted social assistance modalities with support of the SDC.

Social protection is a promising modality to overcome gaps between development and humanitarian assistance. The SDC takes a holistic view, linking its engagement in social protection to health, education, job creation, governance and governmental revenue. The SDC has a solid experience in engaging with the private sector (EPS) in social protection, specifically through its link with the insurance and re-insurance sector and the Swiss Capacity Building Facility. To

strengthen its role, the SDC seeks to further diversify and adapt its instruments. Likewise, the SDC understands that social protection needs to be carried by the national governments to be politically feasible and sustainable.

In view of addressing social inequalities in the context of the Agenda 2030, the SDC is currently taking stock of its experiences in social protection in view of developing its vision towards 2030 as an effective development actor. Whether as voluntary and contributory productive insurance – mainly in the agricultural sector – or (public and private) social protection programmes in sectors like health and decent work, the SDC has a variety of experiences that it might want to build on.

### **3.3.2 Institutional Aspects: Legal framework, Policy Principles, Strategic Guidelines**

#### **Legal Framework**

The *Dispatch to the Parliament on Swiss International Cooperation 2017–2020* stresses the importance of breaking down silos between different arms of the SDC and pushes a *whole of government approach* for Swiss engagement abroad. Social protection offers a good opportunity for joint programming between humanitarian aid interventions that are based on most urgent needs and development activities with a long-term focus and can further advance cooperation with the SECO. It connects many domains, such as governance, health, education, employment and income for South and Eastern Europe Cooperation; cash transfer programming for Humanitarian Aid; migration for Global Cooperation and government income generation for the SECO. An increased focus on social protection provides a platform for strengthening synergies and collaboration between these domains.

Nevertheless, social protection is not explicitly mentioned as part of the SDC's strategic objectives outlined in the current Dispatch. Aspects of social protection are specifically mentioned while other aspects, such as social and productive insurance schemes are not explicitly mentioned in the Dispatch. Yet many Swiss representations with international cooperation or global programmes do engage in social protection (SDC-IDS Briefing Note 3 and Annex 5) and embed modalities in their programmes. Mobilising national financial and human resources of developing countries is a priority for Swiss international cooperation according to the international agreement of the Busan Principles. Domestic resources are essential sources of finance for sustainable development. With these revenues, governments are better able to invest in education or infrastructure and put in place (minimum) social protection floors.

#### **Policy Principles and strategic guidelines**

Considering social protection as an overarching issue rather than a self-standing sector, the SDC believes that it can generate powerful synergies with social and economic development when it is directly linked to social (e.g. education and health) and to economic sectors (agriculture and labour). Comprehensive social protection systems often require to be institutionalised and underpinned by national legislative frameworks. The SDC's issue paper on social protection (2017) mentions three core objectives for the SDC's engagement in social protection. The SDC programmes and investments directly support all or several of these objectives.

- **Objective 1: Reduce poverty and inequalities** (SDG1 and SDG10) – Social protection systems provide protection from life risks and income guarantees to build a way out of poverty. They are an effective means to support the most vulnerable populations (leave no one behind), while upholding their human dignity. Carefully developed social transfers can also be an effective way to mitigate inequalities, which can cause social disruption and are harmful to the inclusiveness of societies, if acute. Social protection coverage is increasing, but still low. Therefore, next to preventive measures, the SDC aims at increasing coverage of social assistance as well as social and productive insurance in its countries of intervention, in particular to reach the poorest. The SDC further aims at ensuring transfer volumes that are substantial enough to trigger economic virtuous circles, effectively reducing poverty and inequality.
- **Objective 2: Promote gender equality** (SDG5) – Social protection schemes can have a transformative impact on the role of women within the family and the society at large. The SDC commits to support gender equality as a crosscutting dimension in the social protection schemes. It recognises the burden of unpaid care and domestic work and aims at promoting gender equality through social protection policies and systems, promoting shared responsibilities in the family household and the care sector in order to actually have a transformative impact.

- **Objective 3: Promote resilience and preparedness of vulnerable communities.** The SDC aims at increasing preparedness of existing or emerging social protection systems to be shock-responsive and function as effective delivery mechanisms for humanitarian assistance during crises, short-term and protracted, also for migrants and refugees. Social protection is instrumental to Disaster Risk Reduction and livelihood restoration, as well as climate resilient measures. Social insurance protects against some of the major shocks due to livelihood risks (drought, floods), crises, illness, disability, accident, life cycle events and can be a tool to promote resilience. The SDC aims at designing long-term social and productive insurance systems, reducing barriers for the poor and increasing coverage overall.

SDC has also identified concrete challenges: Political leverage, fiscal affordability, targeting, labour market linkages, impact, 'sensitive' social protection, and systems-building (SDC-IDS Briefing Note 1). The challenge, but also the opportunity is to extend the coverage of social protection from single projects towards a systemic approach and include all segments of the population facing risks and vulnerability, and to undertake it in a sustainable manner. It is crucial to extend towards comprehensive systems to strengthen donor coordination to avoid duplication of efforts and competing donor agendas.

Certain risks and challenges are attached to the SDC's engagement in social protection:

- **Social Protection is not a magic bullet.** Despite the impressive results that social protection has had on poverty reduction and sustainable economic development, it must be well remembered that it is not a cure-all. Although it helped increase school attendance, health check-ups etc. (i.e. demand for services), there is only a positive effect if the supply and the quality of services exists, keeps pace and improves. The question if social protection is the most effective means to reach the assigned goal shall continuously remain on the table. Therefore, the SDC's principle for engaging in social protection is to have a holistic view, not neglecting other forms of interventions that are complementary and may be more effective at certain times.
- **Risk of political manipulation.** Social protection depends on political support, but can equally be used to increase popularity within a specific population. Thus, the SDC needs to evaluate political risks. To mitigate risks, the SDC uses PSIA (Poverty Social Impact Assessment) and PEA (Political Economy Analysis), where appropriate.
- **Neutrality.** Social protection systems are pursuing highly political objectives, are driven by political incentives (popularity, re-election) and have political outcomes. In certain contexts, it is difficult to engage in social protection, whilst adhering to the core humanitarian principles of neutrality, impartiality and independence.
- **Do no harm.** Narrow targeting of social protection schemes holds the potential for social frictions within communities and may undermine broad-based community and societal support. Likewise, conditionality can influence the gender balance positively or negatively. In conflict settings, security of beneficiaries may be put at risk. To mitigate these risks, the SDC will use a *Gender Analytic Framework*, *Conflict Sensitive Programme Management* and data protection where appropriate.
- **Sustainable financing.** The last point represents a serious constraint in most development countries. The SDC shall take into account the wider macroeconomic context and try to join, where feasible, programmes developing tax regimes and securing the revenue base as well as innovative ways of financing to finance social protection.

Challenges in the implementation of cash transfer programming are mainly market failures, security risks, price inflation in humanitarian contexts, lack of service providers and also limited misuses by beneficiaries making targeting important.

Aware of the necessity that effective social protection can be of key importance in empowering national governments to fulfil their mandate to address the Agenda 2030 and based on its own domestic experience in Switzerland, the SDC might have a unique role to play in engaging more firmly in social protection in the future. As inequalities increase in many countries bearing the potential to lead to political and social unrest, social protection is one element that can address this challenge. In the context of developing its future orientation, the SDC has decided to take stock of current experiences in social protection and commissioned this evaluation.

### 3.3.3 Thematic Advantage of Switzerland and Anchorage within the SDC

In spite of the prominent (re-)insurance sector in Switzerland with global outreach, the SDC is not necessarily considered a strong actor in social protection compared to other donors that sometimes have dedicated units and institutional competencies in this field.

Yet, Switzerland's domestic experience in social protection can be considered to be high. Governmental conditional and unconditional social protection systems are in place and a compulsory private sector organised health insurance system and pension system is also established. The Federal Social Insurance Office (FSIO) is the national centre of expertise on policies related to old-age, invalidity and the family. It plans, manages and monitors the corresponding social insurance systems to ensure that they function effectively. The FSIO also initiates and coordinates reciprocal social security agreements with other countries. The SECO is working on social protection mainly through labour market policies in close collaboration with the cantonal offices (KAST), regional employment centres (RAV) and the logistics offices for labour market measures (LAM) in the cantons, as well as public and private unemployment insurance funds. Within SDC the competence for social protection is mainly concentrated in the Poverty Desk of the Quality Assurance (QA) Division, but is still limited and few resources are specifically dedicated to social protection. Social insurance programmes receive advice from the thematic network Employment & Income (e+i) as well as from the competence centre for the engagement with the private sector. Social insurances are being implemented by a large number of Swiss representations with international cooperation and global programmes (particularly food security and health). On its dedicated share web, the network e+i exchanges regularly in its thematic subgroup on insurance and provides on its share web relevant resources on micro insurance. The SDC's Humanitarian Aid Department maintains a community of practice for cash transfer programming.

### 3.3.4 The SDC's Portfolio in Social Protection

The SDC is engaged in social protection, both as a donor and an implementing agency, with an estimate number of 70 to 100 on-going projects or programmes. Its instruments include technical assistance, policy dialogue with partner governments and global institutions, fund capital and engagement with the private sector.

However, social protection is not a stand-alone 'theme' within the SDC, which means that projects and programmes engaging in social protection are not easily identifiable. A current internal working group on social protection, led by the Poverty Desk of the QA Division, has elaborated a preliminary inventory of social protection efforts within the SDC. On this basis, the independent evaluation team, together with the Core Learning Partnership (CLP, see 3.7.2) will identify the programmes and projects with a social protection component in the inception phase according to operational domains, to themes, and to modalities.

## 3.4 Purpose, Objectives and Scope

### 3.4.1 Purpose

The purpose of this evaluation is two-fold: in a first step the evaluation will take stock of the portfolio of the SDC projects and programmes engaging in social protection or having a social protection component, based on the work done by the internal working group on social protection. In a second step, the evaluation will analyse the SDC's engagement in social protection to provide evidence-based inputs to propose a theory of change including a narrative, positioning the SDC and its Swiss partners in the future.

### 3.4.2 Objectives

In line with the above-mentioned two-fold purpose, the evaluation shall assess the **relevance, effectiveness, efficiency, and to a certain extent the sustainability of the SDC's strategies, programmes, projects and partnerships** regarding social protection.

The evaluation shall **assess to which extent the SDC's operational instruments and institutional processes ensure** that:

- i) The **expected results** have been achieved and **areas of success or in need of improvement** have been appropriately addressed.

- ii) Programmes and projects with a social protection component, to the extent possible, adopt a **systems' change perspective**, taking into account corresponding development requirements and objectives;
- iii) Social protection addresses specific aspects of **leaving no one behind** in the larger context of poverty reduction;
- iv) The **complementarity of humanitarian assistance and development interventions** in social protection have been considered;
- v) The projects and programmes respond to the **three objectives of SDC** in regard to social protection (reduce poverty and inequality; promote gender equality; promote resilience and preparedness of vulnerable communities);
- vi) The SDC's projects and programmes are consistent with **partner countries' development priorities and SDC's cooperation strategies in countries and regions**;
- vii) Actions are taken to facilitate the establishment of **sustainable and viable** social protection programmes and systems;
- viii) The SDC portfolio in social protection has been efficiently managed in order to reach **high scaling-up effects**;
- ix) Social protection programmes reflect and build on **Switzerland comparative advantage** and domestic expertise, fostering a whole of government approach.

After the first step of taking-stock of SDC's engagement in social protection, the evaluation shall provide in a second step **findings, conclusions and recommendations** on whether and how the SDC's approaches can be strengthened from a **strategic** and **operational** point of view. The views, approaches and best practices of how other donors, multilateral organisations, private sector and academia address social protection will have to be included.

### 3.4.3 Scope

The framework for this evaluation is set by the Dispatches on Switzerland's International Cooperation 2013-2016 as well as 2017-2020. The evaluation shall normally cover a period of **five years (2013-2017)**. However, the evaluation can also include specific projects, which began before 2013, if identified relevant.

The evidence shall be based on a performance assessment of jointly selected **SDC strategies, programmes, projects, secondments, partnerships** as well as the support through **institutional partnerships with Swiss NGOs** in social protection as well as a comparison of the SDC's performance in social protection with international practices and research.

While SDC follows a priority country approach, non-priority countries primarily in humanitarian aid and global cooperation will be taken into account.

### 3.4.4 Indicative Questions

The question catalogue below is a first draft and has been compiled by evaluation officers at the SDC in collaboration with the CLP. During the **inception phase**, the independent evaluation team will further **refine and prioritise the questions** in consultation with the SDC's evaluation officer and the CLP. The bidder is also expected to assess these questions within the technical offer.

#### Relevance

- Are the SDC's activities, respectively the SDC's operational and institutional approaches to achieve its own objectives regarding social protection, in line with its international commitments with regards to the Agenda 2030 and global social protection conferences?
- Are the SDC's objectives, respectively the SDC's operational and institutional approaches and strategies relevant to address the three social protection objectives in the given context?
- How is the concept of addressing social protection understood within the SDC and are there differences in interpreting the modality (e.g. between the Humanitarian Aid staff/divisions and the Development Cooperation staff/divisions, or between the headquarters and the field)?
- Are the SDC's strategies and programmes taking context and partner country strategies systematically and sufficiently into account, considering all dimensions of social protection in a holistic and systemic analysis, and deploying different instruments accordingly?
- Are SDC's activities meeting the needs of national governments?

## Effectiveness

- How coherent are the SDC's instruments in social protection in contexts where inequalities are high and to what extent are they relevant to meeting the development needs of the targeted population? This question refers specifically to:
  - The SDC's cooperation strategies in priority countries and regions
  - The SDC's thematic networks and thematic strategies (if relevant for the linkage)
  - Partnerships with other organisations and implementation modalities (bilateral/multilateral; contributions/mandates)
- How does the SDC measure its progress regarding social protection? Are there specific indicators? Does the SDC have a M&E framework on social protection?
- Which factors contribute to or hinder the effectiveness of expected outcomes?
- How can the SDC's strategies, programmes and partnerships be improved in order to achieve the three goals of the social protection paper?
- How resistant is the SDC's engagement in social protection regarding political resistance?
- Do SDC's social protection programmes present realistic opportunities for scaling up and for transformative change at system-level?

## Efficiency

- Are the SDC's procedures (general and financial in particular) and ways of collaboration conducive to implementing sustainable social protection programmes?
- Is the SDC using adequate financial and human resources and finance instruments to ensure the establishment of social protection programmes? This question refers both to the resources and instruments used for the headquarters and for the field.
- Do social protection modalities support greater impact of the SDC priority themes? If yes, how?
- How is the SDC mobilising Swiss-based actors' expertise in support of social protection programmes? Is it effective and relevant in the country context?

## Sustainability

- How is the SDC integrating social protection measures in its national policy dialogue?
- How promising are the SDC's modalities, strategies, programmes and partnerships in developing and implementing long-term solutions in contexts with high social disparities or risks?
- Which factors enhance the sustainability of the SDC's approaches in these contexts?
- Is the SDC's development cooperation successful in preventing risks of future social or political crises?
- To what extent do SDC programmes in social protection favour local/national ownership for building politically and financially sustainable social protection systems?

## 3.5 Methodology and Process

### 3.5.1 Methodology

The independent evaluation team will assess the evaluation objectives and questions in a **neutral and objective** way. The overall evaluation approach should represent an adequate mix of **formative and summative elements**. Selected steps from within developmental evaluation are to be considered when appropriate.

The evaluation team shall review and assess existing facts, processes, tools and instruments (summative part) and assist to structure the SDC's existing portfolio. Their findings, conclusions and recommendations shall be evidence based and formulated in an open constructive non-judging manner. The evaluation team shall use or develop adequate rubrics and instruments for assessing all information, interviews etc. within the evaluation.

The evaluation is expected to make use of a series of **different methodological instruments**, such as the following:

- Review of relevant documents from the SDC (e.g. evaluation reports, elaborated in the period 2013-2017), partners and other donors within and outside of Switzerland, as well as international research;
- Portfolio Analysis of the SDCs engagement in the area of social protection;
- 6-7 case studies (limited number of field missions if really assessed relevant and duly justified);
- Interviews and/or focus group discussions with the SDC staff in Bern from all operational departments (Humanitarian Aid, South Cooperation, East Cooperation, Global Cooperation) and with selected cooperation offices (virtual communication);
- Interviews with other relevant persons, especially at the SECO, FSIO, FOPH, Swiss NGOs, multilateral partners (World Bank, ILO etc.), other donors;
- Online surveys, discussion platforms, etc. as assessed relevant.

The evaluation team will develop a **rigorous and appropriate methodology** during the inception phase, together with a **theory of change**, which will set the framework for the evaluation. It is important that the methodology is appropriate for assessing both the operational and institutional aspects of the evaluation. As already mentioned the **indicative questions** are only suggestions and shall be reviewed by the evaluation team during the inception phase.

The **Core Learning Partnership** shall be involved in reflecting on the **recommendations** to the SDC management – while the responsibility remains within the evaluation team. Therefore, elements of **participatory/developmental evaluation** can be integrated. Developmental evaluation is tailored to complex environments and sees the evaluator as combining the rigour of evaluation (evidence-based and objective) with the role of enhancing a programme's capacity, by means of using evidence in reflective thinking on its work. The **SDC's staff should learn** during the entire evaluation process – not just at the end. Including such an approach will not only increase the utility of the evaluation, but will also support the SDC's on-going commitment to develop stronger analysis, programme designs, as well as capacities in monitoring and evaluation.

## 3.6 Deliverables

### 3.6.1 Inception Report

An Inception Report is prepared by the evaluation team – after an initial review of relevant documentation and some initial interviews.

### 3.6.2 Evaluation Report by independent Evaluation Team

A fit-to-print **evaluation report** in English containing **findings, conclusions and recommendations**, whereby the conclusions must be clearly derived from the findings and the recommendations be clearly based on the conclusions.

The evaluation report should not exceed **50 pages** (including an executive summary; excluding annexes), and must be coherent with the E+C formatting guidelines. The report should contain **clear references** of the important information/data available in the annexes. The **executive summary** (abstract) should correspond to the OECD/DAC-Standards and not exceed **2-3 pages**.

Additionally, a **short and concise presentation (PowerPoint)** shall be prepared by the evaluation team for SDCs use.

### 3.6.3 Communication

Communication is key – both for institutional learning within the SDC and accountability towards the Parliament and the public. Following **deliverables** with regards to communication are required:

- Presentation of the Final Report to the SDC (staff of and the Directorate of the SDC)
- At the end of the process, provide the content for a shorter public report or leaflet (max. 8 pages), in close collaboration with FDFA/SDC communication specialists

## Annex 2: Evaluation Matrix/ Analytical Framework

### Evaluation purpose/ objective

The evaluation shall assess the **relevance, effectiveness, efficiency, and to the extent possible the sustainability** of the SDC's strategies, programmes, projects and partnerships, as well as its operational instruments and institutional processes, regarding social protection. The evaluation shall provide **findings, conclusions and recommendations** on whether and how the SDC's approaches can be strengthened from a **strategic and operational** point of view.

The evaluation shall provide evidence-based inputs to propose a theory of change including a narrative, positioning the SDC and its Swiss partners in the field of social protection in the future.

The views, approaches and best practices of how other donors, multilateral organisations, private sector and academia address social protection will have to be included.

### Evaluation Questions

#### A. Relevance

- EQ1. To what extent are the SDC's policies, strategies, programmes/projects and partnerships regarding social protection in line with its international commitments with regards to the Agenda 2030 and global social protection conferences/ initiatives?*
- EQ2. To what extent are the programme/project portfolios with a social protection component relevant, coherent and appropriate for achieving the intended development results (in partner countries/ at the global level/ and internally in terms of SDC's portfolio of actions)?*
- EQ3. To what extent are the SDC's strategies, programmes and partnerships taking context and partner country strategies and specific needs systematically and sufficiently into account, considering all dimensions of social protection?*
- EQ4. How is the concept of social protection understood within the SDC and are there differences in interpreting its function (e.g. between the Humanitarian Aid staff/divisions and the Development Cooperation staff/divisions, or between the headquarters and the field)?*
- EQ5. To what extent are the SDC's instruments to support/ promote social protection relevant, coherent and appropriate for achieving the intended development results (in partner countries/ at the global level/ and internally in terms of SDC's toolbox of instruments)?*

#### B. Effectiveness

- EQ6. To what extent has the SDC's support contributed to improvements in the provision of and the operation of social protection systems (as measured by increased coverage and increased level of social protection)?*
- EQ7. To what extent has the SDC's support in social protection contributed in the wider context to poverty reduction, human development and inclusive growth (equal opportunities for all) as measured by the SDGs?*
- EQ8. To what extent do the SDC's social protection strategies, programmes and partnerships present realistic opportunities for scaling up of results achievement*



*and/or transformative change at system-level via building more integrated and coordinated systems?*

- EQ9. How does the SDC measure its progress regarding social protection and to what extent is the process management of the monitoring system effective in order to provide evidence-based data/information for accounting for results (reporting) and programme steering?*
- EQ10. To what extent are the SDC's different development instruments effectively and coherently deployed in the context of its engagement in social protection (notably in contexts where inequalities are high)?*
- EQ11. To what extent are the SDC's approaches in social protection meeting the development needs of the targeted populations, notably so in terms of fulfilling the objective of reaching the most vulnerable groups and excluded persons?*
- EQ12. How successful is the SDC's engagement in partner states to build national/ local support for the development/ expansion of social protection systems (notably in contexts of high social disparities or risks)?*
- EQ13. To what extent do the SDC's social protection interventions support greater impact of the SDC's wider international development goals and priority development themes?*

#### **C. Efficiency**

- EQ14. How efficiently has the SDC portfolio in social protection been managed, notably so in order to reach the most vulnerable groups and excluded persons?*
- EQ15. To what extent is the SDC mobilising Swiss-based actors' expertise in support of social protection programmes? Is it effective and relevant in the global or specific country context?*
- EQ16. To what extent are the SDC's procedures (general and financial in particular) and ways of collaboration conducive to implementing sustainable social protection programmes?*
- EQ17. To what extent is the SDC using adequate financial and human resources and finance instruments to ensure the establishment of social protection programmes?*
- EQ18. What support and guidance does SDC provide to staff on the development and the management of social protection projects or related policy dialogue components?*

#### **D. Sustainability**

- EQ19. To what extent are the SDC's strategies, programmes and partnerships contributing to developing and implementing long-term solutions in social protection and to promoting and strengthening local/national ownership for building politically and financially sustainable social protection systems?*
- EQ20. To what extent are the SDC's development cooperation interventions in social protection successful in preventing or mitigating risks of future economic, social, political, or climate-induced crises?*
- EQ21. To what extent do the SDC's modalities, approaches or instruments enhance the sustainability of social protection interventions (notably in contexts with high social disparities or risks)? To what extent is the SDC to integrating social protection measures in its national policy dialogue?*

**E. Lessons learned**

*EQ22. Which factors contribute to or hinder the effectiveness or the sustainability of the expected development outcomes in social protection?*

**F. Conclusions**

*EQ23. How can the SDC's strategies, programmes and partnerships be improved in order to achieve SDC's longer-term objectives in social protection?*

*EQ24. How can the SDC's institutional and operational approaches, instruments and processes be improved in order to achieve SDC's longer-term objectives in social protection?*

## Evaluation Matrix

EQ (ToR, section 3.4.4)	EQ (refined) proposal	EQ (refined) purpose	Objective (ToR, 3.4.2)	Source(s) of information	Data collection/ analysis
<b>Relevance</b>					
Are the SDC's activities, respectively the SDC's operational and institutional approaches to achieve its own objectives regarding social protection, in line with its international commitments with regards to the Agenda 2030 and global social protection conferences?	<b>EQ1.</b> To what extent are the SDC's policies, strategies, programmes/projects and partnerships regarding social protection in line with its international commitments with regards to the Agenda 2030 and global social protection conferences/ initiatives?	To assess the extent to which the SDC's engagement in social protection is meeting its international commitments and to assess how SDC engages relative to other donors and partners in regard to social protection	SP addresses specific aspects of leaving no one behind in the larger context of poverty reduction Projects/programmes respond to the objectives of SDC in regard to SP	-SDC policy/ strategy papers (re. international cooperation/ development policy, SP papers) -Agenda 2030 -Policy/ strategy papers of UN, multilateral/ bilateral donors and international initiatives on SP -Relevant key personnel (SDC, multi/bilateral donor partners)	-Document review -Key informant interviews -Scoping of international donor community engagement and approaches on SP, mapping/ benchmarking of SDC's engagement
Are the SDC's objectives, respectively the SDC's operational and institutional approaches and strategies relevant to address the three social protection objectives in the given context?	<b>EQ2.</b> To what extent are the programme/project portfolios with a social protection component relevant, coherent and appropriate for achieving the intended development results (in partner countries/ at the global level/ and internally in terms of SDC's portfolio of actions)?	To provide evidence of the extent to which the SDC's approaches in social protection correspond to partner country needs and the development objectives of the SDC as well as global goals ( <i>an assessment of the quality of programming</i> )	Programmes/projects with a SP component to the extent possible adopt a systems' change perspective SP addresses specific aspects of leaving no one behind in the larger context of poverty reduction Complementarity of HA and development interventions in SP have been considered Projects/programmes respond to the objectives of SDC in regard to SP SDC's projects/programmes are consistent with partner countries' development priorities and SDC's cooperation strategies	-SDC project portfolio/ database -SDC documentation re. SP (strategies, programme/projects and partnerships) -Theory of Change (SDC in SP) -Policy/ programme papers UN, multilateral/ bilateral donors and international initiatives on SP -Policy/ strategy papers/ reports of SDC partner countries on SP -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies (donors and partner states)	-Portfolio analysis: assess the extent of SP measures and portfolio's orientation -Document review -Key informant interviews -Portfolio analysis: assess the quality of design and the results-chain/ theory of SDC's SP programmes/ projects, and the extent of internal portfolio synergies -Scoping of partner states policies/ strategies on SP and SDC's linkages to the strategic reference policies -Case studies
	<b>EQ5.</b> To what extent are the SDC's instruments to support/ promote social protection relevant, coherent and	To assess the extent to which the SDC's instruments contribute to meeting partner state social protection	Programmes/projects with a SP component to the extent possible adopt a systems' change perspective	-SDC documentation re. SP (modalities/ instruments) -SDC Thematic Networks	-Document review -Key informant interviews -Portfolio analysis: assess the results-chain/ theory of

EQ (ToR, section 3.4.4)	EQ (refined) proposal	EQ (refined) purpose	Objective (ToR, 3.4.2)	Source(s) of information	Data collection/ analysis
	appropriate for achieving the intended development results (in partner countries/ at the global level/ and internally in terms of SDC's toolbox of instruments)?	development needs, and the development objectives of the SDC, and to extent to which the instruments are coherent	Projects/programmes respond to the objectives of SDC in regard to SP SDC projects/programmes are consistent with partner countries' development priorities and SDC's cooperation strategies	-Theory of Change (SDC in SP) -Policy/ position papers of UN, multilateral/ bilateral donors and international initiatives on SP -Policy/ strategy papers/ reports of SDC partner countries on SP -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies (donors and partner states)	SDC's SP instruments, and of their internal synergies -Scoping of international donor instruments on SP, mapping/ benchmarking of SDC's instruments -Case studies
How is the concept of addressing social protection understood within the SDC and are there differences in interpreting the modality (e.g. between the Humanitarian Aid staff/divisions and the Development Cooperation staff/divisions, or between the headquarters and the field)?	<b>EQ4.</b> How is the concept of social protection understood within the SDC and are there differences in interpreting its function (e.g. between the Humanitarian Aid staff/divisions and the Development Cooperation staff/divisions, or between the headquarters and the field)?	To assess the extent to which the SDC has a common understanding of and interpretation of social protection and its intervention modalities	SP addresses specific aspects of leaving no one behind in the larger context of poverty reduction Complementarity of HA and development interventions in SP have been considered	-SDC documentation re. SP (strategies, programme/projects and partnerships) -SDC Thematic Networks -Theory of Change (SDC in SP) -Relevant key personnel (SDC)	-Document review -Key informant interviews -Online survey (SDC – HQ and COOF/ SCOs) -Scoping/ mapping of how the role of SP in development policy is understood at SDC
Are the SDC's strategies and programmes taking context and partner country strategies systematically and sufficiently into account, considering all dimensions of social protection in a holistic and systemic analysis, and deploying different instruments accordingly?	<b>EQ3.</b> To what extent are the SDC's strategies, programmes and partnerships taking context and partner country strategies and specific needs systematically and sufficiently into account, considering all dimensions of social protection?	To provide evidence of the extent to which the SDC's strategies and programming address specific contexts and needs and provide appropriate interventions for social protection	Programmes/projects with a SP component to the extent possible adopt a systems' change perspective Complementarity of HA and development interventions in SP have been considered SDC projects/programmes are consistent with partner countries' development priorities and SDC's cooperation strategies	-SDC documentation re. SP (strategies, programme/projects and partnerships) -Policy/ strategy papers/ reports of SDC partner countries on SP -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies (donors and partner states)	-Document review -Key informant interviews -Online survey (SDC – HQ and COOF/ SCOs) -Scoping of partner states policies/ strategies on SP and SDC's linkages to the strategic reference policies -Case studies
Are SDC's activities meeting the needs of national governments?					
Effectiveness					
How coherent are the SDC's instruments in social protection	<b>EQ10.</b> To what extent are the SDC's different development	To provide evidence of the extent to which the SDC's	Complementarity of HA and development interventions	-SDC documentation re. SP (strategies, programme/projects	-Document review -Key informant interviews

EQ (ToR, section 3.4.4)	EQ (refined) proposal	EQ (refined) purpose	Objective (ToR, 3.4.2)	Source(s) of information	Data collection/ analysis
<p>in contexts where inequalities are high and to what extent are they relevant to meeting the development needs of the targeted population?</p> <p><i>The question refers specifically to</i></p> <p>-SDC's cooperation strategies in priority countries and regions</p> <p>-SDC's thematic networks and thematic strategies (if relevant for the linkage)</p> <p>-Partnerships with other organisations and implementation modalities (bilateral/multilateral; contributions/mandates)</p>	<p>instruments effectively and coherently deployed in the context of its engagement in social protection (notably in contexts where inequalities are high)?</p> <p><b>EQ11.</b> To what extent are SDC's approaches in social protection meeting the development needs of the targeted populations, notably so in terms of fulfilling the objective of reaching the most vulnerable groups and excluded persons?</p>	<p>instruments contribute to meeting social protection development needs and the extent to which they are coherently deployed</p> <p>To provide evidence of the extent to which the SDC's approaches and actions in social protection address the needs of identified target group(s) and the extent to which these address the most vulnerable and excluded</p>	<p>in SP have been considered</p> <p>Projects/programmes respond to the objectives of SDC in regard to SP</p> <p>SDC projects/programmes are consistent with partner countries' development priorities and SDC's cooperation strategies</p> <p>Programmes/projects with a SP component to the extent possible adopt a systems' change perspective</p> <p>SP addresses specific aspects of leaving no one behind in the larger context of poverty reduction</p>	<p>and partnerships)</p> <p>-SDC Thematic Networks</p> <p>-International statistics on SP systems and poverty/ inequality (WB, UN, ILO, OECD, IMF)</p> <p>-Relevant key personnel (SDC)</p> <p>-Relevant key personnel linked to the case studies</p> <p>-SDC documentation re. SP (strategies, programme/projects and partnerships), plus MERV</p> <p>-SDC Thematic Networks</p> <p>-International statistics on SP systems and poverty/ inequality</p> <p>-Relevant key personnel (SDC)</p> <p>-Relevant key personnel linked to the case studies</p>	<p>-Regression analysis</p> <p>-Case studies</p> <p>-Document review</p> <p>-Key informant interviews</p> <p>-Regression analysis</p> <p>-Case studies</p>
<p>How does the SDC measure its progress regarding social protection? Are there specific indicators? Does the SDC have an M&amp;E framework on social protection?</p>	<p><b>EQ9.</b> How does the SDC measure its progress regarding social protection and to what extent is the process management of the monitoring system effective in order to provide evidence-based data/information for accounting for results (reporting) and programme steering?</p>	<p>To provide evidence of the extent to which the SDC operates a coherent and effective M&amp;E framework on social protection actions</p>	<p>The expected results have been achieved and areas of success or in need of improvement have been appropriately addressed</p> <p>The SDC portfolio in SP has been efficiently managed in order to reach high scaling-up effects</p>	<p>-SDC documentation linked to SP (strategies, programmes/ projects and partnerships), incl. CS Results Framework and CS Monitoring Matrix linked to SP</p> <p>-SDC's SAP Manual and ARIs</p> <p>-Relevant key personnel (SDC)</p> <p>-Relevant key personnel linked to the case studies</p>	<p>-Document review</p> <p>-Key informant interviews</p> <p>-Online survey (SDC – HQ and COOF/ SCOs)</p> <p>-Case studies</p>
<p>Which factors contribute to or hinder the effectiveness of expected outcomes?</p> <p><i>-As an EQ linked to lessons learned, this is proposed as EQ22</i></p> <p><i>-As an EQ linked to</i></p>	<p><b>EQ6.</b> To what extent has the SDC's support contributed to improvements in the provision of and the operation of social protection systems (as measured by increased coverage, quality and increased level of social protection)?</p>	<p>To provide evidence of the extent to which the SDC's support has delivered the intended results and contribution to development of social protection systems</p>	<p>The expected results have been achieved and areas of success or in need of improvement have been appropriately addressed</p> <p>Programmes/projects with a SP component to the extent possible adopt a systems'</p>	<p>-SDC documentation re. SP (strategies, programme/projects and partnerships), plus MERV</p> <p>-Policy/ strategy papers/ reports of SDC partner countries on SP</p> <p>-Papers/ reports of multilateral donors/ international initiatives</p> <p>-International statistics on SP</p>	<p>-Document review</p> <p>-Key informant interviews</p> <p>-Regression analysis</p> <p>-Case studies</p>

EQ (ToR, section 3.4.4)	EQ (refined) proposal	EQ (refined) purpose	Objective (ToR, 3.4.2)	Source(s) of information	Data collection/ analysis
<i>effectiveness, refined proposal as EQ6 and EQ7</i>			change perspective Projects/programmes respond to the objectives of SDC in regard to SP	systems and poverty/ inequality -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	
	<b>EQ7.</b> To what extent has the SDC's support in social protection contributed in the wider context to poverty reduction, human development and inclusive growth (equal opportunities for all) as measured by the SDGs?	To provide evidence of the extent to which the SDC's support has delivered the intended contribution to wider development goals, in particular the SDG goals related to social protection	The expected results have been achieved and areas of success or in need of improvement have been appropriately addressed SP addresses specific aspects of leaving no one behind in the larger context of poverty reduction Projects/programmes respond to the objectives of SDC in regard to SP	-SDC documentation re. SP (strategies, programme/projects and partnerships), plus MERV -Development/ progress reports of SDC partner countries -Papers/ reports of multilateral donors/ international initiatives -International statistics on SP systems and poverty/ inequality -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Regression analysis -Case studies
How can the SDC's strategies, programmes and partnerships be improved in order to achieve the three goals of the social protection paper?	<b>Conclusions: EQ23-EQ24</b>				
How resistant is the SDC's engagement in social protection regarding political resistance?	<b>EQ12.</b> How successful is the SDC's engagement in partner states to build national/ local support for the development/ expansion of social protection systems (notably in contexts of high social disparities or risks)?	To provide evidence of the extent to which the SDC engages with partners (national, local, and donor partners) to promote dialogue on social protection (and potential programme results) in country specific context	SP addresses specific aspects of leaving no one behind in the larger context of poverty reduction Actions are taken to facilitate the establishment of sustainable and viable SP programmes/ systems	-SDC documentation linked to SP (strategies, programmes/ projects and partnerships), incl. CS Annual Reports and policy dialogue/ influencing reports -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Online survey (SDC – HQ and COOF/ SCOs) -Case studies
Do SDC's social protection programmes present realistic opportunities for scaling up and for transformative change at system-level?	<b>EQ8.</b> To what extent do the SDC's social protection strategies, programmes and partnerships present realistic opportunities for scaling up of results achievement and/or for transformative change at	To provide evidence of the extent to which the SDC's support has been scaled up or delivered systemic change, or that SDC's support presents opportunities for future successful scaling up	The expected results have been achieved and areas of success or in need of improvement have been appropriately addressed Complementarity of HA and development interventions	-SDC documentation linked to SP (strategies, programmes/ projects and partnerships) -SDC Thematic Networks -Policy/ strategy papers/ reports of SDC partner countries on SP -Papers/ reports of multilateral	-Document review -Key informant interviews -Online survey (SDC – HQ and COOF/ SCOs) -Case studies

EQ (ToR, section 3.4.4)	EQ (refined) proposal	EQ (refined) purpose	Objective (ToR, 3.4.2)	Source(s) of information	Data collection/ analysis
	system-level via building more integrated and coordinated systems?		in SP have been considered SDC projects/programmes are consistent with partner countries' development priorities and SDC's cooperation strategies Actions are taken to facilitate the establishment of sustainable and viable SP programmes/ systems	donors/ international initiatives -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	
Do social protection modalities support greater impact of the SDC priority themes? If yes, how?	<b>EQ13.</b> To what extent do the SDC's social protection interventions support greater impact of the SDC's priority development themes?	To provide evidence of the extent to which SDC social protection modalities effectively present linkages/ provide synergy with its other themes' goals	SP addresses specific aspects of leaving no one behind in the larger context of poverty reduction The SDC portfolio in SP has been efficiently managed in order to reach high scaling-up effects	-SDC documentation linked to SP (strategies, programmes/ projects and partnerships) -SDC Thematic Networks -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Online survey (SDC – HQ and COOF/ SCOs) -Case studies
<b>Efficiency</b>					
	<b>EQ14.</b> How efficiently has the SDC portfolio in social protection been managed, notably so in order to reach the most vulnerable groups and excluded persons?	To provide evidence of the extent to which the SDC support has been delivered in a timely and cost-efficient manner	The SDC portfolio in SP has been efficiently managed in order to reach high scaling-up effects	-SDC documentation linked to SP (strategies, programmes/ projects and partnerships) -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Case studies
Are the SDC's procedures (general and financial in particular) and ways of collaboration conducive to implementing sustainable social protection programmes?	<b>EQ16.</b> To what extent are the SDC's procedures (general and financial in particular) and ways of collaboration conducive to implementing sustainable social protection programmes?	To assess the extent to which SDC's procedures support the efficient development, delivery, results achievement and the sustainability planning for actions on social protection	The expected results have been achieved and areas of success or in need of improvement have been appropriately addressed Actions are taken to facilitate the establishment of sustainable and viable SP programmes/ systems The SDC portfolio in SP has been efficiently managed in	-SDC documentation linked to SP (strategies, programmes/ projects and partnerships) -SDC Thematic Networks -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Regression analysis -Case studies



EQ (ToR, section 3.4.4)	EQ (refined) proposal	EQ (refined) purpose	Objective (ToR, 3.4.2)	Source(s) of information	Data collection/ analysis
			order to reach high scaling-up effects		
Is the SDC using adequate financial and human resources and finance instruments to ensure the establishment of social protection programmes?	<b>EQ17.</b> To what extent is the SDC using adequate financial and human resources and finance instruments to ensure the establishment of social protection programmes?	To assess the extent to which SDC's financial and human resources and finance instruments support the efficient development, delivery, results achievement and the sustainability planning for actions on social protection	Actions are taken to facilitate the establishment of sustainable and viable SP programmes/ systems The SDC portfolio in SP has been efficiently managed in order to reach high scaling-up effects	-SDC documentation linked to SP (strategies, programmes/ projects and partnerships) -SDC Thematic Networks -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Case studies
	<b>EQ18.</b> What support and guidance does SDC provide to staff on the development and the management of social protection projects or related policy dialogue components?	To assess the extent to which guidance papers and/or other support measures on aspects of social protection exist at the SDC to support staff to manage the portfolio	Programmes/projects with a SP component to the extent possible adopt a systems' change perspective Complementarity of HA and development interventions in SP have been considered Actions are taken to facilitate the establishment of sustainable and viable SP programmes/ systems The SDC portfolio in SP has been efficiently managed in order to reach high scaling-up effects	-SDC policy/ strategy papers (re. international cooperation/ development policy, SP papers) -SDC documentation linked to SP (strategies, programmes/ projects and partnerships) -SDC Thematic Networks -Relevant key personnel (SDC)	-Document review -Key informant interviews -Case studies
How is the SDC mobilising Swiss-based actors' expertise in support of social protection programmes? Is it effective and relevant in the country context?	<b>EQ15.</b> To what extent is the SDC mobilising Swiss-based actors' expertise in support of social protection programmes? Is it effective and relevant in the global or specific country context?	To provide evidence of the extent to which SDC effectively engages with CH-partners to promote social protection linkages and results within a CH-'WOGA'	SP programmes reflect and build on CH comparative advantage and domestic expertise, fostering a whole of government approach	-SDC documentation linked to SP (strategies, programmes/ projects and partnerships) -Relevant key personnel (SDC, SECO, FSIO, SEM, (FOPH, HSD), CH-NGOs, CH-private sector (insurance) partners)	-Document review -Key informant interviews -Online survey (SDC – HQ and COOF/ SCOs; NGOs) -Case studies
<b>Sustainability</b>					
How is the SDC integrating social protection measures in its	<b>EQ21.</b> To what extent do the SDC's modalities, approaches	To provide evidence of the extent to which the SDC's	SDC projects/programmes are consistent with partner	-SDC documentation linked to SP (strategies, programmes/	-Document review



EQ (ToR, section 3.4.4)	EQ (refined) proposal	EQ (refined) purpose	Objective (ToR, 3.4.2)	Source(s) of information	Data collection/ analysis
national policy dialogue? How promising are the SDC's modalities, strategies, programmes and partnerships in developing and implementing long-term solutions in contexts with high social disparities or risks? Which factors enhance the sustainability of the SDC's approaches in these contexts?	or instruments enhance the sustainability of social protection interventions (notably in contexts with high social disparities or risks)? To what extent is the SDC integrating social protection measures in its national policy dialogue?	modalities, approaches or instruments promote the sustainability of results, and the extent to which the SDC has engaged with partners to ensure SDC's results and contribution linked to social protection have been maintained and further actions taken to engage on social protection development	countries' development priorities and SDC's cooperation strategies Actions are taken to facilitate the establishment of sustainable and viable SP programmes/ systems The SDC portfolio in SP has been efficiently managed in order to reach high scaling-up effects	projects and partnerships), incl. CS Annual Reports and policy dialogue/ influencing reports -SDC Thematic Networks -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Key informant interviews -Online survey (SDC – HQ and COOF/ SCOs) -Case studies
To what extent do SDC programmes in social protection favour local/national ownership for building politically and financially sustainable social protection systems?	<b>EQ19.</b> To what extent are the SDC's strategies, programmes and partnerships contributing to developing and implementing long-term solutions in social protection and to promoting and strengthening local/national ownership for building politically and financially sustainable social protection systems?	To provide evidence of the extent to which the results and contribution achieved by the SDC in response to social protection development needs have been maintained (or further expanded)	Programmes/projects with a SP component to the extent possible adopt a systems' change perspective Actions are taken to facilitate the establishment of sustainable and viable SP programmes/ systems The SP portfolio has been efficiently managed to reach high scaling-up effects	-SDC documentation re. SP (strategies, programme/projects and partnerships), plus MERV -Policy/ strategy papers/ reports of SDC partner countries on SP -Papers/ reports of multilateral donors/ international initiatives -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Case studies
Is the SDC's development cooperation successful in preventing risks of future social or political crises?	<b>EQ20.</b> To what extent are the SDC's development cooperation interventions in social protection successful in preventing or mitigating risks of future economic, social, political or climate-induced crises?	To assess the extent to which SDC's context/ sustainability analysis and forward-planning identify/ respond to risk	Complementarity of HA and development interventions in SP have been considered	-SDC documentation (MERV) -Relevant key personnel (SDC)	-Document review -Key informant interviews
<b>Lessons learned</b>					
	<b>EQ22.</b> Which factors contribute to or hinder the effectiveness or the sustainability of the expected development outcomes in social protection?	To provide concise evidence of the key factors that facilitate or that hinder the SDC's effective engagement in regard social protection		-SDC documentation -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Online survey -Regression analysis -Case studies

EQ (ToR, section 3.4.4)	EQ (refined) proposal	EQ (refined) purpose	Objective (ToR, 3.4.2)	Source(s) of information	Data collection/ analysis
<b>Conclusions</b>					
How can the SDC's strategies, programmes and partnerships be improved in order to achieve the three goals of the social protection paper?	<b>EQ23.</b> How can the SDC's strategies, programmes and partnerships be improved in order to achieve SDC's longer-term objectives in social protection?	To provide concise evidence of the key issues for address and of the potential options in response to these		-SDC documentation -Theory of Change (SDC in SP) -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Online survey -Case studies
	<b>EQ24.</b> How can the SDC's institutional and operational approaches, instruments and processes be improved in order to achieve SDC's longer-term objectives in social protection?	To provide concise evidence of the key issues for address and of the potential options in response to these		-SDC documentation -Theory of Change (SDC in SP) -Relevant key personnel (SDC) -Relevant key personnel linked to the case studies	-Document review -Key informant interviews -Online survey -Case studies

## Annex 3: Theory of Change regarding the SDC's engagement in Social Protection



## **Annex 4: An overview of SDC's portfolio of actions linked to Social Protection**

The portfolio of 87 of the SDC projects addressing aspects of social protection consists of:

- **SDC institutional Departments/ Divisions**
  - **Institutional Partnerships Division:** 6 programmes with global coverage in the NGOs' partner countries and regions
  - **Global Cooperation Department:** 7 projects, of which 1 is GP Climate Change, 2 are GP Food Security, 2 are GP Health, and 2 are GP Migration and Development; of the 7 projects, 2 are with a global coverage, 3 are with a regional coverage (1 on Africa, 1 on North Africa, 1 on Asia), plus 2 are undertaken in a specific country (1 in India, 1 in Sri Lanka)
  - **South Cooperation Department:** 47 projects, of which 5 are in West Africa, 12 are in Southern and East Africa, 2 are in North Africa, 7 are in East Asia, 10 are in South Asia, 10 are in LAC, and 1 is of global coverage (SCBF/ E+I)
  - **Cooperation with Eastern Europe Department:** 14 projects, of which 4 are in Eurasia, and 10 are in the Western Balkans
  - **Humanitarian Aid Department:** 13 projects, of which 2 are in West Africa, 4 are in Southern and East Africa, 1 in the Horn of Africa, 1 in North Africa, 1 in East Asia, 1 in South Asia, and 3 are in LAC
- **Geographical coverage**
  - **Global:** 9 programmes/projects are global in coverage; 6 are undertaken via institutional partnerships with Swiss NGOs via SDC's programme contribution, 2 are undertaken via GP Health, and 1 via South Cooperation (SCBF/ E+I)
  - **Africa** (and Middle East): 29 programmes/projects (20 projects in 12 countries and 9 projects in 5 regions); 19 are undertaken via South Cooperation, 1 is undertaken by GP Food Security, 1 is undertaken by GP Migration and Development, and 8 are undertaken via Humanitarian Aid
  - **Asia:** 22 programmes/projects (21 projects in 10 countries and 1 regional project); 17 are undertaken via South Cooperation, 1 is undertaken by GP Climate Change, 1 is undertaken by GP Food Security, 1 is undertaken by GP Migration and Development, and 2 are undertaken via Humanitarian Aid
  - **LAC:** 13 programmes/projects (12 projects in 5 countries and 1 regional project), 10 are undertaken via South Cooperation, and 3 via Humanitarian Aid
  - **Eurasia:** 4 programmes/projects (4 projects in 3 countries), all undertaken via Cooperation with Eastern Europe
  - **Western Balkans:** 10 programmes/projects (10 projects in 4 countries), all undertaken via Cooperation with Eastern Europe
- **Social protection areas (the predominant social protection angle of projects)**
  - **Social Assistance:** 16 projects
  - **Social Insurance:** 28 projects
  - **Systems-building/ Governance/ Systemic Approach:** 32 projects
  - **Labour Market Policy:** 11 projects

## Annex 5: Portfolio of SDC projects (2013-2017) linked to Social Protection

The final portfolio consists of 87 projects, programmes and contributions ranging from Humanitarian Aid, South Cooperation, Eastern Europe, and Global Cooperation. Detailed performance assessment analysis was undertaken for 64 projects for which a suitable level of documentation was available linked to the results achieved (see Annex 12, portfolio performance assessment). Detailed statistical assessment and performance rating of 23 projects was not possible due to the limited availability of documentation to verify results achieved.

#	Number	Region	Country(s)	Project Title	SP-Focus	From <sup>1</sup>	To	Financial Volume	Importance of SP	Performance Score
1	7F00094	Europe	Albania	Alternated Education and Vocational Training (CEFA)	Labour Market	2012	2016	2.250.000	Part of component	Good (4)
2	7F00398	Eurasia	Tajikistan	Prevention of Domestic Violence in Tajikistan (PDV)	Systems Building	2012	2016	4.080.000	Part of component	Adequate (3)
3	7F00611	Africa	Benin	Appui Suisse aux Mutuelles de Santé (ASMS)	SI - Health Insurance	2012	2015	2.013.000	Major component	Good (4)
4	7F01708	Africa	Tanzania	Performance-based Health Basket Fund (HBF)	SI - Health Insurance	2015	2019	20.000.000	Part of component	Adequate (3)
5	7F02563	Global (Health)	Global	Providing for Health (P4H)	SI - Health Insurance	2014	2017	2.015.000	Major component	Good (4)
6	7F03181	Asia	Laos	National Governance and Public Administration Reform (GPAR) - Phase 3	Systems Building	2012	2016	4.850.000	Component	Good (4)
7	7F03916	Europe	Serbia	Support to strengthening Social Inclusion	Systems Building	2009	2013	2.484.000	Major component	Excellent (5)
8	7F04509	Eurasia	Kyrgyzstan	Budget Support to the health SWAp	Systems Building	2012	2019	13.815.000	Part of component	Good (4)
9	7F04516	Africa	Southern Africa region	Care and Support for Teaching and Learning (CSTL) Programme	Systems Building	2013	2018	8.260.000	Part of component	Good (4)
10	7F04913	Africa	Niger	Soutien au Dispositif National de Prévention et de Gestion des Crises Alimentaires	Systems Building	2012	2014	5.200.000	Component	Good (4)
11	7F06037	Asia	Laos	Poverty Reduction Fund (PRF)	Systems Building	2011	2015	14.720.000	Component	Adequate (3)

<sup>1</sup> From – to describes the assessed phase

#	Number	Region	Country(s)	Project Title	SP-Focus	From <sup>1</sup>	To	Financial Volume	Importance of SP	Performance Score
12	7F06349	Africa	Congo (DRC)	Programme d'appui au Système de Santé du Sud-Kivu	SI - Health Insurance	2010	2017	8.300.000	Component	Good (4)
13	7F06373	Africa	Mozambique	Microfinance / Support to community-based Credit and Savings Associations	SI - Agricultural Insurance	2012	2017	8.285.000	Component	Adequate (3)
14	7F06437	Africa	Tanzania	Social Accountability Programme	Systems Building	2011	2014	4.980.000	Component	Good (4)
15	7F06551	Europe	Serbia	Joint Programme for Roma and Marginalised Groups inclusion	Systems Building	2013	2018	8.460.000	Component	Adequate (3)
16	7F06552	LAC	Bolivia	Promotion of Micro-insurance for agricultural production (PROSEDER)	SI - Agricultural Insurance	2012	2015	2.000.000	Part of component	Good (4)
17	7F06642	Asia	Mongolia	Index-Based Livestock Insurance Project (IBLIP)	SI - Weather Risk Insurance	2011	2016	1.400.000	Major component	Good (4)
18	7F06645	Europe	Albania	UN Support to Social Inclusion (SSI)	Systems Building	2013	2016	3.500.000	Component	Good (4)
19	7F06649	Africa	Chad	Promotion des mutuelles de santé	SI - Health Insurance	2013	2016	2.500.000	Major component	Adequate (3)
20	7F06875	Europe	Kosovo	Enhancing Youth Employment	Labour Market	2017	2019	5.900.000	Part of component	Poor (2)
21	7F06976	Asia	Nepal	Employment Fund	Labour Market	2011	2017	5.996.665	Part of component	Excellent (5)
22	7F07020	Europe	Albania	Support to Roma Social Inclusion (SCSR)	Systems Building	2013	2016	3.000.000	Component	Good (4)
23	7F07207	Asia	Nepal	Safer Migration (SaMi)	Labour Market	2013	2018	13.676.000	Component	Good (4)
24	7F07295	LAC	Cuba	HAB1TAT 2 - Implementación de estrategias para la gestión local del hábitat a escala municipal	Systems Building	2013	2018	3.730.000	Component	Adequate (3)



#	Number	Region	Country(s)	Project Title	SP-Focus	From <sup>1</sup>	To	Financial Volume	Importance of SP	Performance Score
25	7F07298	LAC	Cuba	Programme to strengthen municipal capacities for local development (PRODEL)	Systems Building	2012	2014	3.000.000	Component	Adequate (3)
26	7F07311	Eurasia	Ukraine	Care Leavers Integration Programme (CLIP)	Systems Building	2010	2014	350.000	Major component	Poor (2)
27	7F07381	Africa	Tanzania	Health Promotion and System Strengthening (HPSS)	SI - Health Insurance	2010	2014	11.191.000	Component	Poor (2)
28	7F07422	Global (M&D)	Sri Lanka	Improving the protection and well-being of labour migrants and their families in Sri Lanka	Labour Market	2013	2016	3.550.000	Component	Good (4)
29	7F07524	Asia	Bangladesh	Contribution to UNDP, State Reform at Sub-District Level (Upazila Parishads)	Systems Building	2010	2016	6.300.000	Component	Good (4)
30	7F07710	Asia	Mongolia	Vocational Education and Training	Labour Market	2011	2015	4.460.000	Component	Good (4)
31	7F07768	LAC	Bolivia	Scaling-up of Programme for Disaster Risk Reduction (PDRR)	SI - Weather Risk Insurance	2011	2014	3.090.000	Part of component	Excellent (5)
32	7F07807	Africa	Southern Africa region	Rural Resilience and Integrated Risk Management (R4)	SI - Weather Risk Insurance	2014	2017	6.685.000	Component	Good (4)
33	7F07916	LAC	Haiti	Contribution to Haitian Catastrophe Micro Insurance Facility	SI - Weather Risk Insurance	2011	2014	1.250.000	Major component	Poor (2)
34	7F07934	Global (Food)	Asia	Remote Sensing-Based Information and Insurance for Crops in Emerging Economies (RIICE)	SI - Agricultural Insurance	2015	2018	8.220.000	Major component	Good (4)
35	7F07983	Africa (HA)	Mozambique	WFP Secondment(s)	SA - In-kind	2011	2013	315.000	Part of component	Adequate (3)
36	7F07994	Global (CC)	India	Climate Resilience through Risk Transfer (RES-RISK)	SI - Health Insurance	2012	2017	3.800.000	Major component	Adequate (3)

#	Number	Region	Country(s)	Project Title	SP-Focus	From <sup>1</sup>	To	Financial Volume	Importance of SP	Performance Score
37	7F08129	LAC	Honduras	Professional Training for Youth at Risk of exclusion (projoven)	Labour Market	2012	2017	6.700.000	Component	Good (4)
38	7F08183	Asia	Mongolia	Governance and Decentralisation Programme	Systems Building	2012	2015	6.814.000	Part of component	Adequate (3)
39	7F08204	Africa	North Africa	Swiss Capacity Building Facility (SCBF): contribution for North Africa	SI - Agricultural Insurance	2011	2014	2.250.000	Component	Adequate (3)
40	7F08237	Africa	Zimbabwe	Protection of Orphans and Vulnerable children (CPF)	SA - In-cash	2012	2016	10.000.000	Component	Adequate (3)
41	7F08394	Global (M&D)	North Africa	Interregional Arab Labour Migration Programme (IRAM)	Labour Market	2012	2017	1.800.000	Part of component	Adequate (3)
42	7F08438	Asia	Bangladesh	Enhancing Urban Governance	Systems Building	2012	2015	3.050.000	Component	Good (4)
43	7F08531	Africa	Southern Africa region	Regional Vulnerability Assessment and Analysis (RVAA)	Systems Building	2013	2016	6.060.000	Major component	Excellent (5)
44	7F08552	Asia	Bangladesh	Social Safety Net Transfer Modalities (SSNTM)	SA - In-cash	2012	2013	1.400.000	Major component	Adequate (3)
45	7F08596	Asia	Bangladesh	Bangladesh Micro insurance Market Development Project (BMMDP)	SI - Agricultural Insurance	2017	2021	9.950.000	Major component	Adequate (3)
46	7F08634	LAC	Bolivia	Rural Markets	SI - Agricultural Insurance	2013	2018	10.396.000	Part of component	Good (4)
47	7F08660	Africa	Great Lakes region	Support of health systems in the Great Lakes region	SI - Health Insurance	2013	2017	9.970.000	Major component	Good (4)
48	7F08664	Asia	Bangladesh	Health Insurance for Garment Workers	SI - Health Insurance	2013	2015	568.660	Major component	Adequate (3)
49	7F08679	LAC	Central America	Catastrophic Micro-insurance	SI - Weather Risk Insurance	2013	2018	6.700.000	Major component	Adequate (3)
50	7F08770	Europe	Kosovo	Improving Financial Protection and Quality of Care	SI - Health Insurance	2013	2019	2.240.000	Component	Good (4)

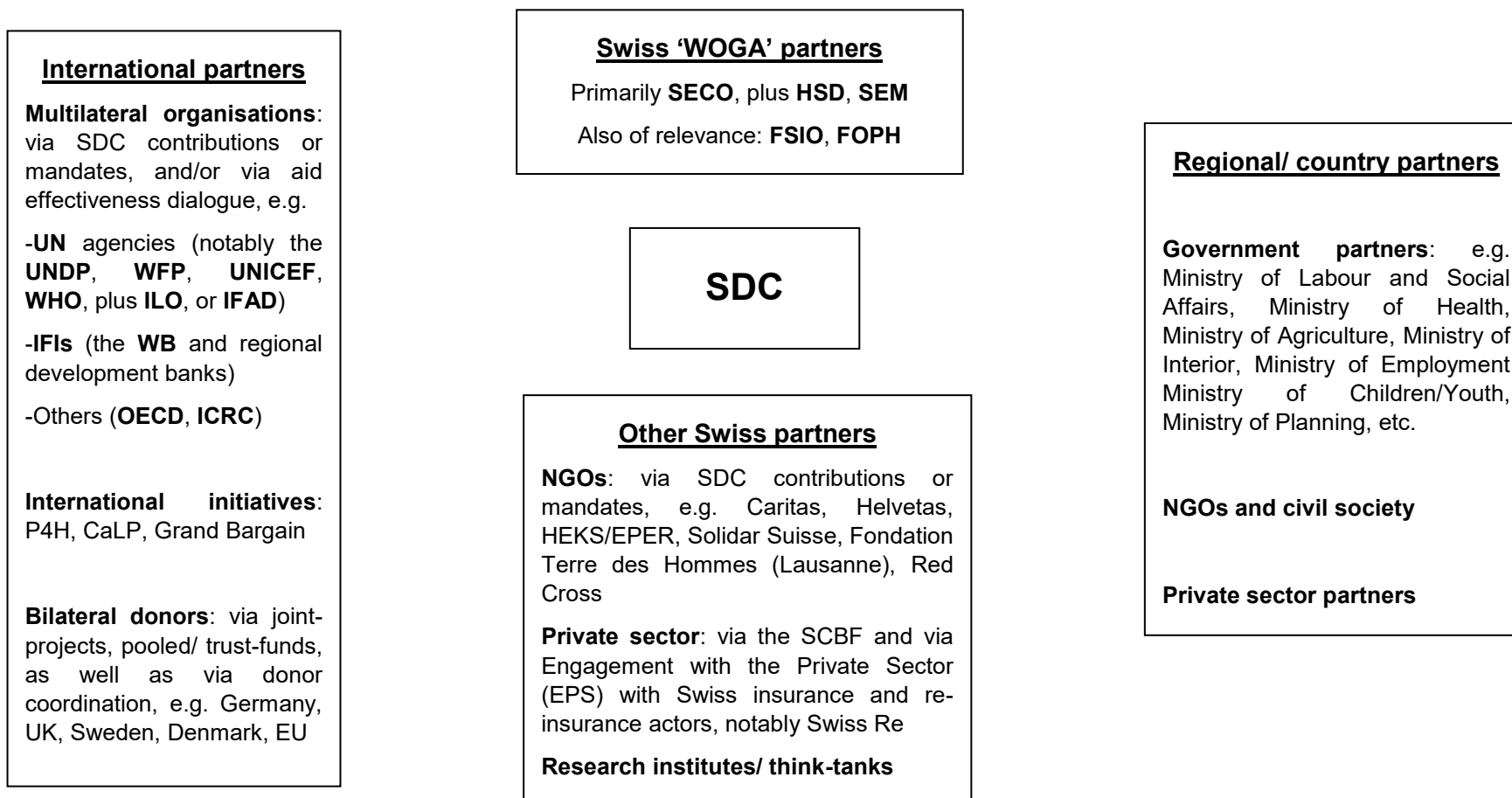


#	Number	Region	Country(s)	Project Title	SP-Focus	From <sup>1</sup>	To	Financial Volume	Importance of SP	Performance Score
51	7F09004	Africa (HA)	Somalia	Somalia Resilience Programme (SomReP)	SA - Food/cash for work	2016	2017	2.450.000	Component	Adequate (3)
52	7F09027	LAC	Cuba	Programa Plataforma Articulada para el Desarrollo Integral de los Territorios (PADIT)	Systems Building	2014	2017	5.060.000	Part of component	Good (4)
53	7F09072	Asia	Afghanistan	Labour-based Road Construction, Rehabilitation and Maintenance (LBRC)	SA - Food/cash for work	2014	2016	2.416.000	Part of component	Good (4)
54	7F09121	Africa (HA)	Mali	Renforcement de la cohésion sociale et de la résilience des populations dans les régions	SA - SHA - NEXUS	2014	2015	900.000	Part of component	Adequate (3)
55	7F09187	Asia	Mongolia	Mainstreaming Social Accountability (MASAM)	Systems Building	2015	2020	2.500.000	Part of component	Adequate (3)
56	7F09193	Europe	North Macedonia	Creating Job Opportunities for All	Labour Market	2017	2018	300.000	Component	Adequate (3)
57	7F09219	Asia	Bangladesh	Building Skills for Unemployed and Underemployed Labour (B-SkillFUL)	Labour Market	2015	2019	9.200.000	Major component	Good (4)
58	7F09244	Eurasia	Tajikistan	Civil Registry System Reform	Systems Building	2015	2019	4.000.000	Part of component	Adequate (3)
59	7F09322	Africa (HA)	Mali	Projet d'assistance alimentaire et de renforcement des moyens d'existence (PARME)	SA - SHA - NEXUS	2017	2018	300.350	Component	Adequate (3)
60	7F09498	Africa	Mali	Programme de soutien au renforcement du Dispositif National de Securite Alimentaire – PRESA	SA - SHA - NEXUS	2017	2022	5.500.000	Component	Good (4)
61	7F09572	Europe	Albania	Leave No One Behind (LNOB)	Systems Building	2017	2021	8.000.000	Major component	Good (4)
62	7F09605	Global (Health)	Global	Open source Health Insurance Management Information System (HIMIS)	SI - Health Insurance	2016	2019	1.929.000	Major component	Poor (2)

#	Number	Region	Country(s)	Project Title	SP-Focus	From <sup>1</sup>	To	Financial Volume	Importance of SP	Performance Score
63	7F09646	Europe	Serbia	Social Inclusion and Improvement of Living Conditions for Roma and other Vulnerable Groups	Systems Building	2016	2018	350.000	Component	Good (4)
64	7F09708	Africa (HA)	Congo (DRC)	Mercy Corps: alternative responses for communities in crisis in eastern DRC	SA - In-cash	2016	2017	500.000	Major component	Adequate (3)
65	7F01561 + 7F06025	Global (IP)	Global	Fondation Terre des Hommes (TdHL) programme contribution	SA	2013	2014	21.000.000	Part of component	n/a
66	7F03924 + 7F06062	Global (IP)	Global	Helvetas programme contribution	Systems Building	2013	2014	21.400.000	Part of component	n/a
67	7F03945 + 7F08544	Global (IP)	Global	Swiss Red Cross (SRC)	SI	2013	2014	18.300.000	Part of component	n/a
68	7F03950 + 7F06063	Global (IP)	Global	Solidar Suisse programme contribution	Labour Market	2013	2014	7.200.000	Part of component	n/a
69	7F03973 + 7F06060	Global (IP)	Global	Caritas programme contribution	Systems Building	2013	2014	22.100.000	Part of component	n/a
70	7F03979 + 7F06061	Global (IP)	Global	HEKS/EPER programme contribution	Systems Building	2013	2014	15.000.000	Part of component	n/a
71	7F03175	Africa	Mozambique	Support to the Health Sector (PROSAUDE)	Systems Building	2013	2016	17.790.000		n/a
72	7F05096	Africa	Tanzania	SCBF: ACRE market entrance in Tanzania to offer agricultural micro-insurance to smallholder farmers	SI	2014	2016	n/a		n/a
73	7F07650	LAC (HA)	Colombia	SHA Secondment(s) UN Agencies	SA	2011	2012	500.000		n/a
74	7F07719	Global (PPDP)	Global	Swiss Capacity-Building Facility (SCBF) for Income and Employment Generation	SI	2010	2016	6.600.000		n/a

#	Number	Region	Country(s)	Project Title	SP-Focus	From <sup>1</sup>	To	Financial Volume	Importance of SP	Performance Score
75	7F08298	Africa	Sahel region	WFP – contribution to country programmes Benin, Burkina Faso, Mali, Niger	SA	2012	2013	10.000.000		n/a
76	7F08304	Africa (HA)	Southern Africa region	WFP Secondment(s)	Systems Building	2013	2014	108.000		n/a
77	7F08312	Asia	Nepal	Strengthening Local Governance Accountability Project (SLGAP)	Systems Building	2012	2017	4.950.000		n/a
78	7F08569	Global (Food)	Africa	African Risk Capacity (ARC)	SI	2012	2016	4.500.000		n/a
79	7F08594	Africa (HA)	Sudan	Secondment Fund Sudan 2016-2017	SA	2016	2018	800.000		n/a
80	7F08738	LAC	Haiti	Programme to support the agricultural production (PAPAH)	SI	2014	2019	9.720.000		n/a
81	7F08789	Africa (HA)	Madagascar	WFP Secondment(s)	SA	2013	2014	198.000		n/a
82	7F08969	Asia	Vietnam	Pro-poor Policy Monitoring and Analysis	Systems Building	2014	2016	360.000		n/a
83	7F09316	Africa	Tunisia	Croissance Inclusive & Développement Humain (PNUD)	Systems Building	2015	2016	720.000		n/a
84	7F09373	Asia (HA)	Myanmar	WFP Secondment(s)	SA	2016	2017	602.500		n/a
85	7F09529	LAC (HA)	Colombia	WFP Secondment(s)	SA	2017	2017	234.500		n/a
86	7F09717	Asia (HA)	Pakistan	ADB National Disaster Risk Management Fund	SI	2016	2018	1.500.000		n/a
87	7F09847	LAC (HA)	Colombia	RNEC: provide legal identity for vulnerable people located in areas of FARC Demobilization	Systems Building	2017	2018	165.000		n/a

## Annex 6: Key stakeholder partners for the SDC regarding its engagement in the area of Social Protection



## Annex 7: Case study reports

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The case study reports address the following SDC projects:

7F-Number	Region	Country(s)	Project Title	SP-focus	Annex
7F00094	Europe	Albania	Alternated Education and Vocational Training (CEFA)	LMP	7.8
7F01708	Africa	Tanzania	Performance-based Health Basket Fund	SI	7.2
7F02563	Global (Health)	Global	Providing for Health (P4H)	SI	7.2
7F04516	Africa	Southern Africa region	Care and Support for Teaching and Learning (CSTL) Programme	Systems Building	7.5
7F06552	LAC	Bolivia	Promotion of Micro-insurance for agricultural production (PROSEDER)	SI	7.7
7F06645	Europe	Albania	UN Support to Social Inclusion (SSI)	Systems Building	7.8
7F06875	Europe	Kosovo	Enhancing Youth Employment	LMP	7.4
7F06976	Asia	Nepal	Employment Fund	LMP	7.4
7F07020	Europe	Albania	Support to Roma Social Inclusion (SCSR)	Systems Building	7.8
7F07207	Asia	Nepal	Safer Migration (SaMi)	LMP	7.4
7F07381	Africa	Tanzania	Health Promotion and System Strengthening (HPSS)	SI	7.2
7F07524	Asia	Bangladesh	Contribution to UNDP, State Reform at Sub-District Level (Upazila Parishads)	Systems Building	7.6
7F07768	LAC	Bolivia	Scaling-up of Programme for Disaster Risk Reduction (PDRR)	SI	7.7
7F07807	Africa	Southern Africa region	Rural Resilience and Integrated Risk Management (R4)	SI	7.5
7F07916	LAC	Haiti	Contribution to Haitian Catastrophe Micro Insurance Facility	SI	7.7

<b>7F- Number</b>	<b>Region</b>	<b>Country(s)</b>	<b>Project Title</b>	<b>SP- focus</b>	<b>Annex</b>
7F08183	Asia	Mongolia	Governance and Decentralisation Programme	<b>Systems Building</b>	<b>7.3</b>
7F08237	Africa	Zimbabwe	Protection of Orphans and Vulnerable children (CPF)	<b>SA</b>	<b>7.5</b>
7F08394	Global (M&D)	North Africa	Interregional Arab Labour Migration Programme (IRAM)	<b>LMP</b>	<b>7.4</b>
7F08438	Asia	Bangladesh	Enhancing Urban Governance	<b>Systems Building</b>	<b>7.6</b>
7F08531	Africa	Southern Africa region	Regional Vulnerability Assessment and Analysis (RVAA)	<b>Systems Building</b>	<b>7.5</b>
7F08552	Asia	Bangladesh	Social Safety Net Transfer Modalities (SSNTM)	<b>SA</b>	<b>7.6</b>
7F08596	Asia	Bangladesh	Bangladesh Micro insurance Market Development Project (BMMDP)	<b>SI</b>	<b>7.6</b>
7F08634	LAC	Bolivia	Rural Markets	<b>SI</b>	<b>7.7</b>
7F08664	Asia	Bangladesh	Health Insurance for Garment Workers	<b>SI</b>	<b>7.6</b>
7F08679	LAC	Central America	Catastrophic Micro-insurance	<b>SI</b>	<b>7.7</b>
7F09121	Africa (HA)	Mali	Renforcement de la cohésion sociale et de la résilience des populations dans les régions	<b>SA</b>	<b>7.1</b>
7F09187	Asia	Mongolia	Mainstreaming Social Accountability (MASAM)	<b>Systems Building</b>	<b>7.3</b>
7F09193	Europe	North Macedonia	Creating Job Opportunities for All	<b>LMP</b>	<b>7.4</b>
7F09219	Asia	Bangladesh	Building Skills for Unemployed and Underemployed Labour (B-SkillFUL)	<b>LMP</b>	<b>7.6</b>
7F09322	Africa (HA)	Mali	Projet d'assistance alimentaire et de renforcement des moyens d'existence (PARME)	<b>SA</b>	<b>7.1</b>
7F09498	Africa	Mali	Programme de soutien au renforcement du Dispositif National de Sécurité Alimentaire – PRESA	<b>SA</b>	<b>7.1</b>
7F09572	Europe	Albania	Leave No One Behind (LNOB)	<b>Systems Building</b>	<b>7.8</b>
7F09605	Global (Health)	Global	Open source Health Insurance Management Information System (HIMIS)	<b>SI</b>	<b>7.2</b>

## **Annex 7.1: Social Assistance (Mali)**

### **1. Introduction**

Social protection has been of relatively low political priority in Mali. The political crisis of 2012 and the negative socio-economic consequences aggravated by increasing levels of food insecurity due to frequent weather shocks have however, increased the political interest in social protection, leading to a significant increase in social protection spending over recent years (3.3% in 2011 to 5.12% in 2016 of which 30% are in social assistance/humanitarian aid, World Bank 2017). In 2016, a national social protection strategy (Politique Nationale de Protection Sociale) has been adopted with the aim to expand the coverage of contributory schemes, develop further social assistance approaches and expand on UHC while strengthening the mechanisms for financing social protection. This measure is also thought as a cost-savings mechanism for contributory programmes which - while covering only a small margin of the population - “eat up” more than half of the budget.

Despite an increase in the overall coverage rate through non-contributory schemes, such as the Jigisemejiri programme and the Régime d'Assistance Médicale (RAMED) health insurance program, 78% of the Malian population are still without any social protection coverage. This concerns in particular the rural population and informal sector workers.

The main challenges in social protection in Mali are two:

- Social assistance relies heavily on humanitarian assistance from donors which since 2012, are financing a large number of emergency support programmes, including direct food aid, cash transfers and nutrition programmes. The government (through direct food distribution) and international development partners, such as WFP, UNICEF, CICR, ECHO and SDC in 2016 have spent 0.26% of the GDP on emergency programmes.
- A large part of the social assistance programmes are emergency response programmes. Whilst they are key for tackling seasonal food insecurity, they tend to fail to provide reliable social protection against structural and poverty related insecurities and risk. The value of transfers provided and the duration of these often seasonal programmes are not enough for beneficiaries to strengthen their resilience against future shocks or escape from poverty as opposed to long-term social protection programmes.

This case study has the following projects as object of in-depth analysis<sup>1</sup>.

7F- Number	Project Title	Time- frame	Financial Volume (tsd)	LNOB/ MDG/ SDG	Main target group	Importance of SP	Performance score
7F09121	Renforcement de la cohésion sociale et de la résilience des populations dans les régions	2014-2015	900	MDG1+5	Rural poor/farmers	Part of a component	Adequate (3)
7F09322	Projet d'assistance alimentaire et de renforcement des moyens d'existence (PARME)	2017-2018	303	MDG1	Poor in general	Component	Adequate (3)
7F09498	Programme de soutien au renforcement du Dispositif National de Sécurité Alimentaire – PRESA	2017-2022	5.500		Rural poor/farmers	Component	Good (4)

## 2. Findings

Over the last decades, Mali has been exposed to a range of climatic (recurrent droughts and floods), political (conflict 2012) and economic shocks (food, fuel and financial crisis in 2008) which have severely affected its population. Monetary poverty is widespread with 44% of the population living in poverty. 75% of the population live in rural areas of which 56% are considered poor with limited resources to invest in agricultural activities.

Among those, about 3 million people are classified as being at risk of food insecurity with limited access to social assistance or social services overall. According to the March 2017 Cadre Harmonisé<sup>2</sup> factsheet, around 3.188 million people are forced to resort to negative coping strategies to move out of situations of recurrent crisis, weakening their livelihoods even further.

Most of the population has low human capital and limited capacity to diversify income sources to increase their resilience to shocks. Fertility rates remain very high (3.6%) further increasing population pressure on land, public services and infrastructure.

The political crisis in 2012 and the ensuing political conflict in the North of the country have further compounded the vulnerability of the population. The conflict has affected 3 million people across the country and has led to the displacement of around 400,000. They suffer the most from lack of assets, pressure on infrastructure and services in host communities as well as access to markets.

Whilst recurrent droughts are an enormous challenge to food security, new vulnerability assessments that take into account socio-economic and political/security factors suggest that the main structural cause of chronic food insecurity in Mali is poverty.

In order to address these complex overlap of short-term and structural vulnerabilities, the SDC development arm and the SDC humanitarian aid have embarked on a joint programme in support of the realisation of the National Food and Nutrition Policy. The programme (Programme de soutien au renforcement du Dispositif National de Sécurité

<sup>1</sup> The case study does not encompass the whole number of projects that have a nexus-angle in this case study. Our sample overall contains 4 projects categorized "SA-SHA-Nexus" altogether (7F04913 Niger).

<sup>2</sup> The cadre harmonisé is a vulnerability assessment tool that provides information on food and nutrition security on an annual basis.



Alimentaire – PRESA) aims at strengthening the food and nutrition security of the most vulnerable population groups, especially in the most vulnerable regions in the North by combining and aligning social protection policies and humanitarian interventions with the overall goal of strengthening food and nutrition security and resilience in Mali.

**PRESA** (*Programme de soutien au renforcement du Dispositif National de Securite Alimentaire*) is based on a three-pronged approach based on 1) institutional strengthening with the aim to increase planning, operational, management and monitoring capacity of the DNSA (Institutional arrangement for national food security) to ensure a more integrated, efficient and effective approach in guaranteeing safe and adequate access to food for the most vulnerable population groups in response to a changing socio-economic and climatic changes; this also includes a broadening of vulnerability indicators to identify food insecure population groups as well as the reduction of food stock relief towards a stronger deployment of cash transfers, 2) prevention/crisis management: If a choc occurs, households are provided with cash and in-kind transfers through a targeted and coordinated approach by the DNSA, 3) strengthening the resilience of the local population through a decentralisation of the DNSA emphasizing a bottom-up, multi-sectoral approach to food and nutrition security policies and approaches that are context specific taking account of regional diversities and being based on a well-functioning multi-level governance system in order to improve policy coherence and complementarities across sectors at national and local level. This also includes social protection policies. The Swiss contribution is part of a wider donor basket to support the DNSA, including SIDA, EU, Belgian Cooperation and West-African Development Bank.

The programme is a follow-up of two humanitarian aid projects, *Renforcement de la cohésion sociale et de la resilience des populations dans les regions di Mopti e di Gao* and *PARME* (projet d'assistance alimentaire e de renforcement de moyens d'existence) - a programme of the SDC humanitarian arm targeting vulnerable communities in the north of the country facing conflicts with migrants and returning refugees over natural resources (water, land).

The overall aim of the programme was to prevent intra- and inter-community conflicts via a two-pronged approach focusing on strengthening community cohesion via the development of alternative conflict solution mechanisms, and support for strengthening livelihoods, food security and empowerment of the vulnerable population via skills-training, micro-credits and cash transfers.

Whilst PARME continued to provide food aid during drought emergency, it engaged in the provision of seasonal cash-transfers to food insecure households in the context of the national emergency cash transfer programme Jigisemejiri supported by the World Bank.

At an institutional level, PARME has supported the National Food Security Commission in the development of a National Food and Nutrition Security Policy and a national response plan including also support for its coordination. The policy underlines the need to improve food and nutrition security of the Malian population in particular of the most vulnerable population groups, as well as strengthen their resilience to food and nutrition insecurity in the long term. To this end, the policy emphasizes the need for a better coordination and alignment of nutrition and social protection policies as well as policies aiming at increasing the resilience to food security.

During the second phase of the project, SDC supported the provision of complementary measures aiming at strengthening livelihoods beyond food and cash transfers, including (small scale horticulture production, kit for animal rearing, etc.)

## 2.1 Relevance

The SDC approach is closely aligned with a range of national policies aiming at sustainably strengthening food and nutrition security and resilience to future shock by a

combined multi-sectorial approach aiming at a better coordination and alignment of short-term humanitarian responses and long-term approaches addressing the structural causes of food and nutrition vulnerabilities. Among the specific sectoral policies concerned, including National Food and Nutrition Security Policy, the National Response Plan, the National Nutrition Policy, the National Programme on Climate Change Adaptation, the National Policy on Humanitarian Action and the National Agricultural Policy, PARME makes reference to the National Social Protection Policy of 2016, in particular to the second pillar of the strategy which directly relates to food and nutrition security ("Prevent shocks and crisis situation, reduce and mitigate their impact on the vulnerable population groups and support access to nutrition for households prone to food and nutrition vulnerabilities.")

Beyond that, PRESA is well aligned with the National Growth and Development Plan (CREDD) 2016 – 2018 aiming at promoting inclusive and sustainable growth in order to reduce poverty and inequality in a unified and appeased Mali. The programme references to SDG1, SDG4 and SDG 3, SDG 8 and SDG 16 on peace, justice and inclusive development and effective institutions.

With regards to SDC-strategies, the programme puts into practice one of the main objectives of the Swiss Development Strategy for Mali 2017 -2022, i.e. a closer alignment and integration of development and humanitarian assistance around the themes of nexus, peace and reconciliation as well as sustainable development and growth in the country. The stronger integration of activities across DC and HC shall also increase synergies within SDC's work in Mali based on an envisaged division of labour in which development is focusing more on structural and chronic risks and vulnerabilities while humanitarian aid zooms in on temporary crisis and shocks.

The thrive for a stronger alignment also shows in a slight re-adjustment of national development priorities from the previous country strategy emphasizing the role of food security (humanitarian aid) and peace and reconciliation (human security/protection). The three priority areas - 1) rural development and food security, 2) education and 3) governance and peace - are well aligned with the priorities of the Malian government and the main technical and financial partners and also reflect the goals of the Swiss programme for the Sahel of the Swiss Foreign Department as well as the Swiss Department for Migration.

Beyond that, PRESA fits well into the SDC Humanitarian Aid Cooperation Strategy West Africa 2013–2016 which has as its overall goal to "contribute to reduce the impact of crises and ensure greater respect for human rights through the building of resilience of the most vulnerable and better protection of the civilian population" and more particularly, the resilience building domain of the strategy, which states as its strategic objective "The most vulnerable segments of the population benefit from social safety nets (e.g. C&V, food for assets programmes, insurance), which are developed and put in place; their resilience is strengthened."<sup>3</sup>

## **2.2 Effectiveness**

In the context of the three consecutive interventions, SDC has supported the provision of emergency food and cash transfers via two NGOs in the conflict-prone areas of Central and Northern Mali in the context of the national safety net programme Jigisemejiri which so far has been mainly operating in the South of the country, thereby contributing to a scale-up of the programme to the Central and Northern part of the country and thus,

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<sup>3</sup> Swiss Agency for Development and Cooperation (2014) SDC Humanitarian Aid Cooperation Strategy West Africa 2013–2016, Bern: Federal Department of Foreign Affairs FDFA

complementing the distribution of food in an emergency context. In addition to 350, 000 people getting access to food, 62, 000 persons were reached by cash transfers.

The targeting exercise on which the distribution of cash and food transfers was based, has provided an important contribution to the expansion of data on vulnerable population groups in the North and Centre of the country. Although not all of these people are entitled to cash transfers in the context of Jigisemejiri, the exercise has provided important contribution towards the creation of a unified social registry (registre unique) as foreseen in the National Social Protection Policy. According to the World Bank, around 75,000 households are enrolled so far.

The unified registry shall also help to better coordinate different types of assistance (short-term emergency (food) aid to address seasonal food insecurity with long-term measures addressing structural causes of food insecurity) and allow for better monitoring and evaluation of social protection and emergency aid provided. By combining short-term emergency aid, longer-term cash transfers interventions and complementary measures aiming at strengthening the livelihoods of the population, the SDC intervention provides an important lab for testing an integrated approach.

SDC interventions appear to reach the most vulnerable population groups. This is all the more the case, as the geographic focus of the interventions are the North and Centre of the country where security issues continue to be a major concern. Interventions aimed at addressing structural poverty and food security issues would not have been implemented otherwise, in particular Jigisemejiri.

Moreover, the different types of delivery schemes for cash transfers tested during the programmes preceding PRESA provided important information for the Jigisemejiri on alternative delivery mechanisms of cash transfers in fragile contexts (another nexus-moment).

The national strategy includes social protection indicators to follow up on the outcomes of PRESA. At programme level, no specific data collection is being done as to quantify the contribution of SDC to the expansion or strengthening of the national social protection policy.

In terms of intervention tools, SDC support is focused on the technical and financial support, as well as capacity development. Whereas SDC is a major player in the domain of food security enjoying a high reputation with government, there seems to be not much engagement of SDC in terms of policy dialogue from the social protection angle.

### **2.3 Efficiency**

The creation of a food security mechanism at local level that links short-term and long-term measures has a great potential to function as a lab for national scale-up. In 2017, the farmer households in the Swiss intervention zones were able to come up to 85% of their food intake on their own which meant an increase of 5% from 2016. This was also due to the implementation of peaceful conflict resolution mechanisms over the access to natural resources. In the context of PARME 350,000 people received food aid and 38,000 people were able to get their land and natural resources back (among them 15,000 returnees). 62,000 people received cash transfers from the national social cash transfer programme.

However, security and conflict issues are a major challenge for delivering programme components, especially in the intervention zones of SDC (Centre and North of the country) where terrorist groups and armed groups are still present. The major challenge is that these groups are often part of the local setting and thus interfere with targeting processes as well as the distribution of cash or food transfers. The foreseen participation

of local actors and communities in the targeting exercise in the context of new programme DRSA is perceived as an important means to reduce tensions and increase cohesion. The experience of the PARME programme in terms of integrated conflict-sensitive approaches is expected to mitigate this risk. The reliance on local actors and partners with which the previous programme has already worked with, in particular in delivering the cash transfers, is important.

An important barrier to the realisation of the national food security framework is the fact that the government's capacity to lead the process is rather constrained. This is compounded by the fact that – although government shows strong political commitment – international players are not taking a coordinated approach in supporting government, substantially slowing down the process.

## **2.4 Sustainability**

The concept of nexus itself is an important attempt towards more sustainable solutions. The move towards a stronger combination of short-term food assistance, long-term cash transfer programmes and complementary measures, including cash for work and skills-development is an important precondition to create more sustainable food and nutrition security, also by strengthening the livelihoods of the people and render them more resilient to future shocks.

SDC interventions show that alignment between emergency and routine social protection is taking place through

- Piggy-backing: The use of NGOs delivering food emergency aid in order to deliver the Jigisemejiri in the context of PARME in the North of the country, for example.
- Shadow-alignment: The shadow-alignment between emergency and routine cash transfers in terms of the selection of geographical areas, transfer value, household ID and household listing<sup>4</sup> enables to better link annual seasonal assistance provided by humanitarian actors to the government's long-term national social protection system, and eventually to relieve humanitarian agencies of having to provide income support as a contribution to addressing seasonal food insecurity and chronic malnutrition. This has also provided an important contribution to the creation of a single social registry (registre unique).
- Beyond that, emergency aid components provide an important contribution to institutionalize and strengthen social protection schemes, example by testing different transfer modalities or different vulnerability assessments as a basis for larger targeting exercises.

However, in a situation where the national social protection system overall just begins to expand and develop both in terms of coverage and types of support provided – the Jigisemejiri currently covers 2% of the population - implementing shock-responsive social protection approaches, for example by piggy-backing emergency response on the programme, is premature.

In this situation, the current reality of Mali with its large dependence on almost permanent emergency support will still be there for a while. An important step to realize a nexus approach and guarantee sustained development would thus be to support the government to expand the routine programme.

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<sup>4</sup> NGOs delivery emergency support expanded the targeting exercise to identify vulnerable households by the targeting criteria used in the Jigisemejiri, for example data on household assets and income source.

### **3. Lessons learned**

- The Malian context provides an interesting environment to test a nexus-approach, as there is a strong interest to better align emergency and development aid on government and development partners side. A range of positive examples exist where the nexus is already put into practice.
- However, the overall weakness of the social protection scheme in terms of coverage and types of risks covered render the realisation of a well aligned and broad-based adaptive social protection scheme a long-term perspective. The step towards a unified information system or aligned targeting approaches is important in this respect, also to avoid duplications.
- SDC is a strong player in putting a nexus approach into practice which also involves a harmonisation of the aid architecture; however, challenges for its realisation also lie within the international aid architecture in particular in the humanitarian field, where visibility and value for money principles are barriers for increased harmonisation.
- Whilst SDC has a prominent role in the food security architecture in the country, it does not engage in the social protection debate. Given the aim of the programme of strengthening the nexus approach in a more systemic way a stronger engagement in the political dialogue on social protection and the alignment of emergency and common social protection strategies would be very important. Herein and based on its strong involvement in food security cum nexus, SDC could also develop a leadership role.
- SDC should also consider a stronger direct investment in social protection to support the expansion of the national social protection architecture, also with a long-term perspective on a potential reduction of emergency aid expenditure in the country.
- This would also raise the visibility of its lab-approach in terms of realizing a mix of short-term and long-term approach with accompanying measures at the local level for replication at national scale.

## Annex 7.2: Social Insurance (Tanzania)

### 1. Introduction

Apart from low quality of services, the low coverage rate is one of the major challenges in social protection in Tanzania. Less than 1 per cent of the entire population and about 6.5% of the formal working population are covered by some form of social protection. Almost the entire informal sector is not covered by any form of formal social protection (ILO, 2017).

As a result, the topic has emerged as a key area of concern in Tanzania's macro-economic policy frameworks and poverty reduction strategies. Aiming at preventing 'unacceptable levels of socioeconomic insecurity and deprivation' (MoF, 2010:81<sup>1</sup>) social protection policies are mainly targeted to provide assistance to vulnerable and needy groups, including orphans and vulnerable children, people with disabilities or elderly.

Major social protection interventions in Tanzania are two:

1. The Productive Social Safety Net (PSSN): The programme, initiated in 2012, is the flagship social protection programme of Tanzania and is implemented by the World Bank supported Tanzania Social Action Fund (TASAF). The PSSN has at its core a conditional cash transfer programme complemented with public works and livelihoods enhancement. It provides cash transfers to poor and vulnerable households in Tanzania conditional on their use of health and education services along with opportunities to earn additional income through public works and livelihood. In 2015, the project experienced a massive scale-up from 250,000 households to 1.1 million households (10.5 per cent of the population) in Tanzania.
2. Community Health Funds: They have been established as an alternative to the fee-for-service scheme and are being managed by the National Health Insurance Fund (NHIF). Currently only 29 districts out of 72 have access to this programme and to the matching grants from the Ministry of Health and Social Welfare. Coverage continues to grow but remains feeble, lying at 12 per cent of the households in pilot region. In 2018, the CHF model developed by HPSS has been adopted as national policy and is now being scaled-up nationwide (185 districts).

Beyond that, there are broader social security, labour market and health financing policies implemented, including a major reform of the health financing policy in the context of a sector wide approach. In both, the community health funds (CHF) and the health financing policy Swiss development cooperation is closely involved.

Since 2008, Tanzania has developed a National Social Protection Framework. While the document has been finalized in 2016, it was not approved by cabinet. Instead, government has integrated social protection issues into the Second Five Year Development Plan (FYDP II) aiming at increasing the coverage and sustainable financing of social protection. However, this has raised concerns about the political and strategic commitment of the current government to take on leadership on this issue, also in view of the central role of donors in providing technical and financial support for establishing social protection in Tanzania.

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<sup>1</sup> Ministry of Finance and Economic Affairs. 2010. United Republic of Tanzania: National Strategy for Growth and Reduction of Poverty II. Dar es Salaam: Tanzania.

Object of this case study are the following projects:

7F- Number	Project Title	Type of SP- Intervention	Time- frame	Financial Volume (tsd)	Swiss Expertise	LNOB/ MDG/ SDG	Main target group	Importance of SP	Performance score
7F01708 Tanzania	Performance-based Health Basket Fund (HBF)	SI - Health Insurance	2015-2019	20.000	none	MDG4+5+6	Poor in general	Part of component	Adequate (3)
7F02563 Global	Providing for Health (P4H)	SI - Health Insurance	2014-2017	2.015	none	MDG1+4+5	Poor in general	Major component	Good (4)
7F07381 Tanzania	Health Promotion and System Strengthening (HPSS)	SI - Health Insurance	2010-2014	11.191	Swiss TPH	MDG4+5+3	Poor in general	Component	Poor (2)
7F09605 Global	Open source Health Insurance Management Information System OpenIMIS	SI - Health Insurance	2016-2019	1.929	Swiss TPH	MDG4+5+6	Universal (no specific target group)	Major component	Poor (2)

## 2. Findings

Since 2004, SDC is involved in the health sector in Tanzania with a variety of programmes all aimed at increasing equitable access to and use of quality health care services. Through enhanced community participation health promotion and disease prevention shall be strengthened. The approach involves a two-level support strategy providing direct support to the Ministry of Health and Welfare to strengthen the health system and by implementing projects to improve health care and services.

Beyond the health domain, SDC's interventions in governance also address health issues and complementing the health interventions. Strengthening social accountability mechanisms at the local level contributes to increased public accountability and service delivery thereby providing more efficient services and reducing corruption.

Although employment and income has substituted agriculture as a new priority area in the most recent Swiss cooperation country strategy (2015 – 2018), health and governance remained as priority areas emphasizing the importance of access to good quality services as a means for equitable and inclusive growth.

Within regards to social protection in health, SDC has a range of relevant programmes being implemented in Tanzania. The Health Sector Reform Support Programme or Health Basket Fund (HBF) to support the implementation of the national health strategy, the Health Promotion and System Strengthening Project (HPSS) in Dodoma implementing community based health insurance<sup>2</sup> and two complementary global initiatives supported by the Global Programme Health, i.e. Providing for Health (P4H), a global network supporting the Ministry of Health and openIMIS initiative (an open source Health Insurance Management Information System) which is informed by and developed thanks to the experiences and lessons learnt from the locally implemented HPSS programme.

<sup>2</sup> The development of community based health insurance schemes for the informal sector in rural areas (*mutuelles de santé*) in various countries, including Chad, Benin, Rwanda, DRC with the aim to improve quality of health and contribute to the expansion of universal health coverage.

**(Health Basket Fund):** The Health Basket Fund (HBF) was created in 1999 as a pooling mechanism of donor resources to support the implementation of the national health strategy. Aimed at improving the health status of the Tanzanian population, the funds were mainly used for health care services delivery at local government level. The choice for budget support as a financing mechanism was based on the idea that this would provide an incentive for the Tanzanian government to improve overall performance in health. The Health Basket Fund has been redesigned in 2015 as a performance-based health financing instrument to address the primary weaknesses of the past phases.

**Health Promotion and System Strengthening Project (HPSS):** The programme aims at improving the health of the Tanzanian population in three regions (Dodoma, Morogoro and Shinyanga). Based on a comprehensive approach that tackles supply and demand aspects of health systems, they shall become more responsive to health needs and demands. In the context of social protection three pillars are particularly relevant: 1) the development and expansion of community health funds (CHF) working towards universal access by removing financial barriers to accessing health care and 2) development and utilisation of the Insurance Management Information System (IMIS) for transparent and accountable management of CHF insurance scheme (enrolment of CHF members, validity status of members and processing of insurance claims) and 3) the development of social accountability mechanisms to increase the quality of health care services at local level by raising the awareness of local population groups of their health needs and enabling them to influence district health planning (health promotion). The programme has started 2010 and currently runs in its second phase.

**Providing for Health (P4H):** Providing for Health is a global network of multi- and bilateral development partners and banks, who are supporting countries in developing effective, efficient, equitable and sustainable health and social protection systems for better social health protection (SHP), in particular for the poor and other disadvantaged populations (WHO, ILO, WB, AFDB, Germany, France, Switzerland, Spain and the United States of America). P4H is based on the principle of multi-sectoral collaboration and knowledge sharing among P4H countries involved in reform-efforts and those P4H countries already having experience in moving towards Universal Health Coverage and social health protection. The P4H Network has been active in Tanzania with 3 bi-lateral (Germany, Switzerland, USAID) and 2 multilateral (WB, WHO) partners since 2011 as well as a fulltime country P4H focal person funded by Switzerland and implemented through a GIZ staff. The focal person is in charge of aligning activities among stakeholders (including the HBF and the HPSS) and support the government around the subjects of social health protection, health financing and public financial management in the country.

**Open source Health Insurance Management Information System (IMIS):** The Global Programme Health has as one of its goal to advance universal health coverage through policies and initiatives fostering sustainable health financing. One specific objective to achieve this goal is the expansion of social health protection mechanisms to include poorer populations. Based on the experiences of the Health Insurance Management Information System in Tanzania (in the frame of the HPSS programme), an open source system (open IMIS) was initiated in 2016 in order to make available worldwide an affordable, cost-effective and modular ICT solution, downloadable and customizable to anyone and for any purpose.

## 2.1 Relevance

Given the lack of coverage as well as the low quality of health care service in the country, the programmes are of high relevance to the country's needs, all the more as they target the most vulnerable and poorest population groups.

The focus on rural areas both in the context of the HPSS and the HBF is highly relevant given the particularly low quality of health services in rural areas. Using a comprehensive and integrated approach towards health systems strengthening by mixing supply and demand-side measures in order to address both quality aspects as well as high-out-of-pocket expenditure, the HPSS can be considered an innovative approach. From a social health protection point of view in particular, the development of community based health insurance schemes is highly relevant as an innovative mechanism to reaching universal health coverage (MDG1, MDG 4 and MDG 5, SDG 3). The implementation of the HPSS



approach in Dodoma and the two new regions of Morogoro and Shinyanga is also in line with the geographical focus of Switzerland in Tanzania (Central Corridor).

The co-existence of bilateral and global programmes and/or international initiative, such as P4H in Tanzania creates strong synergies and cross-fertilization of project interventions, e.g. the national health financing reform in the context of HBF is being supported by P4H while the Insurance Management Information System developed by the HPSS has been the basis for the development of an open source version.

SDC's health interventions are closely aligned with the Health Sector Strategic Plan IV 2015-2020 and the National Development Plan II 2015-2020. They fit well with the Swiss Cooperation Strategies (2011 – 2014; 2015 – 2020) which both have health systems strengthening as the overall objective of the health domain. The drive towards universal access to health care - albeit to a different degree - lies at the heart of all four interventions. As such programmes have a clear link to 2030 Agenda, in particular SDG 3.

The community based health financing approach has created a strong ownership from both communities as well as local and national authorities. Despite many challenges and problems with the approach, CHF played an important role in informing the policy level and generating a lot of political interest: Upon request of the government, other donors have developed variants of the CHF scheme in other regions, including GIZ and Pharm Access by the Dutch government.

The open Health Insurance Management Information System (IMIS) developed in the frame of the bilateral HPSS programme is highly relevant in the health sector in Tanzania and fit for task. IMIS in particular could be a key tool towards rolling out of CHF nationwide as the government does not own software for this.

## **2.2 Effectiveness**

All four projects have produced important outcomes in the health domain. With regards to HBF, the most notable impacts and benefits from this sector support included significant improvement in child survival (achieving MDG 4) and elimination of malaria, as well as an important reduction of out of pocket expenditures. The HBF also played a role in supporting the social health insurance as the HBF money was used to finance the community health fund matching funds. Although regional differences are still large, greater equity was reported for many indicators, with some notable exceptions such as stunting levels in children and skilled birth attendance<sup>3</sup>.

The HBF has played a crucial role in making administrative and financial decentralization by devolution effective by channelling resources directly to health facilities at local and district level. It strengthened the use of government management systems with improvement of public finance management (PFM) thus enhancing local government's accountability. As a result, in 2015, 92% of the 169 LGAs received an unqualified audit report. Furthermore, local governments improved management of public funds by using progressively IT tools in planning, budgeting and expenditure reporting. The programme works closely with the governance domain aiming at strengthening the social accountability of the communities in order to demand better quality services, especially in the areas of maternal and child health, reproductive health, rights, roles and responsibilities in the reformed health system. However, HBF had limited impact on strengthening the health system and improving utilisation of Tanzanian people of quality health services, as shown by health workforce, and service delivery indicators. One of the

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<sup>3</sup> Stunting decreased from 50% in 2015 to 34% in 2018. The number of skilled birth attendance increased to 62%.

major reasons for this limited progress appears to lie in the sector wider approach aid modality which did not provide direct incentives to Government of Tanzania (GOT) to improve performance and quality in service delivery. As a consequence, in 2015, the Health Basket Fund has been redesigned as a performance-based health financing instrument to addresses the primary weaknesses of the past phases.

Under support of P4H network partners in Tanzania, a Health Sector Financing Strategy (HFS) was developed in a multi-sectoral and multi-stakeholder approach between 2013 and 2015 but not yet approved by parliament. The draft HFS has gone through various revisions and adjustments based on actuarial reports and government reviews, supported by the P4H focal person. The latest official draft dates to January 2017 proposing the creation of a Single National Health Insurance (SNHI).

With regards the HPSS, the CHF is clearly the most relevant aspect. The revised model of CHF in phase 2 allows portability (enrolled patients can access any health facilities of the region) and enable health facilities to be directly reimbursed according to services provided. This system has boosted health insurance coverage in the region and increased motivation of health workers. This was possible – amongst other things - thanks to the development of the Insurance Management Information System (IMIS). This has given much visibility to Switzerland for its contribution in improving CHF data management. The reformed model of CHF has also found entrance in the proposed Health Sector Financing Strategy.

In terms of coverage in the first phase, 425'000 households and more than 2 million Tanzanians living in rural areas were covered by a health insurance and therefore have access to health services against a moderate insurance contribution at any accredited health facility of Dodoma region meaning an increase in coverage in Dodoma region from 4% to 14% between 2011 and 2014. The CHF is reaching its intended target group, in particular the poor and vulnerable (inclusion), women, children, the elderly and youth.

Despite increase in coverage and expansion, progress made is very limited, in particular when measured against the resources that have been put into the CHF component which has consumed most of the HPSS budget. A particular challenge is the low rate of renewal rates of health insurance policies after one year. While budgeted as about one third, CHF was found to be consuming well over 50% of resources.

A mid-term review of the (2018) highlighted as one of the major challenges of the programme that output and outcome indicators do not match, being unrealistically high (e.g. envisioned coverage rate of CHF of 30%) or simply lying outside the influence of the programmes, such as high increase in coverage rates. At the same time, a lot has been done in the project in terms of systems strengthening and capacity development but is not accounted for.

The HBF provided a clear contribution to the scaling-up of reform processes at national level and had a major impact on the decentralization of health care services to local government. In this respect, the budget support approach was very innovative in putting a comprehensive reform on track. However, the sector wider aid modality also appears to have created some disincentives on part of the Government of Tanzania (GOT) to improve performance and quality in service delivery. The new aid modality in place since 2015 based on performance-based management seems to have increased the overall performance and ownership by the Tanzanian government.

IMIS has a clear potential for scale-up. However, for political reasons (tension between de-centralised approach of CHF and tendencies to re-centralize health at the political level) this reform endeavour was stopped. Beyond political reasons, the independent mid-

term review also hints at considerable actuarial, managerial and institutional challenges of the IMIS in its current form that need to be closely looked at before a national roll-out.

With regards to P4H the support is highly relevant in advocating and promoting to government stakeholders and parliamentarians around the adoption of the 2017 HFS and the proposed bill for a Single National Health Insurance (SNHI), all of these efforts aiming at advancing universal health coverage. Its significance has further increased with the Agenda 2030 and SDG3. It is also of relevance as an implementation model aiming at improving multi-stakeholder collaboration towards UHC. For SDC P4H is a good example of systematic cooperation and synergies between SDC's Global Programme Health and bilateral programmes engaged in health to increase effectiveness and create visibility for the Swiss commitment.

In terms of development intervention tools, SDC is a strong player in social health protection being strongly engaged in national and global policy dialogue on health. Among many other things, SDC chaired the Development Partners Group for Health between 2016 and 2017 and facilitated the Joint Annual Health Sector Review (JAHSR) together with the government. Switzerland represents DPG Health in the Parliament Budget Sessions and the national Results Based Financing Steering Committee.

### **2.3 Efficiency**

In terms of efficiency, the programmes, in particular HPSS do not perform particularly well. Whilst overall progress in terms of coverage is considerably low, the costs for managing the CHF are still very high with project officers at local level continuing to micro-manage the fund managers. This leads to unsustainable administrative overhead in the health insurance component (which is higher than the collected premium), also due to an administrative system that is rather heavy and expensive to administer.

The introduction of the IMIS was supposed to improve the efficiency of CHF insurance scheme. However, not all data were inputted into the data base by the end of phase 2. Another major issue in terms of efficiency was the increase in the uptake which can be considered rather poor. Whilst this is also linked to the low quality of services provided, there was a (near) absence of social marketing and modern behaviour change communication materials and approaches in order to increase roll-out and up-take. During Phase 2 the project partner, the Swiss Tropical and Public Health Institute has produced publications mentioning these weaknesses. However, the project approaches only changed marginally.

The implementation of the programme through the Swiss Tropical and Public Health Institute worked quite well. However, in the latest mid-term review there were some doubts raised whether the overall institutional structure of the HPSS with the technical experts and component leaders based in Switzerland would be the most efficient model to implement the programme. Whilst there was no question about the excellence of the Tanzanian national advisory team, there were some doubts whether a strong field presence of the international experts might have been beneficial.

With regards to the IMIS the programme has been very innovative in terms of creating a data-base with a lot of medical and socio-economic data that will be very helpful for a national scale-up of CHF. However, the data-base has still a lot of technical problems. Whilst being organic and thus, being very flexible in fitting the local purposes and needs the scheme will have problems in terms of interoperability with other relevant data bases as well as to other mobile devices, like Mpesa. In addition, the question of storing sensitive health data has not been adequately addressed so far.

With regards to P4H, its institutional structure at country level, i.e. the country-based network comprising national stakeholders (e.g. different ministries) and P4H partners active in the country, ensures a smooth development and implementation of health reforms at local level through coordinated technical assistance, capacity building and other means. This model allows for a flexible, tailored and integrated P4H approach. This was also the case in Tanzania where the P4H country focal point has played a major role in providing technical support for the National Health Financing Strategy. Delays in the development of the strategy were mainly due to the lack of political will and commitment both on the government side and other donors. The multi-stakeholder structure is an important platform to align different interests but it clearly also creates inefficiencies, in particular with regards to aligning different donors' operational and financial reporting schemes.

Similar to P4H, the Health Basket Fund did provide good results: The HBF has mainly disbursed money to the local district councils (83% of the allocated budget) thereby improving the efficiency as local governments are directly responsible to improve community access and use of primary health services. As 90% of Government block grants are allocated to human resources, the HBF is virtually the only reliable and flexible source of funding for the provision of health services at local level. Although reporting and M&E continue to be weak, reports show that councils have improved their capacity to absorb funds (from 86% to 96% acceptable funds utilisation in 2012/13 and 2014/15 respectively). The main challenges cited by the Councils for not implementing all activities are still linked to the delay of funds disbursement as well as cumbersome procurement processes.

However, overall the General Budget Support (GBS) strategy has gradually lost significance over the last few years in Tanzania due to its disconnection from the poverty reduction agenda and the lack of evidence on poverty reduction through this modality. Shortcomings in quality and timeliness of reporting improved little over time. Recent cases of public fund mismanagement further discouraged donors to support this aid modality. The introduction of results based financing mechanisms in the health sector since 2015 has paved the way for redesigning a HBF into a performance-based funding modality for primary health care service delivery. It is hoped that this will stimulate evidence-based planning and budgeting as well as improve accountability.

## **2.4 Sustainability**

With regards to the HBF the new performance-based modality is hoped to increase the sustainability of the intervention, also because it will provide an important incentive to the government to show more political and financial commitment. From the comments received on an earlier draft of the case study, it appears that the new modality is already bearing fruits. In terms of lessons-learned for other countries, P4H could be an important multiplier platform to share experiences as well as the SADC of which Tanzania is a member.

With regards to CHF, the development of the CHFi (improved CHF), a new model of community based health funds that brings together the best elements of all the three variants, has led the Tanzanian government to decide on a national scale-up of the model which is currently implemented nationwide by President's Office Regional Administration and Local Government (PORALG) supported by GIZ, SDC and Pharm Access.

With regards to IMIS there are good chances that the software will be used for national scale-up of the model, as it provides a highly innovative data management system for micro-health insurance. However, the longer the national scale-up of CHF will take the

greater are chances that newer, faster and cheaper software may be produced by competitive private companies in this domain.

Sustainability concerning P4H achievements so far is mainly related to the limited political commitment of national leaders for UHC and insufficient investment of domestic resources as well as high governmental staff turnover.

With regards to the P4H structure itself at global level, there are signs that the long-term financing of the P4H network might be threatened. What is more there is a tendency that P4H partners in their country support increasingly lack coherence and coordination. Finally, while the flexible and results-oriented structure of P4H is part of its success, the growth of P4H also requires some formal changes to its governance structure in order to be sustainable. A working group is considering various options. These will also include a more binding commitment from P4H partners to collaborative work both at country and global level.

### **3. Lessons learned**

- The strong synergies created across bilateral programmes and global initiatives (P4H) and across different domains (Health and social accountability) towards universal health coverage and health systems strengthening are one of the success factors of the Swiss intervention in the health sector in Tanzania and contributed significantly to its effectiveness.
- Switzerland has a lot of in-country know-how and expertise on social health protection that may contribute to the success of social health protection or universal health coverage in other countries by providing innovative solutions that fit the context.
- The fact that SDC contracts out a lot of the technical components to partner organizations has also negative repercussions as it appears to delay necessary programme changes or learnings, as for example in the HPSS programme. This would however, require a stronger presence or monitoring effort of SDC in the delivery of their programmes through partner structures which – give the chronic resource constraints – is clearly challenging to realize.
- The in-depth expertise of SDC in the social health protection domain enables SDC to be a strong player in the national policy dialogue with partner governments and also other donors and international partners. It also allows for a more strategic orientation of specific domains or priority themes at country level.
- Sandwich approach of working both on the strategic political (central) level and the (local) implementation level to show-case how reforms envisioned at the national level could be put into practice.
- The lack of political and financial commitment for health sector strengthening on part of the Tanzanian Government is an important finding across all the four programmes. Through global or regional initiatives, such as P4H or the SADC, SDC should aim to increase peer-pressure on Tanzania with regards to the strengthening of health systems and a stronger commitment towards UHC.

## Annex 7.3: Systems Building (Mongolia)

### 1. Introduction

Compared to other countries in the region, Mongolia has in place a well-ramified social security system, with a compulsory social insurance scheme extended to herders, self-employed and informal workers on a voluntary basis, a mandatory social health insurance, universal child allowance and a number of social welfare programmes, as well as recent laws to expand employment promotion and local development programmes. The tax-funded social welfare system encompasses 29 different programmes and plays an important role in providing public support to vulnerable groups such as older people, people with disabilities, orphans and infants, women during maternity or single mothers with many children. It accounts for 1.0 % of GDP. The relatively large investments in social protection in Mongolia have led to impressive impacts: During the period 2010 to 2012, the national poverty headcount decreased 38.7 % to 27.4 %, and in rural areas from 49.0 % to 35.5 %.

However, the system faces challenges. One is the over-dependence of Mongolia's economy on the mining sector which may pose a threat to its sustainability in the future. Second, the system faces substantial administrative challenges in delivering social protection benefits and employment services across a huge and very sparsely populated country. As a result, more than 75 % of herders, self-employed and informal economy workers are with insufficient income security, social welfare services and assistance, employment programmes and social insurance. One cause of the low quality of services is the low quality of administrative delivery system that lack transparency and involve corruption and entrenchment of oligarchic powers. This creates unequal access to public services, especially among marginalized and vulnerable groups.

### 2. Findings

7F-Number	Project Title	Time-frame	Financial Volume (tsd)	Swiss Expertise	LNOB/ MDG/ SDG	Main target group	Importance of SP	Performance score
7F08183	Governance and Decentralisation Programme	2012-2015	6.814	Center for Democracy (Aarau, CH)	MDG3+1+5	Other	Part of component	Adequate (3)
7F09187	Mainstreaming Social Accountability (MASAM)	2015-2020	2.500		MDG1+2	Universal (no specific target group)	Part of component	Adequate (3)

Whilst SDC has worked on governance as a cross-cutting domain already in the context of previous country programmes, the SDC country programme 2012 – 2016 saw the incorporation of governance and decentralisation as one of the priority areas of the country programme. This shift in priorities was accompanied by the development of two, new governance and decentralisation programmes that built-up and expanded work on governance aspects that had been started in the context of the previous country programmes, the Governance and Decentralisation Programme (GDP) and the Mainstreaming social accountability in Mongolia (MASAM) Programme.

## **Governance and Decentralisation Programme (GDP)**

The aim of the project is to holistically support Mongolia's decentralisation reform agenda by fostering the development of subnational governments that are empowered, democratic and accountable to citizens, and which provide services that respond to citizens' needs. The programme encompasses both, supply and demand side measures across fiscal, political and administrative aspects. Measures focused on (1) policies, rules and process to strengthen decentralization reform processes and 2) the strengthening of civic engagement processes at sub-national level, for example different participatory decision-making mechanisms and social accountability tools at all sub-national levels were piloted to test public officials accountable for the quality of public service delivery. This also included the institutionalisation of One-Stop-Shops (OSS) centres where citizens can access a range of public administrative services under one roof in order to improve effective public service delivery. Aiming at reducing social and spatial inequalities in service provision and investments, the programme supports civil society organisations to mobilize citizens to engage in public resource management processes and create services that fit their priority needs. Whilst the first phase was focused on rural areas, the second phase has a focus on urban areas which due to the transition in the economy have attracted a lot of people and suffer extreme shortcomings in the provision of public services.

## **Mainstreaming social accountability in Mongolia (MASAM)**

The Swiss co-funded World Bank project aims strengthening the participation of poor, vulnerable and marginalised communities by mainstreaming social accountability mechanisms at local and national level and achieve a more transparent, accountable and effective public resource management. As a result, more public resources shall be directed to priority areas and services that benefit the poor. It is expected that this will reduce inequalities and contribute to enhanced poverty reduction. The programme focuses in particular on strengthening the capacity of civil-society organisations with regards their advocacy and watchdog function in order to be better able to delivery on the social accountability function. The programme also works on supply side aspects, e.g. improving the effectiveness, formalization and sustainability of disclosure and participation mechanisms and strengthening capacity of government agencies and service providers to track and use CSO/citizen feedback/complaints for improving quality of services or the creation of joint problem-solving mechanisms. Priority areas addressed are social accountability, budgeting, procurement, education or health that will directly benefit.

Strengthening social accountability mechanisms at local level with the aim to improve access and quality of public services is a development approach that SDC has been taken in various countries, including for example also Nepal. Other aspects of systems building dimension include for example civil registration programmes (e.g. Tajikistan). A performing civil registry system is essential for the protection of the population rights related to participation in elections, education, healthcare and other guaranteed social benefits.

### **2.1 Relevance**

Given Mongolia's transition to an open democracy backed up by strong economic growth and increasing inequalities, and given the vastness of the country, the GDP objectives to support the emergence of a strong, accountable local government system based on democratic principles is highly relevant. Whilst the Mongolian government's commitment to decentralisation initially was based on a budgetary decentralisation only, the GDP

programme managed to enlarge the decentralisation agenda, also by contributing to a range of reforms processes and by-laws for decentralisation.

The project is fully in line with SDC's country strategy 2013-2016 in Mongolia, and the Mongolian Government Action Plan (GAP) 2012-2016. The overall goal of the country strategy is to contribute to equitable and sustainable social and economic development in Mongolia. The GAP contains a strong commitment to decentralisation which is fully in line with the Governance Development Programme focusing on fiscal, administrative and political goals (open and transparent government). This also includes the development of a system of citizens' feedback mechanisms on the performance of frontline service providers in order to improve the quality and accessibility of services. The programmes are well aligned with the Swiss Cooperation Strategy 2013-2016 focusing on three complementary and mutually reinforcing domains: (1) Agriculture and Food Security; (2) Vocational Education and Training; and (3) State Reform, Local Governance and Civic Participation.

The focus on capacity development which was reinforced in the second phase of the GDP addresses the country's needs, especially the lack of capacity at the local level to implement decentralisation laws, in particular the Integrated Budget Law. The second phase also saw a shift towards the inclusion of local urban municipalities where poverty rates in Mongolia are the highest and which are largely neglected by other donors.

**Box 1: The one stop shops (OSS): Systems building for improving social development**

Delivering social services and transfers across a very sparsely populated country, like Mongolia is challenging. Moreover, as in many countries, obtaining a public administrative service requires visiting several service-providing departments, which can be located at considerable distances from each other. This may not only be time-consuming, but may entail transportation costs, sometimes also boarding and lodging. Moreover, information is sometimes inaccurate, insufficient, and/or difficult to obtain.

Launched in 2007 with support from the Swiss Development Cooperation, the One-Stop-Shop (OSS) Project established facilities where citizens can receive several kinds of public services and a number of privately delivered notary and banking services. These accessible and customer-oriented "one-stop shops" aimed to increase accessibility, transparency, and efficiency of public service delivery, as well as reduce corruption and transaction costs. Implemented nation-wide since 2013, the One-Stop-Shops (OSSs) deliver social protection and employment counselling services, as well as notary and banking services at aimag (provincial) and soum (district) levels. Bringing together officers from different social protection schemes, employment programmes, and other public and private services, the OSS has offered the Government an opportunity to enhance the legal framework of public service provision and improve accessibility, awareness, and transparency of services provided. At the same time, it has enhanced coordination between institutions in charge of social protection and employment promotion and the quality of public services provided to the population by reducing duplication and inefficiencies. It also diminishes the dichotomy between social welfare and social insurance and fosters the creation of a comprehensive social protection system (ILO 2016).

From a social protection point of view, the one-stop-shops are of particular relevance and provide an important contribution to a systemic and integrated approach to social protection (Box 1). The OSS are an important show-case for other donors working on social protection and looking for innovative solutions in how to improve the quality of frontline services at local level, e.g. ILO in the context of the implementation of the social protection floor initiative in various Asian countries and GIZ in the context of its regional maternal health programme in Central Asia.



## **2.2 Effectiveness**

The GDP, especially the first phase was very effective in terms of having achieved a big impact with small resources; especially the OSS aspect was very effective. The most significant achievement in relation to this outcome was the adoption of Government Resolution No. 153 on “Measures to be Taken on Public Administration Services in One-Stop Shops” and the attached “Operational Guidelines for One-Stop Shop Service Centres”. The adoption of the resolution was an important step towards scaling-up and institutionalisation of OSS within existing central and local government structures and also shows the innovative potential of the approach. The by-laws also committed governors to ensuring an annual budget allocation for OSS maintenance and operation.

As a result, funding for the operation and maintenance of OSS is increasingly covered by the local governments’ budget. The satisfaction level with OSS is high and increasing among service recipients, from 76% in 2013 to 78% of surveyed customers in 2014. The results of the 2014 external evaluation concluded highly satisfactory outcome for this component. Hence the OSS was discontinued in the second phase and handed over to government. Unfortunately, no long term impact evaluation has been undertaken, that would allow following up on the outcomes with regards specific services uses, for example social welfare, insurance, etc. as insinuated also by the reference to MDG 4 and MDG 5.

OSS centres, inspired by SDC’s successful experience in the Mekong region, are operational in 35 locations throughout the country: in all 21 aimag centres, all 9 districts of Ulaanbaatar City, in the regional centre Kharkhorin, in 2 pilot soums and 2 pilot micro-districts. As of today, these OSSs have served over 4.3 million clients, including 2.8 million customers in rural areas and 1.5 million in Ulaanbaatar City. Over 60% of the population use the OSS on a regular basis. Over 90% confirm that the OSS saves them time and thus money. In addition, improved transparency of service delivery has reportedly reduced rent-seeking behaviour of public officials. This shows that OSS meets the needs of the target population.

MASAM appears to complement well the measures being carried out in the GDP providing a potentially highly innovative approach to increase participation of citizens, in particular the poorer socio-economic groups as well as women in the policy decision making processes at local level and thus, improve quality of services.

However, the overall lack of a coherent vision of local government and decentralisation may lead to an uncoordinated approach in which many activities are taking place, but which may not be streamlined or institutionalized as part of a broader decentralisation reform, and in the end, toothless. In this respect, and as outlined by an external mid-term review, there is also more need for SDC to closer engage in a policy dialogue at national level.

## **2.3 Efficiency**

The GDP programme and MASAM are co-funded programmes and carried out by a range of other actors, including the World Bank, UNDP and a variety of NGOs, including Mercy Corps and the Asian Foundation. The cooperation overall appears to be quite efficient. However, it has also led to management issues which in turn, have led to delays in implementation. Another key challenge is the low capacity of partner government institutions, in particular at local level where technical and managerial capacities to manage and implement decentralisation are particularly low.

Whilst the modular structure of the GDP programme has created some efficiency issues as modules seem to have not been very well integrated and lack synergies, it allowed for

quick adjustments when circumstances changed. The closing down of one module, the OSS, did not have negative consequences on the other modules. The first phase was also very efficient in terms of value for money, as a lot was achieved in relatively little time and with relatively little resources.

A major blow for the efficient implementation of the programme was changes in the reform context: Following the 2012 and 2013 elections, changes in the government structure and staffing have weakened commitment, capacity and ownership of government partners. This is due, on the one hand, because of staff turnover, and on the other hand because of a change in political parties who are much less politically committed to decentralization.

In terms of MDGs the GDP with its strong focus on decentralisation and local service delivery is of strong relevance to MDG 3 (gender equality), as women are the ones hit the most by unequal access to services, in particular education (MDG 2) and health (MDG 3) and, supposed positive outcomes in maternal health (MDG 5) and child mortality (MDG4). MASAM is strongly focused on poverty reduction (MDG 1) and - though to a much lesser extent - education (MDG 2) and gender equality (MDG 5). However, looking at the monitoring framework, there are no indicators that would allow measuring these outcomes.

## **2.4 Sustainability**

Apart from the low government capacity, one of the major challenges for the sustainability of the outcomes is the volatile political context in Mongolia. The national and local election in June 2016 and 2017 which saw the victory of the opposition party were seen as risks to the changes made by the previous two governments in achieving regards to greater decentralisation, democratisation, openness and transparency.

With regards to SDC's interventions the lack of a consistent policy dialogue throughout the programme has weakened programme results at the local level, as they were not embedded in a clear vision of decentralization and local government. Whilst important in terms of creating more transparency, participation and accountability these interventions risk remain isolated measures if not embedded and integrated in a wider policy dialogue which ultimately shall also lead to the formulation of a policy framework that outlines an institutional local setting which guarantees and respects these social accountability measures. Furthermore, such a policy framework would also guarantee the availability of needed financial and human resources to be implemented. This in the long run will also help to stabilize the changes made to the system and allow reaping also wider impacts, such as improved access and quality of services.

The one-stop-shops - although having been a single, isolated measure – seem to have achieved a solid degree of sustainability including the take-over and development of a policy framework that seems to guarantee also a sustainable financing. Despite having not been well aligned with other programme components and being not linked to a strong policy dialogue on decentralisation, the strong innovative potential of this measure has contributed to a quick and sustainable implementation.

## **3. Lessons learned**

- Supporting better governance enhances development outcomes in other domains. Whilst in the first country strategy the main focus was on strengthening growth and development, the second country strategy emphasizes the need to stronger focus on the governance and decentralization in order to better support and enhance Mongolia's development processes. This is in particular true from the social protection angle. The Mongolian case shows how empowering local governments and citizens may support

equitable social development. By bringing services closer to the people, they are in a better position to access services. Whilst a better coordination of frontline services at the local level, helps to reduce overlaps and inefficiencies, it is also an important stepping stone towards a more integrated social protection system.

- Engaging in systems building cannot only be limited to the demand side but also needs to involve the supply side. There is a need to work more closely within government systems, to strengthen the supply side actors of the reform measures at the local level. It also means to stronger engage in a policy dialogue at the national level in order to create political commitment for wider policy reforms. The Mongolia experience shows that SDC's approach in working simultaneously at different levels can be very effective in this regard. Policy dialogue appears to be most effective when backed-up by hands-on implementation on the ground through committed local actors.
- In a weak and volatile reform context, policy dialogue is even more needed if programme objectives are to be sustainably achieved. Initiating reform processes in the area of systems building which involves major changes to governance and administrative structures, is also a highly political process and therefore needs to be sustained by a policy dialogue and a clear vision. It cannot be reduced to a purely technical dimension only. This does not only involve government but also strengthening synergies and coordination with other donors and their programmes.
- The programme was very successful in implementing one programme component in a quick and sustainable way. In order to ensure the long-term sustainability of the one-stop-shop approach an ex-post evaluation three years after the hand-over could be useful, also to explore further the wider impacts between the OSS-approach and social protection.

## Annex 7.4: Labour Market Policies

### 1. Introduction

Social protection is an important mechanism to protect the economically active against income shocks by smoothing consumption and enabling people to look for alternative employment (for example in the case of unemployment). Through the provision of so-called active labour market policies, including skills-training as complementary measures peoples' engagement in the labour market shall be facilitated further, their employability increased. In the development context where unemployment is very high and usually informal, linking social protection mechanisms to employment measures or skills training may enable extreme poor or vulnerable beneficiaries to enhance their livelihoods and improve their incomes in such a way as to lift them above the poverty line and enable them to live a life out of poverty ('graduation approach'). Focusing on the most vulnerable, the approach aims at enhancing equity and opportunity, especially for the most marginalised groups thereby contributing to social inclusion.

The interaction of labour market and social protection systems can be defined as follows:

- Social insurance: national/local contributory schemes that economically-active persons (and/or employers) provide regular payments for (e.g. unemployment benefit, old-age pension).
- Labour market policy: regulation and measures to promote employment, the efficient operation of labour markets, the protection of workers, and active labour market policies (ALMP)<sup>1</sup> to support the unemployed or those transitioning into/within the labour market.

This case study focuses on labour market policy in terms of SDC's portfolio of measures specifically targeted to skills development, job-opportunities, socio-economic empowerment and well-being of the poor and of marginalised groups, or potentially vulnerable persons:

- ALMP measures (for local employment, primarily 'in' the country): supporting the skills development, job-opportunities and employability of people, with a strong focus on the economic inclusion/ opportunity and well-being of poor or marginalised persons<sup>2</sup>.
- Overseas labour migration/ employment measures<sup>3</sup>: to promote the protection of the rights of migrant workers, and informed decisions of persons choosing to undertake the pathway, and the well-being/ development of sender communities and families.

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<sup>1</sup> The main categories of ALMPs are traditionally recognised to include: (1) labour market/ employment services to assist job-seekers in terms of job-search/matching services, job-placement assistance, counselling and other services; (2) job-training/ re-training and skills-building programmes (e.g. via vocational or life skills education/ training); (3) employment generation incentives (e.g. wage subsidies, employment measures for persons with disabilities, entrepreneurship support and start-up incentives).

<sup>2</sup> The case study does not address the extensive SDC skills development/ labour market portfolio where the target group of users is broad, e.g. vocational education and training (VET) for youth in general.

<sup>3</sup> While predominantly a Decent Work orientation, projects with a partial focus on social protection issues.

## Social Protection – sample of SDC projects (2013-2017) with a labour market focus

7F- Number	Project Title	Time- frame	Financial Volume (tsd)	Swiss Expertise	LNOB/ MDG/ SDG	Main target group	Importance of SP	Performance score
7F06875 Kosovo	Enhancing Youth Employment	2017- 2019	5.900	(Helvetas)	none	Youth	Part of component	Poor (2)
7F06976 Nepal	Employment Fund	2011- 2017	6.000	(Helvetas)	MDG1+3	Youth	Part of component	Excellent (5)
7F09193 North Macedonia	Creating Job Opportunities for All	2017- 2018	300		SDG8,1,10	Other marginalised/ vulnerable group	Component	Adequate (3)
7F07207 Nepal	Safer Migration (SaMi)	2013- 2018	13.676	(Helvetas)	MDG3+1	Other marginalised/vulner able group	Component	Good (4)
7F08394 North Africa	Interregional Arab Labour Migration Programme (IRAM)	2012- 2017	1.800		MDG8	Other	Part of component	Adequate (3)

## 2. Findings

### 2.1 Relevance

SDC's projects are aligned with the specific development challenges/ needs of the partner countries, oriented as relevant by national sectorial strategies/ plans. The projects seek to promote the economic/ employment opportunities, and the improvement of well-being of the poor, marginalised, and disadvantaged, or of potentially vulnerable persons transitioning into/ within the labour market: as a means to promote inclusive growth and stable societies.

The projects are suitably designed, internally coherent and appropriate for achieving the intended development results. Projects (with exception of the IRAM regional project) are structured to deliver support and achieve results via three inter-linked levels of intervention: (1) promoting citizen's access and use of services, (2) strengthening public and private service-providers offering services/ support, and (3) developing the national policy and enabling environment. The IRAM project, focused on the governance of labour migration, predominantly delivered support at the policy/ enabling environment level.

The ALMP related sample of projects promote skills development and job-matching/ job-opportunities specifically targeted to the following marginalised or vulnerable persons:

- **Employment Fund (Nepal):**

- Vocational technical skills training and testing as per national occupation profiles, plus job-placement and business start-up support provided by training providers,
- Primarily targeting economically poor young women and men who have not passed tenth-grade of schooling, with a strong focus on disadvantaged groups (persons that suffer discrimination based on gender, ethnicity, caste/ background, or disability): 50% of targeted youth are to be women, 80% are to be from disadvantaged groups.
- Evolving from a prior, successful and innovative SDC skills development project, implemented by the Swiss NGO Helvetas, the Employment Fund was established,

together with the government and other donors (UK, World Bank) in 2008, with the objective to upscale donor funding in the area via a mechanism for pool funding.

- **Enhancing Youth Employment (Kosovo):**
  - Vocational and technical skills training to equip youth with relevant demand-driven skills that meet market requirements, including of practical and social skills, plus improved labour market information, career guidance and job-mediation services.
  - Targeting young women and men in transition from education to work, phase 2 of the project introduced a level of targeting to sharpen the intervention's inclusiveness to address excluded groups: 20% of targeted youth are to be lesser skilled youth, 10% are to be from minority communities, 40% of the employed youth to be women.
- **Creating Job Opportunities for All (North Macedonia):**
  - Aims to facilitate employment opportunities of vulnerable groups of persons (the Roma and people with disabilities are the main target group) via the development and introduction of appropriate ALMPs to support their labour market integration, plus improving the capacities of responsible stakeholders to coordinate employment measures, and sensitizing and incentivising the private sector to promote inclusivity.

The migration related sample of projects respond to the needs of partner states that experience large scale overseas labour migration, and benefit from the ensuing remittances to drive local development and poverty reduction, and the needs of those citizens for whom the path of overseas labour migration currently represents the greatest opportunity for economic or social advancement:

- **Safer Migration (Nepal):**
  - While predominantly focused on decent work and safe migration for those taking the pathway, the project also provides vocational skills training for migrant workers (for the upward mobility of migrant workers), as well as financial literacy trainings. The project also promotes counselling support services for families left behind, and support for returnee workers in need of shelter (e.g. victims of exploitation/ abuse).
- **Interregional Arab Labour Migration (North Africa):**
  - Focused on aspects of social protection in the context of intra-regional dialogue (with an emphasis on Egypt, Morocco, and Tunisia) on labour mobility and social security: to promote the strengthening of bilateral/ sub-regional cooperation/ coordination on the protection of migrant workers' rights and coverage by social security schemes.

## **2.2 Effectiveness**

The effectiveness of the sample of projects in terms of the delivery of results is mixed:

- **Employment Fund (Nepal):**
  - SDC support delivered skills training for around 100,000 youth in short-term vocational trainings and testing. Of these trainees, 50% were women and 84% came from disadvantaged groups. Of these trainees, up to 95% completed the training and up to 90% were successfully trained/ skills certified. Close to 1,000 persons obtained a Training of Trainers certificate in construction related trades.

- Of all the graduates, 74% were gainfully employed (for a minimum of six months on a monthly income at least equivalent to that of the minimum wage in the formal sector), while 90% were overall placed in jobs post-training.
- A tracer study of graduates indicated that 67% were gainfully employed after three years of graduation, and 19% had started their own business, the average earnings of these graduates was significantly above the minimum wage.
- The Fund operated an outcome-based financing approach in the payment of the contracted training providers: dependent on the trainees being successfully placed in and also the duration of uninterrupted employment, plus trainees obtaining a monthly minimum income from employment. A bonus payment was given to training providers to support people from disadvantaged groups find employment.
- The project supported national partners linked to the quality enhancement of occupational skills standards and skills testing systems, and in the capacity building of up to 40 training and employment providers (e.g. via training-of-trainers initiatives and in business-planning and development) to promote expansion of the TVET offer.
- **Enhancing Youth Employment (Kosovo):**
  - 2017 was the transition year from phase 1 to phase 2 of the project, during which a pivoting/ orientation of the project and its partnerships toward promoting a greater focus on the targeting of excluded groups of persons was undertaken.
  - During 2017, the project exceeded its targets linked to the number of youth that received improved market-oriented education/ training (1,356 vs. 1,000), as well the number of those youth with a job six months after their training (168 vs. 100).
  - But, the project has struggled linked to its target for the number of jobs (FTE) created by businesses and social enterprises as a result of changes facilitated by the project in the economic sub-sectors it has targeted for growth: only 71 vs. a target of 250.
  - The percentage of women supported, within the total for 2017, was exceeded in terms of the provision of training (45%), and in access to and use of improved labour market information and services (49%), but under-achieved the target for women with a job six months after training (32%). However, the second half-year 2017 was notably improved on the first half-year (47% vs. 26% employed). During the first half of 2018, the percentage of women with a job six months after training was 70%.
  - But, the project struggled in 2017 to achieve the 10% target to support persons from minority communities: only 2% of trainees, less than 1% of youth accessing/ using the improved job-matching/ placement services, but was close to target in terms of the number of jobs created for minority community persons via social enterprises. During the first half of 2018, youth from minority groups accounted for 13% of the trainees, and 18% of the supported youth that had a job six months after training.
- **Creating Job Opportunities for All (North Macedonia):**
  - The project entry phase has delivered studies to support the development of ALMPs targeted to vulnerable groups. These are presently being piloted as different models/ approaches (e.g. via vocational skills development, self-employment, mentoring/ coaching measures), to provide an evidence-base prior to wider deployment.

- **Safer Migration (Nepal):**

- SDC support delivered vocational skills training of one month duration for 9,263 people (22% women) prior to the overseas departure: 54% were placed in overseas jobs with the support of the training-providers as semi-skilled workers (earning 20-25% higher entry-level salaries than migrant workers without certified skills).
- The target for the percentage of graduates to be placed in jobs via the training-providers was initially 80%, but was reduced to 50% due to the fact a number of graduates wished to find their own job rather than being placed via the training-provider. Data as to the employment outcomes of these graduates is not available.
- It is not apparent that data exists (e.g. a tracer study) to assess the employment and income outcomes for graduates in the years beyond interaction with the project.
- The project delivered financial literacy training to 5,073 people (98% women), and 34% of migrant families then gained access to formal financial services/ banking.
- Certain progress was achieved in terms of the development of government (national and district) capacities and ownership of the project model and results, e.g. in the expansion of the model to cover 18 districts, with service-delivery in 9 directly managed by the government, in the others via project partnerships with local CSOs.
- But, development of the capacity of the Foreign Employment Promotion Board to manage a skills training mechanism for migrant workers was less effective. In 2015 the government agreed to contribute financing related to a significant upscaling of the skills training component (to cover training for 10,000 persons via national funding), but the Board's procurement of the training-services suffered delays, resulting in a compressed timeframe for the delivery of the planned trainings.

- **Interregional Arab Labour Migration (North Africa):**

- A study analysing the main bilateral labour, establishment and social security agreements in North Africa (with emphasis on Egypt, Morocco, and Tunisia); a sub-regional tripartite workshop to discuss the analysis/ recommendations; and, subsequently the Hammamet Declaration (agenda for action) agreed between the governments and social partners of the three countries to strengthen cooperation: including in relation to social protection schemes/ coverage for migrant workers.

## 2.3 Efficiency

The performance of the sample projects in terms of efficient management/ implementation by the SDC and the project implementing partners is mixed: partial delays have occurred in terms of the implementation of activities and delivery of results to the intended target groups.

**Employment Fund (Nepal):** the working modality and approaches were well recognised by other donors, the government, and training and employment providers as highly efficient in project implementation. In addition to managing the financial contribution from SDC, the Fund Secretariat (Helvetas) also managed contributions from other donors, successfully delivering the scaling up of the number of short-term trainings delivered via the fund. The Fund Secretariat was recognised for its core competency in identifying gaps in market provision for skills training, and for the progressive pace of the development of training standards, curricula and training service capacity to address market-driven demand. The innovative performance payment and monitoring system were also major



achievements. Training providers appreciated the speed with which the Secretariat made payments. The Fund Secretariat also maintained close cooperation and coordination with the government, notably to promote the adoption of upgraded occupational skills standards, so as to upkeep and further enhance the quality and market relevance of trainings and TVET services. But, the Secretariat was initially passive in terms of engaging in wider TVET policy dialogue, and was, in part, criticised for implementing the Fund in partial isolation of the government.

**Enhancing Youth Employment (Kosovo):** while certain progress has been achieved in the second year of project (phase 2) implementation, notably in terms of reaching youth from minority communities, the efficiency of the project in terms of the delivery of the intended outputs and outcomes remains poor. The project is efficiently continuing to exceed its targets for the number of youth receiving improved market-oriented education/training. But, the trend in terms of the percentage of those youth with a job six months after their training has deteriorated over the period 2017-2018: from a rate of 10% in the second-half of 2017, to only 5% in the first-half of 2018. Additionally, the number of youth accessing/ using the improved labour market information and services facilitated by the project significantly decreased in the first-half of 2018: only 1,961 persons compared to 3,535 in the second-half of 2017. The number of jobs matched through the project service-providers during the first-half of 2018 has already exceeded the total number of jobs matched during 2017: with 135 youth successfully job-matched vs. 117 in year 2017. However, the target to job-match a cumulative 750 youth over the period 2017-2018 is at risk. The project's efforts to demonstrate (FTE) jobs-created via social enterprises/business also lags significantly behind target. The 2018 progress reports of the project implementing partner (Helvetas) indicate that it is aware of the risks that exist to the successful delivery and achievement of the project results to the full extent targeted. It is indicated that the external project environment (notably the economic situation and low rate of formal employment) has not been favourable for job-creation, and that the labour-force participation rate in Kosovo declined to below 40% in the first-quarter of 2018.

**Creating Job Opportunities for All (North Macedonia):** while delivery of the entry phase was significantly hampered (a no-cost extension of the phase extended the duration from 6 to 11-months), this was the result of the change of government in autumn-2017 and the additional time needed to agree on the details of the entry phase analyses. Given the reported stronger-level of commitment of the government to social inclusion and to utilise the project opportunities (e.g. to extend the scope of the cost-benefit analyses of different ALMP measures and targeting mechanisms to vulnerable persons), plus the successful record of the project implementing partner (UNDP) in the delivery of similar policy measures and targeted support mechanisms in the country, project efficiency is expected to be good.

**Safer Migration (Nepal):** while implementation and delivery of the project results is largely efficient, the transition to a dual model for delivery at the district-level, introduced in project phase 2 (i.e. government implemented in 9 districts, and via project partnerships with local CSOs in 9 others), did face constraints. While clearly directed so as to facilitate the government's capacity and ownership to take up delivery of the project model/approach, the capacity of government partners to do so is affected by delayed decision-making and slow implementation of the reforms/ activities, plus the high turnover and transfer of staff.

**Interregional Arab Labour Migration (North Africa):** the intra-regional component (outcome 3) was implemented/ supported in 2016-2017; the initial project duration of December 2012 – November 2015 was ultimately extended to May 2017, to “consolidate

achievements made and processes strengthened". While the 2016 independent Internal Review report of the project is noted for the clear and strong criticism of the project's approach and delivery efficiency (ILO as the implementing partner), the Review was drafted prior to most of the intra-regional component being implemented. The project's efficiency in terms of delivering analyses and in building tripartite social dialogue and ownership of the project results in regard to sub-regional cooperation on social protection was, overall, good.

## 2.4 Sustainability

The sustainability of the projects' results, in regard to social protection/ inclusion benefits with a significant targeting of the poor, marginalised, or vulnerable persons, is mixed.

Sustainability of the project results in Nepal (**Employment Fund; Safer Migration**) is good. Donor commitment to support the reconstruction (post-earthquakes in 2015) and the further transformation of Nepal towards an inclusive society and democratic federal state remains strong. The ownership of the government of the project results and the mechanisms is also good. Since 2016, at the government's request, the Employment Fund (phase 2) mechanism has been focused financing to short-term trainings for Skills for Reconstruction. SDC continues to channel support to reforms of the TVET sector and training provision via the Enhanced Skills for Sustainable and Rewarding Employment (ENSSURE) project. The commitment of the government to promoting safe overseas labour migration, and to foster the economic and earning potential of migrant workers, is good. In the new context of the federalised state, the functions of local governments linked to the foreign employment sector include: operation of information centres; financial literacy and skills training for the labour force going in foreign employment; social reunification of returnee migrant workers.

The commitment of the government in North Macedonia to the goals of the project **Creating Job Opportunities for All** is reportedly strong. The promotion of economic and social inclusion, combatting unemployment and the informal economy, are key priorities for the country on its pathway towards European integration and EU accession. The ALMP measures developed via the on-going project are to be taken over by the Ministry of Labour and embedded in national policies and operational programmes of the Employment Service.

Sustainability of the **Interregional Arab Labour Migration** project results in the context of intra-regional dialogue on labour mobility and social protection is good. The project has strengthened policy dialogue between the three countries and social dialogue of tripartite partners. After completion of the project, a follow up meeting of the tripartite constituents in the three countries was held in late-2017 to operationalise the Hammamet Declaration.

Sustainability of the **Enhancing Youth Employment** (phase 2) project appears to be at risk. The project has struggled to deliver its intended results. While it is exceeding its targets for the provision of market-oriented skills training to youth, including its target for women and now also for minority communities, the conversion of these skills into jobs obtained by the trainees has struggled to materialise, as too has jobs-creation via the other project interventions. Kosovo's economic growth has not delivered significant employment growth. The labour-force participation and formal employment rates remains weak, notably for youth, women and minorities. The wider regional economy and labour market continue to represent a key route/ source offering economic and job-opportunities.

### 3. Lessons learned<sup>4</sup>

While the sample of labour market projects include specific elements of follow-up monitoring of the supported individuals, this is primarily only to track immediate outcomes in the period after project intervention. There is not a consistent approach across the projects in terms of tracking the longer-term outcomes or impact. Only one project within the sample clearly indicates that a tracer study was undertaken (once) to follow-up supported individuals three-years after the project intervention. As such, the longer-term evidence of socio-economic benefits of the project measures cannot be demonstrated.

Regarding the **ALMP measures** targeted to the poor, marginalised or vulnerable persons, while all are based on the goal to enhance the employment and income opportunities of disadvantaged persons, for the majority there is no further direct linkage apparent to other aspects or mechanisms of social protection (i.e. they are job-opportunity initiatives only). While they successfully support individuals gain employment and income, it is evident that the provision of training alone does not necessarily result in jobs, and there is no indication that the projects also consider how those not gainfully employed after the measures might potentially be supported in the wider framework of social protection policy (e.g. via referral to other public or private service-providers to support individuals). In this sense, synergy between the labour market and social protection systems is not evident. The approach is only partially holistic from a social protection angle. On the other hand, for a smaller number of projects there is a clearer indication that synergy of the labour market and social protection systems has been developed: via ALMP measures that in part target potential beneficiaries of other social protection mechanisms (e.g. social assistance, disability allowance), to support the individuals to transition, as appropriate, into the labour market and thereby to graduate out of social protection dependency.

Regarding the **labour migration measures**, it is evident that the sample of projects<sup>5</sup> contribute to and build synergies with the wider work of SDC's Global Programme Migration and Development (GPMD), addressing the entire migration chain of the "South Asia – Middle East migration corridor", substantiating its global and regional policy dialogue activities with concrete experience from the field. However, from a social protection angle, it is evident that the regional policy dialogue components of the projects in South Asia (Colombo Process) are predominantly focused on promoting safe labour migration and overseas employment as a means to economic development. Issues of social protection accessibility or coverage of migrant workers, let alone of the portability of rights, appear to be of a lower focus in terms of regional cooperation and policy dialogue.

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<sup>4</sup> Also arising linked to the other ALMP projects in the portfolio addressed under the other case studies

<sup>5</sup> In addition to the Safer Migration project implemented in Nepal (by Helvetas), SDC also supports a similar project implemented (by Helvetas) in Sri Lanka; the performance of both projects is "good" (4).

## **Annex 7.5: Social Protection in Africa (Southern Africa region)**

### **1. Introduction**

Despite notable progress in the extension of social protection coverage, only 17.8% of the African population are covered by at least one cash social protection benefit (SDG indicator 1.3.1). Large variations across countries and social protection mechanisms exist. Significant progress has been achieved for old-age pensions covering 29.6% of older persons in Africa and reaching or approaching universal coverage in Botswana, Cabo Verde, Lesotho, Mauritius, Namibia, Seychelles, South Africa, Swaziland and Zanzibar (United Republic of Tanzania). However, coverage rate for children and families is still low (only 15.9% of Africa's children receive child or family benefits). For maternity protection coverage gaps are even wider, as is the case for unemployment protection and disability benefits. Despite greater efforts to invest in non-contributory cash benefits, only 9.5% of vulnerable populations in Africa receive them.

The low coverage rates overall are also a reflection of the main challenges that social protection systems are facing in the region: (1.) Capacity and institutional constraints that together with financing represent the major challenges to the expansion of coverage in the region, including lack of coordination, absence of rights-based legal frameworks, including social accountability mechanisms/ grievance and redress, or weak prospects of scaling up donor-led programmes. (2) The necessary extension of social protection to the informal sector which provides about 85% of jobs. This large informal sector creates a dual challenge, given that workers in informal employment are difficult to target and that they contribute slightly, if at all, to overall tax collection,(3) The rapid development and expansion of social assistance schemes for those who cannot work<sup>1</sup>. Only a few countries have domestically funded non-contributory schemes that provide people with basic income security, e.g. Mauritius, Seychelles and South Africa;

Despite increasing coverage, programmes remain weakly institutionalized and integrated into comprehensive social protection systems. In countries where policy frameworks for social protection exist and is supported by some progress in national implementation, full commitment to and ownership of social protection systems that are coordinated, universal in nature and properly financed has yet to be achieved. Solid, transparent systems for the design and delivery of social protection which are essential pillars for their financing, extension and sustainability remain absent. At the same time, the demand for social protection from citizens that are aware of their rights that is necessary to propel government commitment to social protection is still to be realised.

Most of the social assistance programmes have their origins in humanitarian contexts. This is reinforced by the fact that an increasing number of countries are classified, as fragile states where financing and administering social protection systems remain an enormous challenge. In the context of rising vulnerability to climatic shocks, social protection programmes are being increasingly discussed as promoting resilience and as a response to climate shocks, through the integration of resilient livelihood support and increased coordination between social support and emergency support systems (ILO 2018).

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<sup>1</sup> Children, mothers with new-borns, persons with disabilities, older persons, those without jobs, poor and food-insecure

The following projects are object of this case study:

7F- Number	Project Title	Type of SP- Intervention	Time- frame	Financial Volume (tsd)	Swiss Expertise	LNOB/ MDG/ SDG	Main target group	Importance of SP	Performance score
7F04516	Care and Support for Teaching and Learning (CSTL) Programme	Systems Building	2013-2018	8.260	none	MDG2+6	Youth	Part of component	Good (4)
7F07807	Rural Resilience and Integrated Risk Management (R4)	SI - Weather Risk Insurance	2014-2017	6.685	Swiss RE, SCBF	MDG7+1	Rural poor/farmers	Component	Good (4)
7F08237	Protection of Orphans and Vulnerable children (CPF)	SA - In-cash	2012-2016	10.000	Swiss AIDS Care Int.	MDG5+4+3	Children and Labour constrained households	Component	Adequate (3)
7F08531	Regional Vulnerability Assessment and Analysis (RVAA)	Systems Building	2013-2016	6.060	none	MDG1+7+8	Poor in general	Major component	Excellent (5)

## 2. Findings

With an extreme poverty rate of 45% (nearly 88 million people) and highest degree of income inequality in Africa and worldwide, Southern Africa is one of the most vulnerable regions in Africa and worldwide. Economic and social vulnerabilities are further exacerbated by political instability, economic shocks, food insecurity, high HIV/AIDS prevalence, limited supply of services in remote areas, as well as vulnerability to disasters. Providing the main livelihood for nearly 61% of the Southern Africa region's population in terms of subsistence, employment, and income agriculture remains central to poverty reduction, growth, food, and nutrition security. Against this background, SDG 1 ('ending poverty') and SDG 2 ('achieving food security and improving nutrition') are the most critical for the Southern Africa region.

Following SDC programmes in the region have been identified as having a social protection component:

Under the food security domain, SDC is supporting the **Regional Vulnerability Assessment and Analysis programme (RVAA)** in order to ensure informed planning and response to ensure food, water and nutrition security. The institutionalization and strengthening of national Vulnerability Assessment Committees (VACs) and the use of vulnerability assessment and analysis (VAA) at national and regional level shall support communities to better cope with slow-onset events and develop long-term shifts (e.g. rain patterns) and shall also help to provide timely response in case of major disasters. The programme's overall objective is the institutionalization and capacitation of national vulnerability assessment committees (NVACs) across the SADC region, as well as regional capacity at SADC level for undertaking VAAs. The tool is also increasingly being used by various organisations and countries for the planning and design of social protection instruments and more long-term resilience measures.

**Care and Support for Teaching and Learning (CSTL)** that SDC implements in cooperation with the non-government organisation MiET (Media in Education and Training), aims at strengthening the education sector to serve as a hub of support for vulnerable children, youth and their families. These services also go beyond the mandate of the education sector, including HIV/AIDS prevention and sexual and reproductive health and rights (SRHR) programmes and services or, social and welfare services. Through a regional approach the CSTL programme strengthens systems in Ministries of

Education within the SADC region, in order for them to integrate care and support and prevention within the education sectors effectively with the overall objective of improving education outcomes.

**The R4 regional programme** which SDC implements together with the World Food Programme, aims at building resilience of rural populations in selected countries of Southern Africa by enabling adaptation to climate risk of most vulnerable people through a community oriented risk management focused and market based approach. The initiative combines improved resource management (risk reduction), insurance (risk transfer), livelihoods diversification and microcredit (prudent risk taking) and savings (risk reserves). The combined interventions are carefully adapted to each country context. The relevance of the current design of the insurance component to the needs and priorities of the most vulnerable farmers is being increasingly discussed, as R4 insurance programme primarily focuses on agriculture-related index insurance that is highly correlated to local crop yields. Smallholder farmers who own livestock have lost some of their herd due to drought but cannot be covered by the current insurance programme. Being targeted at very poor and vulnerable households, there is a question whether individual insurance products are the adequate instrument, especially with regards basis risk<sup>2</sup> and whether other mechanisms such as farmer saving programs or a basis risk fund to protect farmers during basis risk events would not be more relevant, effective and efficient.

The **Child Protection Fund Zimbabwe** takes a holistic approach to child vulnerability which simultaneously addresses household poverty, gender disparities, disability, HIV and risk of violence, exploitation and abuse. The CPF takes a three-pronged approach to child protection aiming at improving access to child protection services complemented by cash transfer interventions and activities towards bolstering community economic resilience. At the heart of this initiative is an effort to reduce extreme poverty in the most vulnerable households, thereby reducing poverty-related abuse, neglect and violence against children. Consolidating social protection in Zimbabwe in order to reduce widespread household poverty, provide basic needs, care and support to the most vulnerable children, especially those affected and infected by HIV/AIDS, is the major aim of this national programme that SDC implements through a multi-donor trust fund managed by UNICEF. A follow-up to a SDC humanitarian response programme, the CPF is an interesting example of a successful transition from HA to DC (nexus) aiming at developing and institutionalizing more sustainable solutions in the context of continued political instability and economic collapse in Zimbabwe.

## 2.1 Relevance

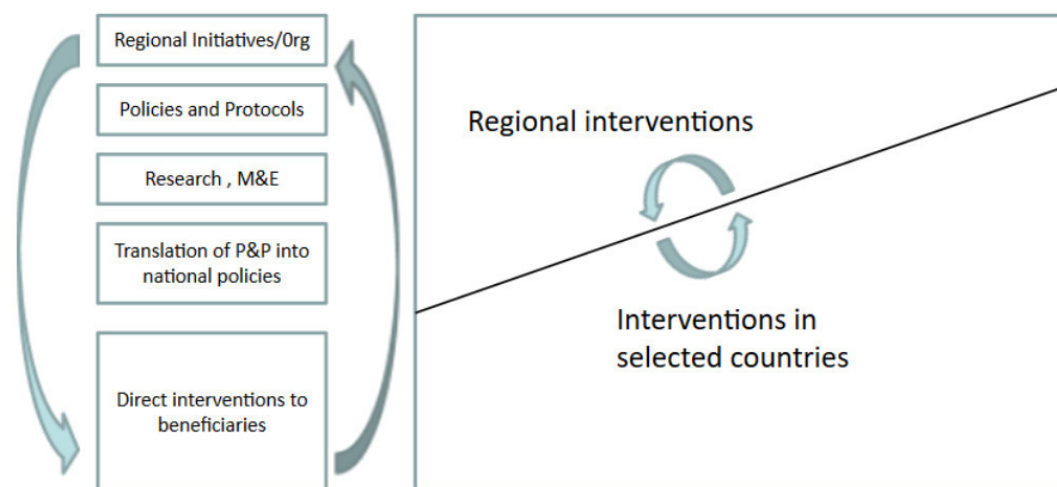
Considering above findings, both the Regional Cooperation Strategy 2013-2016 which had a focus on agriculture and food security (with the overall goal of strengthening the resilience in food security of small-holder farmers in the SADC Region) and HIV and AIDS (prevention of HIV/AIDS among young women and men and access to care and support) and SDC's new regional strategy for 2018-2022 focusing on the reduction of poverty and vulnerability by increasing resilience for enhanced food security and reducing new HIV infections with a particular focus on young people (10-24 years), are thus of high relevance to the Region's development challenges and economic growth prospects. Food security, HIV/AIDS and cross-sectorial domains of governance and gender also fit well the social protection agenda.

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<sup>2</sup> Basis risk describes the potential mismatch between the index triggered pay-outs and the actual losses suffered by policy holders. Addressing it requires a fundamental rethinking of how the insurance windows are structured and the set-up of mechanisms such as farmer saving programmes or a basis risk fund to protect farmers during basis risk events.

The SP-portfolio is well aligned with the SDC'S global programmes on food security and health, as well as SADC's strategies in health, education (CPF, CSTL) and agriculture/ food security (RVAA, R4). The programmes are closely linked to the SADC Regional Indicative Strategic Development Plan (RISP) (2015), in particular under its fourth strategic objective of "improved human capacities for socio-economic development". One of core goals of SADC's Regional Agricultural Policy (RAP) is the reduction of social and economic vulnerability of the region's population in the context of food and nutrition security and the changing economic and climatic environment (SADC 2014). In Zimbabwe, R4 is also closely linked to the Zimbabwe National Framework for Climate Services With regards to CPF and CSTL strategies and protocols worth mentioning are the SADC Framework on Care and Support for Teaching and Learning, SADC Policy on Minimum Package of Services for Orphans and other Vulnerable Children and Youth, which explicitly mentions social protection, the Comprehensive Care and Support for Orphans, Vulnerable Children and Youth-Strategic Framework and Programme of Action (2008-2015) as well as the SADC Regional Conceptual Framework for Psychosocial Support for Orphans and other Vulnerable Children and Youth which were facilitated through SDC funded partners such as MiET and REPSSI. With regards to CPF, the only national programme in the portfolio, the programme is closely aligned with Zimbabwe's national social protection policy framework (2015) and the National Action Plan for Orphans and Vulnerable Children 2016-2020.

**Table 1: SDC Regional Approach in the SADC region**



- **Regional interventions:** supporting regional process/actions, coordination function of regional institutions, knowledge management, strengthening the regional leadership/standards
- **Interventions in selected countries:** improving translation of regional P&P into national plans, testing approaches/bringing experiences to influence regional initiatives and policies

Source: SDC 2019

The regional approach developed by SDC (see Table 1) is highly relevant for the region, especially there where it takes advantage of regional interdependencies, such as disaster risk reduction (e.g. RVAA) and focuses on themes/challenges are of relevance for many countries in the region such as food security, poverty, HIV/AIDS (e.g. CSTL). Combining policy dialogue at regional and policy dialogue and domestication at national level with evidence-based results from complementary interventions at local level, SDC has

successfully achieved the replication and harmonisation of policies across the Region a) through facilitating the adoption of regional SADC policy frameworks and protocols, e.g. the SADC Policy Framework for Care and Support on Teaching and Learning adopted in 2016, common protocols for RVAA and b) through the provision of platforms that allows for cross-country learning, exchange and show-case of country specific interventions at local level, and the resulting peer pressure. Despite successes and at times failures by some member states to live up to the standards codified and ratified at SADC with SDC support, the policies continue to characterise the track record in SADC governance. The policies and frameworks have introduced reference points against which any departure from such standards can be measured, named and even shamed. Without such policies and frameworks, programmes and campaigners would have been less successful in SADC. The frameworks and policies are key factors for the successful implementation and replication of programmes across the Region. For a small donor, as SDC this is also important with regards to economies of scale, i.e. to achieve much with relatively little investments.

The high relevance of SDC's interventions is also related to their innovative potential, which some partners have described as „mind-changers“, i.e. development approaches that make national partners and stakeholders, as well as international cooperation partners think differently about how to approach development challenges (RVAA, CPF, CSTL). This innovative potential is often related to the use of more systemic approaches, i.e. strengthening the overall administrative or management framework to cope with development challenges, e.g. collection of good quality and relevant big data (RVAA), the development of a management information system for child protection policies, etc. The collaboration with NGOs proved very useful in this regard (e.g. CSTL).

Systemic approach/changes: Whilst SDC's engagement in social protection encompasses also the support of direct interventions (insurance, cash transfers) there is a strong emphasis on supporting systemic changes through strengthening the overall technical and human capacity of partner institutions and government institutions to deal with development challenges. This systems building (e.g. CSTL, RVAA, CPF) encompasses close collaboration and involvement of local, national, regional partners and institutions.

## **2.2 Effectiveness**

The national child protection fund (CPF) has achieved positive results with regards to the increase in coverage and improved quality of social protection in Zimbabwe: regular and reliable bi-monthly cash payments under the Harmonised Social Cash Transfer (HSCT) programme were made to over 52,000 food poor and labour-constrained households in 19 districts (250,000 persons). 83% of these households had children. Comparing treatment and control groups showed that 12 months into the programme, early marriage was lower by 6%, school dropouts reduced by 7% and under-age sex was down by 11%. The report shows mixed results on impacts, with a general increase in consumption, asset ownership, food security, spending multiplier and asset ownership. The National Case Management System (NCMS) was designed and rolled out. The NCMS is a newly developed, standardized, coordinated and harmonized approach to delivering child protection services across the country. Child protection and welfare services were provided to 50,000 children in 37 districts.

With regards to R4, during the first phase, the R4 Initiative model, which was tailored to the specific needs of each country, was tested in Malawi and Zambia, targeting an initial 500 farmers in each country. The combined risk management packages have helped better equip communities and households to adapt to the impacts of climate change. The El Nino phenomenon resulted in triggering an insurance pay-out for all the 500 insured



households in Malawi. The number of households insured against weather risks has further increased in both countries: to 2,446 in Malawi and to 2,835 in Zambia across the same districts (coverage rate). In the current phase (July 2017 – June 2021) the programme is being scaled-up to additional districts in Zambia and Malawi, and currently expanded to Zimbabwe, benefitting 33,000 households (up from 5,281) across these three countries by 2021. Beyond the direct impact with regards to social protection coverage, the programme has increased food and nutrition security. Farmers who participate in R4 tend to have more livestock, are more productive and are able to save more. The lessons and results from these three SADC countries shall serve as a solid base for engaging SADC on developing a policy and guidelines on weather-based insurance with the aim of mainstreaming R4 as a promising regional approach into SADC policies. The recent start of the programme and due to a series of delays the insurance component has only been implemented this year. In Zimbabwe, 20% of the targeted farmers have bought the insurance cover so far. A major result of R4 is also that it is discussed internationally as a hands-on model for scaling up micro-insurance.<sup>3</sup>

As for RVAA, the programme is very successful. All SADC countries (except for Mauritius) have established National Vulnerability Assessment Committees and institutionalised them. The system has facilitated inter-agency and multisector processes for VAA, becoming THE instrument on food security in the region. National and regional data analysis based on VAA has been used in many countries to declare national draught emergencies and/or launch emergency appeals, enabling timely response. Anecdotal evidence suggests that VAAs data which are collected every year and thus, represent very up-to-date data, are increasingly contributing to government initiatives to build resilience of rural livelihoods through a broader range of measures informed by time series data and longitudinal analysis, e.g. the African Risk Capacity (ARC) or to build scaled-up or enhanced social protection interventions to cope with future crisis (e.g. WFP urban safety net in Zimbabwe). However, there is no systematic monitoring on the use of VAAs with respect to social protection interventions. In order to be able to provide data and analysis on wider vulnerability indicators, the RVAA Programme is now working to address emerging issues including Urban Vulnerability, Integration of Nutrition, HIV and Gender, Climate Resilient Livelihoods and Chronic Poverty Issues.

The end of phase report was still underway during the phase of writing but interviews with the main implementing partner revealed that CSTL has reached 27 million children across the Region so far and has had a very positive impact on education outcomes, in particular with regards to vulnerable children and girls. The approach meets the development needs and shows to be very important where it works, i.e. it reaches the most vulnerable. The adoption of the regional framework in 2016 provided an important shift as it creates peer pressure (political clout) for Ministries of Education to report on CSTL and this provides an important lever. However, countries are at very different stages in the adoption of CSTL policies pointing to the different capacities and modalities within the different member states to implement programmes. Frequent changes in governments, budget constraints, high staff turn-over and socio-cultural attitudes render the implementation at national level challenging. The project has the potential to build more integrated systems, also in terms of cross-sectorial partnership under the hub of the Ministry of Education (social policy, health, etc.): However, there appears to be lack of capacity within the Ministries and lack of ownership across sectors to do so in some countries.

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<sup>3</sup> The integrated approach allows farmers to purchase the insurance via public works, in this way enabling farmers to purchase the product - even if they do not have cash, one of the major barriers to purchase continuous coverage.

On a more general note, the successful implementation of the SDC's regional approach in Southern Africa seems to be facilitated to a large extent by the existence of SADC as a regional player whose policy frameworks and guidance documents – though not legally binding – serve as an important lever to influence countries from above while implementing from below. However, from a SADC perspective, a major challenge lies in the fact that SDC regional programmes do not extend to all countries of the Region. Thus, while using SADC as a lever not all SADC countries equally profit from SDC's support. Same issues have been raised with regards to the CSTL programme.

SDC successfully works with a range of partners in its programmes, including governments, regional bodies, NGOS and international and bilateral donor organisations. In Southern African context, a strong collaboration with World Food Programme (national and regional), UNICEF and UNDP exists as well as various bilateral donors, including SIDA or DFID. SDC is considered a trusted partner with regional and national institutions and government bodies. SDC is considered a trusted partner which is considered flexible and responsive to changing demands and priorities, engaged and well informed without a tendency to micro-manage and in a top-down approach. The long-term engagement of SDC is considered an important success factor of SDC's work which enables approaches to evolve and partners to develop ownership and political will.

*"If I would sit here talking about other donors, I would say different things, but about SDC there is nothing negative to say." (NGO-Partner)*

Whilst UNDAF frameworks exist the collaboration as one UN in the field of social protection so far has not been harmonised leading to substantial duplications in efforts and resources spent.

SDC intervention tools mainly used are technical support, capacity development, financial support and PDPP. Whilst policy dialogue plays an important part of the regional approach in the context of the various projects discussed above (CSTL, R4 and RVAA), SDC does not participate in any regional or national policy dialogue that specifically focuses on social protection. Through its involvement in social protection programming, SDC is also part of the donor coordination group on social protection at national levels, e.g. in Zimbabwe. However, due to time and resource constraints - and possibly due to a lacking mandate and capacity - SDC staff participates only occasionally in this processes. With regards to the policy dialogue on social protection, they remain mainly in an "observer role" which reduces SDC's visibility in this domain and their capability of strategically influencing sector policies in this field.

## **2.3 Efficiency**

Generally, the levels of investment of SDC in social protection policies are very small overall and compared to other donors in the field. However, SDC was able to achieve a lot through its specific regional "sandwich" approach which functioned as an important multiplier for impact using economies of scale. This is especially the case with RVAA and CSTL. At the same time, such an approach adds increased complexity to the implementation with stakeholders and actors multiplying and rendering it challenging to follow-up. The regional programmes also show that efforts at regional level do not trickle down evenly to the national levels - depending strongly on national capacities and degree of ownership of national institutions and bodies, also in terms of financing. High turn-over rates of national staff, capacity constraints and volatile political context makes matters worse. This is for example the case with RVAA whose second programme phase has experienced severe delays in implementation. This delay had severe implications for the detailed planning, start-up and initiation of activities by Member States. In addition, the

budget assumptions made for phase 2 were unrealistic due to adjustments made to the donor budget. As a result, a range of activities could not be carried out due to time constraints. This was further compounded by the institutional constraints of a range of NVACs which led to a further delay in implementation at the national level.

However, working with a strong regional focus is also efficient in terms of being able to influence the further implementation of more broad-based agendas at the regional level, such as HIV/SRHR or food security.

SDC in Southern Africa closely collaborates with a range of bilateral and international donors and UN-organisations, including UNICEF or WFP, FAO, UNDP, DFID and SIDA. This allows SDC to achieve a lot with relatively little input in terms of resources, for example through its participation in the CPF multi-donor trust fund led by UNICEF or the close collaboration with WFP and USAID on RVAA and R4. However, the close collaboration with a variety of donors has also led to a range of inefficiencies and inertia in terms of programme implementation leading to delays and uncoordinated implementation of single programme components due to different donor funding procedures and modalities leading to “missed” impacts, as for example with R4. Specific challenges related to R4 in the implementation are linked to the insurance component and the fact that rural households lack the knowledge and/or understanding on insurance and financial illiteracy which is a major obstacle to purchase insurance coverage in the first place. Moreover, there tends to be little knowledge and interest on part of local insurers to develop, manage and deliver weather based micro-insurance schemes requiring a substantial learning curve by both – potential beneficiaries and insurers but also leading to delays in implementation.

The implementation of the child protection fund is on track when looking at the progress indicators of UNICEF that focus very much on the quality of the cash transfers provided, including timely delivery, delivery of the correct amount of cash or the number of households linked to the support provided through the case management scheme. However, in terms of expansion of the cash transfer the programme has experienced substantial inefficiencies. The programme is being implemented by various donors in various districts. Whilst some donor prefer to work with civil society organisations in implementing the transfer (e.g. USAID), UNICEF aims at working with government structures in order to build sustainable government systems. This creates challenges and frictions in the implementation and delivery of the case management systems and the Harmonised Social Cash Transfer. The political instability of the last years has led to a high turn-over in the partner ministry with negative impact on both leadership and technical capacity. Whereas UNICEF continues to deliver cash transfers in 18 of 65 districts, the government has failed to deliver cash to households in the 11 districts discontinued by UNICEF in 2017. With DFID the biggest donor to the trust fund will move out at the end of 2019 which basically means the end of the HCTS. Possible negative consequences for the case management system are anticipated if the complementary cash benefit will be suspended, e.g. less enrolment of vulnerable children in the system.

The mobilisation of Swiss actors into the programmes is rather limited, but has included the initial involvement of Swiss Re for R4 for example. What SDC has however mobilised a lot is its particular know-how and skills with regards to specific domains where a clear link to social protection may not be that obvious but which provided valuable input into the design and conceptualisation of cash transfer or with regards to systems building dimensions. These include the rich expertise and know-how on social accountability mechanism at local level, or the design of the grievance and redress component with the HSCT in the context of CPF. The experience of the humanitarian arm of how to deliver

cash transfers efficiently and effectively by use of mobile devices could be another example in this context.

Within SDC there are clearly capacity constraints in terms of knowledge and time to engage close with the topic and use it in a more strategic way in order to strengthen sector outcomes, in the field of HIV/RHSR and food security/resilience and climate change. This would also allow SDC to become a more visible and also relevant donor in terms of social protection in the region, also in terms of influencing design and policy decisions among the relevant international stakeholders.

## **2.4 Sustainability**

Overall, SDC's approach is aimed at creating sustainability through following measures:

- The regional approach is an important guarantee for sustainability as it creates – through SADC - an important institutional bracket that creates political ownership, ideally via a policy framework, such as in the case of CSTL and RVAA. Secondly, the regional approach and its complementary local labs and show-cases, creates economies of scale at national level, providing an important multiplier-effect (through regional dialogue, peer-pressure, South-south learning).
- SDC's long-term interventions that aims at ensure that programmes are well integrated and may „walk alone“ in terms of financial, institutional and capacity-wise.
- The focus on system strengthening is another important pathway for the creation of long-term sustainability.

However, there are also a range of factors that threaten the sustainability of the programmes and which lie beyond SDC's sphere of influence, including:

- The decreasing macro-economic conditions in a range of countries.
- Increasingly volatile political conditions.
- Continuous capacity constraints despite massive investments in partner countries and institutions.

With regards to R4 the programme has already been successfully scaled up to additional countries and districts within countries. The design of the programme itself, i.e. the combination of four resilience mechanisms is an important guarantee for resilience. In addition, being a combination of four resilience mechanisms the programme also expects spill-over effects into other components, such as crop-production, access to markets or savings. Being targeted at very poor and vulnerable households, there is considerable doubt among some of the partners whether index-based insurance products are the adequate instrument, especially with regards basis risk and whether other mechanisms such as farmer saving programs or a basis risk fund to protect farmers during basis risk events would not be more effective and efficient and sustainable in the long run, as it would better fit farmers' needs.

Although there is a strong sense of ownership at SADC and VAC levels of the post 2016 RVAA Strategy that has been supported by SDC, sustainability is an issue. The high turn-over rates in many governments also concern the NVACs; the deteriorating macro-economic decisions have led to decreasing domestic budget allocations for NVACs but also at regional level. The fact that in many countries the NVACs do not have permanent staff, but consist of multi-disciplinary cross-sectorial teams that work on the VAAs in parallel to many other daily activities, often implies a delay in planned activities and timely delivery. However, the fact that activities and results are highly appreciated and used by a wide range of stakeholders (national and international) provides a good basis for future

sustainability. If the demand is high, there is also a greater chance that activities will continue to be delivered. The need for comparable data on food security and the recently introduced expansion on indicators and data on chronic vulnerabilities, including urban vulnerabilities is an important guarantee that financial and technical support for RVAA will be continued beyond SDC's support, also because the programme is already embedded in an inter-agency structure and based on multi-sectorial efforts. The planned introduction of an online platform may further strengthen the sustainability of the programme.

With DFID withdrawing from the Child Protection Fund at the end of 2019 and no other donor in sight to substitute due to the politically volatile situation, the sustainability of the child protection fund, in particular the cash transfer is heavily called into question. What is more, it appears that in Zimbabwe a tension is developing between short-term humanitarian cash transfers in order to cope with recurrent emergencies and the development of a national social protection scheme aiming at developing reliable, long-term and sustainable solutions. With the aim to guarantee the sustainability of the HSCT scheme and convince government to allocate more own resources to the scheme, UNICEF has embarked on a strong advocacy programme that focuses on the Ministry of Finance and the parliamentary budget committee providing technical support for budget analysis in order to make the case for returns on social investments. Despite massive capacity building, the managerial and administrative capacity of the ministry and local government institutions continues to be low. There is a lack of political will to invest in the HSCT. Donors are also discussing an alternative strategy of shadow alignment to continue supporting HSCT with technical assistance while hoping that World Bank – once the political situation has been stabilised – will continue financing and expanding on the HSCT. However, there are concerns by the SDC programme officers that an end or a substantial reduction of the HSCT will also have a negative impact on the sustainability of the case-management system for children, as (1) the cash transfer provided an important incentive for families to enrol/report cases involving children vulnerable children in the MIS and (2) the HSCT also provided opportunities for sensitization and educational work, in particular the pay-outs.

CSTL is now in its last phase and SDC will discontinue its support by 2019. The national structure of the programme with technical working groups from national down to school level, its cross-sectorial nature and the strong involvement of communities at the local level are an important guarantee for sustainability, as is the regional policy framework on which Ministers of Education are asked to respond to each year. However, there are concerns on part of the SDC technical officers that SDC may not be able to follow up on how CSTL is sustained across all countries in the Region as the project comes to an end. A possible link between CSTL and other SDC programmes might ensure follow up and enhance sustainability.

### **3. Lessons learned**

SDC's work in the region and at national level is contributing substantially to the domain of social protection, in particular with regards to (1) systems building, (2) social assistance and (3) insurance. The performance of SDC overall is considered very successful and SDC is considered a trusted partner, engaged and with a lot of technical know-how.

**Monitoring for results on social protection:** whilst SDC monitors for overall goals under its specific domains, social protection outputs (increase in quality, increase in coverage, etc.) are not monitored unless being done by partners; in order to create a stronger sustainability of the social protection outcomes and allow for timely reaction/adjustments it

would be important to include a set of basic indicators on social protection<sup>4</sup> and/or more systematically follow up on those provided by partners in the reporting; Considering social protection as an important field that links up to other sector enhancing their outcomes, such as food security or HIV/SRHR (Sexual and Reproductive Health and Rights), it is also an important indicator of sustainability.

**Policy dialogue on social protection:** in terms of its development tool box, SDC is very strong in terms of providing technical and financial support, engaging with private partners and developing innovative partnerships. SDC has a wealth of expertise and skills in existing SDC domains to bring into social protection, including: social accountability, grievance and redress, cash delivery mechanisms, M&E or big data. However, there is no direct engagement in a policy dialogue on social protection - to the regret of other donors and international development partners at national and regional level. This substantially limits the visibility of SDC in the field of social protection as a small but important player at regional and national level. It equally reduces its capacity to influence debates and decisions on social protection, for example in the context of national technical working groups on social protection. Lack of time, capacity constraints and lack of guidance in form of a policy framework/brief to be able to engage in a more structured and strategic policy dialogue on social protection are the major reasons mentioned by SDC staff at local level. In order for SDC to engage systematically and strategically on the topic and be able to make better links to social protection ("be aware of it") light capacity building on social protection would be very useful. A policy paper/brief on how SDC understands social protection and the main pathways as to how it may impact on other sector/thematic outcomes would be an asset.

**Stronger dialogue with humanitarian assistance at regional and national level:** Especially in the Southern African context social protection policies are closely linked to dimensions of resilience, climate change and food security. Against this background, there is a need for SDC at regional and national levels to stronger engage with the humanitarian arm of SDC on the topic of social protection in order to develop innovative and sustainable solutions for the future. The example of the CPF – a follow up project of a humanitarian intervention – is an important lesson learned on which to systematically build on.

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<sup>4</sup> See for example Directorate-General for International Cooperation and Development European Commission. 2017. Indicators to measure social protection performance Implications for EC programming. Concept Paper No. 5, Luxembourg: European Commission

## **Annex 7.6: Social Protection in Asia (Bangladesh)**

### **1. Introduction**

Supported by sustained economic growth over the last decades Bangladesh has made remarkable progress in reducing poverty. Based on the international poverty line of PPP\$ 1.90 per person per day poverty declined from 44.2% in 1991 to 13.8% in 2016; based on national poverty criteria the proportion of the population living in extreme poverty similarly declined, while the proportion living below the 'upper' poverty line declined from 56.7% in 1992 to 24.3% in 2016 (a decline from 83.06 million people in 1992 to 39.60 million in 2016)<sup>1</sup>. In parallel, life expectancy, literacy rates and per capita food production increased significantly<sup>2</sup>. Rapid growth enabled Bangladesh to reach the World Bank's 'lower middle-income' country status in 2015. In 2018, Bangladesh met the eligibility criteria for graduation from the UN's Least Developed Countries (LDC) list, and is on track to graduate in 2024.

Bangladesh's economic model has been consistently mindful of the poor and the disadvantaged, developing, with large donor support, a wide network of social protection (Social Safety Net) programmes to address the problems of poverty, vulnerability and marginalisation: indicatively 140 programmes under 20 ministries<sup>3</sup> (e.g. pension schemes, allowances for groups with special needs, food security and disaster assistance programmes, workfare programmes, human development and empowerment programmes). National statistics indicate that the coverage of social safety net programmes has progressively increased over time: 13.1% of households (HH) in 2005, rising to 27.8% of HH in 2016 (10.6% of urban HH and 34.5% of rural HH in 2016)<sup>4</sup>. The ILO indicates 28.4% of the population is protected by at least one social protection benefit/scheme (SDG indicator 1.3.1, effective coverage)<sup>5</sup>.

In 2015 the government adopted a National Social Security Strategy, aiming at creating a social protection system that is inclusive, better mitigates life-cycle risks and prioritises the poorest and most vulnerable: women, children, aged and disabled persons are prioritised.

While poverty reduction and pro-poor growth remain incorporated in the overall development strategy and the sector policies of Bangladesh, key challenges exist. Despite the relatively inclusive growth experienced by Bangladesh over the last decades, income inequality increased between 2010 and 2016, while the rate at which poverty fell shows some weakening during the 2010-2016 period compared to the 2005-2010 period. Further effort is required to address societal changes stemming from uneven economic growth, urbanisation, and international labour migration (which remains the second most important source of GNI). According to the Household Income and Expenditure Survey, poverty reduction in rural areas accounts for 90% of all poverty reduction that occurred from 2010

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<sup>1</sup> Bangladesh Planning Commission (2018), "Sustainable Development Goals, First Progress Report"

<sup>2</sup> Bangladesh Planning Commission (2016), "MDGs: End-Period Stocktaking and Final Evaluation" notes that remarkable progress linked to the MDGs was achieved in the areas of poverty alleviation, ensuring food security, primary school enrolment, gender parity in primary and secondary level education, lowering the infant and under-five mortality rate and maternal mortality ratio, improving immunization coverage. However, the existence of poverty pockets, prevalence of unemployment and under-employment among the youth, stunting and wasting among the under-five children, prevailing dropout rate and enhancing the quality of education at the primary level, universal access to reproductive health, and resource constraints are identified as stumbling blocks in fulfilling all the MDG targets in Bangladesh

<sup>3</sup> Bangladesh Planning Commission (2018), "Sustainable Development Goals, First Progress Report"

<sup>4</sup> Ibid.

<sup>5</sup> ILO (2017), "World Social Protection Report" indicates the effective coverage rates of social protection systems for different groups to be: 29.4% of children are covered, 20.9% of mothers with new-borns, 18.5% of persons with severe disabilities, 33.4% of older persons, and 4.3% of vulnerable persons

to 2016. Considering the rapid growth of the urban population, adapting poverty reduction policies to the urban context will be a major challenge for Bangladesh in the coming years.

## 2. Findings – Social Protection in Bangladesh

### Social Protection – SDC project portfolio (2013-2017) in Bangladesh

7F-Number	Project Title	Type of SP-Intervention	Time-frame	Financial Volume (tsd)	Swiss Expertise	LNOB/ MDG/ SDG	Main target group	Importance of SP	Performance score
7F07524	Contribution to UNDP, State Reform at Sub-District Level	Systems Building	2010-2016	6.300	none	MDG1+3+7	Poor in general	Component	Good (4)
7F08438	Enhancing Urban Governance	Systems Building	2012-2015	3.050	none	MDG1+3+7	Urban poor	Component	Good (4)
7F08552	Social Safety Net Transfer Modalities (SSNTM)	SA - In-cash	2012-2013	1.400	none	MDG1+3	Poor in general	Major component	Adequate (3)
7F08596	Bangladesh Micro insurance Market Development Project (BMMDP)	SI - Agricultural Insurance	2017-2021	9.950	none	MDG1	Rural poor/farmers	Major component	Adequate (3)
7F08664	Health Insurance for Garment Workers	SI - Health Insurance	2013-2015	600	Swiss TPH + SMCG - Swiss Micro Insurance Consultancy Group	MDG3+4+5	Other marginalised / vulnerable group	Major component	Adequate (3)
7F09219	Building Skills for Unemployed and Underemployed Labour (B-SkillFUL)	LMPs	2015-2019	9200	none	MDG1+3	Urban poor	Major component	Good (4)

### 2.1 Relevance

Over the past decade Swiss development cooperation has focused support to Bangladesh in the core thematic-domains of Local Governance, Employment and Income (Market Development, Skills Development). Since 2013 there is also an increasing level of focus in the area of Migration. Climate Change Adaptation and DRR-related multilateral processes are also supported, as non-core areas. Humanitarian Aid (HA) has been provided linked to major natural disasters (notably cyclones), and since 2017 significantly so in response to the influx of Rohingya-refugees and the protracted nature of this humanitarian-crisis.

Switzerland's bilateral development cooperation in Bangladesh takes its main orientation from (develops its alignment with) the country's official development strategy, namely the Government Five-Year Plans (6<sup>th</sup> FYP 2011-15, 7<sup>th</sup> FYP 2016-20), and sectorial strategies. Switzerland specifically seeks to contribute to the improvement of well-being of the poor and disadvantaged people<sup>6</sup>, in particular of their economic, social and political participation.

<sup>6</sup> Swiss Cooperation Strategy 2013-2017 defines the poor as people who earn less than USD 1.25/day or the "economically active poor" who are likely to earn slightly more than USD 1.25/day, and the disadvantaged as



The SDC projects (in the 2013-2017 portfolio) providing a focus on social protection/ social inclusion (targeting disadvantaged groups), address the following key development issues:

- **Local Governance:** the projects implemented by the **UNDP** and by the **GIZ** respond to the government's policy to deliver better services "to citizens' doorsteps" and the changed legal framework and extended mandate of the local authorities at sub-district and municipality levels in this regard. The projects support to strengthen capacities of local governments and stakeholders to foster participatory local development and service delivery, in a more accountable, transparent and inclusive manner, including strengthening budgetary/ planning systems for a pro-poor service-delivery orientation.
- **Social Safety Net (SSN) Modalities:** the single phase SDC project was undertaken to fill a financing-gap for the completion of a programme implemented by the **WFP** to strengthen government SSN systems. SDC's contribution was focused on the Transfer Modality Research Initiative, which sought to provide evidence as to the efficiency and the cost-effectiveness of different modalities of SSN transfer, to support further policy-making that could be utilised to streamline the SSN system. In addition to government (and WFP) policy-making, the project could also inform the SDC portfolio in the Local Governance domain in terms of pro-poor orientation of services.
- **Health Insurance:** the single phase project implemented by the **Swiss TPH** sought to increase access to and take up of health insurance coverage via the pilot-test of a group, health micro-insurance scheme (for garment industry workers: predominantly female employees, as well as a key economic sector in terms of formal employment).
- **Agriculture Risk Insurance:** the BMMDP project, that **Swisscontact** is the managing agent of, seeks to increase access to and the take up of agricultural (crop and livestock) insurance coverage via the piloting of micro-insurance products (for smallholder farmers) and the development of the policy and the regulatory enabling environment.
- **Skills Development:** the B-SkillFUL project, implemented by **Swisscontact**, seeks to enhance the employment and income opportunities of poor and disadvantaged people, as well as to ensure their fundamental rights at work are safeguarded, via the provision of work-place training, counselling, and skills, and capacity development in the sector.

The projects are well aligned in terms of addressing specific needs of the poor and disadvantaged groups in Bangladesh, and are in line with the country's development needs. Each project is well designed, internally coherent and appropriate for achieving the intended development results. Each project is clearly defined in terms of the identification of the key stakeholders linked to project implementation, as well as the groups of persons targeted via the support. The majority of projects were developed in close collaboration with like-minded donors active in Bangladesh, promoting greater coherence of donors' support: the UNDP, GIZ, and WFP projects are supported by SDC via its financial contribution to the implementing partner's programme, alongside the financial contributions of other donors; the B-SkillFUL project evolved from an EU-funded project (2011-2015), to which SDC had provided a project contribution, which was awarded by the EU to Swisscontact as partner.

While the extent of projects supported by SDC in Bangladesh addressing aspects of social protection/ inclusion targeting the poorest is broad, it is evident that the projects

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people who are excluded or marginalised such as members of ethnic and religious minorities, divorced or widowed women, single-mothers, differently-abled people, or abandoned elderly

have largely arisen as stand-alone actions, rather than conceived as elements of a more coherent, systematic package of measures linked to promoting social protection.

## 2.2 Effectiveness

The effectiveness of the sample projects addressing aspects of social protection/ inclusion in Bangladesh is good in terms of the achievement of the intended outputs and outcomes.

- **Local Governance:** the UNDP project (sub-district level councils) and the GIZ project (urban municipality councils) have delivered positive results in terms of building the administrative capacity and operational mechanisms of the targeted councils (including for public consultation/ engagement with citizens, and in the development of local plans to guide the delivery and extension of local services to respond to citizens' demand):
  - The SDC support has contributed to capacity development of all 485 sub-district councils in Bangladesh (e.g. via extensive trainings, operational manuals/ guides), plus 846 community-level councils (25% of all such councils in Bangladesh), and 65 urban municipality councils (21% of all such councils in Bangladesh).
  - 65 sub-district councils in 7 districts received targeted additional support to develop their planning and operational systems to improve local governance and service delivery; 16 target urban municipality councils received similar additional support.
  - In 2017, 62% of respondents in the targeted sub-districts expressed satisfaction over the quality of services they receive from their council (up from 51% in 2016); 42% of the citizens were satisfied with the performance of councils in control areas.
  - Over 550 Women Development Forums have been established at district and sub-district level to serve as local platforms to enhance women's political empowerment.
  - The Fiscal Facility grant mechanism supported 550 local development schemes (2013-2017), benefitting over 1.7 million people (48% women); on average, 10% of investments were allocated to addressing the needs of disadvantaged groups.
  - 11 urban municipalities have established One-Stop-Service centres, offering different municipal services and to facilitate user management and access to the service system, with up to 1.2 million citizens estimated as potential beneficiaries.
  - By 2016, 207 of the sub-district councils had prepared a 5-year development plan.
  - In 2017, more than 4.9 million eligible poor citizens (52% women) received better targeted social safety net services in the SDC targeted local government councils.
  - However, the projects faced constraints in terms of achieving systemic outcomes at the national-level to support the process of reform; notably in developing policy with the national administration to guide the process of roll-out of administrative decentralisation and the extent of sectorial coordination between line ministries.
- **Social Safety Net (SSN) Modalities:** the project provided detailed analysis of the operational performance of five alternative SSN transfer modalities in Bangladesh (e.g. food rations, cash payments, or a combination of transfers, unconditional/ conditional). Recognising the key role of SSN programmes in the government's approach for the delivery of social protection, the analysis has subsequently served to inform decision-making regarding the design of SSN systems; it was well timed to

provide an evidence-base for the development of the National Social Security Strategy (adopted in 2015).

- **Health Insurance:** the project developed and then pilot-tested the proposed micro-insurance scheme for garment workers, plus provided detailed analysis of the pilot-test. While recognising the goal of the project was to design/ pilot a scheme, it is evident that the design was somewhat flawed (e.g. the telemedicine call-centre initiative). The Bangladeshi partners introduced a series of revisions to the scheme in follow-up<sup>7</sup>.
- **Agriculture Risk Insurance:** the opening-credit 'pilot phase' delivered key preparatory studies by the locally-based operational PPDP partners, supporting the development of new insurance schemes and index-based products; phase 1 of the project focuses on piloting and rolling-out the schemes/ products and testing the distribution/ outreach channels; the strategic PPDP partner, Swiss Re, is engaged for overall project steering. By 2021, it is anticipated that at least 340,000 smallholder farmers will utilise the insurance policies to reduce/ manage their weather or disease-related agricultural risks.
- **Skills Development:** the project is on track to deliver technical-skills training, work-place based trainings, and follow-up job counselling to 20,000 poor and disadvantaged men and women, in 5 districts, and to place at least 70% of them in employment. The project is also supporting training service-providers to enhance their training offer and coaching support, plus outreach approach, tailored for the poor and disadvantaged. The project also promotes awareness on labour rights and decent work conditions: the trainees, service-providers, and the informal enterprises providing work-place training.

The majority of SDC's projects concentrate the delivery of Swiss programme investment at the local-level in 7-10 target geographical districts across Bangladesh: to pilot measures/ reform efforts, to promote knowledge-learning and sharing of the wider community of partners (e.g. local councils, insurance-providers), and to build-up to the national-level via influencing the development of the national policy enabling and regulatory framework. This ensures that Switzerland's overall investment is not thinly-spread across the country and that potential synergies between projects' results can be achieved at the local-level. SDC projects and approaches are effectively delivering real benefits reaching the needs of the locally-targeted populations, including in reaching the poor and disadvantaged groups.

Nevertheless, it is evident that building national ownership and commitment to the scaling-up of innovative mechanisms, and in the development of the policy enabling framework has, at times, been demanding to achieve. The process of political and administrative decentralisation and local governance reform has notably struggled to achieve adequate traction at the national-level over the past years. It is recognised that policy dialogue with the government needs to be further enhanced to ensure national-scale of the results.

## 2.3 Efficiency

The SDC portfolio in social protection/ inclusion has been efficiently managed by the SDC/ Swiss Embassy and the implementing partners, delivering the majority of the intended project activities and results. But, it is evident that timely management/ implementation of the support has experienced certain difficulties in regard to delays in the national decision-making process (e.g. the lengthy delay in granting approval to start project field-operations

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<sup>7</sup> BADAS: [https://www.dab-bd.org/sub-page.php?sub\\_category=52](https://www.dab-bd.org/sub-page.php?sub_category=52)

for the GIZ project, or for national review and vetting prior to issuance of bylaws and rules for the operations of local councils), or due to the contextual realities (e.g. delays in the implementation of certain activities during the lead-up to local and to national elections).

Recognising that the Swiss programme in Bangladesh has a significant focus, across all domains, on addressing the needs of the poor, marginalised, and disadvantaged, the Embassy has provided support to implementing partners to mainstream poverty targeting, e.g. guidance on its definition of poverty and exclusion concepts, and the disaggregation of targets and results into women, poor and among them disadvantaged persons. However, the CS Annual Reports note that due to the extent of different issues that are mainstreamed across the programme, ensuring the efficient translation of all the concepts and tools into practice by the project partners can be difficult to deliver. It is noted that the processes and tools related to mainstreaming of issues needs to be consolidated and complexity reduced.

A good level of cooperation exists and synergies between the actions of the SDC (under South Cooperation and the Global Programme Migration and Development) and the SECO in regard to issues of the promotion of decent work and its link to labour migration policy.

Recognising the extent of the humanitarian crisis linked to the Rohingya refugees, SDC and the Embassy efficiently adapted the Swiss programme to respond to the situation. SDC development cooperation has sought to complement SDC humanitarian aid, via co-funding HA projects that benefit both refugees and host communities and the extension of the local governance portfolio to support institutions in the Cox's Bazar area strengthen basic service delivery over the medium-term. Collaboration between all SDC units has been efficient.

In addition to support provided via the Swiss Cooperation Strategy, SDC also provides contributions to the long-term programmes of Swiss NGOs (via the institutional partnerships that SDC-HQ maintains with a range of Swiss NGOs), with a number active in Bangladesh addressing issues of social protection, e.g. HEKS/EPER, Helvetas, and Swisscontact. These are efficiently delivered, focused on assisting the economic and social integration and empowerment of disadvantaged groups and indigenous communities at the local-level.

Switzerland is an active member of the donor coordination platform, the Local Consultative Group and on relevant sectorial Working Groups (e.g. local governance, education/skills, social protection) and strives to support a comprehensive donor-government exchange. Over the recent years the Embassy has focused its policy dialogue efforts linked to issues such as local government reform, social inclusion, decent work, and labour migration. This has produced clear results in the area of migration policy, where the government seeks to strengthen the governance framework, as well as to establish indicators and standards for measuring the performance of local governments in managing their affairs and providing service delivery at local level. However, coordination and dialogue between the government and donors has faced certain constraints, such as the non-participative way in which the government draft policy on development cooperation was elaborated, which could potentially restrict options and instruments available for future development cooperation.

## **2.4 Sustainability**

The sustainability of the project results in regard to social protection/ inclusion is adequate.

In regard to **Local Governance**, it is recognised that fiscal transfers from the government to local councils have increased since 2013, however the proportion of the national budget transferred to local governments has decreased as a percentage of the national budget<sup>8</sup>. Additionally, a range of agreed project targets to support sustainability have still to be fulfilled: the increased level of fiscal transfers to sub-district and community-level councils is below target (but for urban municipalities is achieved beyond target); while only 36 community-level councils received additional functionaries by 2017 against a target of 300. There is a risk that this could undermine the capacity of local councils to adequately fulfil their responsibilities under the decentralisation process and sustain suitable local services.

In regard to **Social Safety Net (SSN) Modalities**, the sustainability of the results is strong. The government is clearly committed to utilising SSN as a key main mechanism for delivery of social protection in Bangladesh: the national budget allocated to SSNs has progressively been expanded over the past years (9.7% of the national budget in 2016-17 increasing to 13.9% in 2018-19; the equivalent of 1.7% of GDP in 2016-17, rising to 2.6% in 2018-19).<sup>9</sup>

In regard to the **Insurance** projects, the sustainability of the results is dependent on the longer-term relevance and fiscal sustainability of the products to meet the needs of the targeted groups, as well as the suitable development of the national regulatory framework. In regards to health insurance for garment workers (and improved safety and decent work standards), sustainability of the results is good: due to catastrophic work-place accidents in the garment industry over the recent years, the national and international environment is strongly focused on ensuring adequate social protection provision (as a necessity to ensure the continued success of Bangladesh's textile-industry and its export generated-income).

In regard to **Skills Development**, the sustainability of the results, beyond the scale of the benefits accrued by the supported individuals, is dependent on the capacity of the training service-providers, and related employer partners, to offer continued services after project completion. Notably this will relate to the financial-means, including the existence of local (national or local council) incentives, for partners to continue providing the targeted support.

### 3. Lessons learned

Social protection (Social Safety Net) systems perform a vital role in Bangladesh in terms of targeting the alleviation of poverty, so as to better mitigate life-cycle risks and extreme poverty. Nevertheless, less than one-third of the population are protected via the systems. The government is committed to the further expansion of social protection, including the rationalisation of systems so as to improve the efficiency and also the coverage of social protection. This includes the government's commitment of increased funding to the area.

Although SDC has supported Bangladesh in the area of social protection via a range of projects over the past years (six projects), to an extent that significantly exceeds the average for social protection projects that SDC supports in other partner states, these were not conceptualised as a package of measures. They have largely arisen haphazardly. However, the projects have created a basis that SDC could significantly

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<sup>8</sup> SDC: Bangladesh (Cooperation Strategy) Annual Report, 2018

<sup>9</sup> Dhaka Tribune: the government budget for fiscal-year 2018-2019 proposes to increase the coverage of the SSN programmes, e.g. the number of recipients of old age allowances to 4 million from 3.5 million, widow and oppressed women allowances to 1.4 million from 1.2 million, disability allowances to 1 million from 825,000, and maternity allowances to 700,000 from 600,000

build on, into the future, although potential further engagement should be more strategically selected.

Switzerland is well regarded as a donor, and SDC is well placed to play an increased role in the sphere of social policy, including social protection/ inclusion. This would entail greater SDC engagement in policy influencing and dialogue, plus in supporting systems building/ institution-building for social protection. It also means supporting increased access for the poor and excluded to financial means and contributing to making institutions more accountable, including via pro-poor social and economic empowerment measures.

## **Annex 7.7: Social Protection in Latin America (Bolivia)**

### **1. Introduction**

In Latin America and the Caribbean, in 2015, 61.4% of the total population was covered by at least one social protection benefit (effective coverage, SDG indicator 1.3.1, ILO SP report 2017-19). However, SDG effective coverage indicators across LAC countries and mechanisms vary widely (2015 or latest available year):

- Percentage of children and households receiving child and family cash benefits was 27.3% in Colombia and 65% in Bolivia.
- Percentage of unemployed receiving unemployment cash benefits was 12.2% across LAC countries.
- Percentage of persons with severe disabilities receiving disability cash benefit was 59.4% across LAC, 15.4% in Honduras and 2.1% in Bolivia.
- The proportion of older women and men (above statutory pensionable age) receiving an old-age pension, was 70.8% across LAC, Honduras and Haiti stand at 7.5 and 1% respectively, whereas Bolivia had reached full coverage.
- The percentage of vulnerable populations receiving non-contributory cash benefits was 39.2% across LAC, in Bolivia 34.4% and in Colombia 14.1%.

The SDC partner countries in LAC (Bolivia, Colombia, Cuba, Haiti and Honduras) plus Nicaragua, Guatemala and El Salvador, which are covered by the regional programme MiCRO largely reflect this heterogeneity regarding social protection, but also regarding general human development. Cuba and Colombia rank among countries with high human development, Bolivia and Honduras with medium and Haiti ranks among the countries with low human development (HDI 2017). Among the partner countries, Cuba is the only one not having a national social protection policy or a nationwide poverty reduction strategy. However, Cuba, as well as Honduras and Nicaragua have adopted ILO's Social Protection Floors Recommendation R202.

A major challenge across the region is the effective coverage of rural and/or difficult-to-reach populations like for instance microenterprises, self-employed, and domestic workers (Social-Protection.org). More than in other regions around the globe social protection in LAC is less a question of resources and affordability, but one of missing political will and governance, and redistribution.

The SDC engagement in social protection in the LAC region is not extensive, and is broadly spread across the priority partners for the SDC in LAC (Bolivia, Colombia, Cuba, Haiti, Honduras, and Nicaragua). The final portfolio covers 12 projects (see table 1). It is noted that 50% of the portfolio (6 projects) predominantly relate to issues of social insurance, 3 to social assistance, 1 to LMP and 2 of the projects focus on a systemic approach to Social Protection. The 3 projects in Colombia are undertaken via Humanitarian Aid, all others via South Cooperation.

**Table 1: SDC portfolio in the region, distinguished by the 4 SP pillars**

	Main focus / SP pillar addressed			
	Social Assistance	Social Insurance	LMP	System Building
<b>Bolivia</b>		- PROSEDER - PDRR - Rural Markets		
<b>Colombia</b>	- SHA Secondment - WFP Secondment			RNEC
<b>Cuba</b>				- PRODEL - PADIT
<b>Central America (Regional)</b>		- Catastrophic Micro Insurance/ MICRO		
<b>Haiti</b>		- Contribution to Haitian Catastrophe Micro-insurance Facility - PAPA/SYFAAH		
<b>Honduras</b>			- PROJOVEN	

This case study primarily focuses on the country-level operations and policy dialogue of the SDC to promote micro insurance in Bolivia. It also addresses the actions of the Swiss NGOs supported by the SDC that are active in country, as well as public/private Swiss partners, and complementary actions to micro-insurance products, including a legal framework for micro insurance and financial literacy. To contrast the experience of micro-insurance in Bolivia, the case study looks additionally at micro-insurance projects in Haiti (first pilot) and Central America (the initial CP included El Salvador, Honduras and Nicaragua, the project later covered Guatemala and El Salvador, the intervention in Honduras was postponed and suspended in Nicaragua due to insufficient political support).

MiCRO is a fully incorporated (re-)insurance company regulated in Barbados in 2010 that has developed a 'first-of-its-kind scalable, parametric and basic risk catastrophe (re) insurance model for vulnerable households. MiCRO is so far capitalised only by donor (incl. SDC) monies, as its two current shareholders Fonkoze Foundation and MercyCorps are NGOs. MiCRO has been more a virtual company without staff and run by selected staff of its shareholding NGOs. A seconded CEO from Swiss Re is tasked to transform MiCRO into a commercially viable re-insurer while maintaining its development mission. SDC provides funds to underwrite MiCRO's basic insurance risks (CP 2013).

## **2. Findings**

### **2.1 Relevance**

SDC possess highly relevant and wide-ranging expertise in agricultural and catastrophic insurance (see e.g. Insurance for smallholder farmers and vulnerable households against catastrophic events - Guiding principles for donors and governments, 2014<sup>1</sup>). The E+I network sees SDC as knowledge broker for partner countries, for other donors and for private commercial insurers, e.g. in the context of SCBF providing commercial insurers

<sup>1</sup> These guidelines were the result of an expert meeting on agricultural and weather insurance 2013, in which representatives from Micro Insurances Fonkoze Haiti participated and shared their experiences.



with the knowledge about how to access low-income insurance markets and make sure products are “development-conform”. Throughout SDC’s partner countries, the E+I network witnesses a strong request for micro-insurance services, in particular with regards to agricultural insurance and natural hazards in the context of DRR and livelihood protection.

In Bolivia, the main objective according to the Cooperation Strategy 2013-2016 was to contribute that economic growth and increasing public funds benefit the poor disproportionately and therefore contribute to a significant reduction of poverty and inequality. The social protection portfolio responds mainly to the second thematic area, mitigation of the negative effects of climate change. Bolivia is one of the countries hardest affected by climate change, e.g. through a rise in temperatures, reduction of glacier and unpredictable precipitation. Bolivia’s priorities in this field are food security, right to water, and resilience towards the effects of climate change. The government has identified agricultural insurance as a priority. The cooperation strategy 2013-2016 mentions the important contribution of SDC to the government’s implementation of harvest loss insurance in the Andean region, and recommends geographical scaling-up as well as the focus on the reduction of the negative effects of climate change in order to increase effectiveness.

The cooperation strategy 2017-2020 highlights the Swiss contribution to the mitigation of climate change in Bolivia. Policy dialogue on all levels (municipalities, departments, and central government) as well as capacity development measures (on institutional, staff and beneficiary level) has contributed to system building, to making laws, policies, plans, and public finance mechanisms more inclusive and the Swiss contribution more sustainable. SDC is closely and constructively collaborating with existing and newly formed government institutions, e.g. supporting the development of a regulatory framework for DRR/insurance mechanisms. The new cooperation strategy also emphasizes policy dialogue and exchange at regional level.

As can be seen in table 2, all three projects with an SP component in Bolivia focus on agricultural or weather-risk insurance for rural poor/poor farmers, responding to the two above-mentioned core challenges in the country. All projects are mandated to Swiss development organizations, Swisscontact and Helvetas. In all projects, SDC is partnering with PROFIN (Fundación para el Desarrollo Productivo y Financiero).

Development cooperation is losing importance in Bolivia, several bilateral donors have retracted, whereas SDC has been constantly present since 1969 and has a high reputation (although in other topics than SP). This increases the relative importance of SDC and provides opportunities to contribute to sector strategies via policy dialogue.

The new cooperation strategy mentions the exchange with multilateral institutions, co-financing, alignment not only to government strategies but also to private sector and civil society, as well as potential synergies with HA in the fields of climate change, DRR, and Rapid Response.

**Table 2: Description of SDC interventions in Bolivia, and SDC insurance projects in Haiti and Central America**

7F-Number	Project Title	Type of SP-Intervention	Time-frame	Financial Volume (tsd)	Swiss Expertise	LNOB/MDG/SDG	Main target group	Importance of SP	Performance score
7F06552 Bolivia	Promotion of Microinsurance for agricultural production (PROSEDER)	SI - Agricultural+ Weather Insurance	2012-2015	2.000	Swiss Re (potentially)	MDG1+8	Rural poor/farmers	Part of component	Good (4)
7F08634 Bolivia	Rural Markets	SI - Agricultural Insurance	2013-2018	10.396	none	MDG1	Rural poor/farmers	Part of component	Good (4)
7F07768 Bolivia	Scaling-up of Programme for Disaster Risk Reduction (PDRR)	SI - Weather+ Agricultural Risk Insurance	2011-2014	3.090	none	MDG7+1+3	Rural poor/farmers	Part of component	Excellent (5)
7F07916 Haiti	Contribution to Haitian Catastrophe Micro Insurance Facility	SI - Weather Risk Insurance	2011-2014	1.250	SwissRe	MDG1	Women	Major component	Poor (2)
7F08679 Central America	Catastrophic Micro-insurance	SI - Weather+ Agricultural Risk Insurance	2013-2018	6.700	SwissRe and SCBF	MDG1+2	Poor in general	Major component	Adequate (3)

The Dispatch 2013-16 mentions as one of the Swiss Partnership goals that Swiss NGOs engage actively in public debate on development policy. The Independent Evaluation of SDC Partnerships with Swiss NGOs mentions for instance that most Swiss NGOs are members of one or more broader knowledge-sharing platforms in Switzerland, e.g. Swiss Disaster Risk Reduction (DRR) that among others provide an opportunity for policy dialogue with SDC.

The cooperation strategy 2018-2021 mentions that around 30 Swiss NGOs are present in Bolivia, thereof nine with a programme contribution for SDC, and three with mandates for SDC.

As highlighted by an external evaluation, Proseder is aligned with the national policy on agricultural insurance and with the policy on prevention and management of risks. Although it had not yet generated substantial interest in the insurance market, the programme responds to the needs of the selected target groups, especially since farmers can obtain funds via the FTR (Fondos de Transferencia de Riesgos) in case they suffered from a loss due to the covered risks. Pilots were being conducted, whose results allowed to adjust the programme, e.g. the inclusion of other crops.

The evaluation reports for Mercados Rurales and PDRR do not address relevance; however, in the cooperation strategy the relevance of the SDC portfolio for Bolivia has been highlighted.

In Haiti and Central America, the mobilisation of Swiss RE proved highly relevant in this specific context, and led to capacity development for SDC and SCBF both in terms of insurance expertise and Public-Private Development Partnerships (PPDP<sup>23</sup>).

## 2.2 Effectiveness

In Bolivia, the insurance components are effectively implemented in the framework of DRR/Climate Change Adaptation and Agricultural Development. Priority themes addressed are Climate Change and Environment, Employment and Economic Development and Private Sector and Financial Services. This ensures a context-specific and systemic approach, however impedes that projects not embedded in a social protection framework.

As shown with the project PDRR, micro-insurance, if combined with disaster risk reduction (DRR) and financial education, can be an effective risk management tool for vulnerable households to recover and resume their productive activities when struck by natural disasters. The micro-insurance component of PDRR has supported ministries and municipalities to design and develop risk transfer mechanisms for agricultural insurance and municipal risk management, and prevention systems. Implemented in a participatory way, it has contributed to substantial ownership within ministries and municipalities. Guidelines for public investment into DRR and adaptation to climate change have been developed, e.g. it has been established that for every dollar invested, 4-8 dollars of loss are saved. Important actors, including humanitarian networks, have been capacitated and the policies have been operationalized on the departmental and the municipality level. The insurance component applies agricultural micro-insurance as a post-disaster/ recovery measure [A small farmer (client) ensures his plot against the plot of a Yapuchiri (local agricultural leader), assuming that he applies the same agricultural practices as the Yapuchiri with a learning effect as secondary effect. If in case of an extreme climatic damage event, the Yapuchiri faced substantial yield-losses on his/her plot compared to average years, an indemnification is paid to the client (yield-based model)]. On the output level, three of those mechanisms have been implemented (for vine, potato and peach), one of those mechanisms has been adapted, which led to a 30% increase in clients. On the outcome level, it is stated that approximately 350 farmers were insured against agricultural losses due to natural hazards, and that 27% of the insured producers have re-insured themselves. The project therefore has overachieved its objectives, reached more households than planned, and created additional risk transfer mechanisms due to the high demand by the stakeholders. No information on the impact level is given.

Achievements of Proseder in the social protection component include the development of agricultural insurance and micro insurance policies in cooperation with the central government. 900 farmers were insured via the new FTRs (cattle/milk, peach, wheat). More importantly, it is stated that the foundations for a culture of insurance is laid. The pilot measures were found as valuable, with the potential to be replicated for other grains and/or by other actors. SDC has assisted in developing legislation for the creation of a National Institute of Agricultural Insurance (INSA) to promote the development of agricultural insurance. The role and support of PROFIN, e.g. the management of the FTR has been valued by other actors like INSA. Weaknesses were the late start of actions on

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<sup>2</sup> The SDC understands a private sector partnership as an alliance with a private actor that establishes mutual obligations. Each partner defends their specific interests while sharing a set of agreed values. Such alliances create a positive impact at the social, environmental and/or economic levels.

A private sector partnership is a means to strengthen achievement of the objectives to reduce poverty, promote transition processes, humanitarian aid and the resolution of global challenges.

<sup>3</sup> See end-of-the-phase report for Micro insurances FONKOZE for more information, and publications.

financial literacy (more information for farmers would have been needed at an earlier time), the coordination of the regulatory measures for micro insurances (which led to uncertainty and delays and hesitation among potential insurance companies), more qualified evaluators would have made a higher insured area possible (problem: the same technicians that commercialize the insurance product do the loss assessment). The evaluation found unrealized synergies in the insurance market, and high bureaucracy which among others lead to delays in insurance pay-outs. Swiss RE was mentioned in the CP to act as reinsurer and contribute financial resources and knowledge. Yet, in the evaluation reports, no involvement of Swiss RE is mentioned.

Mercados Rurales uses a M4P approach. The agricultural insurance component is the follow-up of the previous project Proseder. It uses guarantee funds hosted in the foundation PROFIN. The project has achieved the planned results on the output level, life and machinery insurance products have been developed, and more than 1000 households have acquired an insurance policy (vine, life insurance and machinery insurance). On the outcome and impact level, there are no specific social protection or insurance indicators mentioned.

All three insurance components put an emphasis on complementary measures to insurance, mostly financial literacy, and the regulatory framework. This seems to greatly enhance ownership, capacity development and possibly also sustainability of results, yet also seems to have effects on the efficiency of the projects. In general, the cooperation strategy 2013-2017 criticises that SDC's actions in Bolivia have been geographically and thematically too disperse, and that a territorial and thematic focus on the mitigation of negative effects of climate change would improve SDC's effectiveness in Bolivia.

In the framework of MiCRO, a public-private development partnership (PPDP) with Swiss Re, FOMIN, and KfW's Climate Adaptation Fund supports MiCRO in strengthening the disaster resilience of vulnerable households. Swiss RE provides insurance expertise via technical assistance and via its CEO secondment to MiCRO and the first insurers. The CEO's task is to transform MiCRO into a commercially viable re-insurer while maintaining its development mission. In Guatemala, with the support of SwissRe, MiCRO has designed a catastrophe Index based insurance product (protection against catastrophic events caused by drought, torrential rainfall and earthquake). MiCRO linked the insurance to a productive loan (used for investments into productive activities of farmers and micro and small entrepreneurs) and complementary to the insurance product, worked on related risk management.

### **2.3 Efficiency**

The three SP projects in Bolivia were implemented by Helvetas and Swisscontact. Swiss Re was involved as a partner to PROFIN. No reporting has been done on this involvement, therefore it is difficult to judge performance and lessons learnt for SDC. One of the evaluations of Mercados Rurales mentioned the good relationship of SDC with Bolivian government institutions at all levels. This is also due to the good results achieved in former SDC projects. They criticize however the administrative burden and the high staff turnover and the "inertia" of political institutions to generate changes in the system (stakeholders in Mercados Rurales included more than 40 public entities). It was also mentioned that financial literacy is a big issue which ideally has to be tackled before rolling out the insurance policies.

PROFIN, the local partner of SDC is supported by the E&I network and in the framework of Proseder became member of the micro insurance network. Already before, the PROFIN Foundation and its partners had undertaken research and development of agricultural

micro-insurance products through other projects Based on the evidence generated by SDC funded pilot projects, PROFIN had assisted the Government in the elaboration of law 144 that prescribes the creation of agricultural insurance.

For PDRR the evaluation calculated the cost per final beneficiary and recommended a detailed cost-benefit analysis for the next phase (see lessons learnt). Two companies have been involved as distribution channels (IDEPRO and Banco Pyme Ecofuturo).<sup>4</sup>

For Proseder the evaluation mentions that the project was characterized by a rather slow process, due to the necessity of initial capacity development of the local partner, as well as the higher than expected need for financial training of the target group.

In Bolivia, SDC uses geographical targeting, target groups are mostly (female) farmers/rural poor in the Altiplano and the Sub-Andean regions. Female participation is monitored and targets are mostly achieved, other socio-economic characteristics of the participants to assess outreach are not available.

The mid-term review of SCBF in 2014 highlights the importance of working with a reputable partner with capacity to undertake the proposed activities. Working with large PFIs has shown not be appropriate if this actor is already the most dominant in the market, as this may reinforce its position. For some insurance projects, smaller insurers may be more willing to partner to reach the low-income segment, expand their outreach and improve their operations, and as such may be better partners than the largest or most dominant players in the market. Moreover, the review mentions that the KPI of the Micro-insurance Network should be calculated for each project, helping the SCBF members compare programs and understand where there is good value and where they can improve the efficiency of the insurance program, as well as creating a conducive incentive structure for TA providers and PFIs by introducing performance-based agreements (PBA) based on outcome targets and performance.

## **2.4 Sustainability**

Overall, the context-specific approach of SDC in Bolivia and the systemic way of working (including government institutions, private sector and final beneficiaries) has been shown to lead to high ownership and involvement of the respective institutions, to an increased demand and therefore promotes sustainability of the results.

For Proseder the inclusion of local governments was helpful in getting insurers on board. PROFIN was capacitated in managing the FTR and now has a reputation in facilitating and innovating for the development of micro insurance and agricultural insurance. According to an external evaluation, transferring the funds to municipalities would put in risk the sustainability, due to low capacity and high staff turnover. In the first phase of the project, two private sector companies collaborated, and one was already planning to independently sell the product in another department. One of those companies (Latina Seguros) developed the Vida Agrícola, a three-component insurance (life, agricultural production and household).

For PDRR it was highlighted that the vice-ministry of rural development and agriculture has ownership over the PDRR, and over its integral approach (promoting appropriate agro ecological practices and transfer of financial risks). Results of the projects have been used by the National Institute of Agricultural Insurance to develop an agricultural insurance for extremely poor municipalities.

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<sup>4</sup> See: <http://www.idepro.org/Productos>; <https://www2.bancoecofuturo.com.bo/creditos/seguros/>

For Mercados Rurales the end-of-phase report in 2017 highlights that the project is working closely with stakeholders to achieve ownership and sustainability, yet recommends that some of these actors, e.g. service providers, still need support in consolidating and scaling-up their offer of services to the target population.

The mid-term review for SCBF in 2014 highlights that for insurance projects, sustainability is rapid for certain products like credit life, but becomes longer and harder when it is voluntary and moves into health and agriculture. The time frames to judge the sustainability for most insurance projects often have been too short, and projects have been delayed due to regulatory impediments.

Due to this, and also to the different reporting structures for PPDP, it is not possible to evaluate the sustainability of these more in detail. For instance there is no information on the Swiss Re secondment to Profin in Bolivia, nor do we find information if the private insurers are still involved, let alone the outreach and demand from clients.

### **3. Lessons learned**

Lessons learnt from Proseder include the importance of timely implemented financial education and regulatory measures. Since the complexity of the insurance markets was underestimated at the beginning, it was not possible to achieve impacts in the short time period of three years. Due to the timely delay of the complementary measures, the FTR lacked legal backing and needed to act in a grey area. The project external final evaluation on the micro insurance component mentions that re-insurance is lacking, as well as expertise to better quantify, distribute and value risks (more quantitative data would be needed than can be provided by the project). For better risk management and profitability, FTR should be scaled up to other regions and products.

For PDRR an external evaluation estimated the costs per final beneficiary at only 5.5 CHF, and conclude that at the same time the qualitative and quantitative effects achieved were significant. The evaluation therefore recommends to monetarize these prevention effects and its costs, especially because it was found that government institutions prioritize emergencies instead of risk prevention measures. It was also outlined that every dollar in prevention saves 4-8 dollars in post-disaster measures.

Within the framework of Mercados Rurales it was noted among others that in Bolivia more and more women stay and work in the rural areas, therefore more gender-specific activities to empower women economically and socially are needed. The external mid-term review also mentions that policy makers value especially the experience and concrete results of pilot mechanisms, which are easy to implement and have the possibility to be scaled-up.

Micro Insurances Fonkoze in Haiti yielded some important lessons to MiCRO in Central America, e.g. for the institutional and managerial setup of the PPDP, for the design of the insurance product, as well as for setting a risk exposure ceiling (A pilot mechanism in Haiti failed among others due to significant losses after the hurricane in 2012). Both in Guatemala and in El Salvador, MiCRO is collaborating with local insurance companies (Aseguradora Rural, and Seguros Futuro) for the design of the insurance product and as distribution channel. In Guatemala, it was planned to implement integrated monitoring tools for the Financial Education Programme and an Outcome Monitoring System on client satisfaction and client value, to provide MiCRO with valuable feedback on the product. However, no information is available on the status of these tools. MiCRO has identified the opportunity of offering a meso insurance product that would cover a whole

loan portfolio of a microfinance institution. While the involvement of Swiss Re, KfW and the IADB seems to enhance expertise and capacity building with microfinance institutions and contribute to the performance of the projects, it is not possible to judge SDC's role, there is only a financial report from KfW, but no information on the outreach, or other developmental goals.

Relevant lessons learnt from SCBF include the supporting of innovations, in order to enrich the learning agenda, to increase the value added and to provide a more solid justification of the use of public funds by private institutions. In terms of organizational set-up, a separate co-funding window, testing innovations as part of feasibility studies or as a pre-phase of up-scaling projects are recommended. Another recommendation is that project proposals should contain financial projections to show financial viability of a product, particularly for insurance, and potentially including sensitivity analyses and stress tests where applicable. When it comes to product up-scaling or testing innovations, the SCBF should make sure that PFIs are financially viable, else this could easily jeopardize the sustainability of the project.

## **Annex 7.8: Social Protection in Eastern Europe (Albania)**

### **1. Introduction**

In the Western Balkans, Switzerland concentrates its transition assistance cooperation on five priority countries: Albania, Bosnia and Herzegovina, Kosovo, Macedonia, and Serbia<sup>1</sup>.

Each of the countries continues to face significant structural challenges in the transition to an inclusive democracy and society, an accountable system of governance, and a social/market-based economy. Despite the return to strong economic growth experienced by the countries over the recent years, the countries' development level remains low by European standards<sup>2</sup>. Further efforts are needed to increase economic competitiveness, the rate of economic activity and the labour-force participation rate of working-age persons (including via addressing the entrenched informal economy), to strengthen the skills-base, economic opportunities and income of the population, as well as to address high unemployment, especially among the young. Further efforts are required to strengthen the capacity of public administrations to effectively and efficiently prioritise and deliver services appropriate to the needs and expectations of the population. Each country needs to enhance its efforts to strengthen social protection provision and inclusion of all citizens<sup>3</sup>. Analysis by the European Commission of progress made by the individual countries to pursue a path of European integration/ cooperation, leading to eventual EU-accession, notes that increased efforts are needed to effectively address child rights abuses, to address the social exclusion of/ discrimination against persons with disabilities, against minorities and other vulnerable groups, to combat domestic violence, to further advance gender equality, and the rights of LGBTI-persons<sup>4</sup>.

Over the past decade Switzerland's transition assistance cooperation with the five partner countries in the Western Balkans region has provided a very good level of continuity in terms of the 3-4 core thematic-domains of intervention supported by Switzerland<sup>5</sup>:

- Governance/ Democratisation, Decentralisation and Local Governance (DDLG)
- Economic Development and Employment
- Infrastructure (e.g. Energy; Water and Sanitation)
- Health – the domain is supported in Bosnia and Herzegovina, Kosovo, and Albania

Switzerland's financial commitment (disbursements) for the countries is broadly consistent over the period 2013-2020 for Bosnia and Herzegovina, Kosovo, and Macedonia, while Swiss support provided to Albania and to Serbia has been increased over the period<sup>6</sup>.

With regard to the SDC projects (in the 2013-2017 portfolio) strongly focusing on issues of social protection/ social inclusion (targeting disadvantaged groups), the main SDC thematic-domain of intervention in the Western Balkans region is that of Governance/

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<sup>1</sup> In global terms, based on the World Bank methodology, the partner countries are upper-middle-income countries, with the exception of Kosovo (lower-middle-income)

<sup>2</sup> IMF (2017): GDP per capita in 2016 (current prices, Purchasing Power Parity dollars) was: 11,821 in Albania, 10,908 in Bosnia and Herzegovina, 10,008 in Kosovo, 14,593 in Macedonia, 14,412 in Serbia

<sup>3</sup> Rates of absolute consumption poverty, based on national criteria, were 14.3% in Albania (2012), 29.7% in Kosovo (2011), and 8.6% in Serbia (2013), and relative consumption poverty in Bosnia (2011) of 17.9%

<sup>4</sup> EC's Communication on EU Enlargement Policy (2018) notes similar social issues across the countries

<sup>5</sup> The SDC priority thematic-domain 'names' are variably applied, across the Cooperation Strategies

<sup>6</sup> Switzerland's annual cooperation disbursements are approx. CHF 17-17.5 million for Bosnia and Herzegovina, and for Macedonia, CHF 19.5-20 million annually for Kosovo; Swiss funding for Albania has increased (2014-2017 to 2018-2021) from approx. CHF 21 million annually to approx. CHF 26 million, and for Serbia (2014-2017 to 2018-2021) from approx. CHF 19 million annually to approx. CHF 24 million



DDLG<sup>7</sup>. Social protection issues have, partially, been addressed via Employment and via Health projects<sup>8</sup>.

## 2. Findings – Social Protection in Albania

Albania has made clear progress in terms of the eradication of extreme and absolute poverty since the 1990s transition period: the rate of absolute consumption poverty, based on national criteria, dropped from 25.4% in 2002 to 12.5% in 2008, but then rose to 14.3% in 2012, following the period of global financial crisis and European economic downturn<sup>9</sup>.

### Living below poverty line (% population, 2012):

- Nationally = 14.3%
- Women (2015) = 18%
- Households (HH) with younger children (0-5 years age) = 24.9%
- No major variance in the incidence of poverty due to urban/rural divide any longer; but regional disparities do exist: in Kukes 22% were below the poverty line

### Poverty incidence by HH head (2012):

- Employed person HH head = 11%
- Retired person HH head = 13%
- Unemployed person HH head = 22%
- Inactive person HH head = 24%

### Employment rate (2016):

- Male = 69%, Female = 55%
- Lower for minorities (Roma and Egyptians), and for disabled persons

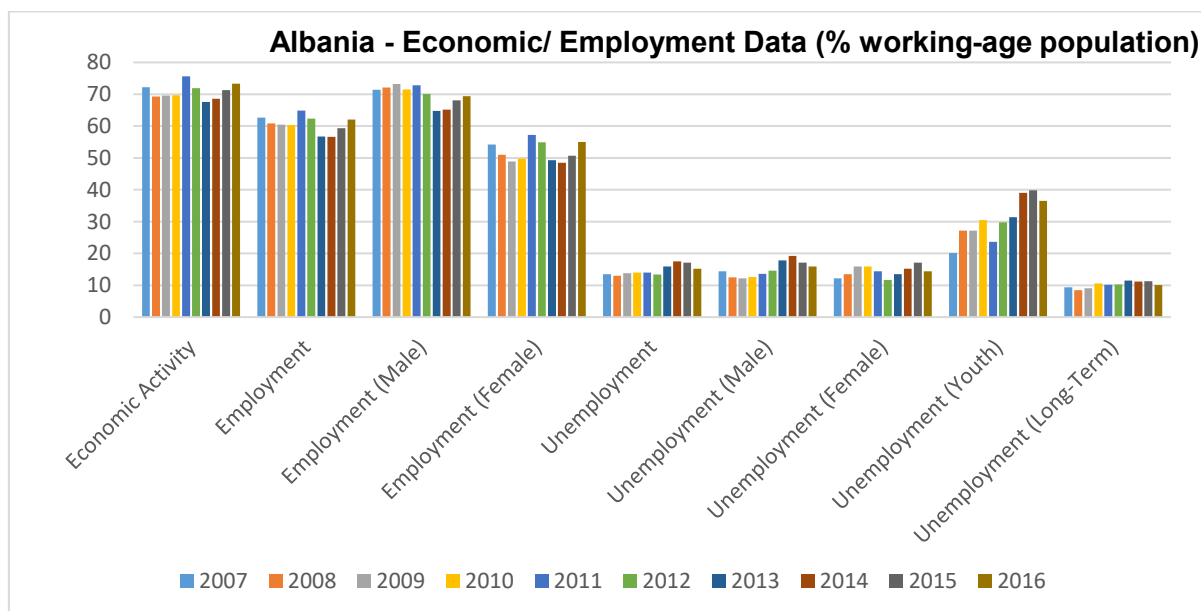
### Unemployment rate (2016):

- Male = 15.9%, Female = 14.4%, Youth = 36.5%, Long-term = 10.1%
- Higher for the Roma (2015) = 71%

### Public expenditure (% GDP, 2017):

- Social protection = 9.2%
- Health = 2.9%
- Education = 3.0%

To a large extent the reduced rate of poverty is the result of rapid economic growth and a rise in income levels experienced by Albanians in the period up to 2008. The subsequent reversal of the poverty-trend a result of the reduction experienced in terms of the demand for labour/ job opportunities: both the economic activity-rate and the employment rate (for persons aged 20-64) declined across the period 2008-2010, most notably so for women. While year 2011 saw an upturn in terms of economic activity and employment, the period 2012-2014 saw further significant reversals; most notably the youth unemployment-rate.



(Source: EC, annual Progress Reports on Albania (2012, 2015, 2018))

<sup>7</sup> SDC 'Governance/ DDLG' (4 projects in Albania; 3 projects in Serbia; and 1 project in Kosovo)

<sup>8</sup> SDC 'Employment' (1 project in Kosovo; 1 project in Macedonia); SDC 'Health' (1 project in Kosovo)

<sup>9</sup> More recent comprehensive data on national poverty has been collected by the Albanian Statistics Office (INSTAT) based on the EU Statistics on Income and Living Conditions (SILC) methodology; the results and analysis of trends, covering the period 2016-2018, is expected to be released by INSTAT in 2019

The main groups of persons at risk of poverty and/or social or economic exclusion in Albania are: persons with disabilities, minority groups, the elderly, orphans, street children, households (HH) with persons only completing primary education, HH with unemployed or inactive persons, HH with younger children (notably single-parents), and victims of violence.

Recent significant strategies and action plans adopted by the Government in regard to social protection/ inclusion are the: Social Protection Strategy (2015-2020), Social Inclusion Policy Document (2015-2020), National Action Plan for Roma and Egyptians (2015-2020), National Strategy for Social Housing (2015-2025), National Action Plan on Persons with Disabilities (2016-2020), National Strategy on Gender Equality (2016-2020).

Albania's social protection system has gradually evolved since the 1990s, based on the three, standard, complementary modalities for the overall provision of social protection:

- **Contributory social insurance and health insurance schemes**

- Initially established in 1993-1994, the schemes now cover (are legally/ technically applicable to) all employed (employer/ employee contributions) or self-employed persons; state budget contribution is made for persons registered as unemployed job-seekers/ in receipt of unemployment benefits – but only a small portion of the unemployed are eligible/ in receipt of such benefits<sup>10</sup>, because the system only provides benefits to those making contributions in the past year; those operating in the informal economy, or as family care-providers are thus, primarily, excluded.
- The insurance schemes are the key mechanism for the provision of social protection coverage/ benefits in Albania linked to eight of the nine branches of social security<sup>11</sup>: old-age<sup>12</sup>, death/ survivors, sickness, maternity, disability, employment-injury and occupational-diseases, unemployment, and health care.

- **Tax-funded social assistance schemes and social services**

- A small number of highly targeted social assistance schemes were introduced in Albania in the mid-1990s (e.g. on/ for orphans, work-invalids, the blind); in 2005 a horizontal/framework Law on Social Services and Assistance was adopted.
- Social assistance programmes in Albania now primarily consist of: (1) Economic Assistance; (2) Disability Allowance; (3) Social Pension (since 2015); (4) plus basic subsidies for the poorest families and pensioners (energy and landline telephone subsidy); reform of the Economic Assistance and Disability Allowance schemes is on-going, supported by the World Bank, to improve their efficiency and targeting.
- Linked to the ninth ILO branch of social security (child/family benefit), Albania has no specific social insurance benefit programme; supplementary social assistance compensation/ payment is provided, via the state budget, to eligible households.
- More recently the 2016 Law on Social Care Services, along with the 2015 Law on Local Self-Governance, set the basis for significant reform of social care services and the delegation of funding for social protection via the transfer of responsibility for support services to the 61 Local Government Units (LGUs) – as a means to promote flexibility on the provision of social services, their setting up, as well as the necessary human and financial resources that go with it (via a Social Fund).

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<sup>10</sup> ILO (2017): data indicates the proportion of unemployed persons receiving benefits is only 6.9%

<sup>11</sup> ILO Social Security (Minimum Standards) Convention, 1952 (No. 102) was ratified by Albania in 2006

<sup>12</sup> ILO (2017): data indicates the proportion of older persons receiving a pension is only 77.0%

- **Labour market policies and tax-funded labour market programmes**

- The National Strategy for Employment and Skills (2014-2020) aims to integrate economic, education, vocational and entrepreneurship policies together, through an action plan that boosts employment in the country. Four strategic priorities are set: (1) Foster decent job opportunities through effective labour market policies, (2) Offer quality vocational education and training to youth and adults, (3) Promote social inclusion and territorial cohesion, (4) Strengthen governance of the systems
- The coordination between social assistance programmes and active labour market measures allows for activation strategies, grounded on a mutual-obligation system

### **Social Protection/ Inclusion – SDC projects (2013-2017) in Albania**

7F-Number	Project Title	Type of SP-Intervention	Time-frame	Financial Volume (tsd)	Swiss Expertise	LNOB/ MDG/ SDG	Main target group	Importance of SP	Performance score
7F00094	Alternated Education and Vocational Training (CEFA)	LMPs	2012-2016	2.250	none	MDG1+2+3	Other marginalised/vulnerable group	Part of component	Good (4)
7F06645	UN Support to Social Inclusion (SSI)	Systems Building	2013-2016	3.500	none	MDG3+1	Other marginalised/vulnerable group	Component	Good (4)
7F07020	Support to Roma Social Inclusion (SCSR)	Systems Building	2013-2016	3.000	none	MDG1+2+3	Other marginalised/vulnerable group	Component	Good (4)
7F09572	Leave No One Behind (LNOB)	Systems Building	2017-2021	8.000	none	SDG1-5, 10+11	Other marginalised/vulnerable group	Major component	Good (4)

## **2.1 Relevance**

Switzerland's engagement in the area of social inclusion in Albania is well aligned with the country context, country strategies and specific needs as these have evolved. Poverty alleviation, social cohesion and inclusion have been part of Albania's national priorities since the first national development strategy (Social and Economic Development, 2000).

SDC's projects completed in 2016 addressed specific aspects of social inclusion/ protection:

- **CEFA:** was undertaken at the micro-level, in four municipalities (Berat, Elbasan, Korçë and Tirana); focused on integrating Roma children sustainably into the education and vocation system, CEFA evolved to become an integrated model to support Roma inclusion through education and family/ community development, and in contributing to improving capacities at the local level to provide meaningful social care services via the institutionalisation of the integrative CEFA model in the four project locations and the positioning of NPF as a professional service-provider regarding Roma social inclusion.
- **SSI:** was undertaken at the macro-level (national policy framework) and the micro-level (LGUs and service-providers); focused on capacity building of institutions at the national and local level: data analyses/ research, evidence based policy and strategy

formulation, plus the facilitation of cross sectorial cooperation on social inclusion, as well as demonstrative projects at community-level, and capacity support for targeted vulnerable groups (such as the Roma, persons with disabilities, women, and youth).

- **SCSR:** was undertaken at the macro-level (national policy framework) and the micro-level (LGUs and service-providers); focused on capacity building of institutions at the national and local level: extensive policy support to build up the architecture, coupled with actions at the beneficiary level in order to build capacity for functional social care services that are responsive to the needs of the most vulnerable, including minorities.

The **LNOB** project constitutes a continuation of the results of the previous Swiss-funded projects, aiming at increasing their sustainability, greater impact and outreach. LNOB bases on the current momentum to support the implementation of reform of the social sector and for enhancing the promotion of social protection/ inclusion in Albania: the transfer of primary responsibility for the provision of social care support services to the LGUs, while the national level remains responsible for overall guidance, coordination, training, suitable financing and quality assurance of the sector. The LGUs are accountable to assess the needs for social care services and properly plan and address those including its costing and budgeting. As most services so far have been performed by civil society organizations (CSOs) the new framework envisages that LGUs outsource part of the social care services provision. In order that the new policy framework is successfully implemented and that vulnerable people access/ benefit from it, further effort is needed to build capacity, notably during the roll-out of the reforms, for the management and delivery of social care and support actions. The project is principally focused on the micro-level (LGUs, service-providers, citizens), but also addresses the macro-level (national policies/ framework conditions for social services). To ensure successful implementation of the reform and to achieve sustainable results at the municipal-level, SDC support over eight years (in two phases) is presently foreseen.

The UN-implemented projects, for which SDC has provided an 'earmarked' contribution (to the UN Coherence Fund or to UNICEF), are fully aligned with the goals of the government as set-out in the UN-Albania Programme of Cooperation (2012-2016 and 2017-2020).

In addition to being well aligned with the country's priorities, the SDC-funded projects are also well designed, coherent and appropriate for achieving the intended development results. The UN-implemented projects are structured to promote coherent top-down and bottom-up reform, and its coordination, via the development of an enabling environment and service capacity (at national and at local-level), and via testing innovative mechanisms/ approaches for the local-delivery of social support services and for community mobilisation. Via the identification of good practice and knowledge-sharing (at national and at local-level, and between national and local partners), the projects are designed to facilitate the future potential scaling-up and transferability of successful models and lessons learned. Each of the SDC-funded projects is clearly defined in terms of the identification of the key groups of persons targeted for support – with a strong focus provided to the main groups at risk of poverty and/or social or economic exclusion: persons with disabilities, the Roma, the Egyptians – while still delivering a wider focus on all vulnerable and marginalised persons in terms of the development and implementation of policy and service-delivery reforms.

The UN-Albania Programme of Cooperation has served as a relevant framework, notably so for bilateral donors still active in Albania, in which to potentially position their support in-country and also to achieve a suitable 'division of labour' in order to address the wider range of issues/ goals: e.g. with regards the outcome goal of social cohesion/ inclusion,

Sweden primarily provides support in the area of gender based violence, Switzerland primarily in the area of social protection and social inclusion. Within the area of social protection, a suitable 'division of labour' and alignment with government priorities is achieved between the measures of the World Bank and the UN: the World Bank supports reform of the two main social assistance programmes, the UN (including via LNOB) supports strengthening of the management and delivery of social assistance and social care services to the citizens.

To date the EC/EU has principally addressed issues of social cohesion/ inclusion in terms of socio-economic development, employment and skills (IPA 2015 sector reform contract), and via grants to CSOs including in the area of social service/ care provision. During the period 2015-2018 it also funded a specific project on economic and social empowerment targeted to minority communities (Roma and Egyptians; in Durres, Gjirokastra, Shkoder, Tirana), implemented by the UNDP. In 2018 the EC announced its intention to launch a new initiative in the Western Balkans region to enhance support for socio-economic development, with a new reinforced social dimension. In March 2019 the EU Delegation informed donor partners on the EC's intention to design a new sector reform programme, with a budget value of approx. EUR 44 million, expected to start in 2020 and to operate for four years. The programme is proposed to cover a wide spectrum of sectors: social protection, social inclusion, education (pre-university), VET, and employment services.

## **2.2 Effectiveness**

The effectiveness of the SDC portfolio in social protection/ inclusion in Albania in terms of the achievement of the intended outputs and outcomes is good. With Swiss support a comprehensive national policy framework for social inclusion and the relevant legal and administrative instruments has been completed, including in regard to the policy framework for social protection, social care reform, social housing, and on persons with disabilities.

This is an impressive achievement in terms of the development of the overall architecture, covering a range of policy sub-areas, and of the enhancement of institutional capacity in the social sector, of a range of partners at the national and local levels. Yet it is recognised that implementation of the policies and action plans is only more recently being rolled-out across Albania, and that further effort is required by the Albanian government in order to ensure the adoption of related secondary legislation, standards or norms, and also in the continued development of institutional capacity, human and financial resources in the area. As such, the effectiveness of the SDC portfolio, in terms of delivering significant social inclusion outcomes in Albania, will become apparent only over the next years as reform is rolled-out.

Nevertheless, via the support provided to pilot innovative mechanisms/ approaches for the delivery of social support services and for community mobilisation, it is evident that positive social protection/ inclusion outcomes have already been delivered at the local-level.

**Alternated Education and Vocational Training (CEFA):** Provided support for children's education and delivered simultaneous multidimensional services to individuals, families and communities including facilitation for vocational education and training, (self) employment, family development and economic growth, capacity development for school teachers and municipal social workers. During the period 2012-2016 the project supported 1,246 Roma children (45% F) regularly attend compulsory school, accounting for 30% of Roma children in the four target regions. The project has resulted in a considerable decrease in the early 'drop out' from the education system. 46 (39F) Roma enrolled in

high school; 308 (162F) in vocational training and coaching for employment, about 25 went to university, while 240 youth are self-employed. About 700 families have increased incomes sustainably as a result of income generation initiatives. In 2014, the EC awarded NPF “Help for Children” Foundation for its CEFA model and valuable work in supporting social inclusion of Roma people with comprehensive and innovative approaches.

**UN Support to Social Inclusion:** Provided support to local government for the establishment and functioning of services for persons with disabilities – 5 municipalities provide public day care centres and community services for at least 120 children with special needs or severe disabilities, 265 students benefit from the Braille laboratory established in a blind-students’ institute, while a vocational education workshop was rehabilitated in deaf-students’ institute. The network and capacities of the Albanian Disability Youth Forum were strengthened, and 258 judges trained.

**Support to Roma Social Inclusion through Social Care Services Reform:** The project supported direct service delivery to Roma children and families, through collaborative, project-based, arrangements with government and civil society partners. In 2014-2016, the Tirana Legal Aid Society managed about 300 cases annually to provide unregistered children with proper personal identification papers: approximately 2/3 of this caseload involved Roma children, with another 1/3 related to children born to Albanian parents outside the country or other specific complex situations. With the CSO National Centre for Community Services, primary health care centres (in Vlora and Fier regions) started implementing the methodology for home visiting as a means of proactive reaching out to Roma communities; a total of 90 professional health care workers were trained and conducted 565 home visits, directly reaching 800 people from the local Roma and Egyptian communities, as well as from the most impoverished families in the two areas.

Key issues for the Albanian-side to conclude, to ensure effective delivery of results are:

- **Social Care:** the Law on Social Care Services, adopted in late-2016, the legal basis to transfer primary responsibility for social care support to the LGUs, is now being implemented across Albania, with 2019 regarded by the Ministry of Health and Social Protection (MHSP) as a transition year, at the local-level, in the roll-out of the reforms:
  - Social Plans<sup>13</sup>: only a minority of the 61 LGUs has presently finalised a local Social Plan; a range of interview-partners indicated that they anticipate up to 30 LGUs will have completed the local Social Plan by summer-2019, other LGUs will do so in autumn-2019, but that a sizeable minority of LGUs face challenges in the process – notably those with presently no or only very limited local social care service offer, which need to consider the development of suitable local facilities and/or the potential to share the provision of certain social services with neighbouring LGUs.
  - Social Fund: the bylaw on establishment of the Social Fund, to be operated by LGUs, with central government financing, was adopted by government in 2018, but the bylaw on the methodology on the financing of social services (by central government) is still to be adopted; partners indicated the bylaw is at the final

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<sup>13</sup> Social Plans are 3-year plans, developed on the basis of mapping local needs in regards the social sector, assistance and services, the availability and nature of the different types of social care services offer, the corresponding specification of the local plan of action for the provision of a package of basic social support and services and for the further development of the social sector over the 3-year period, as well as define local human resources (e.g. LGU Social Services Referral Unit) and the financial-plan.

'consultation' stage within government, and is anticipated to be adopted in spring-2019, with decisions on the provision of grant to the first LGUs in summer-2019<sup>14</sup>.

- Needs Assessment Referral Unit: partners indicated that while LGUs already have a range of certain referral units (primarily a child protection unit, to an extent also for victims of violence, or for persons with disabilities), the majority of LGUs have not yet institutionalised a Social Services Referral Unit, responsible to cover all aspects of social assistance or service support needs/ requests of the local citizens.
- Social Workers: MHSP is still to finalise consultations on the adoption of the detailed national standards, protocols and job descriptions for social care workers.
- As such, a range of partners indicated they anticipate only 25-30 LGUs (of the total of 61 LGUs) will be suitably prepared for receipt of Social Fund during 2019 (i.e. to have a Social Plan and a detailed budget-plan approved for central-financing).
- **Social Housing:** the strategy and the Law on Social Housing have been adopted, but significant effort is required to adopt secondary legislation in the area (eight draft bylaws were consulted with partners in early-2019) and of related standards and norms (e.g. housing for the disabled) in order effectively roll-out implementation of the strategy

The State Social Services (SSS), notably via its regional SSS offices, is providing advisory and technical support to the LGUs and local service-providers to facilitate the transition and the preparation of local Social Plans and institutional capacity. But, the staffing-level at the regional SSS offices is reported to be insufficient, during this period of transition, in order to appropriately assist all LGUs. It is hoped that certain of the more-advanced LGUs may assist other LGUs to 'catch-up' with the transition to delivering local social care provision (e.g. to support the planning process, or via the potential sharing of certain social services). The SSS will also seek to access potential donor support that could be provided to LGUs.

#### **Social protection and service care reform in the LGU/ municipality of Ura Vajgurore**

- The LGU has been supported via the UN (SDC-funded) projects to develop a Social Plan.
- The LGU has also been supported, via Belgian-aid, to prepare a Local Development Plan.
- The LGU holds annual, public-meetings, in villages across the LGU, to hear the local-voice.
- It has a 'Referral Unit', primarily for the social assistance cash-benefit programme, Economic Assistance, but is working to develop the Unit's capacity to provide an 'integrated-approach'
- The LGU is now developing a multi-functional, community-based social services centre.
- The LGU has a budget-plan, but at the moment only 50% of funding is secured for roll-out; it eagerly awaits the roll-out of central government funding via the Social Fund mechanism.
- The immediate priority for the LGU is to improve the local capacity to manage citizens' demand and to improve the quality of services, and then enhance the overall local social service-offer.
- Technical guidance/ support is available from central-government partners, but the UN is more reactive; the Consultative Council (for national-LGU bodies) serves well as a communication link from the top, but has deficiencies in terms of the equality of power between the partners.
- Key issues at the local-level: (1) addressing the needs of persons with disabilities; (2) strengthening active labour-market policy measures to engage social assistance cash-benefit recipients, in transition, and seasonal/ inactive workers into the realm of employment/ income.

<sup>14</sup> It is foreseen that central government (MHSP) will finance 90% costs of a social care service in 'year-1' of its operation, within the context of the local Social Plan, decreasing to 60% costs of the service in 'year-2' of its operation and to 30% costs of the service in 'year-3' (and also in subsequent years)

Furthermore, supported by the World Bank, the government is also undertaking reform of the main social assistance cash-benefit programmes (Economic Assistance and Disability Allowance), key pillars of the social protection system (along with social care/ support). The effectiveness of the reforms, their roll-out nationally and at the local-level, will significantly influence the overall context/ environment in which the LGUs need to operate their social assistance support and social care services to meet the demands of local citizens. The government's reform of the cash-benefit programmes is guided by the goal to enhance the efficiency (notably the operational and administrative management/ costs) and the targeting of the benefits (more adequately supporting those most in-need of assistance, rather than more widely supporting the less-wealthy, 'just-about-managing', quintiles in society).

- **Economic Assistance:** after piloting the reform, national roll-out was commenced in 2018; while ensuring better targeting to the vulnerable, the MHSP also seeks to move the scheme from a passive-measure of (very) basic cash-provision/ support toward a scheme with increased conditionality placed on recipients (e.g. to engage in training, or to seek/ find 'alternative', formal-means of legitimate income/ employment<sup>15</sup>).
- **Disability Allowance:** piloting of the reform model is presently on-going in the Tirana region, including the introduction of a bio-psycho-social model, built on the conceptual model of the WHO, to assess and determine disability; it is anticipated that certain persons will be assessed with low scores in terms of the functional extent of disability<sup>16</sup>, whom will need to seek counselling regarding suitable employment opportunities, while for persons with severe disabilities the assessment shall inform the identification of a suitable package of care/ support to be provided for these persons at the local-level.

To facilitate the reforms, collaboration between the SSS and the National Employment Service (NES), at the national and the regional-levels is being strengthened. Presently the NES operates active labour-market programmes (ALMPs), targeting: women; Roma and Egyptians; the disabled; orphans; youth; a work subsidy scheme, and on-the job training. NES monitors the ALMPs annually, with revisions of the measures enacted via bylaws.

## 2.3 Efficiency

The SDC portfolio in social protection/ inclusion in Albania has been efficiently managed by the Swiss Embassy and the implementing partners, delivering the intended project activities and results in a timely manner. Reflective of the specific portfolio of projects and implementing partners supported by the SDC in Albania – a long-standing partnership with the NPF, plus with the UN in Albania – the process for the formal commitment of the Swiss-funds has been efficient and timely, thereby allowing for the efficient start-up/ delivery of the intended benefits to the immediate target group of project beneficiaries. The Embassy monitors project implementation via an established system combining formal progress reports from partners, plus regular formal and informal meetings. The working relationship between the Embassy and the implementing partners is strong. The Embassy also undertakes regular review of the progress of the Swiss Cooperation Strategy overall and at the level of the thematic-domains of intervention, leading to preparation of its Annual Report.

<sup>15</sup> The MHSP indicated that approximately 4,200 people formally on Economic Assistance were transitioned into employment in 2018, the first year of full national roll-out of the reform

<sup>16</sup> World Bank survey (2011) suggested that 14% of the beneficiaries of the Disability Allowance do not have a disability, and that 15% have only minor disabilities



Working with the UN in the framework of the UN-Albania Programme of Cooperation also ensures that the process of policy dialogue with the Albanian-partners is strengthened and more efficiently maintained, as well as more effectively coordinated amongst like-minded donors. The level of collaboration between the UN and the government of Albania is good, based for the past decade on the UN's 'Delivering-as-One' approach. Switzerland is also well regarded as a donor, both for its long-term commitment in Albania and also its practical, results-oriented focus, sharing good practice as relevant, to achieve suitable local solutions.

The main challenge to project efficiency is the capacity of the Albanian government partners to fully engage in the implementation and development of the results of the support and to embed these at the organisational-level. The UN-projects each contain significant regulatory and capacity building components that require strong involvement of Albanian staff to support project implementation, to absorb and utilise the results, and ultimately also to institutionalise the capacity and results within the partner organisation. The goal of the projects is not to substitute for the Albanian government and CSOs, but to build local capacity, at national and local-levels, as well as of social care service-providers, to undertake successful implementation of the social inclusion/ protection reform agenda.

Delays in the enactment of the reforms have arisen, notably during 2015 regarding the adoption of the social services and the territorial administrative reforms, and in 2017 due to political instability and a hiatus in decision-making due to the subsequent general election. Following the 2017 election the central government institutions were rigorously restructured, resulting in a reduced number of ministries. While this may achieve positive results over the medium-term, the restructuring created further obstacles in terms of the efficiency of the reform effort. Furthermore, a series of secondary legislation, standards and norms prepared to support the implementation of the reforms are still to be adopted by the government.

Whereas the extent of donor coordination actions undertaken by the government was reported to have been reduced during 2017-2018, in autumn-2018 the government announced measures to strengthen its Integrated Policy Management Groups (IPMG) mechanism, which should result in improved efficiency of policy dialogue and coordination.

## **2.4 Sustainability**

The sustainability of the project results and of the social protection/ inclusion reform process is good. The level of ownership of the overall policy framework on the Albanian-side is good, with clear commitment of the partners to achieve successful social care services reform and territorial administrative reform in Albania. Nevertheless, significant further effort is required on the Albanian-side to ensure the effective implementation/ roll-out of the reforms in the area of social inclusion/ protection. Whereas the policy framework and basic institutional structures to deliver the reforms exist, the human resources, administrative and financial capacity of partners to do so remains mixed.

In this context, the LNOB-project is a logical continuation of the results of the previous Swiss-funded projects, aiming to increase their sustainability, impact and outreach, via the provision of practical support to Albanian-partners (central government, LGUs, service-providers, CSOs) to facilitate the social inclusion/ care reform roll-out across the country.

Furthermore, the process of delivering significant social inclusion outcomes in Albania requires the sustainability of the financial support dedicated to the social sector and reform. In this respect it was reported that the government is committed to facilitate the

social services and the territorial administrative reforms and will provide additional expenditure to facilitate the transition process. Additionally, reforms have been undertaken to extend the local tax-raising powers of the LGUs (e.g. local property-tax). Nevertheless, the government recognises that a significant financing gap exists to deliver on Albania's ambitions in the social sector, and will do so over the medium-term (a gap of up to 1/3 was indicated). For almost all local-partners interviewed it is anticipated that this will be addressed via continued donor grant – most notably so as to ensure further operational capacity of CSOs and service-providers in the social sector over the medium-term.

There is therefore a serious risk that the development of national/ local, sustainable-financing mechanisms will be hindered by a continued mentality of donor-dependency. Only a smaller number of decision-makers at partner institutions recognise that the donor community in Albania is now reduced in numbers, and partially also finance: increasingly Albania will need to rely on local-finance, or to access donor loan-finance rather than depend on grant-finance to fill its financing-gap.

### **3. Lessons learned**

SDC's portfolio in the area of social protection/ inclusion in Albania has clearly contributed to the design of substantial policy reforms in the country in the sector, as well as ensured service-delivery outcomes for individuals/ vulnerable groups of targeted persons. The SDC continues to provide relevant support during national implementation/ roll-out of the reforms. The portfolio is closely inter-linked with the government's priorities, and also very well positioned in the context of the wider donor-community's overall response in Albania.

Recognising the reduced number of donor partners (notably bilateral donors) still active in-country, there are clear benefits for the SDC (and other donors) to utilise the framework of the UN-Albania Programme of Cooperation and the 'Delivering-as-One' approach in order to orient its support. This has assisted, notably in the overall under-funded area of social protection/ inclusion, to establish a clear 'division of labour' amongst the donor partners. However, with the EU/EC recently announcing its intention to provide significant funding to promote social-economic development with a social dimension, via a sector reform programme to be launched during 2020, this donor framework is now starting to evolve.

Implementation of the social protection reforms (the cash-benefit programmes, plus of social care services) is now entering the phase of national roll-out. The next years (2019-2021) are critical to ensure adequate local capacity of the Albanian-partners (central government, LGUs, service-providers, CSOs) across the country to deliver the reforms.

Presently, the progress achieved by the individual LGUs on the path of social care services reform is mixed; this needs to be urgently addressed over the shorter-term period, or there is a risk that some LGUs fall behind – while the social services reforms promote the delivery of local, citizen-oriented services, flexibly adapted to fulfil local needs/ demand, the government does seek to ensure that minimum, national standards are also achieved (rather than a 'postcode lottery' to determine public service delivery and/or quality). The effectiveness of the LNOB-project, indicatively planned to run up to 2025, will greatly influence the long-term success and sustainability of the reforms. It is vital the project promote progress and build the capacity of less-advanced LGUs, as well as knowledge-sharing and the identification of good practice between partners (notably between LGUs).

The level of ownership of the overall social policy framework on the Albanian-side is good. Over the next years it will important for the donor community to maintain policy dialogue with the government and other Albanian-partners to ensure ownership of the reforms is

maintained over the medium-term. The government's reinvigoration of the IPMG mechanism in autumn-2018 is a positive step that should be followed-up upon in 2019.

Over the medium-term, the clearest risk to the sustainability of the benefits of the reforms relate to the need for Albania to ensure financial sustainability in the social protection area, notably in the context of a reduced donor presence. This will be achieved via increased Albanian financing (central government and LGUs) and/or via recycling cost-efficiency savings achieved in the administration of social protection support to the front-line services. Additionally, Albania may consider options to access donor loan-finance mechanisms, e.g. Council of Europe Bank, or Western Balkans Investment Framework.

## Annex 8: Social Protection in development policy – an overview of international perspectives (donors/ initiatives)

A brief overview of the strategic goals and overall approaches of selected, key multilateral and bilateral donors engaged in social protection is provided below, followed by a brief overview of the main international donor initiatives and platforms around social protection.

### World Bank

<b>Strategy</b>	Social Protection and Labour: Building Resilience and Opportunities <sup>1</sup>
<b>Definition and its overall purpose/contribution</b>	<p>“Social protection and labour systems, policies, and programs help individuals and societies manage risk and volatility and protect them from poverty and destitution—through instruments that improve resilience, equity, and opportunity”</p> <p>Social protection contributes to (1) equity or protection from destitution and human capital loss or poverty alleviation, (2) resilience or prevention against impact and expenditure shocks and (3) opportunities or promotion of improved livelihoods and better jobs</p>
<b>Overall Objectives of Social Protection</b>	<ul style="list-style-type: none"> <li>• Crisis response mechanism (triple F; natural disasters) (co-variant dimension)</li> <li>• Risk reduction and mitigation: development of risk management strategies at household and individual level to respond to overall global challenges (aging, urbanisation)</li> <li>• Poverty reduction</li> <li>• Growth (youth bulge)</li> </ul>
<b>Specific objectives</b>	<ul style="list-style-type: none"> <li>• Harmonization of systems through better coordination and alignment of programmes and policies in order to address high fragmentation of current social protection programmes</li> <li>• Increase coverage, in particular in LICs and fragile states</li> <li>• Strengthening the economic/productive dimension through linking social protection with human capital measures, skills training, and labour market integration measures: Emphasizing “promotion” as a goal of social protection when designing programs and systems</li> <li>• Filling the knowledge gap: There is no or limited data with clear policy relevance (south-south learning; north-south-learning) - continued investment in knowledge, including sharing relevant information and results</li> </ul>
<b>Guiding Principles/ overall approach</b>	<ul style="list-style-type: none"> <li>• Evidence-Based (what works?): data on existing schemes and their performance, evaluation and exchange on good practices</li> <li>• Country tailored approaches: Tailor made approaches through progressively building up programmes and systems based on countries’ capacities (administrative, fiscal); in particular relevant in low-income and fragile contexts with huge capacity constraints</li> <li>• Collaborative Partnerships: social protection and labour objectives need other sectors’ instruments to be realized; This needs collaborative partnerships within countries and at a global level between bilateral and multilateral donors in order to ensure financial viability and sustainability and reduce fragmentation; private actors as complementary partners in economic growth and employment and also as direct providers of social protection; civil society, trade unions, faith-based organisations as representatives of workers, vulnerable groups</li> </ul>

<sup>1</sup> World Bank, Resilience, Equity, Opportunity, The World Bank 2012 – 2022 Social Protection and Labour Strategy, 2012.

## International Labour Organisation (ILO)

<b>Strategy</b>	Building social protection floors for all <sup>2</sup>
<b>Definition and its overall purpose/contribution</b>	<p>Social protection floors are nationally defined sets of basic social security guarantees that should ensure, as a minimum that, over the life cycle, all in need have access to essential health care and to basic income security which together secure effective access to goods and services defined as necessary at the national level (Recommendation concerning National floors of Social Protection No. 202), in particular</p> <ol style="list-style-type: none"> <li>essential health care for all residents,</li> <li>social protection for all children (e.g. family allowances),</li> <li>support for all people of working age in case of unemployment, disability, maternity and work injury (e.g. unemployment benefits, disability benefits), and</li> <li>pensions for all older persons.</li> </ol>
<b>Overall Objectives of Social Protection</b>	<p>Functions of social protection and its critical role for sustainable development (virtuous circle of development)</p> <ul style="list-style-type: none"> <li>Fosters inclusive growth</li> <li>Reduces poverty, ill-health and inequality</li> <li>Increases peoples' capacities and productivity</li> <li>Cushions the social and economic effects of crisis and shocks</li> <li>Enhances social cohesion and political stability</li> <li>Promotes social inclusion and gender-equality</li> <li>Links to active labour market and formalization policies</li> <li>Is a human right (ILO 2018)</li> </ul>
<b>Specific objectives</b>	<ol style="list-style-type: none"> <li>Building social protection floors by <ol style="list-style-type: none"> <li>adopting social protection strategies based on tripartite national dialogue,</li> <li>designing and reforming social protection schemes (policy options, costing and financing, institutional set-up and legal studies; macroeconomic and fiscal assessments of social protection reforms; develop linkages with other policies and support)</li> <li>improving existing social protection scheme operations: capacity development improving the administrative capacity, development of MIS, single-window services and approaches; including monitoring</li> <li>monitoring impact in terms of coverage, benefits, adequacy and access</li> </ol> </li> <li>Supporting the global campaign on SPF by <ol style="list-style-type: none"> <li>promoting social protection floors at the national, regional, global levels</li> <li>developing new knowledge through good practice guides, online impact assessment and costing tools;</li> <li>knowledge sharing</li> <li>Multiplier effects: strategic partnerships multiply ILO's influence/ impact.</li> </ol> </li> </ol>
<b>Guiding Principles/ overall approach</b>	<ul style="list-style-type: none"> <li><b>Country-led approach</b> based on national priorities, needs and resources, including the sequencing of social protection floor mechanisms which are implemented with regards to country needs and tailored to national circumstances and levels of development.</li> <li><b>Coherence and coordination</b> between social policy and labour market policy is important in order to multiply impact of social protection policies</li> <li><b>Life-cycle approach:</b> SPF is based on a life-cycle approach emphasizing the need for social protection across the whole life-cycle and the need for a coordinated and integrated approach.</li> <li><b>Whole-of-government approach:</b> coordination of policy approaches across different sectors with the overall aim to strengthen social protection</li> </ul>

<sup>2</sup> ILO, Building Social Protection Floors for All. Flagship Report, 2017.

## UNICEF

<b>Strategy</b>	Integrated social protection systems: Enhancing equity for children <sup>3</sup>
<b>Definition and its overall purpose/contribution</b>	<p>Social protection is “[...] the set of public and private policies and programmes aimed at preventing, reducing and eliminating economic and social vulnerabilities to poverty and deprivation.”</p> <p>UNICEF’s definition includes a focus on social and economic vulnerabilities (the interaction between both exposure to risk and one’s capacity to respond and cope). This is based on an understanding of poverty and deprivation as multi-dimensional and dynamic. Social protection programmes and policies must address social and economic vulnerabilities together, and their underlying drivers.</p>
<b>Overall Objectives of Social Protection</b>	<p>Strengthening the resilience of children, families and communities, achieving greater equity</p> <ul style="list-style-type: none"> <li>• Supporting national human and economic development</li> <li>• Its relevance is heightened in the face of persistent inequalities and recent trends including increasing volatility at the macro and household level, and greater threats posed to sustainable development by climate change, and changing population trends</li> </ul> <p>Child-sensitive social protection helps children realize their full potential, e.g. through strengthening the capacity of families to care for their children and removing barriers to service access, in particular for the most vulnerable; It is a double investment: Investing in children has a long term impact across the life-cycle positively influencing impacts on equitable outcomes, intergenerational poverty and exclusion.</p>
<b>Specific objectives</b>	<p>Integrated social protection approaches that a) address both social and economic vulnerabilities, b) offer a set of needs-oriented and context-specific interventions, c) go beyond risk management interventions and safety nets to integrate responses to structural as well as shock-related vulnerabilities.</p> <p>1) a systemic approach focusing on developing and strengthening structures and mechanisms that facilitate integration of a network of policies and interventions</p> <p>2) a multi-sectoral approach being built on a whole-of-government vision identifying and maximising linkages between social protection and sector outcomes, such as increased use of health services, improved school attendance in the education field, improved nutrition, early childhood development through improved access to child care services in the education field, etc.</p>
<b>Guiding Principles/ overall approach</b>	<ul style="list-style-type: none"> <li>• Progressive universalism based on different capacities and context: support countries to identify and progressively build up the mix of policies and programmes most conducive to universal coverage (different policy options, targeting methodologies and approaches)</li> <li>• National leadership and context specificity: Different types and combinations of programmes, as well as different design and implementation modalities, are required to respond to context-specific vulnerabilities, national priorities and national capacities and constraints.</li> <li>• Inclusive social protection: Social dimensions of vulnerability (gender, ethnicity, HIV status, geographic location or disability) shape exposure to risk and resilience, and are barriers to secure livelihoods and access to essential social services. Exclusionary processes and dimensions of exclusion for children therefore need to be identified, recognized and being taken care of also in the design considerations of programmes.</li> </ul>

<sup>3</sup> UNICEF, Integrated social protection systems: Enhancing equity for children, UNICEF Social Protection Strategic Framework, February 2012.

## Australian Aid

<b>Strategy</b>	Strategy for Australia's aid investments in social protection <sup>4</sup>
<b>Definition and its overall purpose/contribution</b>	<p>Social protection refers to programs that address risk, vulnerability, inequality, and poverty through a system of transfers to people in cash or in kind. Transfers include social insurance and social assistance and can be conditional or unconditional. Social assistance encompasses both targeted schemes as well as categorically targeted schemes (for example the elderly, families with children or people with disabilities).</p> <p>Social protection has three core functions: 1) protection of the poor from the worst impacts of poverty, 2) prevention against income shocks and drops in well-being, 3) promotion of opportunities and livelihoods.</p>
<b>Overall Objectives of Social Protection</b>	<p>The overarching purpose of investment in social protection is to</p> <ul style="list-style-type: none"> <li>• Reduce poverty and support economic growth thereby contributing to enhancing stability</li> <li>• Social protection has positive impacts on food security, health, and education, access to work, market stimulation, and facilitating macroeconomic reforms.</li> </ul>
<b>Specific objectives</b>	<ol style="list-style-type: none"> <li>1. Refining and developing social protection systems: by increasing the coverage: <ol style="list-style-type: none"> <li>a) expanding the coverage of existing programs,</li> <li>b) developing new programs to fill gaps in coverage, including temporary mechanisms to facilitate macroeconomic reforms if necessary</li> <li>c) improving efforts to reach the poor <ul style="list-style-type: none"> <li>improving payment technologies to ensure transfers arrive on time, are easily accessible and reduce fraud by improving the quality</li> </ul> </li> <li>d) ensuring the quality of the programs and overarching system by engaging in areas such as conditionalities, programme messaging, grievance mechanisms and management information systems in order to ensure gender equality of access and sustainable financing</li> </ol> </li> <li>2. Strengthening partner government and other stakeholders to make informed choices through knowledge sharing and triangular cooperation, facilitating developing countries to learn from one another in social protection (e.g. via knowledge sharing events, web spaces and research publications)</li> </ol>
<b>Guiding Principles/ overall approach</b>	<ul style="list-style-type: none"> <li>• Leveraging partner government's own investments: strengthening partner government systems to more effectively distribute their own funds/ investments in social protection.</li> <li>• National Ownership: strong government support and commitment to effective, well-managed social protection is an important pre-condition for engagement</li> <li>• Whole-of-Government: exploit overlaps with other development sectors, e.g. agriculture, health, education, nutrition but also humanitarian response and DRR.</li> <li>• PPDP: Closer engagement with the private sector in delivering SP, e.g. commercial micro-insurance or delivery aspects of SP (mobile banking)</li> <li>• Linking employment/labour and social protection: social protection as part of private sector development and skills development</li> <li>• Gender equality and social inclusion</li> <li>• 'Do no harm': respecting and refraining from undermining existing informal social protection mechanisms.</li> </ul>

<sup>4</sup> Commonwealth of Australia, Department of Foreign Affairs and Trade (DFAT), Strategy for Australia's aid investments in social protection, September 2015.

## German Development Cooperation (BMZ)

<b>Strategy</b>	Social protection for equitable development <sup>5</sup>
<b>Definition and its overall purpose/contribution</b>	<p>Social protection guarantees the provision of assistance if people cannot cope with risks related to the life-cycle or other events by themselves. Social protection enables them to live in dignity through social assistance that guarantees food, health and income security, but also social insurance and labour market interventions. German development cooperation focuses on three areas</p> <ol style="list-style-type: none"> <li>1) social assistance to reduce or prevent poverty and eradicate hunger,</li> <li>2) social health protection to prevent impoverishment and foster health and</li> <li>3) insurance schemes to improve preparedness and cope with new challenges, such as extreme weather events caused by climate change.</li> </ol>
<b>Overall Objectives of Social Protection</b>	<ul style="list-style-type: none"> <li>• Social protection is a human right and supports the reduction of poverty and inequality</li> <li>• Social protection needs to be built in such a way as to reach everyone, including the most vulnerable in society</li> <li>• Social protection serves to strengthening resilience and capacity for self-help</li> <li>• Social protection benefits society at large by fostering sustainable economic development</li> <li>• Social protection are both protective (safety net) and promotive (safety net)</li> <li>• Social protection contributes to render people more resilient and shock-responsive</li> </ul>
<b>Specific objectives</b>	<ul style="list-style-type: none"> <li>• Expand and enhance social assistance measures to prevent poverty and eradicate hunger and increase peoples' resilience to crisis and shock through linking them to employment measures</li> <li>• Render existing systems resilient to economic or climate-related shocks</li> <li>• Link short-term social assistance to transitional development measures that contribute to the development of national social protection systems</li> <li>• Achieve universal access to social health protection, especially for the most vulnerable (universal health coverage)</li> <li>• Provide need-based insurance products for the poor in order to be better able to cope with risk related to climate change or life-cycle risks (accident, old age, death)</li> </ul>
<b>Guiding Principles/ overall approach</b>	<ul style="list-style-type: none"> <li>• Systemic approach to development and expansion of social protection</li> <li>• Ownership through building capacity of partner countries to build own social protection</li> <li>• Alignment: ensure that interventions are in line with national social protection systems</li> <li>• Analysis, collection and monitoring of data in order to ensure accountability to local people, better policy making, priority setting and services that are responsive to peoples' needs</li> <li>• Emphasizing the link between short-term humanitarian aid to long-term sustainable social protection (fragile states)</li> <li>• Coordination and collaboration at European and global level: based on a division of labour donors are in a better position to respond to global demand and become more effective and efficient in supporting partner countries</li> <li>• Development of sustainable and shock-responsive social protection</li> <li>• Creating sustainable financing mechanisms</li> </ul>

<sup>5</sup> Federal Ministry for Economic Cooperation and Development, Social Protection for Equitable Development, Position Paper, June 2017.



## Irish Aid

<b>Strategy</b>	Irish Aid Social Protection Strategy <sup>6</sup>
<b>Definition and its overall purpose/ contribution</b>	Social protection refers to a range of policies and instruments including social assistance to the poor, children's allowances, and pensions for the elderly, health insurance, unemployment assistance and insurance, disability assistance, public works and employment guarantee schemes, the provision of social services, and linkages to livelihood promotion.
<b>Overall Objectives of Social Protection</b>	<p>The overarching goal of actions in the field of social protection is to contribute to</p> <ul style="list-style-type: none"> <li>• Development of sustainable and accountable national social protection systems, policies and programmes, giving priority to the poorest and most marginalised</li> <li>• Build resilience</li> <li>• Increase access to and use of quality essential services</li> <li>• Reduce food and nutrition insecurity and gender and income inequalities</li> <li>• Promote inclusive economic growth and social cohesion</li> <li>• Leave no one behind</li> </ul>
<b>Specific objectives</b>	<ul style="list-style-type: none"> <li>• Building a strong, context-specific evidence base on the delivery and impact of social protection</li> <li>• Supporting a constructive and informed political and public debate on social protection</li> <li>• Establishing institutional capacity for the core functions of effectively and efficiently delivering social protection transfers</li> <li>• Supporting a comprehensive national social protection policy and a prioritised implementation plan</li> <li>• Supporting a sustainable and progressively domestically funded social protection financing framework</li> <li>• Establishing a supportive framework of policies and programmes across economic/ social sectors that address social protection recipients' needs.</li> </ul>
<b>Guiding Principles/ overall approach</b>	<ul style="list-style-type: none"> <li>• Progressive establishment of a comprehensive national social protection system</li> <li>• Development of national social protection systems/ policies/ programmes</li> <li>• Priority on delivering for the poorest and most vulnerable persons demands</li> <li>• Small-scale and local social protection initiatives</li> <li>• Build capacities, skills knowledge and political will for developing national systems</li> <li>• Whole of government. Social protection important to deliver on policy objectives across a number of thematic areas – for example, health and education, but also agriculture and employment, humanitarian responses</li> </ul>

<sup>6</sup> Republic of Ireland, Department of Foreign Affairs and Trade (DFAT), Irish Aid Social Protection Strategy, May 2017

## International Initiatives around social protection

### 1) Policy Initiatives and Programmes

**The Social protection Inter-agency Cooperation Board (SPIAC-B)** was established in July 2012 in response to a request from the G20 with the aim to improve coordination of efforts in the field of social protection between international organisations, bi- and multilateral development agencies, civil society and other organisations. SPIAC-B brings together leaders and technical experts from member agencies to coordinate their social protection activities as well as identify new areas of work that require coordination efforts. SPIAC-B is co-chaired by the ILO and the World Bank and encompasses over 20 members, including United Nations agencies and organizations, multilateral and bilateral development agencies, civil society and other organizations.

**Link:** <https://www.ilo.org/newyork/issues-at-work/social-protection/social-protection-inter-agency-cooperation-board/lang--en/index.htm>

**The Core Diagnostic Instrument (CODI)** is an interagency social protection assessment tool (ISPA) developed by SPIAC-B. The core diagnostic instrument (CODI) is meant to analyse social protection system performance against national social protection objectives and track progress against a standardized set of performance criteria over time. The tool aims to promote exchange and coordination between national and international partners in order to avoid overlaps and improve efficient use of resources for social protection.

**Link:** <http://ispatools.org/core-diagnostic-instrument/>

**The Social Protection Floor Initiative (SPF-I)** was launched by the UN executive board in 2009 as one of its nine key priorities to cope with the 2008–2009 global financial crisis. The initiative which is based on the social protection floor recommendation of the ILO has, as its core objective, to deliver on social protection as one UN. The SPF-I is active at the country level (national SPF teams including UN organisations, other development partners, ministries, donors, etc. working together on joint activities, including assessments, coordination exercises, etc.), at the regional level (R-UNDG Working groups on social protection working on knowledge sharing, advocacy, peer-to-peer support and fundraising), and at the global level (Support from UN leadership working on knowledge take-up and introduction of SPF/ SPF-I into regular course curricula for UN staff via the UN System Staff College). Under SPF-I, the first window of the UN Joint Fund for the 2030 Agenda was created on 31 October 2017. The fund will finance the development of national social protection floors in partner countries<sup>7</sup>. The initiative is led by the ILO and the WHO but involves many other UN agencies, the World Bank and the IMF, as well as bilateral partners, research institutes and international NGOs.

**Link:** <https://www.social-protection.org/gimi/ShowProject.action?id=2767>

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<sup>7</sup> The SPF Window collects funds from bilateral donors and the private sector and organizes calls for proposals allowing UN Country teams to support the development of social protection systems and floors. Funding focuses on core activities that UN agencies cannot do alone, but do better by joining forces (development of national social protection strategies, coordinated implementation of social protection floors or establishment of management information systems and monitoring of SDG 1.3). Funding will also support transition from humanitarian aid to development i.e. from donor-driven cash transfer programmes to building sustainable social protection systems in crises contexts (ILO 2018).

**The Global Partnership for Social Protection** has been launched by the UN general assembly in 2016 aiming at increasing the activities towards social protection worldwide.<sup>8</sup> The objective of this partnership is to increase the number of countries that provide universal social protection and to support countries to design and implement universal and sustainable social protection systems. This shall include joint support to countries on: (1) Social protection policies, programmes and administration systems, (2) Costing the extension of schemes and expanding fiscal space for universal social protection, (3) Addressing bottlenecks in the delivery of social protection benefits, and (4) Integrating principles of universal social protection into their national development strategies.

**Link:** <https://www.social-protection.org/gimi/NewYork.action?id=34>

**Providing for Health (P4H)** is a global network for health financing and social health protection linking the fields of health, social protection and public finance. Through the exchange of knowledge and expertise, collaborative technical expertise and policy dialogue P4H support countries in strengthening health systems, improving equitable access to quality services and financial risk protection. The P4H network supports the health related SDG and the UHC target specifically. The network whose secretariat is based in Geneva has the following members: Members are WHO, ILO, ADB, AfDB, World Bank, the Spanish cooperation agency, GIZ, SDC, the Global Fund and the governments of Morocco, Kazakhstan and France. The network is also a knowledge hub where countries and stakeholders can connect and where interactive access to knowledge and case studies, tools for improving project and activity management is provided.

**Link:** <https://p4h.world/en/who>

## 2) Knowledge Sharing and Learning Platforms

**Socialprotection.org** is a centralised learning and knowledge sharing platform hosted by the International Policy Centre for Inclusive Growth (IPC-IG). It holds the most up-to-date, comprehensive database and multimedia learning materials on social protection. The platform aims at facilitating knowledge sharing and capacity building on effective social protection policies and programmes, particularly among low- and middle- income countries. Socialprotection.org is supported by the G20 Development Working Group and financed by DFAT (Australian Aid) and GIZ. The platform which has been launched in 2015 has been developed in consultation with the World Bank Group, the International Labour Organization (ILO), and leading agencies gathered under the Social Protection Inter-Agency Cooperation Board (SPIAC-B).

**Link:** <http://socialprotection.org/>

The **Cash Learning Partnership (CaLP)** is a global partnership of humanitarian actors engaged in policy, practice and research within cash transfer programming (CTP). Objectives of CaLP is learning and knowledge sharing as well as networking, policy and coordination. CaLP currently has over 70 members, including UN agencies, donors, international NGOs, local NGOs and private sector organisations, who deliver the vast majority of cash transfer programming in humanitarian contexts worldwide. The goal is to radically increase the scale and quality of cash transfer programming as a tool for

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<sup>8</sup> The Global Partnership for Social Protection brings together the World Bank and the ILO with the African Union, FAO, the European Commission, Helpage, IADB, OECD, Save the Children, UNDP-IPC, UNICEF and others, along with Belgian, Finnish, French and German technical cooperation.

humanitarian assistance. One thematic area is Social Protection and Humanitarian Cash Transfer Programming.

**Link:** <http://www.cashlearning.org/>

The FAO hosts **KORE** – Knowledge Resilience – is a knowledge sharing platform to support building resilience to food insecurity and malnutrition in the face of shocks and stresses. It helps inform programming and interventions to strengthen the resilience of agriculture-based livelihoods. The platform provides an overview of tools, approaches, programmes, analyses and methodologies on resilience implemented by FAO and other key partners in different contexts. KORE serves as an integrated, action-oriented platform on resilience-related initiatives and provides good practices on resilience building.

**Link:** <http://www.fao.org/in-action/kore/en/>

### 3) Global Social protection databases

Credible data to monitor and measure progress on social protection extension are important. There are two global databases that allow monitoring of the SDG target 1.3<sup>9</sup> by providing data on (i) effective social protection coverage of all and by specific categories of the population, (ii) social protection coverage of the poor, and (iii) social protection coverage by different programme types.

**ILO Social Security Inquiry (SSI):** based mainly on the administrative records of the Ministries of Labour and/or Welfare, Ministries of Finance and Social Security Institutions, and complemented by data from labour force surveys.

**Link:** <https://www.social-protection.org/gimi/ShowTheme.action?id=10>

**World Bank/ ASPIRE** database based on household survey data on social and economic conditions.

**Link:** <http://datatopics.worldbank.org/aspire/>

### 4) Interesting Think Tanks and Research Institutions in the area of social protection

**Maastricht Graduate School of Governance – Research Team Social Protection, Inclusive Innovation and Development**

The Maastricht Graduate School of Governance (MGSoG) of Maastricht University is integrated within [The United Nations University – Maastricht Economic and social Research Institute on Innovation and Technology \(UNU-MERIT\)](#). The institute, which collaborates closely with Maastricht University, carries out research and training on a range of social, political and economic factors that drive economic development in a global perspective. UNU-MERIT, including MGSoG, has been closely involved in projects and research for a variety of UN agencies and national governments, among others the International Labour Organization (ILO), the United Nations Children's Fund (UNICEF), the United Nations Industrial Development Organization (UNIDO), and the World Bank.

Social protection is one of the core areas of the Maastricht Graduate School of Governance's (MGSoG). Research, policy evaluation and consultancy activities related to

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<sup>9</sup> "Percentage of the population covered by social protection floors/systems, disaggregated by sex, and distinguishing children, the unemployed, old-age persons, persons with disabilities, pregnant women/ new-borns, work injury victims, the poor and the vulnerable".

social protection are carried out within the Social Protection, Inclusive Innovation and Development research group, which is headed by Professor Franziska Gassmann, a Swiss national, who has 25 years of experience in teaching, research and advisory activities in the field of social protection and welfare state economics, poverty and public policy analysis.

**Contact:** Prof. Dr. Franziska Gassmann,

**E-mail:** [franziska.gassmann@maastrichtuniversity.nl](mailto:franziska.gassmann@maastrichtuniversity.nl)

### **Overseas Development Institute**

The Overseas Development Institute (ODI) is the UK's leading independent think tank on international development and humanitarian issues. ODI's mission is to inspire and inform policy and practice which lead to the reduction of poverty, the alleviation of suffering and the achievement of sustainable livelihoods in developing countries. ODI mainly engages in high quality applied research, practical policy advice, and policy-focused dissemination and debate. ODI works with partners in the public and private sectors, in both developing and developed countries. One of their focus areas is social policy. They operate worldwide.

**Contact:** [odi@odi.org.uk](mailto:odi@odi.org.uk)

### **University Bonn-Rhein Sieg, Social Policy and Social Security Studies**

The Department of Social Policy and Social Security Studies has a unique focus in teaching and research on social protection systems, current challenges and future-oriented solutions in both the global South and North. Due to the practice-orientation of Universities of Applied Sciences and the interdisciplinary composition of the team, research spans across disciplines and mostly tackles up-to-date questions such as the influence of social protection on migration decisions, the role of solidarity in health apps, the outcome of recent vocational rehabilitation, the acceptability of social protection reforms, the political economy of social protection schemes, etc. The department currently works on a handbook on social protection systems that is supposed to serve as a guidance for all newcomers to social protection. The department works together with different national and international organisations in government and outside in teaching and research and provide policy-relevant advice.

**Contact:** Prof. Dr. Esther Schüring

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## **Annex 9: ILO Social Protection Floors Recommendation, 2012 (No. 202)**

Recommendation No. 202 reaffirms that “the right to social security is a human right” ensuring “universality of protection, based on social solidarity” [Preamble and Paragraph 3(a)].

Recommendation No. 202 affirms the inclusive nature of social protection floors (SPFs) which are directed against “poverty, vulnerability and social exclusion” [Paragraph 2] and in favour of “non-discrimination, gender equality and responsiveness to special needs” [Paragraph 3(d)], “social inclusion, including of persons in the informal economy” [Paragraph 3(e)], “reduction of informality” [Paragraph 15], support for “the most vulnerable” [Paragraph 8(a)], “disadvantaged groups and people with special needs” [Paragraphs 3(d) and 16].

Recommendation No. 202 calls for “respect for the rights and dignity of people covered by the social security guarantees” [Paragraph 3(f)], which should ensure “adequacy and predictability of benefits” [Paragraph 3(c)] and “allow life in dignity” [Paragraph 8(b)].

Recommendation No. 202 substantiates the human right to social security by establishing, as a starting point, the core obligations of the State in the form of basic social security guarantees (BSSG) included in the SPF. The floor should become a fundamental element on which “Members should progressively build and maintain comprehensive and adequate social security systems” [Paragraphs 1(a), 3(g), 13(1)(a) and (2)]. Members without developed systems should establish “a minimum level of social security guarantees” [Paragraph 13(1)(a)] in schemes which do not have a guaranteed minimum.]

In building SPFs, Recommendation No. 202 advises Members to consider a “diversity of methods and approaches, including of financing mechanisms and delivery systems” [Paragraphs 3(i) and 11(1)], select those that work better, and recombine them to implement “the most effective and efficient combination of benefits and schemes” [Paragraph 9(1)], “contributory and non-contributory schemes” [Paragraph 14(c)] and “preventive, promotional and active measures, benefits and social services” [Paragraph 10(a)].

Social security systems should be “coherent with national policy objectives” [Paragraph 13(2)] and “with social, economic and employment policies” [Paragraph 3(l)]; coherence should also be enhanced “across institutions responsible for delivery of social protection” [Paragraph 3(m)]. Furthermore, in designing SPFs as an integral part of a comprehensive social security system, Members should “coordinate social security policies with other public policies” [Paragraph 13(2)] “within a decent work framework” [Paragraph 10(c)].

Recommendation No. 202 recognizes that “social security is an important tool to prevent and reduce poverty, inequality, social exclusion and social insecurity” and that SPFs are established to “secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion” [Paragraphs 2 and 3(e)].

Recommendation No. 202 acknowledges that “the right to social security is, along with promoting employment, an economic and social necessity for development and progress, and ... that social security systems act as automatic social and economic stabilizers, help stimulate aggregate demand in times of crisis and beyond, and help support a transition to a more sustainable economy” [Preamble].

The Preamble to Recommendation No. 202 states that “sustainable long-term growth associated with social inclusion helps overcome extreme poverty and reduces social

inequalities and differences within and among regions” [Preamble and Paragraphs 3(e) (I) and 15].

Recommendation No. 202 recognizes “the overall and primary responsibility of the State” [Paragraph 3] in establishing and maintaining a comprehensive social security system, including SPFs, exercised according to a defined set of principles.

Recommendation No. 202 provides that “entitlement to benefits”, in any social protection scheme, including those providing BSSGs, should be “established by law” [Paragraphs 3(b) and 7].

According to Paragraph 6 of Recommendation No. 202, Members should provide the BSSGs to at least all residents and children, as defined in national laws and regulations, subject to their existing international obligations. BSSGs should ensure that, “over the life cycle, all in need have access ... to goods and services defined as necessary at the national level” [Paragraph 4].

Recommendation No. 202 calls on countries to consider ratifying, as early as national circumstances allow, the Social Security (Minimum Standards) Convention, 1952 (No. 102), or other ILO social security Conventions setting out more advanced standards to guide the development of comprehensive social security systems [Paragraphs 17 and 18].

## **Annex 10: The New Way of Working (NWOW): Linking Humanitarian Assistance and Social Protection**

The past decade has seen a dramatic increase in humanitarian funding requirements, with the 2018 annual humanitarian appeal exceeding \$25 billion dollars. The duration of appeals has increased, with the average appeal now lasting seven years. 80% of humanitarian assistance is used in protracted crises.

Against this background and the Agenda 2030's call for a reduction of risk, vulnerability and overall levels of poverty and inequality, the need to transcend the humanitarian-development divide by working towards collective outcomes has been identified as the top priority at the World Humanitarian Summit in 2016<sup>1</sup>.

This “New Way of Working” (NWOW) or “nexus” is also discussed in the context of social protection. From a humanitarian perspective social protection is considered in two ways:

- (1) Social protection as a potential long-term and sustainable solution to protracted crisis and recurrent natural disaster with the aim to reduce the need for recurrent humanitarian assistance (*shock responsive social protection*), and
- (2) The use of established national social protection schemes to channel humanitarian aid and facilitate effective response in times of humanitarian crisis (*adaptive social protection*). For this to realize, humanitarian actors increasingly look at governments, states and development actors in order to better align and coordinate efforts to build adaptive and shock responsive social protection mechanisms.

Whilst social protection and humanitarian assistance are two distinct policy interventions with differing purposes and time-perspectives, they also share similarities<sup>2</sup>. This concerns in particular: (1) the use of specific instruments, in particular cash transfer programming and vouchers, (2) the objective of reducing poverty and deprivation<sup>3</sup>.

For the practical engagement with social protection systems, notably social assistance, two entry points can be identified:

- In contexts where national social assistance schemes exists: to work with and strengthen the system in times of crisis to deliver humanitarian assistance and make them responsive to shocks, and
- In contexts where national social assistance schemes do not exist: to influence the creation of shock responsive social assistance systems at national scale through direct design and implementation, identifying sources of funding or through policy engagement at the appropriate level and knowledge transfer<sup>4</sup>.

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<sup>1</sup> United Nations Office for the Coordination of Humanitarian Affairs (OCHA). 2017. New Ways of Working. New York/Geneva: OCHA, available from: [www.unocha.org](http://www.unocha.org).

<sup>2</sup> For an extensive discussion see CaLP 2016 and Sabates-Wheeler, R. and Devereux, S. 2018. Social Protection and the World Food Programme. WFP: Rome, available from: [<https://www.wfp.org/content/occasional-paper-25-social-protection>]

<sup>3</sup> The Cash Learning Partnership (CaLP).2016. Working with Cash Based Safety Nets in Humanitarian Contexts: A Guidance Note for Humanitarian Practitioners.

<sup>4</sup> For a detailed discussion on the various modalities of how humanitarian assistance and social assistance schemes can be linked see for example OPM. (2018. Shock-Responsive Social Protection Systems Toolkit - Appraising the use of social protection in addressing large-scale shocks. OPM, Oxford, UK.



NWOW between social protection and humanitarian assistance appears to be particularly useful with regards to:

- Protracted crises situations: humanitarian actions can be used as a window of opportunity to trigger investment in the development of nascent social protection schemes. The longer-term aim from a humanitarian perspective in such a scenario is to progressively move chronic humanitarian caseloads into social protection systems (e.g. in Mozambique)
- Managing disasters differently: as a component of government-driven frameworks for response to disasters and crises, social protection schemes can be used to support individuals, households and communities and reduce the negative impact of shocks, thereby reducing the need for separate humanitarian response, for example the African Risk Capacity (ARC)
- Forced displacement: social protection can become an important strategy to address forced and often protracted displacement, including that of IDPs and refugees.

Whilst NWOW has a lot of potential for strengthening the resilience of people, in particular the most vulnerable in face of increasingly recurrent natural disasters and shocks as well as protracted crisis situations, there are also potential risks involved: NWOW is a complex endeavour that involves extensive coordination efforts and thus, needs strong commitment from all actors involved in addition to a strong technical expertise and human capacity to manage the complexities of such programmes. There may also be little or no compatibility with the design of the humanitarian programme (e.g. mismatch in targeting and intervention area, choice of cash transfer type or adequacy of transfer, etc.). The use of national social protection programmes in order to deliver support in crisis situation may potentially undermine humanitarian principles with negative impacts in particular for those who already suffer multiple exclusions. Putting money into the state social protection schemes instead of channelling it through non-state actors potentially bears a greater risk of corruption which in the long run may outweigh the advantages of NWOW<sup>5</sup>.

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<sup>5</sup> CaLP 2016.

## Adaptive Social Protection<sup>6</sup>

### How can social protection interventions and systems effectively respond to shocks?

Social protection and humanitarian aid are complementary protection strategies that a country may use in order to reduce risks. They generally differ with regards to their objectives (support in emergencies vs. support with regards to life-cycle risks), their target groups, size of transfer, geographic area covered as well as the duration of the transfer (long-term vs. short-term).

Adaptive social protection (ASP) aims at linking social protection mechanisms with measures of climate change adaption and disaster risk reduction with the aim to strengthen the resilience of poor and vulnerable groups. Herein, social protection has two major functions: preventive protection through strengthening the resilience of livelihoods (*ex-ante*) and through mitigating the consequences of climate induced risks (*ex-post*). Making social protection systems more resilient to catastrophic risks through in-built mechanisms may thus help to strengthen the synergies between humanitarian aid and social protection schemes. For example, it allows countries and international stakeholders to react much quicker to emergencies by providing concerned population group with specific measures using established social protection mechanisms (*climate-smart social protection mechanisms*).

Various entry points exist regarding the use of social protection mechanisms in the event of shocks. These are particularly related to time- and quality gains with regards to the identification of the population concerned as well as the distribution of transfers through already existing transfer systems. This does however only work if social protection mechanisms are well-established, meaning that they cover a large population group and are professionally managed, i.e. they have a functioning targeting system, which also takes into account disaster relevant factors, a central social registry, an effective transfer- and delivery system as well as excellent coordination across various policy sectors and stakeholders. This also includes linking the social protection scheme to the national early warning system.<sup>7</sup>

Linking social protection and emergency aid may be mutually beneficial: Whilst social protection systems may facilitate the delivery of emergency aid, existing social protection mechanisms may profit from the links to humanitarian aid. Existing mechanisms may be enhanced and improved by taking over measures and ways of working from the humanitarian aid sector, for example the testing and experimenting with different delivery modalities or by including identified population groups of emergency regions into the unified social registry.

The use of social protection mechanisms for the delivery of humanitarian aid may take different forms. The various options for expansion largely depend on desired effects:

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<sup>6</sup> <sup>6</sup> Sources: DFID (2016). DFID Shock-Responsive Social Protection Systems research. Literature review, available from: <http://www.opml.co.uk/sites/default/files/A0408%20literature%20review%202016%2002%2016.pdf>

Wallis, C.; Buckle, F.; DFID (2016) Social Protection and Climate Resilience. Evidence on Demand, UK, available from: DOI: 10.12774/eod\_tg.may2016.wallisandbuckle

<sup>7</sup> An effective disaster resilient social protection system is characterized by is flexibility, adaptability, adequate resources, innovative partnerships of public, private and non-state actors and a linkage to established early warning systems

- a) **Vertical Expansion:** This implies that the increase of transfers over a defined period of time for existing beneficiaries.
- b) **Horizontal Expansion:** New beneficiaries are being added to an existing programme for the duration of a crisis.
- c) **Piggybacking:** The use of the administrative and management system of an existing social protection programme to deliver a separate humanitarian aid programme.
- d) **Shadow Alignment:** Coordination and alignment of the humanitarian aid system with an existing social protection system or a future one, i.e. in the making, for example, taking the decision to use the same targeting criteria to assess vulnerability where possible.
- e) **Refocusing:** where financial resources are curtailed social protection mechanisms are refocused toward those groups that are also mostly hit by climate induced risks.

Adaptive social protection largely depends on:

- a) **Type and magnitude of emergency situation:** Emergencies vary with regards to their frequency, extent, duration and predictability. Social protection is not necessarily always the right answer to all emergency situations.
- b) **Targeting und Coverage:** Beneficiaries of social protection programmes are not necessarily those who need assistance in a crisis situation, mainly because social protection programmes may not reach where the crisis has hit and/or the beneficiary group is not necessarily the group hit the most by a crisis. Identification of potentially vulnerable groups for the most recurrent emergencies who may be included in the transfer process in case of an emergency, as part of a disaster preparedness plan may be an important preventative measure in this regard.
- c) **Practicability - Operational Systems:** in order to be able to switch to emergency mode in case a crisis situation, governments need to be prepared in order to be able to use the synergies and react quickly. This means for example that payment mechanisms need to be activated quickly as well as other relevant services that beneficiaries need. A timely availability of additional financial resources is equally important. The availability of a detailed emergency plan of how to operate „shock-responsive“ social protection mechanisms, in particular with regards to financing is therefore key.

Sources:

DFID.2016. DFID Shock-Responsive Social Protection Systems research. Literature review. Available from:

<http://www.opml.co.uk/sites/default/files/A0408%20literature%20review%202016%2002%2016.pdf>

DFID. 2016. Social Protection and Climate Resilience. Learning notes on how social protection builds climate resilience, Available from:

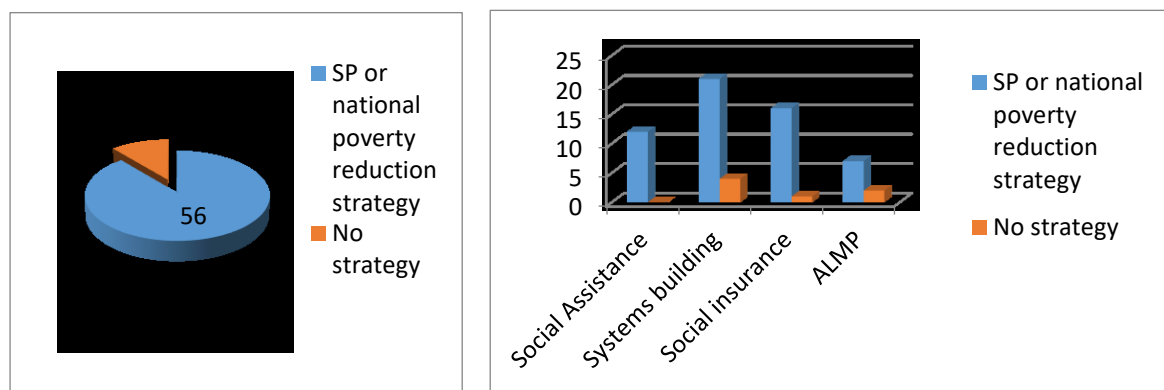
DOI: [http://dx.doi.org/10.12774/eod\\_tg.may2016.wallisandbuckle](http://dx.doi.org/10.12774/eod_tg.may2016.wallisandbuckle)

## Annex 11: Development country contexts – statistical overview regarding social protection and inclusion

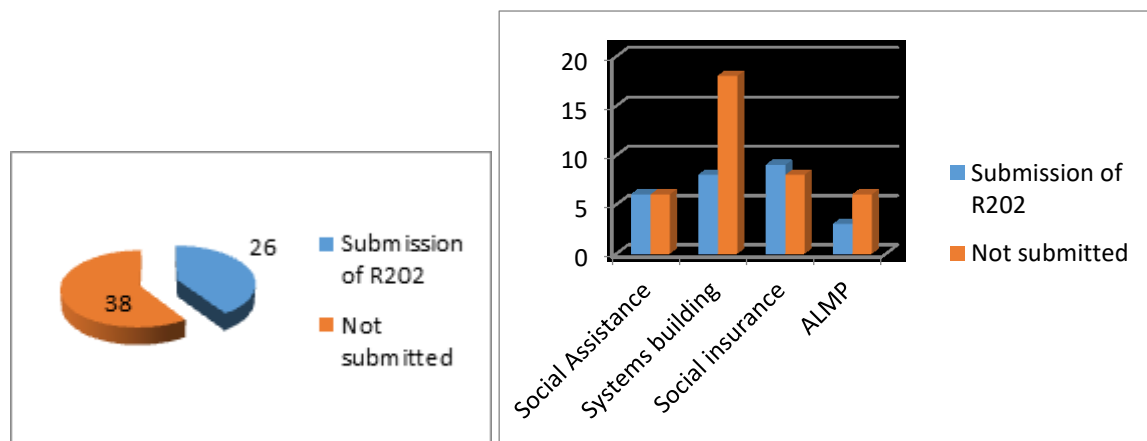
### In which contexts (SP country strategy or interest) does SDC implement what kind of SP projects?

A very small tendency that Systems building and LMP is applied more in countries which submitted the ILO R202 - Social Protection Floors Recommendation, and insurance and social assistance more in countries which did not, can be observed. This link is even less clear for countries having a social protection or national poverty reduction strategy.

**Figure 11.1 National social protection or poverty reduction strategy (overall portfolio and across SP pillars)** (Data from SALMIC database, (n=63 countries))



**Figure 11.2 Submission of ILO R202 – Social protection floor (overall portfolio (n=64 countries) and across SP pillars)**

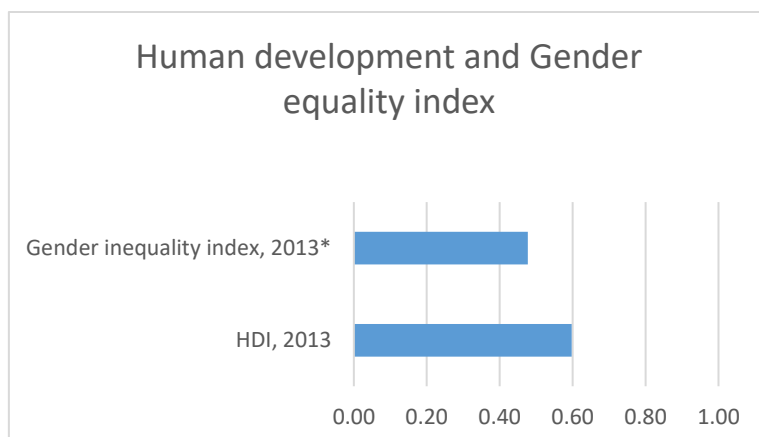


### Can we make out a pattern or on what does it depend whether SDC implements social protection or not and if yes, what type/domain?

SA and SI are implemented in the poorer contexts, SB/LMP in contexts with higher GNI/ GDP per capita and higher effective coverage of national social protection programmes, human development index, lower gender-inequality index, population below 1.25US\$ income line, population below national poverty line, and Gini coefficient. All of these differences are significant.

Social assistance and social insurance projects are carried out in countries where some of the effective coverage indicators are significantly lower (child/family benefits, and disability coverage, as well as for expenditures), compared to LMP and systems building projects.

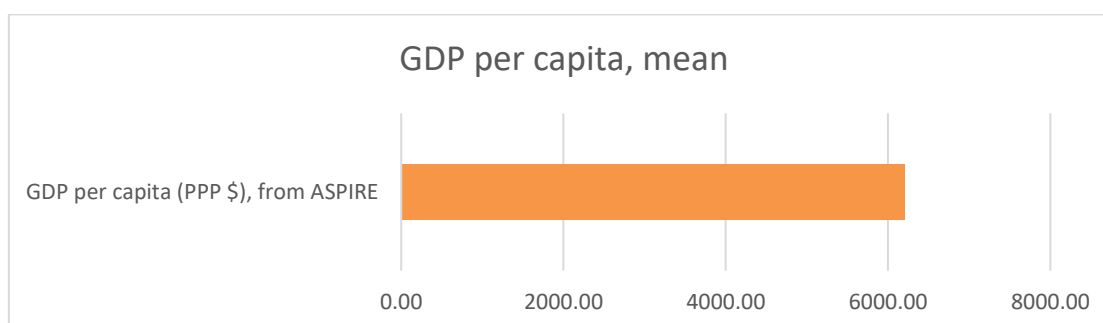
**Figure 11.3 Human development and gender equality<sup>1</sup> in countries where SDC implements SP projects** (Human development report 2014, n= 61 and 58, respectively)



**Figure 11.4 Poverty and inequality in countries where SDC implements SP projects** (WB ASPIRE database, HDR 2014, n=45, 51 and 55, respectively)



**Figure 11.5 GDP per capita in countries where SDC implements SP projects** (WB ASPIRE database, n= 60 countries)

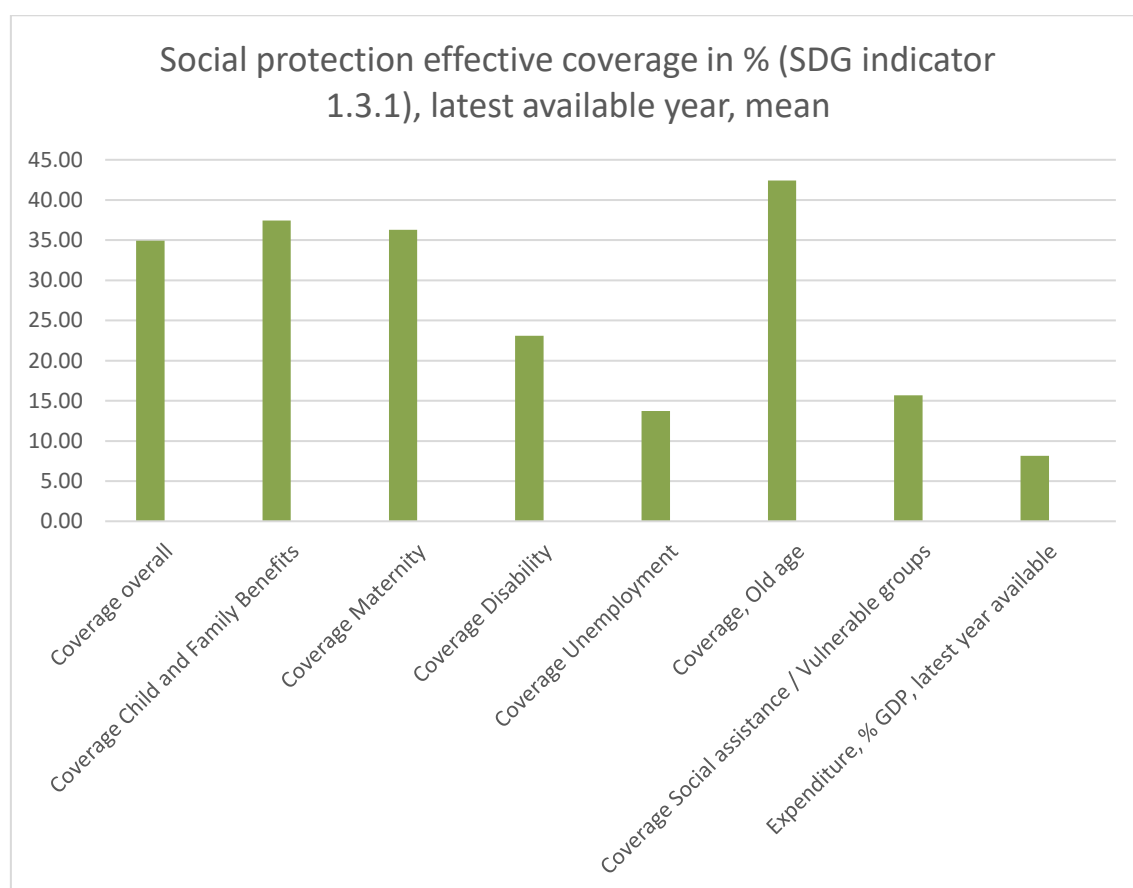


<sup>1</sup> ``Composite measure reflecting inequality in achievement between women and men in 3 dimensions: reproductive health, empowerment and labour market.

**Figure 11.6 Social protection effective coverage in countries where SDC implements SP projects** (from ILO, 2015, World social protection report 2014/15)

The following coverage indicators were taken

- Coverage overall, in %, Social protection effective coverage (SDG indicator 1.3.1, n=25)
- Coverage, in %, Child and Family Benefits (n=27)
- Coverage, in %, Maternity (n=25)
- Coverage, in %, Disability (n=29)
- Coverage, in %, Unemployment (n=23)
- Coverage, in %, Old age (n=57)
- Coverage, in %, Social assistance / Vulnerable groups (n=25)
- Expenditure, % GDP (n=58)



Additionally, the following table (see overleaf) includes specific country context indicators from countries where SDC implements SP projects:

Country	Country has national poverty reduction strategy or SP policy strategy (from SALMIC database)	Submission of R202 - Social Protection Floors Recommendation, 2012	GDP per capita (PPP), from ASPIRE	Total pop (million), from ASPIRE	HDI, 2013 (from HDR 2014)	Gender inequality index, 2013 (from HDR 2014)	Population below PPP \$1.25 day, % (from HDR 2014)	Population below national poverty line, % (from HDR 2014)
Afghanistan	Yes	No	1.877	34,7	0,468	0,705	-	36,00
Albania	Yes	No	11.880	2,9	0,716	0,245	0,62	12,40
Armenia	Yes	Yes	9.000	2,9	0,730	0,325	2,47	35,80
Azerbaijan	Yes	No	16.130	9,8	0,747	0,340	0,43	6,00
Bangladesh	Yes	Yes	3.790	163,0	0,558	0,529	43,25	31,51
Benin	Yes	Yes	2.170	10,9	0,476	0,614	47,33	36,20
Bolivia	Yes	No	7.090	10,9	0,667	0,472	15,61	51,30
Bosnia and Herzegovina	No	Yes	12.140	3,5	0,731	0,201	0,04	14,00
Bulgaria	Yes	Yes	19.020	7,1	0,994	0,207	-	-
Burkina Faso	Yes	No	1.680	18,6	0,388	0,607	44,60	46,70
Burundi	Yes	Yes	770	10,5	0,389	0,501	81,32	66,90
Cambodia	Yes	Yes	3.510	15,8	0,584	0,505	18,60	20,50
Chad	Yes	No	1.950	14,5	0,372	0,707	-	-
Colombia	Yes	No	13.910	48,7	0,711	0,460	8,16	32,70
Cuba	No	Yes			0,815	0,350	-	-
Congo, Democratic Republic of	Yes	No	730	78,7	0,564	0,617	87,72	71,30
Egypt	Yes	Yes	11.110	95,7	0,682	0,580	1,69	25,20
Georgia	Yes	Yes	9.450	3,7	0,744	-	17,99	24,70
Haiti	Yes	No	1.790	10,8	0,471	0,599	-	-
Honduras	Yes	Yes	4.410	9,1	0,617	0,482	17,92	60,00
India	Yes	Yes	6.490	1.324,2	0,586	0,563	32,68	21,90
Indonesia	Yes	Yes	11.220	261,1	0,684	0,500	16,20	12,00
Iraq	Yes	No	17.240	37,2	0,642	0,542	2,82	22,90
Jordan	Yes	Yes	8.980	9,5	0,745	0,488	0,12	13,30
Kenya	Yes	Yes	3.130	48,5	0,535	0,548	43,37	45,90
Kosovo	No	No	10.200	1,8	-	-	-	-

Laos	Yes	No	5.920	6,8	0,569	0,534	33,88	27,60
Lebanon	Yes	No	13.860	6,0	0,765	0,413	-	-
Lesotho	Yes	No	3.390	2,2	0,486	0,557	43,41	56,60
Macedonia	No	No	14.480	2,1	0,732	0,162	-	-
Malawi	Yes	No	1.140	18,1	0,414	0,591	61,64	50,70
Mali	Yes	Yes	2.040	18,0	0,407	0,673	50,43	43,60
Moldova	Yes	No	5.670	3,6	0,663	0,302	0,39	16,60
Mongolia	Yes	Yes	11.290	3,0	0,698	0,320	-	27,40
Mozambique	Yes	No	1.190	28,8	0,393	0,657	59,58	54,70
Myanmar	Yes	Yes	5.070	52,9	0,524	0,430	-	-
Nepal	Yes	Yes	2.520	29,0	0,540	0,479	24,82	25,20
Nicaragua	Yes	Yes	5.390	6,1	0,614	0,458	-	-
Niger	Yes	Yes	970	20,7	0,504	0,674	43,62	59,50
Palestine	Yes	No			0,686	-	0,04	21,90
Rwanda	Yes	No	1.870	11,9	0,506	0,410	63,17	44,90
Serbia	Yes	Yes	13.680	7,1	0,745	-	0,21	9,20
Somalia	Yes	No	-	14,3	-	-	-	-
South Africa	No	Yes	12.860	55,9	0,658	0,461	13,77	23,00
Sri Lanka	Yes	Yes	11.970	21,2	0,750	0,383	-	-
Swaziland	No	No	7.980	1,3	0,530	0,529	40,63	63,00
Syria	No	No		18,4	0,658	0,556	1,71	-
Tajikistan	Yes	Yes	3.500	8,7	0,607	0,383	6,56	46,70
Tanzania	Yes	Yes	2.740	55,6	0,488	0,553	67,87	28,20
Tunisia	No	Yes	11.150	11,4	0,721	0,265	-	-
Turkey	No	Yes	23.990	79,5	0,759	0,360	-	-
Ukraine	Yes	Yes	8.190	45,0	0,734	0,326	0,02	2,90
Uzbekistan	Yes	Yes	6.640	31,8	0,661	-	-	-
Viet Nam	No	Yes	6.050	92,7	0,638	0,322	16,85	20,70
Zambia	Yes	No	3.790	16,6	0,561	0,617	74,45	60,50
Zimbabwe	Yes	Yes	1.920	16,2	0,492	0,516	-	72,30



Country/ Region  (data from ILO report (p. 247))	Gini coefficient	Coverage overall (SP effective coverage (SDG indicator 1.3.1), latest available year)	Coverage Child and Family Benefits, in %	Coverage Maternity , in %,	Coverage Disability, in %	Coverage Unemployment, in %	Coverage Old age, in %	Coverage social assistance/ vulnerable groups, in %	SP Expenditure, % GDP, latest year available in %
Afghanistan	-						11		3
Albania	34,5					7	77		12
Armenia	31,3	47	21	61	100		69	16	8
Azerbaijan	33,7	40		14	100	2	81	13	8
Bangladesh	32,1	28	29	21	19		33	4	2
Benin	38,6						9,7		4,2
Bolivia	47,2	41	65	52	2	3	100	34	10
Bosnia and Herzegovina	36,2						30		
Bulgaria	33,6	88	49	100	100	36	100	32	19
Burkina Faso	39,8	7,5		0,4		0,1	2,7	3,6	2,7
Burundi	33,3						4,0		4,9
Cambodia	36,0				1		3		1
Chad	39,8						1,6		1,3
Colombia	53,6	41	27		6	5	52	14	14
Cuba	-								18
Congo, Democratic Republic of	44,4	14,0	1,3				15,0	5,6	3,5
Egypt	30,8	36,9		100,0			37,5		11,2
Georgia	42,1	29		24	100		92	12	11
Haiti	59,5						1		3
Honduras	56,7				15		8		4
India	33,9	19		41	5		24	14	3
Indonesia	38,1						14		1
Iraq	30,9						56,0		
Jordan	35,4						42,2		8,9
Kenya	47,7	10,4	8,1			0,0	24,8	5,8	2,3
Kosovo	-								

Laos	36,7						6		1
Lebanon	-						0,0		2,1
Lesotho	52,5	9,2	10,4				94,0	7,8	16,3
Macedonia	43,6					12	71		
Malawi	43,9	21,3	9,8				2,3		1,0
Mali	33,0		5,4		0,4		2,7		4,9
Moldova	33,0					11	75		18
Mongolia	36,5	72	100	100	100	31	100	35	14
Mozambique	45,7	10,9		0,2	0,2		17,3	8,2	4,5
Myanmar	-			1	0				1
Nepal	32,8						63		3
Nicaragua	47,8						24		6
Niger	34,6	20,6	4,2				5,8	16,4	2,9
Palestine	-						0,0		
Rwanda	50,8						4,7		7,3
Serbia	29,6					9	46		23
Somalia	-								
South Africa	63,1	48,0	75,1		64,3	10,6	92,6	35,6	10,1
Sri Lanka	36,4	30			21		25	4	7
Swaziland	51,5						86,0		4,4
Syria	35,8						16,7		1,9
Tajikistan	30,8		6	60		17	93		
Tanzania	37,6			0,3			3,2		6,8
Tunisia	36,1				5,1		33,8		10,4
Turkey	40,0				5,0	1,4	20,0		13,5
Ukraine	25,6			100		22	92		22
Uzbekistan	36,7						98		12
Viet Nam	35,6	38		45	10	45	40	10	6
Zambia	57,5	15,3	21,1				8,8		5,5
Zimbabwe	-						6,2		5,6

## Annex 12: Project portfolio performance assessment<sup>1</sup>

1. SP component and SDC themes
2. SP pillars<sup>2</sup>
3. Importance of SP SDC portfolio
4. Target groups
5. Financing types in the SP portfolio
6. MDG/SDGs addressed
7. Tool box/ use of instruments
8. Performance scores

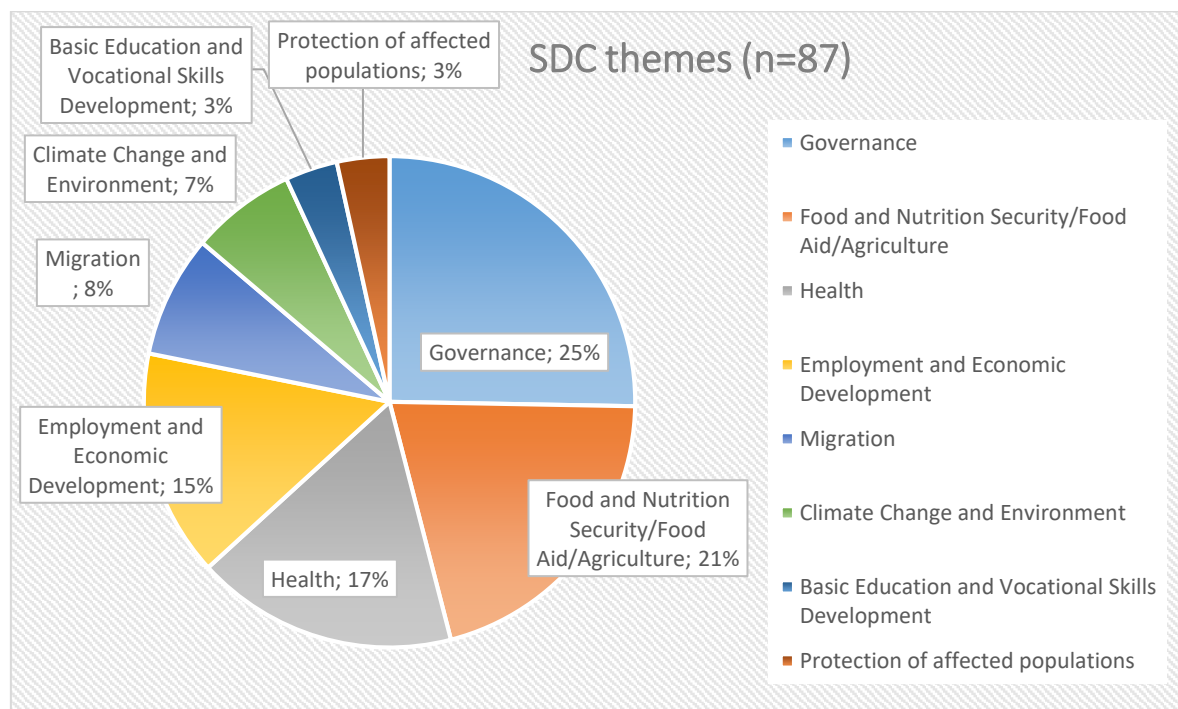
The following Excel file provides the raw data sheet with quantitative information linked to the project coding process.



SDC SP  
Portfolio\_coding\_code

### 1. How many projects with an SP component did we identify under which SDC theme? (First-mentioned theme)

Governance, Health, Employment and Economic Development, and Food Security/ Nutrition are the most mentioned SDC themes in the SP portfolio.



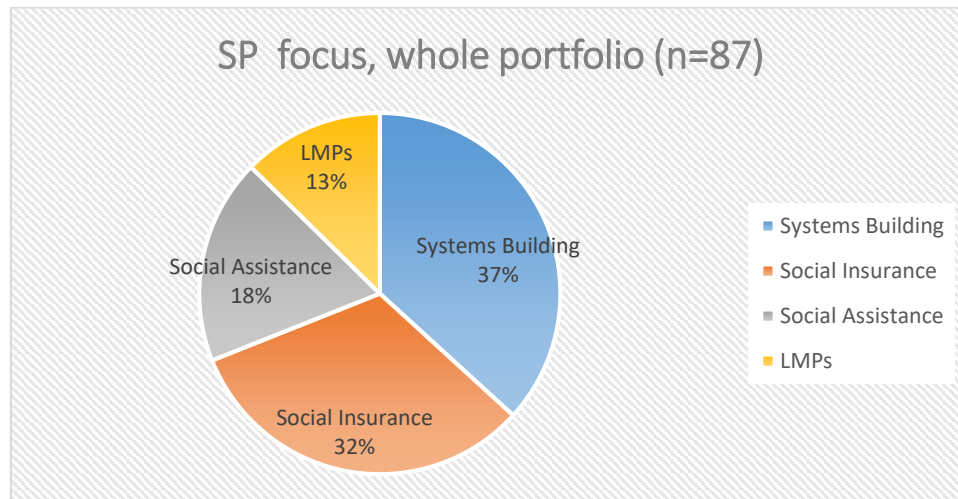
<sup>1</sup> In this annex, the SP area of intervention "Systems Building" equals the naming of "System Strengthening".

<sup>2</sup> The SP pillars are identical to the areas of intervention.

## 2. SP pillars in SDC portfolio

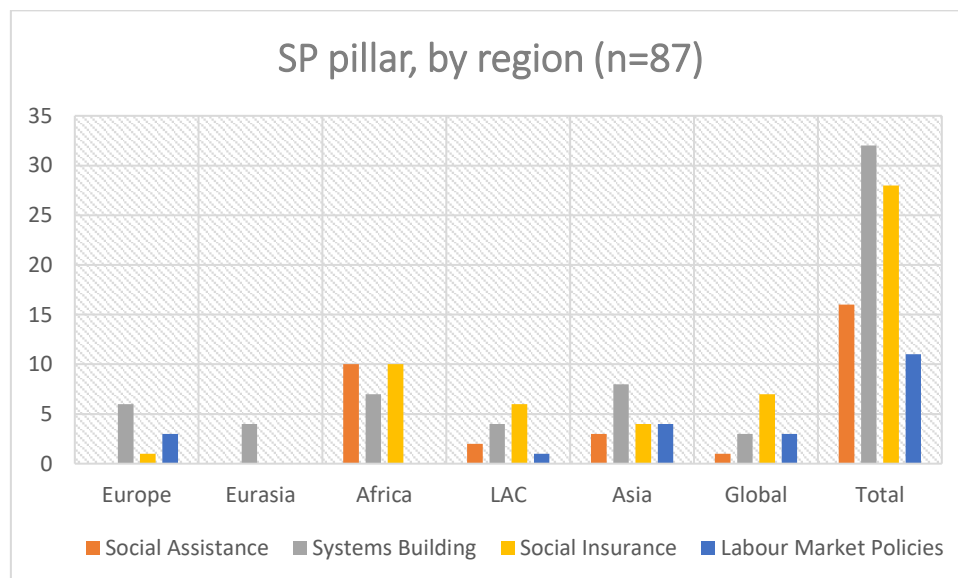
### 2.1 Which of the four SP pillars are addressed how often in the SDC SP portfolio?

Systems building is the most addressed SP pillar, followed by Social Insurance, Social Assistance and Labour Market Policies.



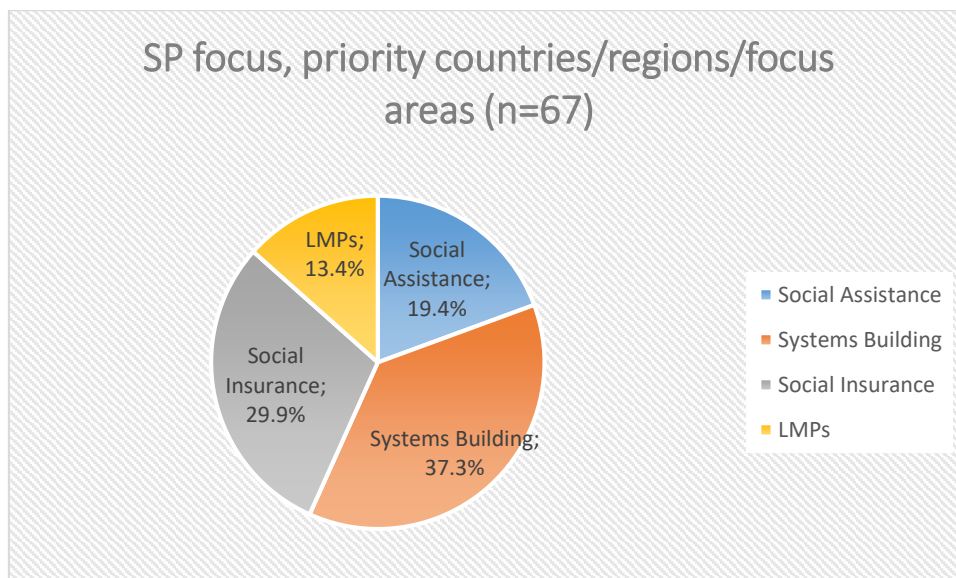
### 2.2 SP pillars across regions

Social Assistance is relatively more employed in Africa, Systems Building more in Europe/Eurasia, Social Insurance relatively more in Africa/LAC/Global and LMP in Europa/Asia and global programmes.



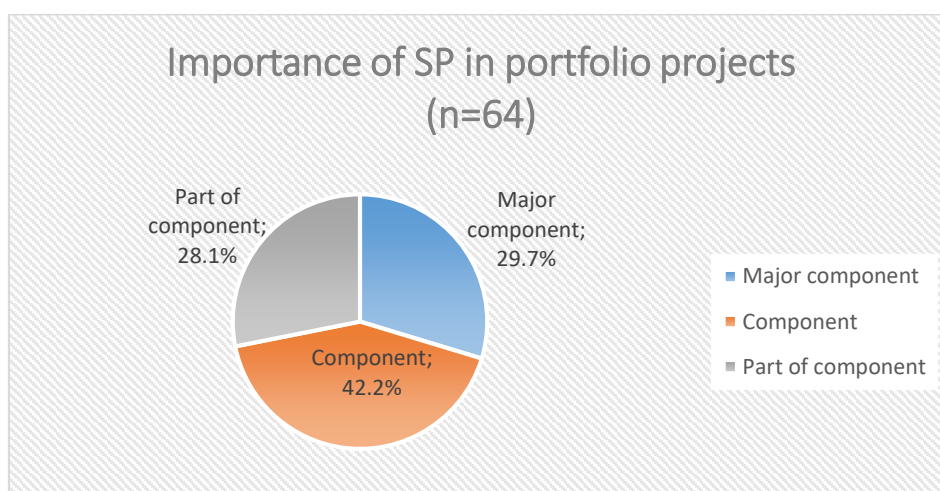
### 2.3 Which of the four SP pillars are addressed in the SDC SP portfolio in SDC priority countries?

67 of the 87 projects are implemented in priority countries/regions or focal areas. 20 projects are in non-priority countries or through global programmes and NGO contributions. The distribution across the 4 pillars in priority countries is very similar to the overall portfolio.



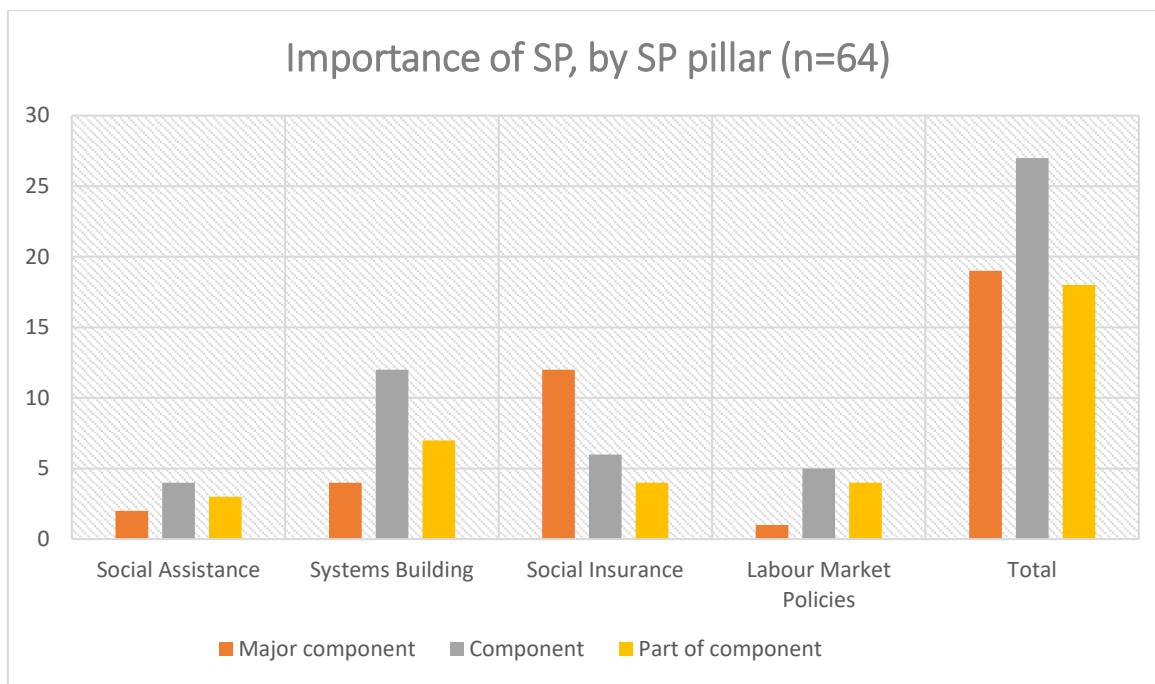
### 3. Importance of SP in portfolio projects, overall portfolio, across SP pillars

#### 3.1 How important is SP in SDC projects? (Major component, component, part of component)

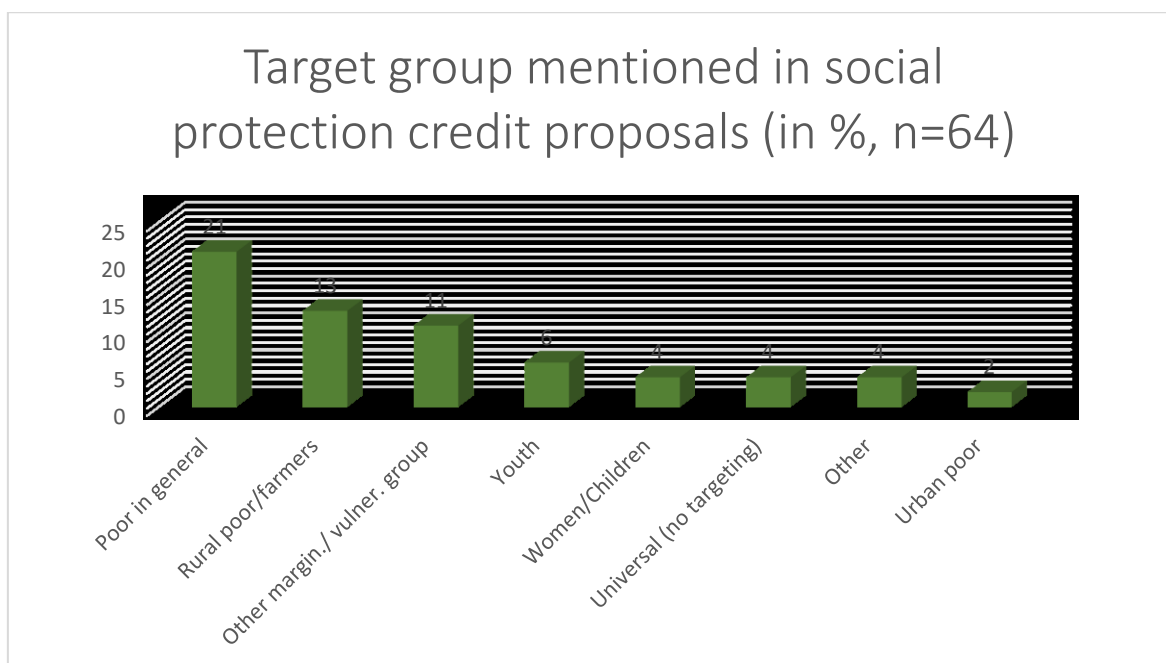


#### 3.2 The extent to which SP is tackled in SDC as a measure of being major component/ component/part of component disaggregated by SP pillar (SI, SA, LMPS and SB/GOV).

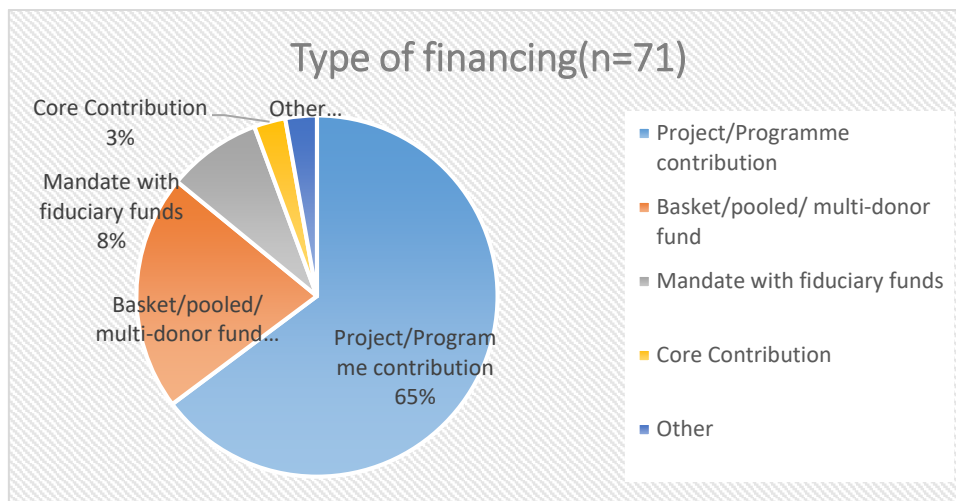
In social insurance, especially in health, to a lesser extent also in weather/agricultural insurance, there are relatively more major components, as they are recognized issues within official domains of SDC (health, employment and income).



#### 4. Targeting

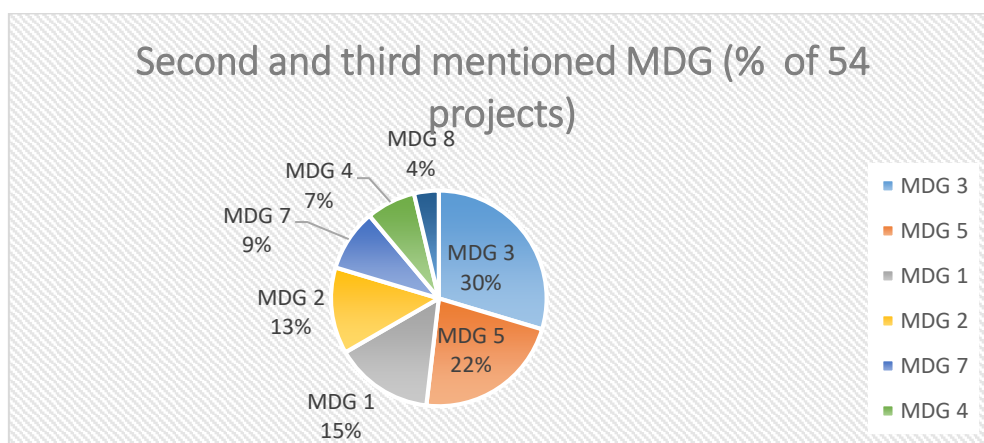
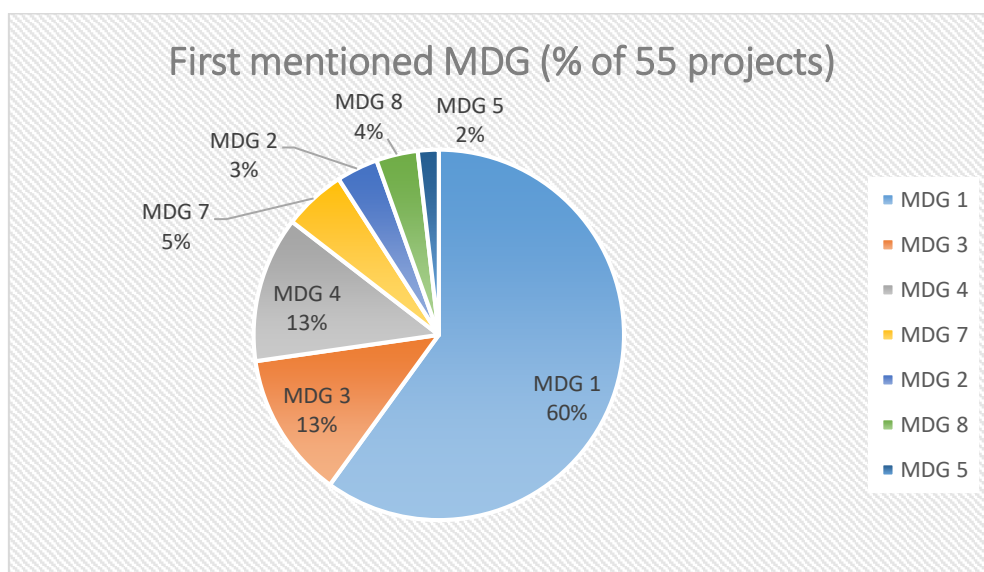


**5. Which financing types does SDC apply in the SP portfolio (according to SAP data sheet)?**



**6. MDG/SDGs addressed in portfolio (first, second and third highest % in SAP data sheet)**

MDG 1 is by far the most addressed MDG in the portfolio, followed by MDG 3 and 4. There is no significant difference in performance scores across MDGs (see sub-chapter 8)



## 7. Tool box/ use of instruments

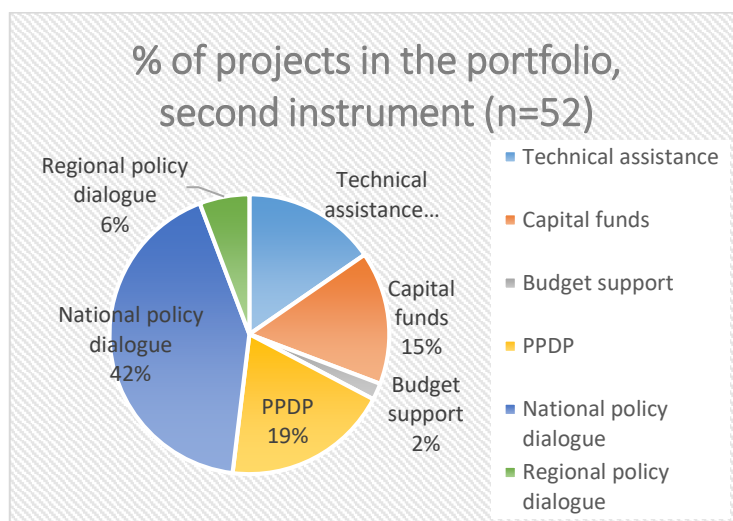
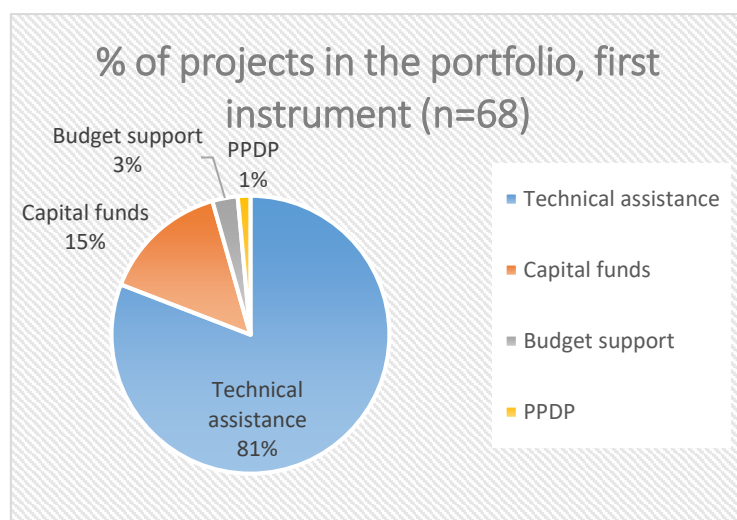
These figures show which instruments are used how often with regards to what kind of Social protection domain. The first figure shows the whole portfolio and the other four the pillar-specific portfolio (SA, SI, LMPs and SB/GOV).

Policy dialogue is only once mentioned in Social Assistance, and PPDP is mostly used in Social Insurance. Social Insurance also uses the most diverse set of instruments.

This is a strong hint to the close link between capacity, experience, know-how and the extent to which SDC engages in policy dialogue.

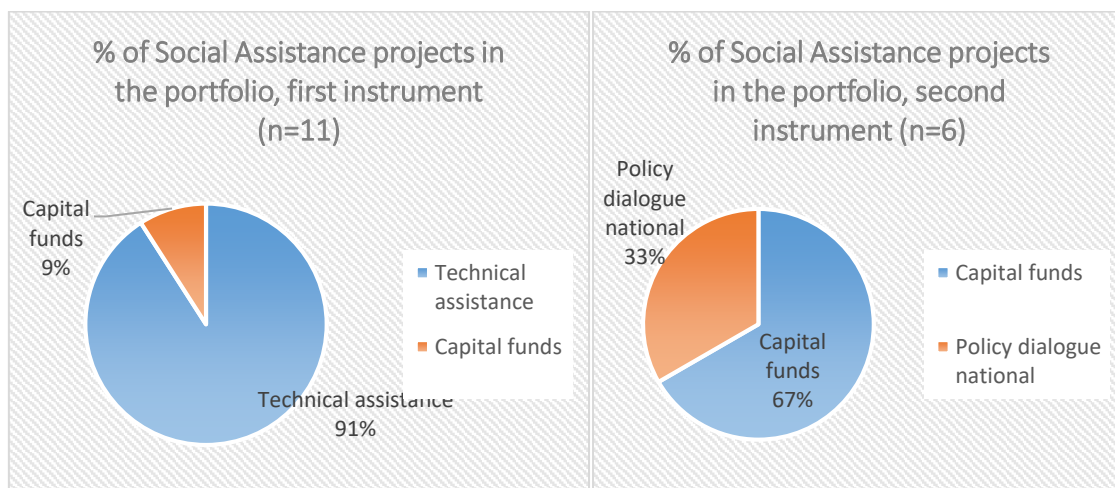
52/68 of the projects have mentioned two instruments.

### 7.1 Tool box/instruments for all 87 projects

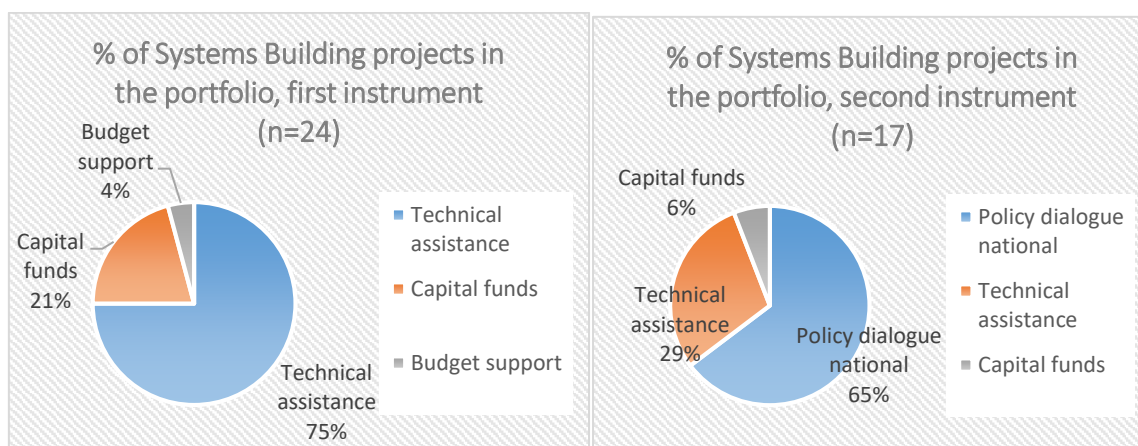




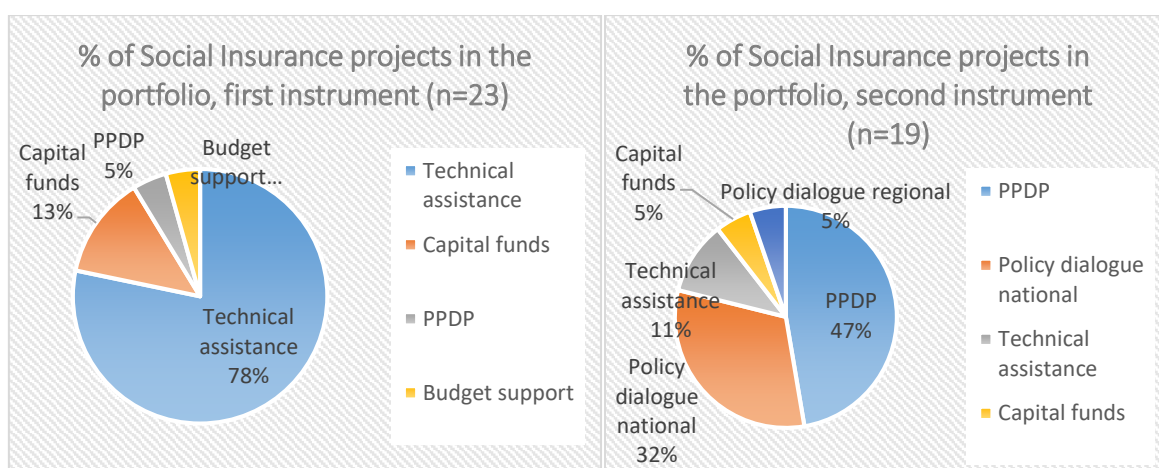
## 7.2 Tool box for Social Assistance (first and second instrument)



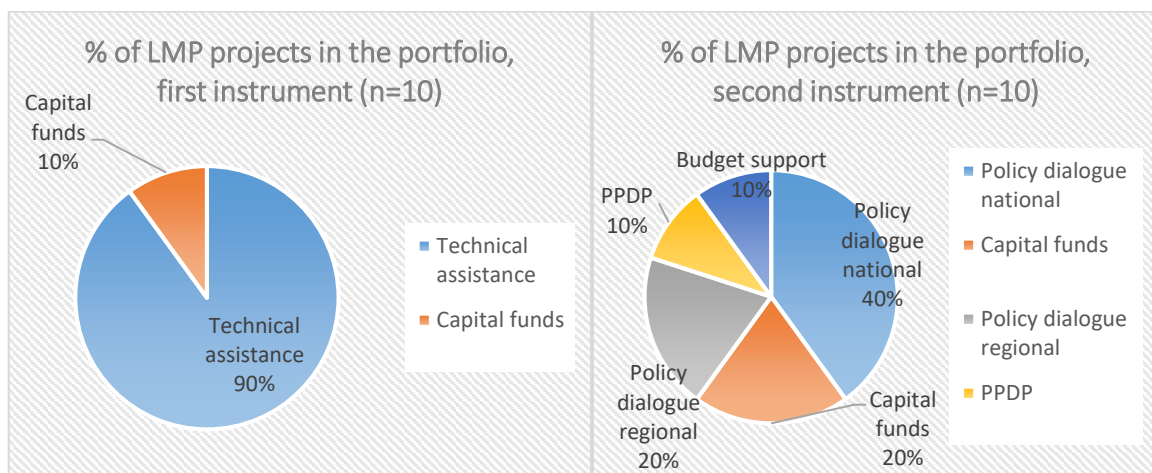
## 7.3 Tool box for Systems Building (first and second instrument)



## 7.4 Tool box for Social Insurance



## 7.5 Tool box for LMP

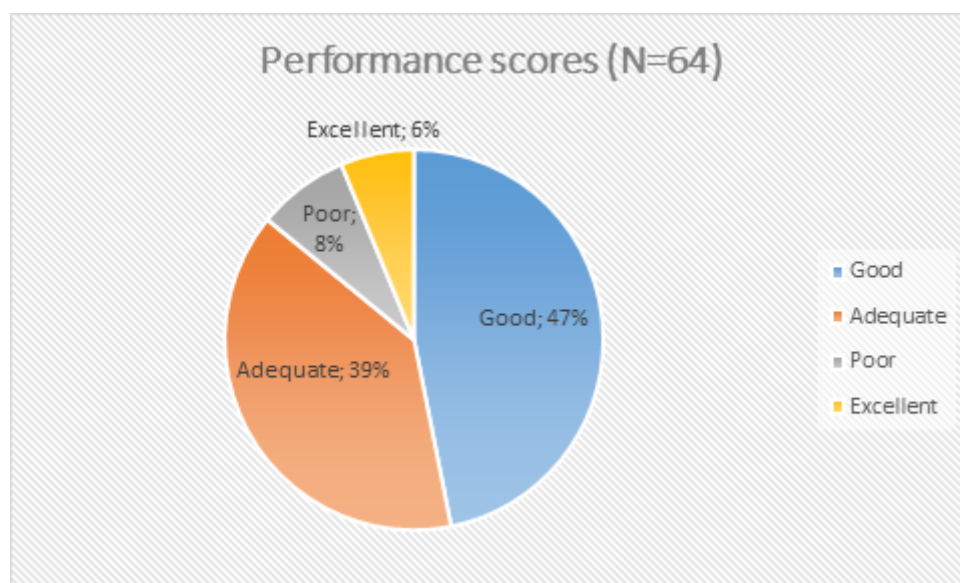


## 7.6 Use of policy dialogue across SDC themes

Looking at the use of policy dialogue (all projects which mention policy dialogue as one instrument), even though figures are small, governance/health (and to a lesser extent employment) use relatively more policy dialogue than the more “technical” themes like food and nutrition security/food aid/agriculture, and climate change.

## 8. Performance scores

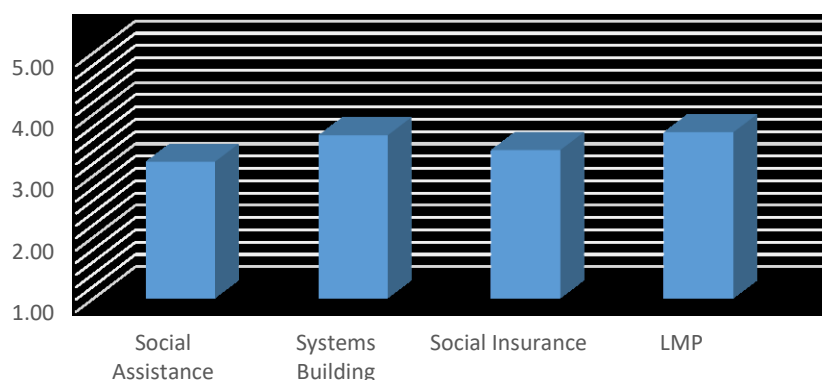
Mean performance score is 3.52 (on a scale from Excellent (5), Good (4), Adequate (3), Poor (2), Unacceptable (1)), 4 and 3 are the ones most often mentioned. Projects overall perform well – given the amount of technical assistance involved and the close involvement with government, and working in increasingly difficult contexts. The complexity of programme interventions, the degree of administrative infrastructure and governance, political stability all influence the performance scores; see tables below.



### 8.1. Do mean performance scores differ across 4 SP pillars?

There is no significant difference in the mean scores of the 4 pillars.

## Performance score, by SP focus (n=64)

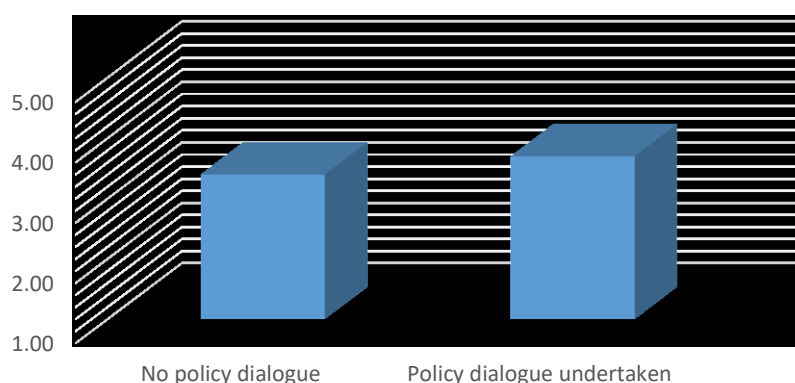


### 8.2. Do mean performance scores differ between projects undertaking policy dialogue?

In 24 projects policy dialogue was undertaken, in 40 projects no policy dialogue was mentioned in the documentation.

Although the difference is small, performance scores are statistically significantly higher for projects in which SDC undertakes policy dialogue (by 0,3 points).

## Performance scores, with and without policy dialogue

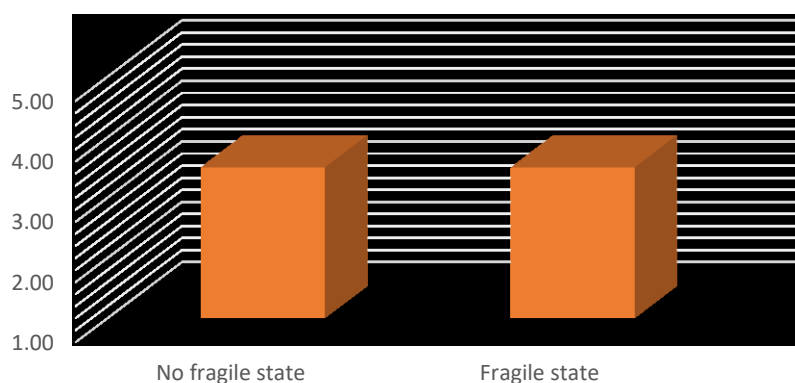


### 8.3 Do mean performance scores differ between fragile / non-fragile states? (The list of fragile states according to OECD in 2013 was used<sup>3</sup>)

No significant difference in scores (20 fragile states, those fragile states addressed through regional or global programmes are not included)

<sup>3</sup> <http://www.oecd.org/dac/conflict-fragility-resilience/docs/FragileStates2013.pdf>

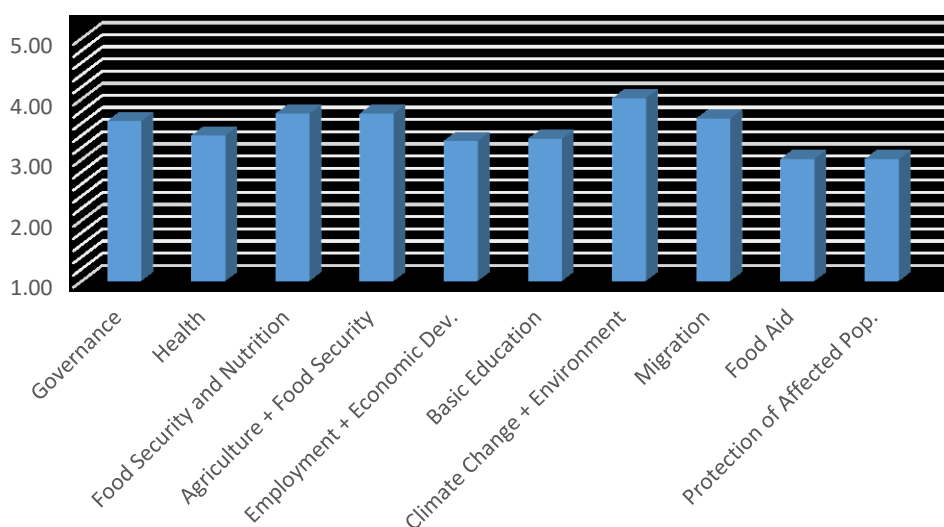
## Performance scores in fragile/non-fragile states (n=64)



### 8.4 Do mean performance scores differ across SDC themes?

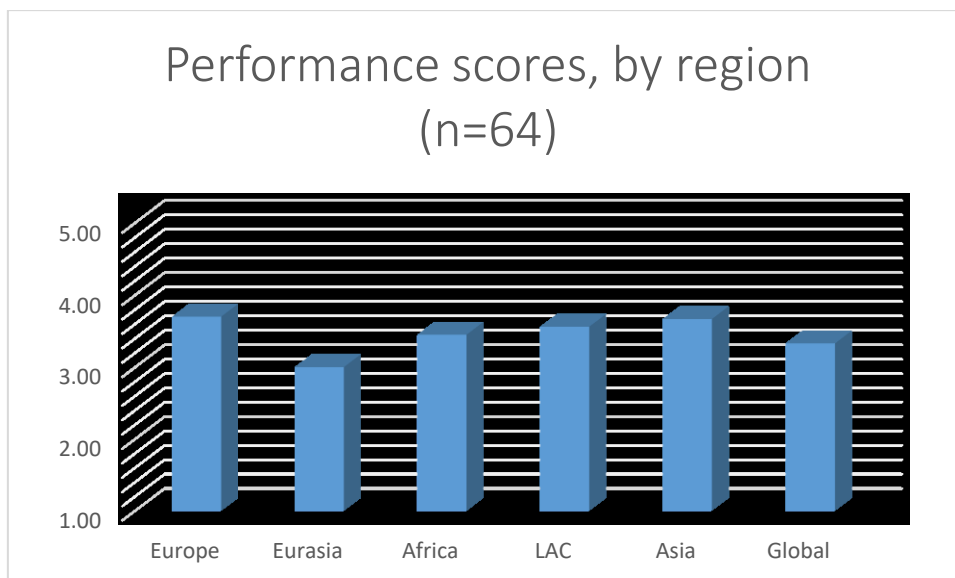
There are no significant difference in performance scores across SDC themes.

## Performance scores, by SDC priority theme



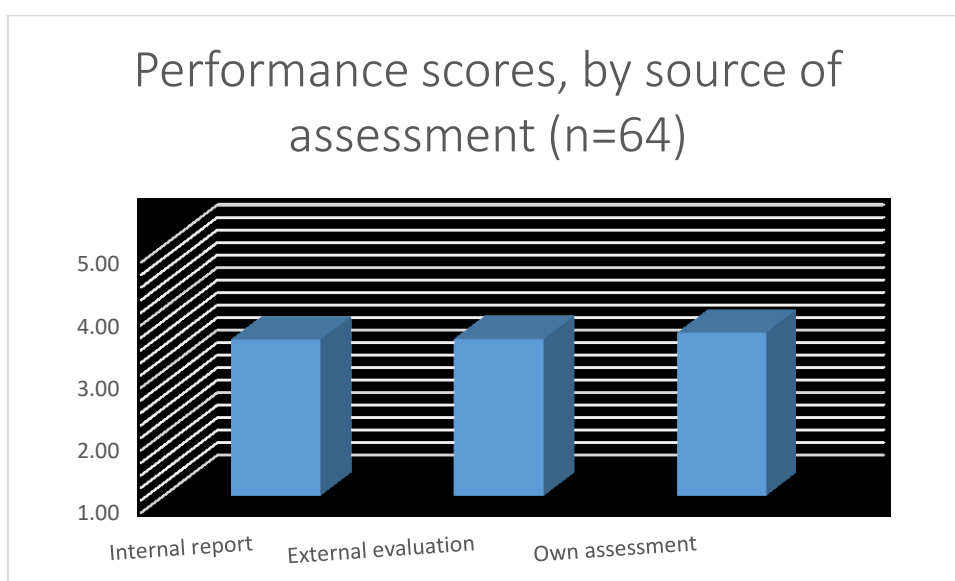
### 8.5 Do mean performance scores differ across region?

There are no significant difference between regions. Small differences might hint to the lack of or very weak administrative and technical infrastructure and weak capacity. In Europe SDC projects feed into existing welfare-state arrangements, in Africa or Asia they are basically building them.



### 8.6 External evaluations and influence on performance score

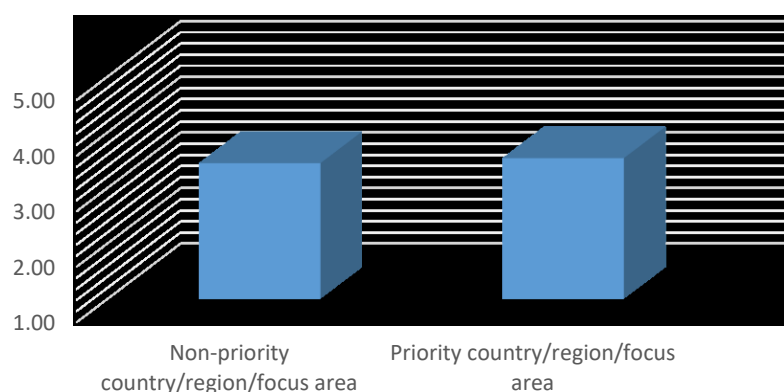
No significant difference between external and internal evaluations. As a limitation, it can be mentioned that although we took over the results of evaluations when they evaluated social protection specifically, most of the external evaluations did not evaluate social protection specifically. Through an SP-lens we are looking only at a few aspects, components that could have worked well and not at the whole project.



### 8.7 Performance scores for priority/focus countries/regions

There is no significant difference between priority and non-priority countries. Only 9 of the assessed projects were in non-priority countries, due to the fact that many of the non-priority cases are global programmes NGO contributions, secondments etc.

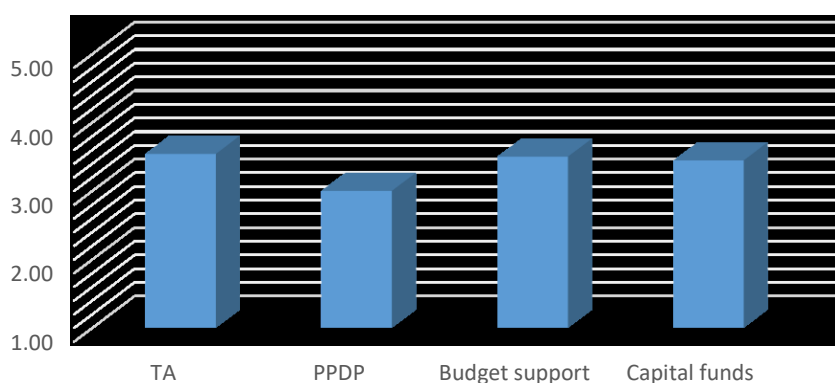
Performance scores, priority vs. non-priority country/region/focus area (n=64)



### 8.8 Does the performance score differ according to which instrument is used?

The most used instrument is by far technical assistance. Many projects use policy dialogue on a national level and to a lesser extent PPDP as second instrument. There is no significant difference in scores across the instruments, also due to the fact that most projects use technical assistance.

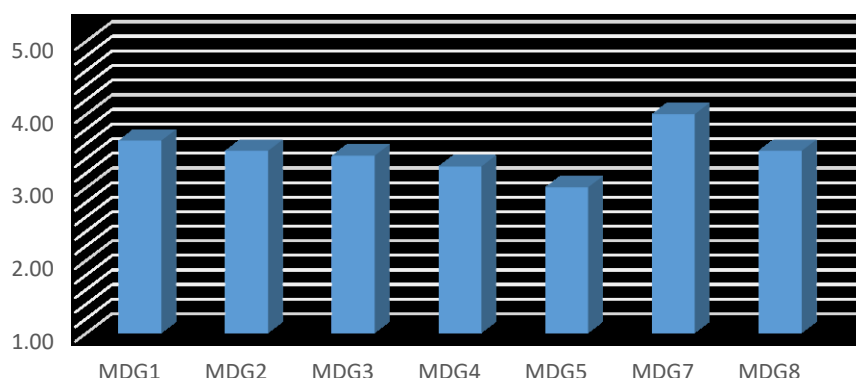
Performance scores, by instrument type (n=64)



### 8.9 Does the performance score differ according to which MDG is first mentioned?

MDG 1 is by far the most mentioned one. It was not possible therefore to detect a significant difference in performance scores between MDGs.

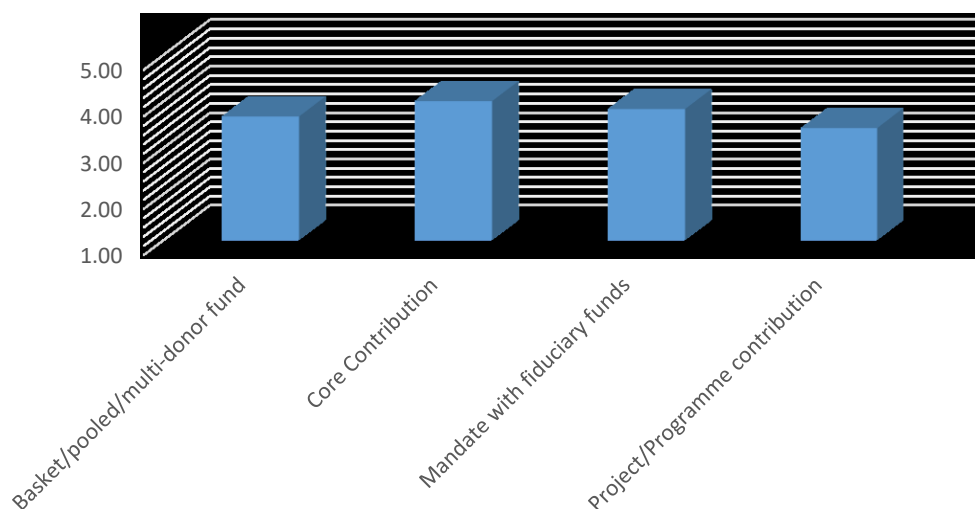
Performance scores, by first MDG mentioned (n=57)



#### 8.10 Does the performance score differ according to which financing type is applied?

There is no significant difference in performance according to the financing type applied. Most mentioned types are project/programme contributions basket/pooled/multi-donor funds.

Performance scores, by type of financing (n=63)



## Annex 13: Aggregated questionnaire survey results

The Survey 854535 'Independent Evaluation of SDC's Performance in Social Protection 2013-2017' was conducted with LimeSurvey, an online open source survey tool. The online survey was launched on 11 December 2018. The survey was sent to 30 staff of SDC HQ and 27 staff of SDC embassies/COOFs. The survey was closed on 18 January 2019.

Survey participant summary		
<b>Total invitations sent</b>	57	100%
<b>Total surveys completed</b>	25	44%
<b>Incomplete responses</b>	7	
<b>Total responses</b>	32	56%

Total, 50% of SDC HQ and 33% of “field” staff recipients completed the survey. With an overall participation rate of 44% the evaluation team is content and results provide a good basis for triangulation of other data collection methods applied.

Survey participant responses summary		
<b>Total invitations sent</b>	57	100%
<b>SDC HQ</b>	30	53%
Surveys completed of above	15	50%
<b>SDC Embassies/COOFs</b>	27	47%
Surveys completed of above	9	33%
<b>Unclassifiable</b>	1	

The full survey questionnaire can be retrieved here:



[Annex 13.1\\_IE of SDC\\_online survey\\_final.pdf](#)

Survey results are integrated responses to evaluation matrix questions 2, 5, 9, 10, 13, 15, 18 and 21. The full response-set is available here:

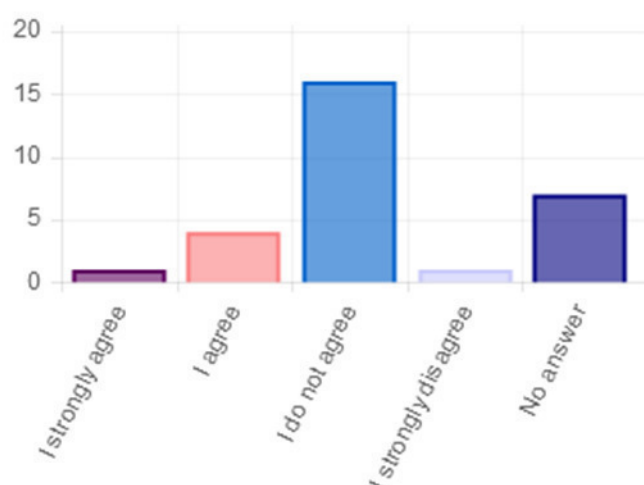


[Survey\\_854535\\_IE\\_of\\_SDCs\\_Performance\\_in\\_Social\\_Protection\\_2013-2017\\_results-w-graphs.pdf](#)

Overleaf, the most relevant survey results are presented.

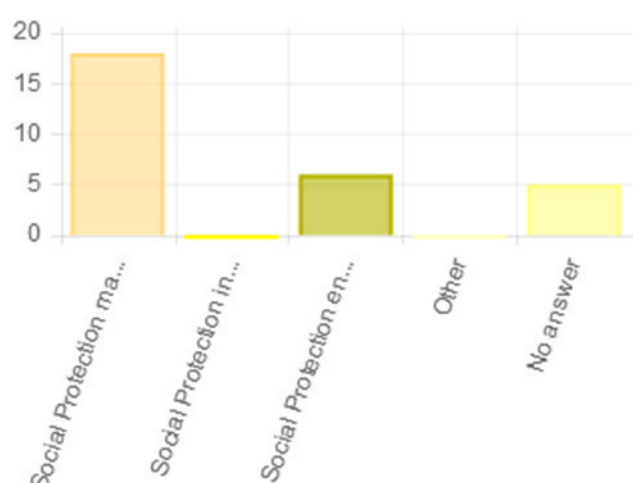


**A1. How do you rate the following statement? "I am adequately informed about and feel confident in my understanding of SDC's policy goals and delivery approaches for its engagement in promoting Social Protection"**



A1 confirms our findings from the field missions as well as the performance analysis.

**A2. Which of the following definitions of Social Protection do you most agree with?**

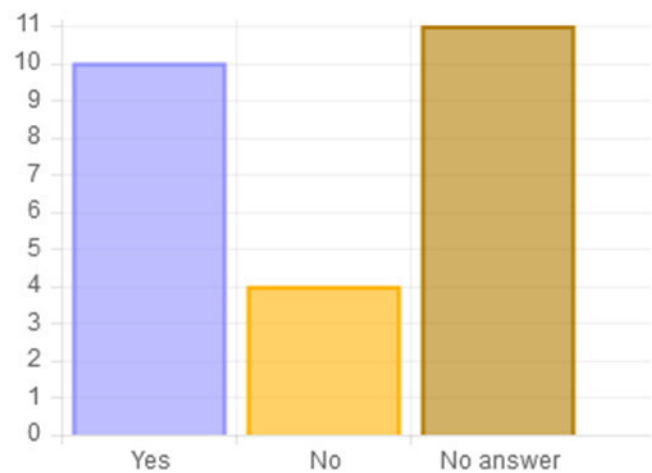


Answer 1: Social Protection mainly refers to the provision of regular/ long-term mechanisms that support people across the life-cycle to cope with social and economic risks and insecurities and help them to mitigate them (through cash transfers, social insurance, public works programmes as well as complementary measures in the form of active labour market policies such as skills training, targeted employment programmes).

More than 65% of all respondents agree with an understanding of social protection proposed by the evaluation team based on a definition commonly used by the main international players in the area. A smaller number of respondents understand social protection more in a safety net term that focuses mainly on short-term measures. Whilst the understanding of social protection generally appears to differ between two groups,

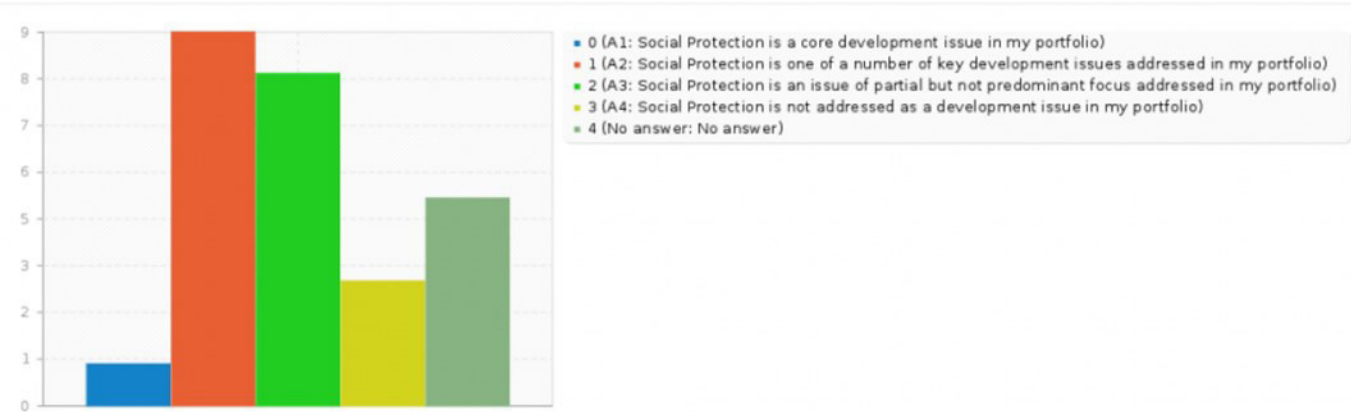
overall the answers confirm a basic knowledge and understanding of social protection and its main instruments seem to exist among the SDC staff.

**B2. Does your programme partner country(s) have a Social Protection strategy and/or policy reference document?**



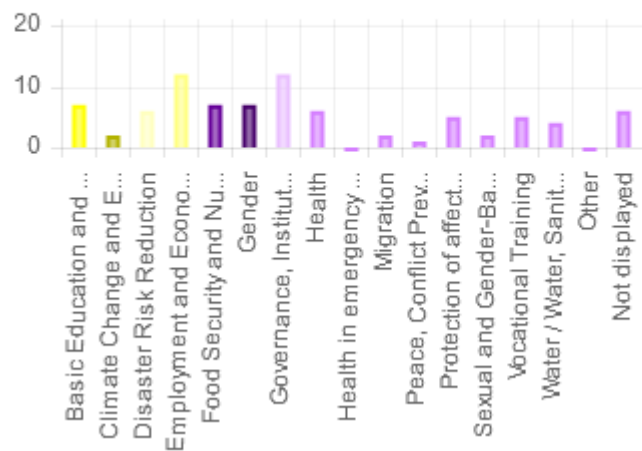
Whilst SDC-staff seem to have a basic knowledge on social protection in development, the knowledge base is much thinner when asked about social protection policies within their specific country context: 56 out of 63 countries in our portfolio have an SP or national poverty reduction strategy. 38 out of 64 submitted the SPF recommendation 202. At the same time it confirms the finding of question A1 that staff members are not aware of what SP actually contains and if partner countries do have a strategy at hand.

**B3. To what extent are issues of Social Protection addressed as a development issue within your portfolio of SDC programmes/projects and operations?**



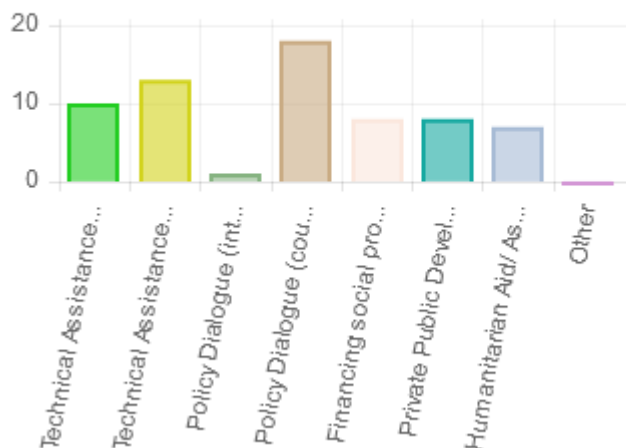
The list of recipients of the questionnaire survey was prepared on the basis of the stock-taking of SDC's portfolio in SP. Thus, in all participants portfolios, SP should at least partially be addressed. The responses show evidence that SP is coincidentally addressed in most projects or programmes rather than embedded in a social protection framework.

**B4. Under which of the SDC domains/ themes are issues of Social Protection addressed as a development issue within your portfolio?**



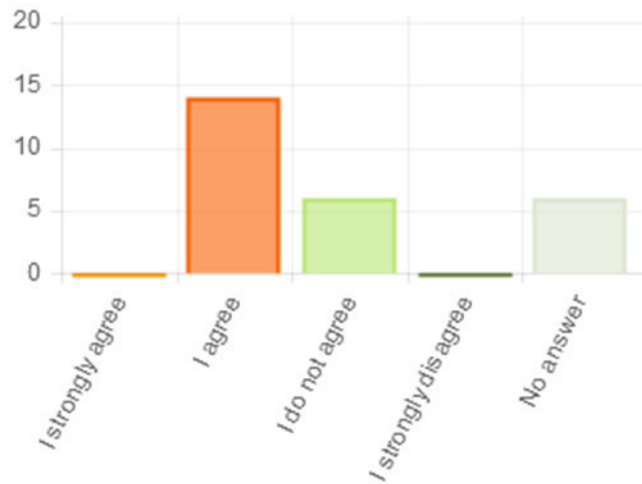
The results from the query show some significant differences when compared to the results of the quantitative analysis of the project portfolio which counts governance (18 projects) and health (13 projects) at the top followed by food security and nutrition (11 projects) and employment and income (10). This is mainly due to the number of respondents (35) as compared to the number of projects (89). However, overall some core domains clearly emerge: health, food security, employment and income and DRR.

**B5. Which instruments are you predominantly (or would you consider) using in implementing Social Protection within your portfolio?**



These responses contradict our findings from the performance assessment. The subjective perception seems to differ from the reporting. It might also be related to the fact that people who have participated in the survey are indeed more engaged in policy dialogue than others, for example health.

**B12. How do you rate the following statement? "SDC's engagement on Social Protection with the partner state(s) in my portfolio should be strengthened where potential 'entry-points' for SDC's focus in the area of Social Protection exist"**



SDC Staff seems to welcome a stronger engagement of SDC on Social Protection.

## Annex 14: Interviews/ Focus Group Discussions conducted

### Staff of the SDC and other Swiss Federal Offices

No.	Date	Name	Agency/ Department	Division
1	19/09/2018	Laurent Ruedin	SDC, Cooperation with Eastern Europe	Western Balkans, Social Inclusion and DDLG Desk
2	19/09/2018	Yves Mauron	SDC, South Cooperation	SENAP, Desk Officer Mozambique
3	20/09/2018	Reto Nigg	SDC, Humanitarian Aid	Staff of Humanitarian Aid, QA Officer
4	20/09/2018	Natacha Pugin	SDC, Humanitarian Aid	Multilateral Humanitarian Affairs, Cash Transfer Programme Officer
5	20/09/2018	Adrian Maître	SDC, Cooperation with Eastern Europe	Deputy Head of Department <i>(since October 2018, the Head of Mission, Swiss Embassy in Albania)</i>
6	20/09/2018	Erika Placella	SDC, Cooperation with Eastern Europe	Eurasia, Desk Officer Moldova
7	20/09/2018	Alexander Schulze Jaques Mader	SDC, Global Cooperation	Global Programme Health
8	20/09/2018	Nathalie Wyser	SDC, South Cooperation	LAC, Focal Point Employment and Income
9	20/09/2018	Pradeep Itty Stéphanie Guha	SDC, South Cooperation	QA and Poverty Reduction
10	20/09/2018	Manuel Flury	SDC, Global Cooperation	Global Programme Food Security, Head
11	20/09/2018	Jean-Francois Cuénod	SDC, South Cooperation	Deputy Head of Department
12	30/10/2018	Dominique Simone Rychen	SDC, Institutional Partnerships Division	Institutional Partnerships
13	05/11/2018	Justine Boillat	SDC, South Cooperation	QA and Poverty Reduction
14	26/11/2018	Rosmarie Schlup	SECO	Macroeconomic Support, Head of Unit
15	26/11/2018	Claudina Mascetta	FSIO	International Organisations Unit, Head of Unit
16	26/11/2018	Mirjam Macchi Howell	SDC, Global Cooperation	Global Programme Climate Change and Environment
17	26/11/2018	Jean Christophe Favre	SDC, Cooperation with Eastern Europe	Western Balkans, Desk Officer Serbia (until summer 2018, Focal Point PPDP)
18	26/11/2018	Odile Robert	SDC, Global Cooperation	Global Programme Migration and Development
19	26/11/2018	Ursula Keller	SDC, South Cooperation	Focal Point Gender
20	27/11/2018	Carmen Thönnissen	SDC, South Cooperation	SENAP, Desk Officer Southern Africa region
21	27/11/2018	Rahel Fischer	SDC, South Cooperation	LAC, Desk Officer Central America region
22	27/11/2018	Lukas Lüscher	SDC, South Cooperation	South Asia, Desk Officer Bangladesh

No.	Date	Name	Agency/ Department	Division
23	27/11/2018	Christoph Lang	SDC, Global Cooperation	Global Institutions, Programme Manager
24	27/11/2018  (Focus Group Discussion)	Olivier Bangerter Frank Bertelsbeck Jacqueline Birrer Roland Schlachter Davide Vignati	SDC, Humanitarian Aid	Staff with CTP expertise from different HA Divisions
25	22/03/2019	André Dürr	ICRC (HQ – Geneva) <i>(formerly of SDC, HA)</i>	Economic Security Unit, Cash and Market Specialist
26	27/03/2019	Louis Rovira	WFP (HQ – Rome) <i>(SDC, on secondment)</i>	Social Protection and Safety Nets Advisor

### Field Mission – Southern Africa region

No.	Date	Name	Institution	Position
1	28/01/2019	Christian Engler, Brigitte Oederlin, Edson Mugore, Tobias Sommer	SDC	Project Managers and Officers SDC
2	28/01/2019	Interview: Tobias Sommer	SDC	SDC Programme Officer Food Security
3	28/01/2019	Skype Interview: Mr Fabio Bedini & Ms Oda Henriksen, WFP Rome	WFP	WFP Rome R4 Coordinator
4	28/01/2019	Interview: Mr Niels Balzer & Mr Lorenzo Bosi, WFP Zimbabwe	WFP	WFP Head of Programme
5	28/01/2019	Interview: Mr Justice Ruwona, Old Mutual	Old Mutual	(R4 Zimbabwe Insurance Partner)
6	28/01/2019	Interview: Mr Joao Manja	WFP	WFP Head of Vulnerability Assessment and Monitoring and WFP ZimVAC Focal Point, WFP Zimbabwe
7	29/01/2019	Interview: Ms Jolanda van Westering, Mr Leon Muwoni & Mr Tawanda Chinembiri,	UNICEF	Head of social policy unit
8	29/01/2019	Interview: Edson Mugore	SDC	SDC Programme Officer HIV/SRHR including CSTL
9	29/01/2019	Interview: Ms Hannah Maisiri & Mr Edgar Bvuma	Ministry of Primary and Secondary Education, Zimbabwe	Coordinator CSTL Zimbabwe
10	29/01/2019	CSTL School Visit Blackfordby School with Hannah, Edgar and Ms Maureen King	MIETA	MIETA Regional Coordinator
11	30/01/2019	Interview: Edson Mugore,	SDC	SDC Programme Officer HIV/SRHR including

No.	Date	Name	Institution	Position
				CPF
12	30/01/2019	Interview: Christian Engler,	SDC	SDC Head of Domain HIV/SRHR
13	30/01/2019	Interview: Ms Angelica Broman	SIDA	Head of Mission
14	30/01/2019	Skype Interview: Ms Panduleni Elago,	SADC	SADC RVAA Coordinator a.i.
15	30/01/2019	Courtesy Call: Dr Judith Kateera,	Ministry of Public Service, Labour & Social Welfare (MoPSLSW)	Permanent Secretary
16	30/01/2019	Interview: Ms Zororo Gandah, Ms Mildred Mapani, Mr Victor Ngulube & Ms Christina Chiware + Demonstration of Case Management System (MIS)	Ministry of Public Service, Labour & Social Welfare (MoPSLSW)	Department of social Welfare
17	31/01/2019	Interview: Tobias Sommer	SDC	Programme Officer Food Security on RVAA
18	30/01/2019	Interview: Dr George Kembo	Food and Nutrition Council Zimbabwe	ZimVAC Chair
19	31/01/2019	Interview: Ms Jessica Petitpretz	DFID	Social Protection Officer
20	01/02/2019	Interview: Mr Andrew Odero,	WFP	WFP Regional Office Head of Vulnerability Assessment and Monitoring
21	01/02/2019	Interview: Mr Duncan Samikwa	WFP	Head of RVAA Regional Technical Support Team, WFP
22	01/02/2019	Interview: Ms Lynn van der Elst	MIETA	CEO Media in Education Trust Africa (MIETA)

### Field Mission – Albania

No.	Date	Name	Institution	Position
1	04/02/2019  (Focus Group Discussion – Swiss NGOs)	Arberesha Mushani Fatlum Nurja Eriola Shingjergji Elvira Idrizi Altina Peshkatari Enkelejda Kallciu Gjergji Xhaholli	Helvetas, Albania  Swisscontact, Albania  Swiss TPH Fondation Terre des Hommes, Albania	Staff with social inclusion, social services, or active labour market expertise
2	04/02/2019  (Kick-off)	Adrian Maître Philipp Keller Silvana Mjeda	Swiss Embassy, Albania	Head of Mission Deputy head Programme officer
3	05/02/2019	Brian Williams	UN Team	Resident Coordinator
4	05/02/2019	Anduena Shkurti Entela Lako	UNDP	Staff with social inclusion, social

No.	Date	Name	Institution	Position
	(Focus Group Discussion)	Eno Ngjela Alketa Zazo Roberto De Bernardi	UNICEF	services, or active labour market expertise
5	05/02/2019	Enkelejda Lopari	EU Delegation	Social inclusion/ social policy contact officer
6	05/02/2019	Lorena Kostallari	World Bank	Senior Operations Officer, Health, Nutrition & Population
7	05/02/2019	Shpresa Spahiu	NPF (an NGO; former implementing partner)	Executive Director, Help for Children Foundation
8	05/02/2019 (Focus Group Discussion – Local NGOs)	6 representatives from locally based/ operating NGOs	Roma Education Fund Albanian Disability Rights Foundation Institute of Romani Culture in Albania Youth Voice Network	Staff with social inclusion, social services, or active labour market expertise
9	05/02/2019	Dimka Skeie Stantchev	Swiss Embassy, Bosnia Herzegovina	SDC's regional advisor on social inclusion
10	06/02/2019	Ardiana Jaku	Ministry of Health and Social Protection	Deputy Minister
11	06/02/2019	Merita Xhafaj	Ministry of Health and Social Protection	General Director of Social and Health Sector
12	06/02/2019	Doris Andoni	Ministry of Finances and Economy	Head of Social Housing
13	06/02/2019	Lida Leskaj	State Social Services	Deputy Head
14	06/02/2019	Elira Caushi	National Employment Services	Head
15	06/02/2019	2 officials	INSTAT	Social statistics staff
16	06/02/2019	Bekim Murati	National Agency on Local Autonomy	Head
17	07/02/2019	Juliana Mema	Ura Vajgurore municipality	Mayor
18	07/02/2019 (Debriefing)	Adrian Maître Philipp Keller Silvana Mjeda	Swiss Embassy, Albania	Head of Mission Deputy head Programme officer



## **Annex 15: List of documents consulted**

The evaluation reviewed a range of project-specific related documentation linked to the SDC portfolio, of which more than 300 documents were reviewed in detail. Furthermore, documentation regarding Swiss and SDC strategic frameworks and policy or technical guidance was consulted, including Swiss Cooperation Strategies and annual reports.

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Bern, December 2019