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UNDG Eastern and Southern Africa

social protection issues brief



HEALTH EDUCATION WATER SOCIAL TRANSFERS
SANITATION CHILDREN FAMILY PARTICIPATE
OLD-AGE CO-OPERATING PROTECTION SECURITY
INFORMING ACTIVE-AGE COUNTRY OWNERSHIP HOUSING



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UNDG Eastern and Southern Africa social protection issues brief

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First published 2016

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UNDG Eastern and Southern Africa social protection issues brief / International Labour Office, Social Protection Department ; United Nations Development Group – Geneva: ILO, 2016

ISBN 978-92-2-130467-8 (print)

ISBN 978-92-2-130468-5 (web pdf)

International Labour Office Social Protection Dept.; United Nations Development Group.

social protection / social policy / social security / role of UN / case study / Africa / Ethiopia / Kenya / Lesotho / Malawi / Mozambique / Namibia / Tanzania / Zambia

02.03.1

ILO Cataloguing in Publication Data

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This publication was produced by the Document and Publications
Production, Printing and Distribution Branch (PRODOC) of the ILO.

*Graphic and typographic design, layout and composition,
printing, electronic publishing and distribution.*

PRODOC endeavours to use paper sourced from forests managed
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Code: CPG-JMB-GEN

Foreword

In Eastern and Southern Africa, nearly half of the population lives on less than US\$1.25 a day. Current economic and social vulnerabilities are further exacerbated by political instability, economic shocks, food insecurity, high human immunodeficiency virus (HIV) / acquired immunodeficiency syndrome (AIDS) prevalence, limited supply of services in remote areas, as well as vulnerability to disasters. Despite the clear need for social protection, existing social protection schemes exclude the vast majority of the population. For instance, it is estimated that only 16.9 per cent of older persons receive a pension, only 1 per cent of the unemployed receive unemployment benefits, and only 20 per cent of the population is legally covered for health care. Nonetheless, progress is visible on the horizon with successful implementation of social health protection and cash transfer programmes in a growing number of countries.

In recent years, political commitments to build social protection systems have been made in Africa. Social protection is one of the 18 thematic social issues of the Social Policy Framework for Africa, which is the African Union's (AU) overarching policy instrument (2009). A number of plans of action and declarations have confirmed the commitments of AU Member States to develop national social protection strategies (Livingstone, 2006), improve and strengthen social protection schemes (Ouagadougou, 2004), extend social protection to uncovered groups and implement social protection floors (SPFs) (Yaoundé, 2010). Numerous initiatives and platforms for collaboration led by the African Union and development partners contribute to promoting and mainstreaming social protection, as well as developing and sharing knowledge among practitioners.

At the global level, similarly, social protection has become an increasingly prominent priority in international agreements and development plans. The United Nations (UN) Social Protection Floor Initiative (SPF-I) was launched by the United Nations System Chief Executives Board for Coordination (UN CEB) in 2009 as one of the nine concrete measures to address the global economic crisis and accelerate recovery. The renewed interest in broad-ranging and rights-based protections was given a boost with the adoption of the International Labour Organization's (ILO) Recommendation concerning national floors of social protection, 2012 (No. 202), at the 101st session of the International Labour Conference (ILC) and the inclusion of social protection and specifically SPFs among the proposed targets of Sustainable Development Goals No. 1 (target 1.3) on ending poverty and No. 10 (target 10.4) on reducing inequalities.¹ Targets 1.3 and 10.4 will guide the social protection efforts of the UN system for the next 15 years, giving an explicit mandate to all UN agencies to make social protection floors a reality.

Under the SPF-I umbrella, UN social protection teams have been created in many countries to better coordinate the UN's support to governments. In addition, social protection was prioritized as part of the United Nations Development Assistance Frameworks (UNDAFs) and One Plans. Together, UN agencies are supporting the development of national social protection strategies and the implementation of coordinated social protection systems. While acknowledging these achievements in a recent letter sent to all UN Resident Coordinators (UNRCs) and United Nations Country Teams (UNCTs), Helen Clark, Chair of the United Nations Development Group (UNDG), and Guy Ryder, Director-General of the ILO, encouraged participating agencies to maintain momentum behind the establishment of social protection floors and proposed a number of concrete steps to

¹ SDG 1, target 1.3: Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable; SDG 10, target 10.4: Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality.

help make social protection a reality for all.² UN agencies should carry out jointly-organized national dialogues on social protection, analyses of gaps in national social protection coverage, and the exploration of potential financing options for filling the identified gaps. Agencies should also conduct joint activities to strengthen a country's administrative capacity to deliver social protection and to collect and analyse relevant statistical data.

The design and establishment of social protection floors is a new area of work for many UNCTs requiring the development of new methodologies and tools to aid in the assessment of social protection situations, provide convincing recommendations to governments, ensure the sustainability of financing, and support the development of innovative implementation strategies and mechanisms. With technical support from the ILO, UNDG regional bodies support this joint effort through large-scale knowledge development and sharing.

It is our hope that the UNDG Eastern and Southern Africa Social Protection Issues Brief will contribute to this effort. It will provide concrete entry points for UNCTs to support the development of national social protection strategies followed by the progressive and coordinated implementation of these strategies. It is therefore a useful resource package that can guide the development of UNDAFs and One Plans and their subsequent implementation. It is also particularly timely given the new 2030 Development Agenda. This new agenda will carry with it an unprecedented push for the UN system to join up efforts and achieve greater scale and coherence in its technical assistance to Member States.

Abdoulaye Mar Dieye
Chair, Regional UNDG
for Eastern and Southern Africa

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Director, ILO Decent Work Team
for Eastern and Southern Africa

² Joint UNDG-ILO letter to all Resident Coordinators, 24 March 2014, available in Annex 4.

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Acknowledgements

The *UNDG Eastern and Southern Africa Social Protection Issues Brief* is part of a series of briefs and toolkits that is produced by the ILO and other UNDG members under the Social Protection Floor Initiative's umbrella. A similar Issues Brief was published in 2014 in Asia and the Pacific and Issues Briefs have been commissioned for Western and Central Africa and the Arab States. A UNDG Coordination Toolkit is also under development and will provide practical guidance for UNCTs in supporting governments and other stakeholders in coordinating the development and implementation of social protection floors. This resource package will provide concrete examples and practical solutions for delivering “as One” on social protection floors.

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The Issues Brief is based on a collection of contributions and documents that were provided to the authors by numerous social protection experts working in Eastern and Southern Africa from the Department for International Development of the United Kingdom (DFID), the International Labour Organization (ILO), United Nations Development Programme (UNDP), United Nations Children's Fund (UNICEF), and the World Food Programme (WFP). The contributing experts include (in alphabetical order):

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Executive summary

Most countries in Eastern and Southern Africa (ESA) are making rapid progress in expanding their social protection systems, often focusing on extending a minimum level of social protection to all members of society – termed as a social protection floor by the international community since 2009. Many African Union Member States have signed onto recommendations and declarations recognizing the need for social protection and subsequently translated their political commitments into concrete actions, such as the adoption of national social protection strategies and policies, the expansion and scale-up of social protection programmes, and the stronger integration of existing social protection programmes.³

In the ESA region, international development partners usually play an important role in reinforcing governments' efforts on social protection floors and social protection more generally. In an effort to provide coherent and useful support to countries, as well as to leverage and capitalize on different partners' strengths and areas of expertise, the international community has increasingly strived to coordinate its actions. For example, the region is home to an increasing number of UN Joint Programmes, formalized through United Nations Development Assistance Frameworks (UNDAF) and Development Assistance Plans (UNDAP).

In some countries, international development partners are particularly well coordinated and collaborative in their approach. Their cohesive efforts, combined with those of governments and other stakeholders, have led to remarkable outcomes. Some of these recent experiences and their results are the subjects of the *UNDG Eastern and Southern Africa Social Protection Issues Brief*. This Issues Brief documents good practices in collaboration on social protection throughout the region with two main aims. The first is to promote increased interest among ESA governments in these collaborative approaches, as well as improve understanding of how, practically speaking, international partners can support them in implementing stronger social protection policies and programmes. The second is to inform international partners themselves as to different modalities and options for coordinated and pertinent support for the implementation of social protection floors.

³ African Union: *Children and Social Protection Systems: Building the African Agenda*, Concept note, Expert Consultation Meeting on Children and Social Protection, Cape Town, South Africa, 28-30 Apr. 2014. Available at: <http://sa.au.int/en/content/african-union-expert-consultation-meeting-children-and-social-protection-africa-cape-town-south-africa> [accessed 4 Nov. 2015].

Abbreviations and acronyms

ABND	assessment based national dialogue
AIDS	acquired immunodeficiency syndrome
ASDI	African Social Development Index
AU	African Union
CoP	community of practice
CSO	civil society organization
CT-OVC	Cash Transfer for Orphans and Vulnerable Children (Kenya)
DCT	Donor Coordination Team (Ethiopia)
DFID	UK Department for International Development
DRT-F	Delivering Results Together Fund
DWG	Donor Working Group (Ethiopia)
ENSSB	National Strategy for Basic Social Security (Mozambique)
EPRI	Economic Policy Research Institute
ESA	Eastern and Southern Africa
EU	European Union
FAO	Food and Agriculture Organization
FES	Friedrich-Ebert-Stiftung
G20	Group of Twenty
GDP	gross domestic product
GIZ	Gesellschaft für Internationale Zusammenarbeit
HIV	human immunodeficiency virus
HSNP	Hunger Safety Net Programme (Kenya)
ILC	International Labour Conference
ILO	International Labour Organization
IMF	International Monetary Fund
INAS	National Institute of Social Action (Mozambique)
IOM	International Organization for Migration
LEWIE	Local Economy-wide Impact Evaluation
MDG	Millennium Development Goals
MGCAS	Ministry of Gender, Children and Social Action (Mozambique)
MIFOTRA	Ministry of Public Service and Labour (Rwanda)
MIGEPROF	Ministry of Gender and Family Promotion (Rwanda)
MINAGRI	Ministry of Agriculture and Animal Resources (Rwanda)
MINALOC	Ministry of Local Government (Rwanda)
MINEDUC	Ministry of Education (Rwanda)
MIS	management information system
MoGCSD	Ministry of Gender, Children and Social Development (Kenya)
MoH	Ministry of Health (Rwanda)
MoLSA	Ministry of Labour and Social Affairs (Ethiopia)
MoLSSS	Ministry of Labour, Social Security and Services (Kenya)
MoLSW	Ministry of Labour and Social Welfare (Namibia)

MMAS	Ministry of Women and Social Action (Mozambique)
NAMOD	Namibian tax-benefit microsimulation model
NCWG	National Consultative Working Group (Namibia)
NGO	non-governmental organization
NISSA	National Information System for Social Assistance (Lesotho)
NITT	National Interdepartmental Social Security Task Force (Lesotho)
NSNP	National Safety Net Programme (Kenya)
NSPP	National Social Protection Policy (Ethiopia)
OPCT	Older Persons Cash Transfer (Kenya)
PSCM-PS	Civil Society Platform for Social Protection (Mozambique)
PSNP	Productive Safety Net Programme (Ethiopia)
PtoP	Protection to Production Project
PWSD-CT	Persons with Severe Disability Cash Transfer (Kenya)
RAP	Rapid Assessment Protocol
SASPEN	Southern Africa Social Protection Expert Network
SCT	Social Cash Transfer (Zambia)
SDG-F	Sustainable Development Goals Fund
Sida	Swedish International Development Cooperation
SP CPG	Social Protection Cooperating Partner Group (Zambia)
SPF	social protection floor
SPF-I	Social Protection Floor Initiative
SPIREWORK	Social Protection Plan for the Informal Economy and Rural Workers (African Union)
SPS WG	Social Protection Sector Working Group (Rwanda)
TASAF	Tanzania Social Action Fund
UN	United Nations
UN CEB	United Nations System Chief Executives Board for Coordination
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDAP	United Nations Development Assistance Plan
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNRC	United Nations Resident Coordinator
USAID	United States Agency for International Development
UFS-CT	Urban Food Subsidy Cash Transfer (Kenya)
WFP	World Food Programme

CHAPTER I

Time for action

Social protection is a human right and an economic necessity

Social protection is the set of measures that a society provides for its members to protect them from general poverty and social exclusion, from a lack of income caused by sickness, disability, maternity, employment injury, unemployment, old age, death of a family member, a lack of affordable access to health care, and insufficient family support, particularly for children and adult dependants. Access to social protection is a public responsibility which is typically provided through public institutions, financed from either contributions or taxes or both. However, the delivery of social protection can be and is often mandated to private entities. Moreover, there exist many privately-run institutions that have insurance, self-help, community-based, or mutual characteristics, which may complement or largely substitute for elements of public social protection schemes.⁴

According to Article 22 and Article 25 of the Universal Declaration of Human Rights (1948), everyone has a right to social security and a decent standard of living, including access to essential social services (such as health and education) and protection from difficult circumstances that may be beyond their control (such as unemployment, sickness, disability, and old age).

Social protection powerfully contributes to reducing poverty, exclusion, and inequality while enhancing political stability and social cohesion. It can also be a powerful tool to prevent and recover from economic crisis, natural disasters, and conflicts. Social protection is needed for economic reasons as well. Social protection contributes to economic growth by supporting household income and thus domestic consumption; this is particularly important during this time of slow recovery and low global demand. Furthermore, social protection enhances human capital and productivity, making it a critical policy for transformative national development. Social protection is therefore essential for inclusive development and social justice.

However, it is not a reality in Africa

Today, nearly 73 per cent of the world's population lacks access to adequate social protection coverage. In sub-Saharan Africa, nearly half of the population lives on less than US \$1.90 a day. Even in middle-income countries, income inequality can be very high with a considerable percentage of the population living just above the poverty line and vulnerable to falling into poverty. Moreover, current economic and social vulnerabilities are further exacerbated by political instability, economic shocks, food insecurity, high HIV/AIDS prevalence, limited supply of services in remote and hard-to-reach areas, as well as vulnerability to disasters and disruption in livelihoods as a result of climate change.⁵

Despite the clear need for social protection amid widespread poverty and recurrent crises, existing social protection systems in sub-Saharan Africa exclude the vast majority of the population. For example, in sub-Saharan Africa legal coverage of old-age pension schemes (mandatory and voluntary schemes taken together)

⁴ ILO: *World Social Protection Report 2014/15: Building economic recovery, inclusive development and social justice* (Geneva, 2014).

⁵ African Union: *Children and Social Protection Systems: Building the African Agenda*, Concept note, Expert Consultation Meeting on Children and Social Protection, Cape Town, South Africa, 28-30 Apr. 2014. Available at: <http://sa.au.int/en/content/african-union-expert-consultation-meeting-children-and-social-protection-africa-cape-town-south-africa> [accessed 4 Nov. 2015].

is at 32.1 per cent.⁶ Actual coverage is even lower, estimated at 16.9 per cent of older persons.⁷ Unsurprisingly, a meager 8.4 per cent of the labour force in sub-Saharan Africa is currently contributing to a pension scheme due to the high levels of informality in the region.

The lack of coverage extends beyond old-age pensions to other branches of social protection. It is estimated, for example, that in Africa as a whole, only 1 per cent of unemployed individuals actually receive unemployment benefits.⁸ In terms of legal health coverage, only 20 per cent of the population in sub-Saharan Africa is covered.⁹ Along the same lines, over one quarter of childbearing women do not receive the support of a skilled health professional during pregnancy and childbirth.¹⁰

One of the main barriers to adequate social protection coverage in this region is the relatively low level of public resources allocated to social protection. The average public expenditure for sub-Saharan Africa (weighted by population) was 4.4 per cent of gross domestic product (GDP) in 2009 and 4.2 per cent in 2010-2011.¹¹ Nonetheless, progress is visible on the horizon. If we consider unconditional cash transfers alone – programmes often geared towards households with no labour capacity – we find that the number of African countries implementing these types of programmes has dramatically grown in the last few years: from 21 in 2010 to 37 in 2013.¹²

This massive social protection gap is not acceptable from a human rights perspective. It is also a missed opportunity from an economic and social development point of view.

The social protection floor concept reaffirms the right to social protection

To turn the right to social protection into a national reality and improve the lives of millions of people worldwide, the United Nations System Chief Executives Board for Coordination (UN CEB) launched the Social Protection Floor Initiative (SPF-I) in April 2009.

Social protection floors (SPFs) are nationally defined sets of basic social security guarantees that ensure the following: access to essential health care; adequate cash transfers for children; benefits and support for people of working age in case of maternity, disability, work injury, or for those without jobs; and pensions for all older persons. This basic level of protection can be provided through social insurance, tax-funded social benefits, social assistance services, public works programmes, and other schemes guaranteeing basic income security.

Among the many strategies that countries can employ in expanding their social protection programmes and systems, the social protection floor approach stands out for its promotion of universal and rights-based social protection coverage. The SPF approach also highlights the need to consider individuals' social protection needs

⁶ Please note that 'sub-Saharan Africa' denotes a more extensive group of countries than those in the Eastern and Southern Africa (ESA) region – which will be the region of focus for this brief. Sub-Saharan Africa is referred to in this section due to the breakdown used in the ILO World Social Protection Report 2014/15.

⁷ ILO: *World Social Protection Report 2014/15: Building economic recovery, inclusive development and social justice* (Geneva, 2014), pp. 82-3.

⁸ Ibid., 196.

⁹ Ibid., 102.

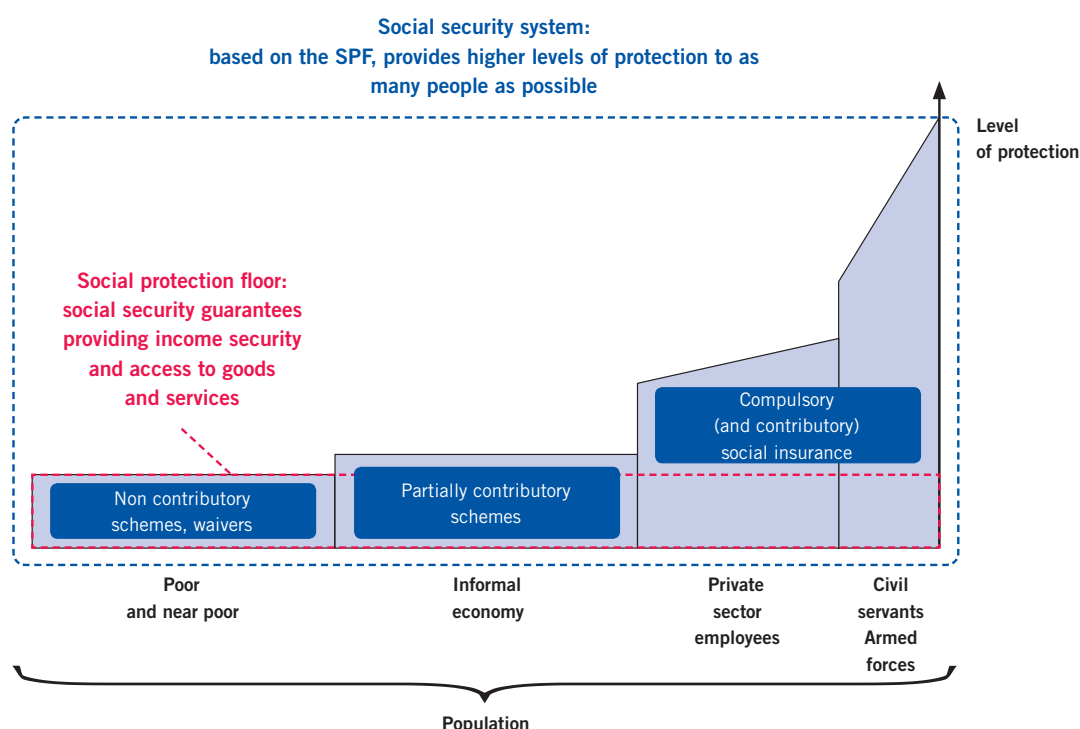
¹⁰ Ibid., 66.

¹¹ Ibid., 297.

¹² World Bank: *The State of Social Safety Nets 2014*, Working Paper 87984, (Washington, DC, 2014). Available at: <http://documents.worldbank.org/curated/en/2014/05/19487568/state-social-safety-nets-2014> [accessed 4 Nov. 2015].

throughout the life cycle. Social protection floors should, by definition, ensure at a minimum that all in need have access to essential social services (such as health care and education) and a basic level of income security over the life cycle. The picture below demonstrates how a basic level of social protection coverage can, through different modalities (contributory, non-contributory, and partially contributory) reach different population groups.

Figure 1: Social security system overview



Source: ILO and UNDG, 2014.

The SPF concept was endorsed at the global level

The concept of social protection floors has been developed and repeatedly reinforced through several initiatives over the past six years. As mentioned already, the Social Protection Floor Initiative was one of nine initiatives of the UN System Chief Executives Board for Coordination (UN CEB) launched in 2009 to combat the fallout from the global economic and financial crisis.

The initiative was then endorsed by UN Member States at the Rio+20 Conference on Sustainable Development, which took place in Rio de Janeiro, Brazil, on 20-22 June 2012, and brought together heads of state and government and high-level representatives to discuss how to build a green economy, achieve sustainable development, and lift people out of poverty. As expressed in the conference outcome document entitled, The Future We Want, the leaders agreed on the importance of supporting developing countries in their efforts to eradicate poverty, including through the implementation of social protection floors. They encouraged national and local initiatives aimed at providing social protection floors for all citizens and supported global dialogue on best practices in social protection programming.

In June 2012, governments and employers' and workers' representatives adopted the International Labour Organization's (ILO) Recommendation concerning national floors of social protection, 2012 (No. 202), by

consensus at the 101st session of the International Labour Conference.¹³ Building on the ILO's Social Security (Minimum Standards) Convention, 1952 (No. 102), and other conventions on social security, this new global standard reflects an emerging global concept of social protection. While the Recommendation is, by definition, non-binding, it breaks with the past by calling for the provision of social protection coverage for all – regardless of individuals' capacities to make contributions to social protection programmes through income or payroll taxes.

The concept of social protection floors has found consistent support in other forums as well. The G20 Ministers of Labour and Employment and the G20 Ministers of Finance consistently recognized the importance of establishing nationally defined social protection floors in 2011, 2012, and 2013 in meetings held in Paris, Los Cabos, and Moscow, respectively. Finally, the UN Committee on Economic, Social and Cultural Rights in its 54th session during 23 February – 6 March 2015 restated its support for social protection floors and “recognize[d] the importance of the guiding principles established in Recommendation No. 202,” saying “that the development of SPF should be based on a national consensus that requires full participation of all relevant stakeholders in the design, implementation, monitoring and evaluation of the SPF components.” Furthermore, it states, “Regional and international organizations, including the international financial institutions, also have a role to play in promoting the conditions necessary for the sound implementation of the SPF.”¹⁴

The establishment of social protection floors and systems was recognized as a target within the Sustainable Development Goals framework adopted by the UN General Assembly in September 2015. Social protection links to all three components of sustainable development: in what concerns the social dimension of sustainable development, social protection contributes to reducing poverty, exclusion, and inequalities; in what concerns the economic dimension, social protection can build up human capital, promote economic stability during economic stresses and shocks, and facilitate economic growth; finally, social protection has also been shown to make people more resilient to environment-related shocks and stresses.

The realization of a social protection floor is among the objectives of the African Union

The Social Policy Framework for Africa is the African Union's overarching policy instrument and a key reference document for governments throughout the region. The Framework aims to provide an overarching policy to assist African Union (AU) Member States to strengthen and give increasing priority to their national social policies, hence promoting human empowerment and development. Crucially, social protection is listed as one of 18 key thematic social issues to which the Framework calls the attention of AU Member States. The recommendations on social protection provide concrete steps for the progressive implementation of a “minimum package” of social protection and the development of coherent, coordinated, and sustainable social protection systems:

- a. Build political consensus and recognise that social protection should be a state obligation, with provision for it in national legislation;
- b. Include social protection in National Development Plans and Poverty Reduction Strategy Processes, with links to Millennium Development Goals (MDGs) outcomes and processes;

¹³ ILO: *Recommendation concerning National Floors of Social Protection, 2012 (No. 202)*, International Labour Conference, 101st Session, Geneva, 2012. Available in Annex 3.

¹⁴ Economic and Social Council, United Nations: *Statement on social protection floors: An essential element of the right to social security and of the sustainable development goals*, Committee on Economic, Social and Cultural Rights, 54th session. 23 February-6 March 2015. Available at: http://www.saspen.org/home/wp-content/uploads/2015/03/CESCR_Statement.pdf [accessed 4 Nov. 2015].

- c. Review and reform existing social protection programmes;
- d. Develop and operationalise costed national plans for social protection based on the concept of a “minimum package”;
- e. Accelerate the implementation of priority area number 4 of the Ouagadougou Plan of Action on Employment Promotion and Poverty Alleviation;
- f. Design and deliver effective impact assessments, monitoring and evaluation of social protection programmes;
- g. Long-term funding for social protection should be guaranteed through national resources with specific and transparent budget lines;
- h. Member States should ensure coordination and strengthening of development partner support for sustainable financing of social protection;
- i. Member States should develop and coordinate social protection programmes through inter-ministerial and inter-sectoral coordination bodies at the highest level of government;
- j. Enhance the technical, infrastructural, and institutional capacities of Ministries responsible for social protection;
- k. Member States should take advantage of regional and, South-South cooperation and regional and international best practice;
- l. Governments should include civil society in policy-making on social protection, and in programme design, implementation, monitoring and impact evaluation;
- m. Utilize social protection instruments as a means of safeguarding the poor from global financial and economic shocks.

As such, the Framework constitutes a crucial guidance document that is expected to continue influencing the actions of AU Member States on social protection. Indeed, following the 2009 endorsement of this Framework by the Executive Council of the AU, there has been a rapid increase in the number of national social protection policies and strategies endorsed in the region.¹⁵

The Framework built on several years of political commitments and statements on the part of African nations. In December 2004, AU Member States recognized the centrality of social protection for social policy enhancement in Ouagadougou. Then, a Plan of Action was drawn up, committing governments to “improving and strengthening the social protection schemes and extending them to workers and their families currently excluded. ...” Following this, 13 countries in Eastern and Southern Africa signed onto the 2006 Livingstone Accord under the auspices of the AU. They thereby committed to developing national social protection strategies and integrating them into their national development plans and budgets. Two years later, in April-June 2008, Regional Expert Meetings on Investing in Social Protection in Africa – entitled Livingstone 2” – were held, involving the participation of over 400 people including senior government officials from the Ministries of Social Development, Planning and Finance of 38 out of the 53 AU Member States attending. A set of summary recommendations to be presented at the African Union Ministerial Conference on Social Development (October 2008, Namibia) arose out of this meeting.¹⁶

¹⁵ African Union: *Social Policy framework for Africa*, First Session of the AU Conference of Ministers in charge of Social Development, Windhoek, Namibia, 27-28 Oct. 2008. Available at: <http://sa.au.int/en/content/social-policy-framework-africa> [accessed 4 Nov. 2015].

¹⁶ African Union: *Summary Recommendations from L2 process 'Investing in social protection in Africa' to be presented to AU ministerial conference on social development*, Regional Expert Meetings on 'Investing in Social Protection in Africa', Windhoek, Namibia, 27-31 October 2008. Available at: http://www.ipc-undp.org/doc_africa_brazil/Recommendations_Livingstone2.pdf [accessed 4 Nov. 2015].

Another important moment for consolidating commitment on social protection among African countries was the 2nd African Decent Work Symposium, which was held in Yaoundé, 6-8 October 2010, and brought together governments, employers' and workers' organizations, UN agencies, and other development partners, with the strong leadership of the ILO and the AU Commission. At this symposium, African countries adopted the Yaoundé Tripartite Declaration on the implementation of the Social Protection Floor, which promotes a two-dimensional strategy for the extension of social protection:¹⁷

We decided: To call upon governments and social partners in Africa to undertake decisive steps to improve the level of social security for all in Africa by the adoption of a two dimensional strategy for the extension of effective social security coverage, thus:

The horizontal dimension should consist of the rapid implementation of national social protection floors, i.e. a minimum package of transfers, rights and entitlements that provides access to essential medical care and provides sufficient income to all in need of such protection.

The vertical dimension should seek to provide higher levels of social security – at least in line with the coverage and benefit requirements of ILO Social Security (Minimum Standards) Convention, 1952 (No. 102) – to as many people in our societies as possible and as soon as possible; based as a prerequisite on policies to gradually formalize the informal economies of Africa.

More recently, following the endorsement of the AU's Social Policy Framework, an African Union Expert Consultation on Children and Social Protection was held in April 2014. This event served to take stock of progress since 2009 and led to a new set of recommendations spanning a wide range of social protection issues. The participants called for: political will and the allocation of fiscal space for social protection; complementarity between policy interventions at large; monitoring frameworks; institutional arrangements that will facilitate the implementation and extension of social protection programmes; among many other recommendations. Crucially, the outcome document also called for social protection floors and their costing.¹⁸

2a. Every country must, within its social, economic and political context, define through an inclusive consultative process, a social protection floor which includes the provision of benefits within a system of comprehensive social protection for all, prioritising the needs and rights of children in poverty in their implementation.

3c. Develop and operationalize costed national plans for social protection based on the concepts of “minimum package” and national “social protection floor”, and identify sources of national financing over a multi-year horizon.

Concrete collaborative platforms have also been instrumental to support the implementation of these frameworks and declarations in Eastern and Southern Africa (ESA). These often consist of networks and communities of practice around specific thematic areas.

For example, the AU Social Protection Plan for the Informal Economy and Rural Workers (SPIREWORK) has reached a number of experts outside the traditional field of social protection. It has sought to mainstream social protection in the strategic investment plans and national initiatives of the African Union's Comprehensive Advanced Agricultural Development Programme.

¹⁷ Yaoundé Tripartite Declaration on the implementation of the social protection floor, 8 October 2010. Available at: http://www.ilo.org/wcmsp5/groups/public/---africa/---ro-addis_ababa/documents/publication/wcms_181374.pdf [accessed 4 Nov. 2015].

¹⁸ African Union: *Recommendations of the African Union Expert Consultation Meeting On Children and Social Protection Systems in Africa*, Cape Town, South Africa, 28-30 Apr. 2014. Available at: <http://sa.au.int/en/sites/default/files/Recommendations%20Cape%20Town.pdf> [accessed 4 Nov. 2015].

The Community of Practice on Cash Transfers and Conditional Cash Transfers Programs in Africa led by the World Bank and the United Nations Children's Fund (UNICEF) allows social protection specialists from different governments in the region to easily exchange good practices on the design and implementation of cash transfer programmes.

Building National Floors of Social Protection in Southern Africa, an ILO project supported by Irish Aid, contributes to multi-stakeholder engagement in policy at the national level in Zambia, Mozambique, and Malawi. It aims at strengthening the capacity of governments to implement social protection floors. The project also includes a regional component promoting South-South dialogue and exchanges involving other countries in the region.¹⁹

The Transfer Project – a partnership between national governments, research partners, civil society, UNICEF, the Food and Agriculture Organization (FAO), Save the Children-UK, and the University of North Carolina at Chapel Hill – helps African countries better evaluate social protection programmes, including their impacts. The Protection to Production (PtoP) component of the project measures the economic development impact of cash transfers at the local level.²⁰ The PtoP project has helped build a truly African base of evidence on the economic impact of cash transfers on the continent. Both the Transfer Project and its subsidiary, PtoP, contribute to strengthening the evidence base for advocacy, as well as to improving programme design.

From commitments to implementation: The United Nations has a role to play

Social protection floors encompass several guarantees and can be implemented through a wide range of social transfers. Therefore, the implementation of national floors of social protection does not fall under the sole responsibility of one ministry or one social protection institution and cannot be achieved without concerted and coordinated efforts of all concerned institutions. Similarly, supporting governments in the establishment of SPFs cannot be the prerogative of one single UN agency, but requires the collaborative efforts of all relevant agencies.

Under the SPF-I umbrella, UN social protection teams have been created in many countries to better coordinate the UN's support to governments. Social protection was prioritized as part of the United Nations Development Assistance Frameworks (UNDAFs) and One Plans. Together, UN agencies are supporting the development of national social protection strategies and the implementation of coordinated social protection systems. While acknowledging these achievements in a recent letter sent to all UN resident Coordinators (UNRCs) and United Nations Country Teams (UNCTs), Helen Clark, Chair of the United Nations Development Group (UNDG), and Guy Ryder, Director-General of the ILO, encouraged participating agencies to maintain momentum behind the establishment of social protection floors and proposed a number of concrete steps to help make social protection a reality for all.²¹ UN agencies should carry out jointly organized national dialogues on social protection, analyses of gaps in national social protection coverage, and the exploration of potential financing options for filling the identified gaps. Agencies should also conduct joint activities to strengthen a country's administrative capacity to deliver social protection and to collect and analyse relevant statistical data.

In an effort to respond to this call for action and capitalize on existing SPF activities on the ground, members of the United Nations Development Group (UNDG) in the Asia and the Pacific region jointly developed the

¹⁹ ILO: *Building National Floors of Social Protection in Southern Africa*. Available at: http://www.ilo.org/addisababa/countries-covered/zambia/WCMS_313403/lang--en/index.htm [accessed 4 Nov. 2015].

²⁰ FAO: *From Protection to Production (PtoP)*. Available at: <http://www.fao.org/economic/ptop/home/en> [accessed 4 Nov. 2015].

²¹ Joint UNDG-ILO letter to all Resident Coordinators, 24 March 2014, available in Annex 4.

UNDG Asia-Pacific Social Protection Issues Brief that was published in 2014. In this publication, participating UN agencies share their common vision on social protection and, based on good practices in inter-agency collaboration, provide potential entry points for UNCTs to support the development of national social protection strategies followed by the progressive and coordinated implementation of those strategies.

This *UNDG Eastern and Southern Africa Social Protection Issues Brief* stems from a similar effort to collect good practices of inter-agency collaboration in social protection, put forward concrete recommendations for the development and implementation of UNDAFs and One Plans on social protection and social protection floors, and progressively instil a new *modus operandi* of delivering “as One” on social protection floors.

Understanding this Issues Brief

This Issues Brief captures experiences in the Eastern and Southern Africa (ESA) region involving UN agencies and other stakeholders working together to assist countries in building national social protection systems, including social protection floors. As the ensuing chapters will show, there is a wealth of initiatives in ESA countries where social protection instruments, such as cash transfers for the poor, pensions, and child benefits, have mushroomed since the mid-2000s. However, much remains to be done in terms of providing all members of the population with a basic level of coverage, not to mention benefit levels beyond this minimum.

As such, the recent efforts of development partners in this region have often revolved around the development of coherent national policies and strategies or the better integration of existing programmes. In these areas of technical support, the importance of coordinated and collaborative action among UN agencies and other development partners cannot be overstated. Indeed, the fact that members of the international community both leverage their different strengths and respond to countries’ needs and requests in a coherent and coordinated manner often appears vital to the success of social protection initiatives. The *UNDG Eastern and Southern Africa Social Protection Issues Brief* aims to document a sample of precisely these types of joint actions in support of national governments.

In the next chapters, several good practices of cooperation among development partners to promote the expansion of social protection will be examined. The experiences will be grouped into the following categories: formulating national social protection policies and strategies; building national social protection systems and programmes; research and development, communication, education, capacity building, and awareness raising activities; and monitoring and evaluation. The documentation of good practices in these areas will, on one hand, give some background and context on the social protection work that was or is being undertaken and, on the other, highlight the contributions of development partners to this progress.

How to use this Issues Brief

Working as “One UN” has long been a mantra of a sometimes disparate UN system. Today, working as One is becoming a key requirement for integrated support for implementation of the 2030 Development Agenda. As this brief illustrates, combining the expertise and resources of various UN agencies has led to demonstrable successes in social protection expansion. At different stages of policy development, system design, scheme implementation, and administration, the added value of unique competencies are multiplied when different actors join up their efforts to deliver more integrated technical assistance.

These concerted efforts often take different forms based upon the needs of the intervention and the proclivity of the various actors involved to work together. This brief will serve as an inventory of different means of cooperation employed by UN agencies in the Eastern and Southern Africa region, as they seek to work more closely together in the area of social protection. As such, the brief will use the following typology, informed by available data on past or present cooperative activities in the region at the time of drafting, which organizes the means of cooperation into five broad categories: i) the development of integrated strategies or frameworks; ii) the formation of inter-agency working groups on social protection; iii) the conduct of joint in-country activities; iv) the physical co-location of staff in shared office space; and v) pooled or collective financing arrangements.

Each type of cooperation is associated with an icon as illustrated below. These icons will appear next to section titles throughout the following chapters to indicate what means of cooperation were used and are then detailed in the country experiences documented in this brief.

	<p>Integrated strategy or framework</p> <p>This includes the development of integrated strategies, assistance, or partnership frameworks between governments and UNCTs, including One UN programmes to deliver “as One” in the field of social protection.</p>
	<p>Inter-agency working group</p> <p>This includes the formation of inter-agency working groups in which different government, social partners, civil society, donor, or other stakeholders participate.</p>
	<p>Joint activity</p> <p>This includes the conduct of joint activities among UN agencies, including assessments, dialogues, workshops, trainings, and other activities.</p>
	<p>Co-location of staff</p> <p>This includes the physical co-location of staff from different UN agencies as a result of resource-sharing, staff secondment, or other arrangements.</p>
	<p>Collective financing arrangement</p> <p>This includes the development of collective financing arrangements, including joint resource mobilization, financial management, and reporting mechanisms.</p>

Look for these symbols next to section titles to find stories that document the different means of cooperation in real country contexts.

CHAPTER II

Formulating social protection policies and strategies

This chapter focuses on collaborative efforts to develop national social protection policies and strategies. While most countries in Eastern and Southern Africa have run a range of social protection programmes geared towards reducing poverty since the early-to-mid 2000s, over the past five years, countries have made a move towards developing framework documents, such as national social protection policies and/or strategies. This type of document anchors social protection among a country's broader set of social and economic goals and commitments, encompasses different elements of a social protection system (both existing and future programmes), details how they relate to each other and to other areas of public policy, and puts forth plans for future expansion. The development of such framework documents is in line with the ILO's Social Protection Floors Recommendation, 2012 (No. 202), notably article 13 according to which countries should:²²

"(...) formulate and implement national social security extension strategies, based on national consultations through effective social dialogue and social participation. National strategies should: (a) prioritize the implementation of social protection floors as a starting point for countries that do not have a minimum level of social security guarantees, and as a fundamental element of their national social security systems; and (b) seek to provide higher levels of protection to as many people as possible, reflecting economic and fiscal capacities of Members, and as soon as possible."

Common themes

The input of development partners has been instrumental not only in supporting the formulation of national social protection policies and strategies, but also in informing broader social policy and social protection agendas so as to make them conducive to more inclusive social protection systems. To arrive at such results, development partners have, at the request of governments, undertaken a range of activities such as: building evidence of the ex-ante impact of social protection in order to bolster the evidence base for social protection policy formulation; conducting social protection floor assessments (taking stock of the social protection situation, formulating recommendations for improvements through national dialogue, projecting costs and impacts over time, and conducting fiscal space analysis); supporting meetings of national consultative teams and workgroups to realize the conceptualization and drafting of national policies and strategies; facilitating national consultations and forums; and supporting and expanding the technical capacity of government officials, workers' and employers' organizations, and civil society organizations on social protection.


A quick look at the good practices in collaboration on social protection clearly reveals that most countries in Eastern and Southern Africa are making use of development partner expertise when it comes to the development of national social protection policies and strategies. Compared to other types of support covered in this document (i.e. technical support on a specific programme, monitoring and evaluation, among others) support for the development of national social protection policies and strategies leverages the coordinated efforts of the largest number of development partners. This is due in part to a conscious shift towards the establishment of integrated social protection policies and systems – indeed, countries aim to ensure a basic level of coverage for all, avoid

²² ILO: *Recommendation concerning National Floors of Social Protection, 2012 (No. 202)*, International Labour Conference, 101st Session, Geneva, 2012. Available in Annex 3.

duplication, and capitalize on synergies between programmes – but also towards increased collaboration among international partners in the formulation of such policies and strategies. Development partners now have well-established mandates and agendas to strengthen national social protection systems as opposed to working on single programmes. Development partners are also increasingly aware that achieving sustainable, system-wide change requires cooperating with others. The expertise each partner contributes in particular policy areas (for example, social security, nutrition, health insurance, among others) cuts across different institutional boundaries, and thus demands coordination and collaboration. Each development partner brings to the table their own contacts and counterparts in the government, social partners and civil society. These individuals are key in establishing broad buy-in for social protection policies and strategies, as well as enabling participation of various specialists and ministries in the development and implementation of these plans.

Country examples

Ethiopia: *Providing coherent and coordinated support through the Government's Social Protection Platform*

 Ethiopia approved its National Social Protection Policy in 2014. The Policy includes contributory and non-contributory elements and takes a systems approach built through linkages to other policy areas, such as basic social services (increasing access to health, education, and other welfare services), disaster risk management, child protection, and livelihoods and employment opportunities. Among other commitments, the Policy states that the Government of Ethiopia will expand social protection coverage of the elderly by introducing a non-contributory universal social pension for all men and women over the age of 70 years. It will also expand predictable social transfers to other vulnerable persons and will build on its experience implementing a productive safety net (in the form of a public works programme), expanding it to urban and unreached rural areas.²³ At the request of the Cabinet, the National Social Protection Policy was accompanied by the costing of the main components of a social protection floor, which international partners supported. Since the Policy's adoption, Ethiopia is making fast and large strides towards implementing and expanding a wide range of social protection programmes. Furthermore, the fact that implementation of the Policy immediately followed its approval reflects the Government's strong ownership of the Policy over its two-year drafting period.

Development partners helped inform the elaboration of the National Social Protection Policy through the National Social Protection Platform. It functions as a multi-stakeholder national forum that advocates for social protection at different levels. It was formed in 2009 with the intent of bringing together the Government and development partners to discuss the design of the Policy. The Government and its partners now use this platform to come to a consensus on who will be providing what type of support, allowing the entire group to coordinate their efforts and thereby better reinforce the Government's capacity. It also serves as a forum for organizing analysis and dialogue on policy options. The Platform, which is co-chaired by the Ministry of Labour and Social Affairs (MoLSA) and the Ministry of Agriculture, brings together the co-chairs, the Ministries of Education and Health, and several development partners: UN bodies (ILO, International Organization for Migration (IOM), United Nations Capital Development Fund (UNCDF), United Nations Development Programme (UNDP), United Nations Population Fund (UNFPA), UNICEF, and the World Food Programme (WFP)); non-governmental organizations (NGOs) (Save

²³ Federal Democratic Republic of Ethiopia, Ministry of Labour and Social Affairs: *National Social Protection Policy of Ethiopia*, Final Draft, Addis Ababa, Dec. 2012.

the Children, Oxfam, and HelpAge); and multilateral and bilateral donors (United States Agency for International Development (USAID), UK Department for International Development (DFID), Canadian Department of Foreign Affairs, Trade and Development, Irish Aid, Swedish International Development Cooperation (Sida), European Union, and the World Bank).

In addition to monthly meetings, a mechanism that has been crucial to the functioning of the Platform and to its relevance in supporting the Government has been the hiring of a Technical Advisor who, while fully financed by UNICEF, sits within MoLSA. This person is charged with coordinating all Platform activities and sharing relevant documents with all members of the Platform. All of the Technical Advisor's time is devoted to supporting MoLSA to coordinate the Platform's activities – a choice made with the objective of reinforcing the capacity of the Government on social protection coordination. In 2015, development partners aim to further bolster technical support to the platform. A Social Cash Transfer Specialist and Management Information System (MIS) Specialists will support the gradual roll-out of an integrated social protection system by MoLSA itself, and will be financed by UNICEF, the World Bank, and other partners.



Kenya:

Responding to the Government's request for an integrated social protection policy



Following the adoption of Kenya's Constitution in 2010, the Government wished to operationalize the commitments made to social protection in the Bill of Rights through a national social protection policy. A draft policy was prepared in 2009, but was referred back by the Cabinet due to its exclusive focus on social assistance. As such, the (former) Ministry of Gender, Children and Social Development (MoGCSD) in charge of the drafting was eager to present a new policy that integrated social insurance and social assistance.




To this end, several development partners – DFID, UNICEF, ILO, and the World Bank – supported the Government in drafting an integrated social protection policy. They did so through a collaborative process that involved technical advice on different elements of the policy, and the organization of consultations around the policy. The World Bank provided technical advice primarily on the social assistance portion of the policy; DFID provided support for the social security and social health insurance elements; and UNICEF supported the overall coordination and drafting of the policy, bringing all the elements together. The ILO's contribution to the collaborative process was to review the policy document at different stages of the drafting process in collaboration with the Ministries of Health, Labour, and other sector ministries associated with the process under the Secretariat of the MoGCSD. The policy was approved by the Cabinet in 2012 and is the basis for draft legislation on social protection in the country.


Now that the policy is in place, there is a need to roll it out. Reflecting this, one of the objectives under Kenya's UN Development Assistance Framework (UNDAF) is supporting the implementation of a national integrated social protection system. As of 2015, the UNDAF (2014-2019), which operates under the UN's Delivering as One principle, has already proved to be a useful platform for raising the profile of social protection in the country. The UNDAF provided a forum for engaging the expertise of various development partners and officials from the highest levels of government through a conference on social protection, which was held by the (newly merged) Ministry of Labour, Social Security & Services (MoLSSS).

The First Kenya Social Protection Conference Week took place on 27-30 January 2015, with the presence of the President of Kenya. This conference led to the issuing of a Call for Action that represents the positions of the different stakeholders, including national and county government representatives, legislators, civil society

organizations (CSOs), development partners, the private sector, academia and research institutions, and beneficiaries and caregivers.

Zambia: A participatory process for the formulation of a comprehensive and integrated National Social Protection Policy

 For a number of years, social assistance support to poor populations took the form of cash transfer pilot programmes that were fragmented and unevenly scattered throughout the country. Cooperating partners operated in a disjointed way, or took successively different roles in various cash transfer pilot programmes in an ad hoc manner. With Zambia's fifth National Development Plan, however, came a commitment to begin providing social protection in a more integrated way. The fifth National Development Plan has a chapter dedicated to social protection, making it a sector unto itself.



The collaborative support of development partners was important to increase the integration of Zambia's social protection programmes. The partners began their technical assistance by predominantly focusing on the Social Cash Transfer – a programme which reaches about 146,000 poor and labour-constrained households. They coordinated their activities through the Social Protection Cooperating Partners Group (SP CPG), created in 2004 for this purpose. However, in 2012, they expanded the activities of the SP CPG to include support for the development of the National Social Protection Policy and began engaging relevant sectors (Ministries of Labour, Health, among others) in a highly consultative process.

As a result, the country's integrated National Social Protection Policy (NSPP), endorsed in 2014, includes not only social assistance but also social insurance components. Furthermore, the close cooperation among development



partners has consistently allowed them to put forth two clear advocacy messages: the value of an integrated system and the need to increase financial commitments to social protection at large (beyond the social cash transfers). The NSPP created a sound and comprehensive basis for social protection. It also paved the way for the quasi-immediate decision to significantly scale up the Social Cash Transfer programme in the country.

For the purpose of formulating the Policy, a multi-sector working group was formed under the Ministry of Community Development, Mother and Child Health, involving all sectors and departments concerned with the Policy. The Policy encompasses social insurance (including social health insurance), social assistance, and livelihood and protection components. The policy development process involved all UN and bilateral cooperating partners. The success factors behind the collaborative development of the NSPP were varied, including: 1) the intensity of the consultation process with all relevant parties; 2) the broad group of ministries involved; 3) the exposure of government officials by the UN to relevant policies in other countries in the region and to international normative frameworks such as ILO Recommendation No. 202; and 4) the realization of a study on social protection coordination, with technical assistance from the ILO.

It is expected that by the end of 2015 the NSPP will be complemented by an Integrated Framework for Social Protection programmes that should provide a more comprehensive plan for the expansion of social protection coverage in the country. Policy recommendations and priority setting among possible policy scenarios will be informed by a social protection floor assessment based national dialogue (ABND) that will be technically supported by ILO and UNICEF.

Meanwhile, following the approval of the NSPP, the Government of Zambia, bilateral partners, and the UN are developing a Joint Programme that will support the implementation of the NSPP between 2016 and 2018, ensuring more systematic and coherent support to the development of a social protection system in the country. The Programme includes financial assistance, a component to support programme implementation, and a complementary technical assistance component delivered by the UN and organized under a UN Joint Programme framework with the participation of UNICEF, ILO, IOM, and WFP.

As part of the UN Joint Programme, support is also being provided for the drafting of national social protection legislation.



Lesotho:

Leveraging different partners' contacts to create a consortium of different ministries and arrive at an integrated National Social Protection Strategy²⁴

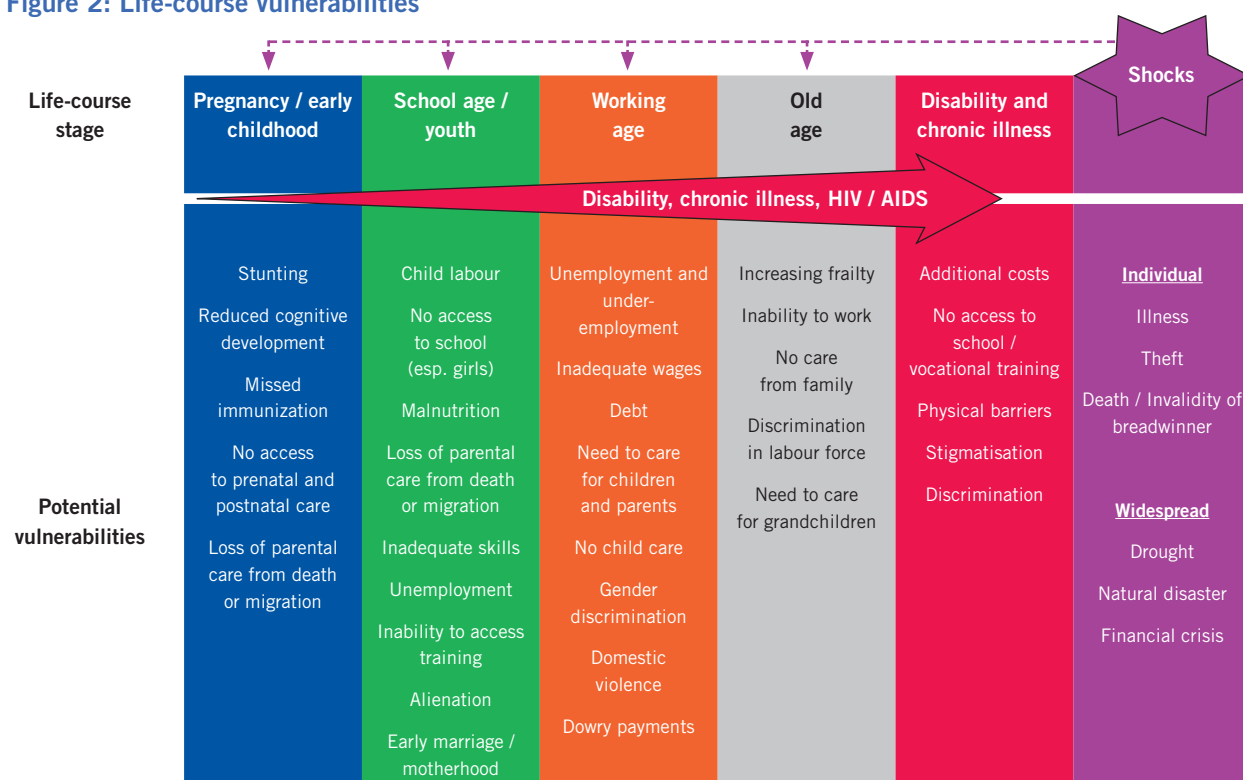


Lesotho's National Policy on Social Development and National Social Protection Strategy were launched in February 2015. International partners supported the Government through an effective Consortium led and financed by UNICEF and the European Union (EU), as well as involving the World Bank, ILO, and FAO. The close collaboration among the partners had a clear impact on the country's formulation of both a policy and a strategy in the same year between May and November 2014 – a rare course of events.



²⁴ N. Freeland and B. Khondker: "Launch of Lesotho's National Social Protection Strategy", in Pathways' Perspectives on Social Policy in International Development (2015, No. 18, Feb.). Available at: <http://www.developmentpathways.co.uk/resources/wp-content/uploads/2015/02/18.-Lesothos-National-Social-Protection-Strategy-PP18.pdf> [accessed 4 Nov. 2015].

Figure 2: Life-course vulnerabilities



Source: Adapted from Government of the Kingdom of Lesotho, National Social Protection Strategy, 2014/15-2018/19.

The fact that development partners worked through the Consortium contributed to accelerating the process of development and approval of both the Policy and Strategy and ensured an integrated approach in two key ways. First, advocacy was stronger thanks to the fact that partners were acting as a group. The joint advocacy efforts of UNICEF and the European Union, in particular, stood out as being especially important to the approval process. These involved the organization of breakfast meetings and reaching out to ministries directly, among other activities.

Second, working as a Consortium meant that each development partner could leverage their respective relationships with ministerial contacts and bring these individuals to the same negotiating table, thereby



Beneficiaires of the old-age Grant in Lesotho

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reinforcing an integrated approach to social protection. For example, the ILO had previously supported the country's national strategic framework for social security, which focuses on contributory schemes and was developed over a two-year period under a tripartite consultative working group (involving government, employers', and workers' organizations), the National interdepartmental social security Task Team (NiTT). ILO's involvement in both the NiTT and the Consortium processes helped ensure collaboration across areas of work, leading to a more integrated policy and strategy.

One of the factors that contributed to the achievement of a policy and strategy reflecting the concerns of different stakeholders was the use of the life-cycle approach. By adopting this approach, partners and the Government focused their efforts on formulating a strategy that would provide social protection to individuals throughout their life from cradle to grave. This automatically allowed for closer integration of different social protection mechanisms in the overall policy framework, as the approach spoke to the respective interests and expertise of each stakeholder involved, allowing them to find common ground.



Mozambique:

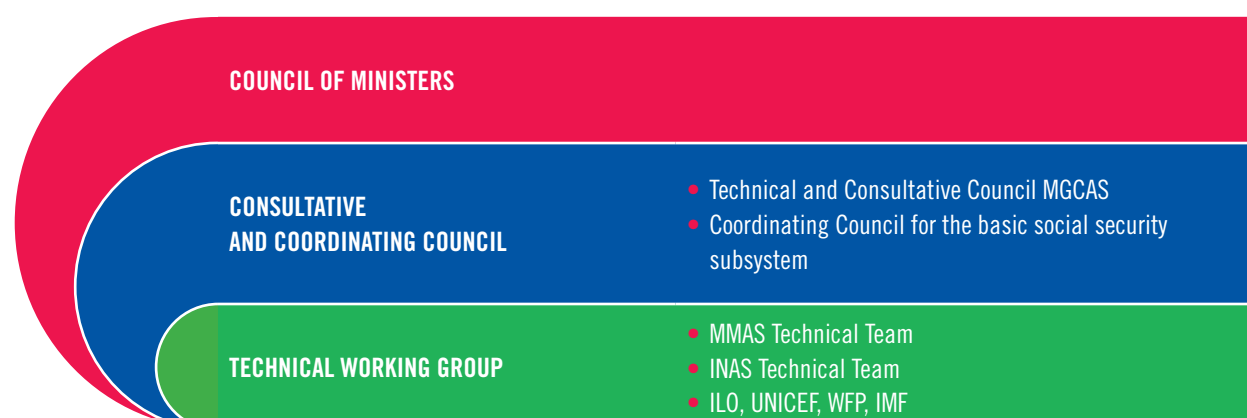
Supporting the review of the national social protection strategy through an assessment based national dialogue exercise



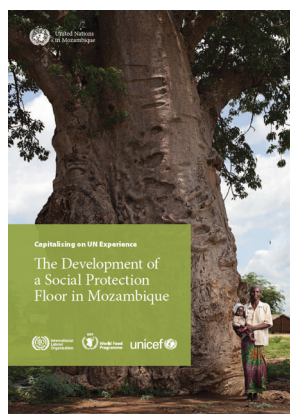
In Mozambique, the assessment based national dialogue methodology was used to conduct the evaluation and revision of the National Strategy for Basic Social Security 2010-2014 (ENSSB). The evaluation and revision of the ENSSB began in June 2014 and is due to be finalized at the end of 2015. It has been a participatory process led by the Government through the Ministry of Gender, Children and Social Action (MGCAS) with financial and technical support from the ILO, UNICEF, WFP, and the International Monetary Fund (IMF). The evaluation and revision of the ENSSB included various consultations at central and provincial levels, including both general sessions with the participation of all stakeholders, as well as specific sessions among various ministries, civil society organizations (who prepared a joint position), and academia. A technical working group that includes the ILO, the advisor to the Minister of MGCAS, the Director of Social Action of MGCAS, the Director of the National Institute of Social Action (INAS), and the Deputy Director for the Planning Department of MGCAS, was established to facilitate the completion of the ABND exercise. The role of this group is to provide technical expertise and advice to the Consultative and Coordinating Council for the Basic Social Security Subsystem,



Figure 3: The decision-making process for the evaluation and revision of the ENSSB through the ABND exercise in Mozambique



the body ultimately responsible for validating the proposals before they are submitted to the Council of Ministers for approval. The Council of Ministers is the final decision-making body. The decision-making process for the evaluation and revision of the ENSSB through the ABND exercise in Mozambique is illustrated in the figure below. It is expected that the revised National Strategy will lead to an expansion of coverage for older people,



Joint WFP-UNICEF-ILO publication on the development of a social protection floor in Mozambique

Box 1

What is an assessment based national dialogue exercise?

The ABND exercise assesses whether the SPF is a reality for the whole population of a country and how it can be extended to all members of society. Policy gaps and implementation issues in the social protection system are identified. Recommendations for new or expanded social protection provisions are developed to guarantee an SPF to all residents and children. The ABND also estimates the financial commitment required to implement the recommendations. During the second stage of the ABND, the Rapid Assessment Protocol (RAP) cost estimation tool is used to estimate the cost and affordability of implementing the recommendations in each country.

This process takes over one year and entails bilateral consultations, tripartite workshops, and technical seminars. A shared vision of the social protection situation is progressively developed, including the identification of policy gaps and implementation issues. At these meetings, policy recommendations are also drawn up to achieve a comprehensive SPF that adheres to international labour standards. The participatory approach adopted throughout the ABND exercise raises awareness among line ministries, workers' and employers' representatives, civil society organizations, and UN agencies regarding the SPF concept, its relevance for every country, and the importance of a coordinated and holistic approach to effectively develop social protection.

The ABND is based on national social dialogue with stakeholders in the social protection system of a country. This allows the information to be captured and represented from various perspectives and enables progressive consensus building on key ideas. This also contributes to the holistic design of a national SPF that aligns with the visions of different stakeholders. Together with the RAP, the ABND acknowledges that policy recommendations must be affordable while providing flexibility for schemes to be scaled up as more fiscal space becomes available.

The ABND approach adheres to the four SPF guarantees as set out in ILO's Recommendation No. 202. Together with other UN agencies, the ILO continues to promote internationally the ABND approach through technical and policy guidance to stakeholders involved in similar activities and hands-on training workshops.

Source: ILO, 2015.

people with disabilities, and children from 0 to 2 years old. Currently, a costing exercise is being finalized that will not only comprise the costs of the benefits, but also the costs of implementing the strategy on a national scale, including investments and human resource needs. The IMF will collaborate with the ILO in the analysis of the fiscal space available to finance the recommendations.



Namibia:

Striving for a social protection floor, including a universal child benefit



With its fourth National Development Plan, launched in 2012, the Government of Namibia dedicated a greater space to social protection and welcomes the support of development partners in this area. Believing that looking at the social protection system as a whole would allow it to move forward in a strategic and concerted way, the Government of Namibia launched, with the support of the ILO, the Namibia National Social Protection Floor Assessment Report on 21 August 2014. The launch of the report followed a year-long consultation process within the National Consultative Working Group (NCWG), which was led by the Ministry of Labour and Social Welfare (MoLSW), but also included a number of other ministries, workers' and employers' organizations. Indeed, the NCWG offered a platform and an opportunity for Namibian institutions and actors to learn from each other and it helped build consensus on key aspects of Namibia's social protection system.

The Assessment Report sets out the socio-economic context and trajectory of Namibia. The report describes the components and performance of its social protection system, including its impact on poverty and inequality, giving particular attention to the assessment of existing social protection floor guarantees. On the basis of the evidence, recommendations for improving the social protection system were formulated. These recommendations include closer coordination of the different components of social protection, which were scattered throughout different departments, and the creation of new schemes and programmes to fill social protection coverage gaps (e.g. a community-based public works scheme for the unemployed/underemployed and the implementation of a child/family benefit scheme). To further assist in the Government's decision-making process, UNICEF developed the Namibian tax-benefit microsimulation model (NAMOD).²⁵ NAMOD helped estimate the costs of universal and means-tested child benefits and analyze the impact of various tax policy options for internal revenue generation. Through this tool, UNICEF strengthened the capacity of the Ministry of Finance to undertake evidence-informed policy planning in social protection and personal taxation. The model triggered discussions among several ministries on the need to review current social protection schemes.



Rwanda:

Supporting the gradual expansion and integration of social protection programmes by working through government structures



Rwanda's current Social Protection Strategy (2013-2018) is child-focused and links social protection to essential services, outcomes in other sectors (such as nutrition and health), and economic development goals. Crucially, the Strategy is the result of a strong awareness on the part of the Government that all programmes linked to social protection and poverty reduction need to be harmonized in order to avoid overlaps and to capitalize on



²⁵ G. Wright, M. Noble, and H. Barnes: *NAMOD: a Namibian tax-benefit simulation model*, EUROMOD Working Paper No. EM 7/14, April 2014. Available at: <https://www.iser.essex.ac.uk/research/publications/working-papers/euromod/em7-14.pdf> [accessed 4 Nov. 2015].

synergies. Development partners have been key in supporting the Government in its adoption of an integrated systems approach.

Given Rwanda's strong ownership of its poverty reduction and social protection strategies from the outset, the country provides another useful example of how development partners can support governments in developing policies through government-led forums and mechanisms. A Social Protection Sector Working Group (SPS WG) was set up by the Government in 2008. The structure of the SPS WG is such that there are three subcommittees, each working on a different area: policy; monitoring and evaluation; and financing. Each subcommittee is chaired by Ministry of Local Government (MINALOC) and co-chaired by Voluntary Services Overseas (an NGO), UNICEF, and DFID, respectively. The SPS WG allows for effective cooperation of government and development partners, including, among others, DFID, FAO, ILO, UNICEF, WFP, and the World Bank, as well as international and national NGOs. The SPS WG ensures that inputs into the social protection sector – including different forms of financial support by DFID, the World Bank, and the EU, as well as technical assistance by UN agencies, DFID, the World Bank, among others – is well coordinated.

In addition, UN agencies in Rwanda operate under the One UN framework. They are implementing components of the joint UN programme on social protection, which is due to run until 2018. This programme aims to contribute to the reduction of poverty and vulnerability as well as to build resilient livelihoods through modeling innovations. The joint UN programme (accompanied by its own joint workplan and working group) is fully harmonized with Rwanda's National Social Protection Strategy (2013-2018) and will be carried out by WFP, WHO, FAO, ILO, and UNICEF, working in coordination with the Ministries of Local Government (MINALOC), of Gender and Family Promotion (MIGEPROF), of Health (MoH), of Agriculture and Animal Resources (MINAGRI), of Education (MINEDUC), and of Public Service and Labour (MIFOTRA).



Tanzania:

Revitalizing the national dialogue on social protection



Tanzania's Government and several development partners embarked on the formulation of a National Social Protection Framework in 2008. However, since then, responsibility for the Framework has been transferred to a taskforce within the Prime Minister's Office and the document was due for finalization and endorsement.



Furthermore, over the years, the Technical Working Group on Social Protection – a forum bringing together government bodies, CSOs, international NGOs, and international organizations – became dormant, meaning that Tanzania lacked a government-led platform for continued interaction on social protection among a wide range of stakeholders.

In response to this vacuum, international development partners have displayed remarkable will and strong collaboration in their efforts to support the Government to revive the Technical Working Group on Social Protection and the discussion concerning social protection, including the National Social Protection Framework. Through the Technical Working Group, international development partners, the Government, and CSOs found alternative ways to re-establish a national dialogue on social protection. One of the main ways in which this was achieved was through the Ministry of Finance's holding of the Arusha Conference on social protection in December 2014. The goal of the conference was both to revive the work around the national Framework and to influence the upcoming Five-Year Development Plan. Indeed, with a new plan being rolled out in July 2016, there is a key window of opportunity to ensure that social protection is represented and, by working together, development partners have sent the clear message that they do not intend to miss it.

The Conference was widely attended. In addition to the Ministry of Finance, there was strong participation from sector ministries and full ownership and involvement from the Government. Crucially, the invitees working with the Prime Minister's Office on the Framework were also present. Indeed, one of the main advantages of bringing together different development partners is that their different contacts in the Government can, by extension, be engaged more easily (for example, the Ministry of Labour was present in the debates largely thanks to the ILO's institutional ties to this body).

The Conference led to the Arusha Declaration, a document whereby the Government committed to adopting the National Policy Framework for Social Protection, consolidating and reforming existing social protection programmes, and measuring the impact of social protection on the population, among other efforts.

CHAPTER III

Building national social protection systems and programmes

Another area of engagement for development partners is the operationalization of national social protection strategies or policies through technical and financial support for the implementation of policy recommendations formulated as part of the strategy documents.

National strategies and policies usually put forward three types of recommendations: (1) increase the coverage and adequacy of benefits of existing schemes; (2) create new schemes or reform existing schemes so that they are responsive to people's needs and fill the social protection floor gaps; and (3) improve the implementation and coordination of existing schemes and programmes to achieve a coherent social protection system.

On the part of development partners, implementing the first and second types of recommendations usually entails technical advisory services and capacity building to design policies, assess costs and sustainable financing options, devise the institutional set-up, propose amendments to existing legal frameworks, and articulate feasible time frames for reform and implementation. These recommendations are in line with the ILO's Social Protection Floors Recommendation, 2012 (No. 202), and in particular nine of its 18 guiding principles:²⁶

“Recognizing the overall and primary responsibility of the State in giving effect to this Recommendation, Members should apply the following principles:

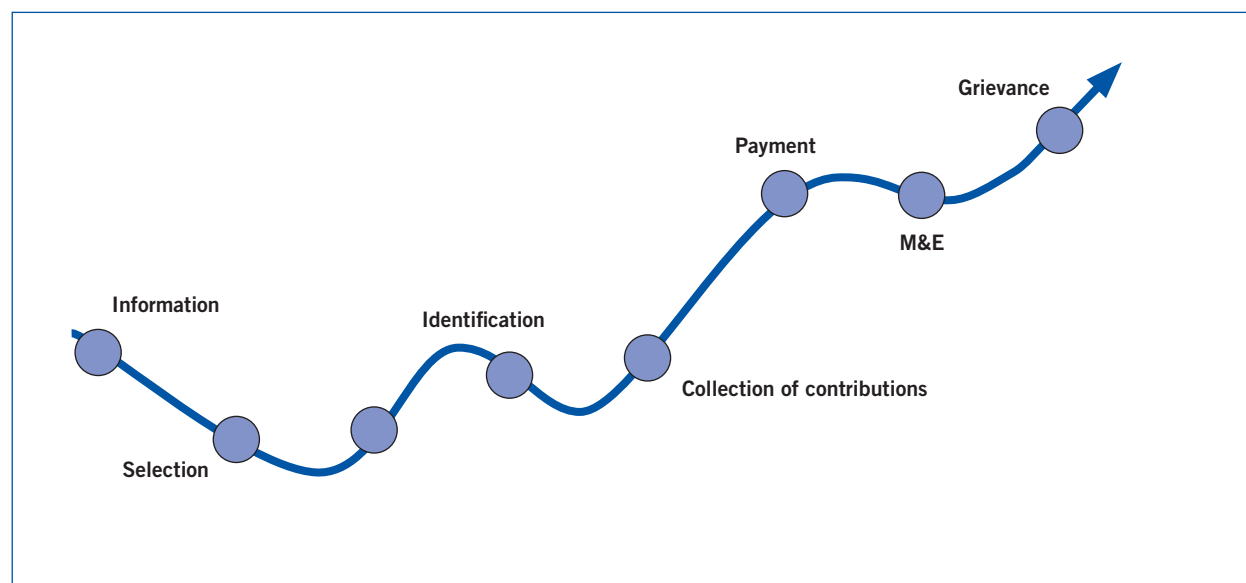
- (a) universality of protection, based on social solidarity;
- (b) entitlement to benefits prescribed by national law;
- (c) adequacy and predictability of benefits;
- (d) non-discrimination, gender equality and responsiveness to special needs;
- (e) social inclusion, including of persons in the informal economy;
- ...
- (g) progressive realization, including by setting targets and time frames;
- (h) solidarity in financing while seeking to achieve an optimal balance between the responsibilities and interests among those who finance and benefit from social security schemes;
- (i) consideration of diversity of methods and approaches, including of financial mechanisms and delivery systems;
- ...
- (k) financial, fiscal and economic sustainability with due regard to social justice and equity.
- ...”

The third type of recommendation involves studies to assess existing coordination mechanisms, the provision of recommendations to improve the main administrative functions of the social protection system, the design of an implementation model, and its progressive implementation. For each administrative function – raising awareness and sharing information on existing programmes, selecting and enrolling beneficiaries, providing adapted benefit packages to beneficiaries, identifying beneficiaries upon delivery of services and transfers, paying benefits, monitoring and evaluating programmes and the system as a whole, and managing greavances and appeals – recommendations aim to increase coherence and improve efficiency, traceability, and transparency of the

²⁶ ILO: *Recommendation concerning National Floors of Social Protection, 2012 (No. 202)*, International Labour Conference, 101st Session, Geneva, 2012. Available in Annex 3.

system while better responding to the needs of covered persons. The proposed implementation model may include: a common set of procedures and tools to select and register beneficiaries; a centralized monitoring and evaluation system; coordination mechanisms between line ministries and between central and lower levels of the administration to foster synergies across policies and programmes and a streamlined implementation of a common vision; and the development of common integrated benefit packages (such as linking nutrition with education through school feeding programmes, or cash transfers with access to health care through conditional cash transfers).

Figure 4: Administrative functions of the social protection system



Source: ILO, Practical Guide on One-Stop Shops for Social Protection Floors (forthcoming).

These recommendations are in line with the ILO's Social Protection Floors Recommendation, 2012 (No. 202), and in particular seven of its guiding principles:²⁷

“Recognizing the overall and primary responsibility of the State in giving effect to this Recommendation, Members should apply the following principles:

- (j) transparent, accountable and sound financial management and administration;
- ...
- (l) coherence with social, economic and employment policies;
- (m) coherence across institutions responsible for the delivery of social protection;
- (n) high-quality public services that enhance the delivery of social security systems;
- (o) efficiency and accessibility of complaint and appeal procedures;
- (p) regular monitoring of implementation and periodic evaluation;
- ...
- (r) tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned.”

²⁷ ILO: *Recommendation concerning National Floors of Social Protection, 2012 (No. 202)*, International Labour Conference, 101st Session, Geneva, 2012. Available in Annex 3.

Common themes

A look at the good practices observed throughout the region indicates that development partners' support appears to be important in the scaling up of individual programmes and in the building up of governments' capacity to manage the programmes financially and operationally on the one hand, and in helping countries make their social protection programmes more coherent on the other hand. As of 2015, development partners are especially active when it comes to supporting a systems approach to social protection. They help countries better integrate existing social protection programmes (for example, through single registries) and establish linkages with sectors outside social protection (through the setup of inter-sectoral committees, for example). Crucially, good coordination and collaboration among development partners seems to go hand-in-hand with support to governments focusing on building social protection systems.

Country examples



Ethiopia:

Building the Government's capacity to manage a social protection programme



Ethiopia's Productive Safety Net Programme (PSNP) is one of the largest national social protection programmes in Africa, reaching an estimated 11 per cent of Ethiopia's rural households (8 million people). This programme, which has been running since 2005, has two main components: cash and food transfers to chronically food-insecure people in exchange for their labour on public works projects on the one hand, and unconditional cash and food transfers to households that are labour-constrained in the other. In 2015, the PSNP is undergoing a shift towards its fourth iteration: the PSNP 4. This new version of the programme will extend its reach to 10 million people and integrate cash transfers with initiatives that improve access to services.²⁸



Eleven development partners contribute to the success of the PSNP, including DFID, Irish Aid, the European Union, the Canadian Department of Foreign Affairs, Trade and Development, Sida, the Government of the Netherlands, the Danish International Development Agency, USAID, the World Bank, WFP, and UNICEF. Their technical support and financing have been crucial to the expansion of the PSNP and its increasingly integrated nature. The PSNP governance arrangements, designed to enable coordination among development partners, were created by the development partners themselves in 2005 and refined over time. The PSNP governance approach is considered a model for effective donor coordination in Africa.²⁹



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²⁸ S. Haverkort-Speekenbrink, Z. Paulos, and R. Pigois, *Briefing note: Social protection in Ethiopia* (Addis Ababa, UNICEF Ethiopia, forthcoming).

²⁹ R. Sunstrum: *Final report: Review of governance arrangements for donor coordination of the Productive Safety Net Programme (PSNP) and the Household Asset Building Programme (HABP)*, Submitted to Donor Chair and Coordinator of the PSNP/HABP Donor Coordination Team, (Agriteam Canada Consulting Ltd., 2015).

The main mechanism through which these partners coordinate their activities is the Donor Working Group (DWG). This structure meets every two weeks and often focuses on harmonization and coordination mechanisms. The DWG is led by the Donor Chair, a rotating position held by each development partner for a period of six months. The Chair helps coordinate the work of the different development partners and represents them in meetings with the Government.

Another very important mechanism is the Donor Coordination Team (DCT), which supports the DWG by managing processes related to the PSNP, providing advice to the development partners, and drafting all documents to be shared with government officials. The DCT is a team of about eight people that is rapidly growing. The DCT members' salaries come from the contributions of all development partners in the DWG. At the same time, these individuals are managed by and work in the World Bank offices in Ethiopia.

Through the mechanisms described above, development partners hope to build the Government's capacity to implement and expand the PSNP. It is crucial to note that there is a single design document, a single implementation manual, a single annual workplan, and a single channel for all financing. In short, all the donors involved must reach an agreement among themselves prior to interacting with government officials. Furthermore, all donor funds are channelled to the Ministry of Finance and Economic Development through a single institution: Channel One. While this might be a challenge for development partners accustomed to tracking their contributions and reporting on corresponding outputs/outcomes, this new *modus operandi* has several laudable goals, namely: building up the Government's financial management capacity; avoiding the duplication of efforts; and imposing fewer administrative procedures on the Government.



Kenya:

Scaling up and progressively harmonizing existing cash transfer programmes



Social assistance programmes in Kenya are currently fragmented, with several programmes that exclude vulnerable segments of the population in some cases and programmes that overlap in others. In order to realize the objectives of the National Social Protection Policy, the Government of Kenya is establishing the National Safety Net Programme (NSNP). The NSNP is a framework around which the five main cash transfer programmes in the country can be increasingly coordinated and harmonized. These programmes, each of which makes transfers to targeted households every two months, consist of: the Cash Transfer for Orphans and Vulnerable Children (CT-OVC); the Hunger Safety Net Programme (HSNP); the Older Persons Cash Transfer (OPCT); the Urban Food Subsidy Cash Transfer (UFS-CT); and the Persons with Severe Disability Cash Transfer (PWSD-CT).

In addition to promoting coordination and harmonization of programmes under the NSNP, the Government also aims to expand its programmes' coverage. Over the next five years, the coverage of the NSNP is set to increase from 1.65 million to 3.30 million people, equivalent to 17 per cent of the absolute poor population and 8 per cent of the total population.

The World Bank, the Government's main partner in this initiative, has played a convening role, bringing together other development partners to inform and strengthen the NSNP. DFID and UNICEF played important roles in the design of the NSNP and their work was supported by AusAid, WFP, and Sida. The close collaboration between the World Bank, DFID, UNICEF, and, more recently, WFP, means that their respective expertise on different aspects of programme integration and scale-up were leveraged to provide support to the Government on a range of issues. For example, while the World Bank provided financing, improved infrastructure, and gave technical assistance on a range of aspects including management information systems, UNICEF

focused on monitoring and evaluation, the payment system, and the complaints and grievances mechanism, among other issues. In turn, DFID dedicated its time and expertise to helping the Government strengthen the Hunger Safety Net Programme (HSNP) and ensure its scalability in the event of a shock. To this end, all poor and non-poor inhabitants in the four counties in which the HSNP operates are now registered for the programme. Continuous coordination is ensured through frequent meetings with the Social Protection Secretariat, bimonthly meetings among the development partners, and wider biannual joint reviews. The strong collaboration among development partners and the Government has also led to an agreement on common targets against which progress is assessed.



A beneficiary of the Hunger Safety Net Programme in Kenya holds his Smart-card

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Ethiopia:

Supporting the roll-out of the National Social Protection Strategy through a joint UN programme



Ethiopia's National Social Protection Strategy, approved in 2014, now needs to be operationalized in the country's 11 regions. However, the implementation of this strategy is still lagging behind because action plans are not yet developed and social protection is not fully mainstreamed in regional and sub-regional plans and policies. Moreover, there is no institutional framework to support the coordination of social protection services in sub-regions or mechanisms for citizen participation in decision-making and accountability processes.

At the initiative of the Resident Coordinator's Office, the Delivering Results Together Fund (DRT-F) is supporting a One UN programme to be delivered by UNICEF, ILO, and UNDP. This programme will help strengthen the capacity of the Ministry of Labor and Social Affairs to roll out the Social Protection Strategy. First, it will support the institutionalization of the social protection sector at the federal level and ensure that the social protection system is well coordinated and properly linked with other policies and plans. Second, it will help the Government roll out the National Social Protection Strategy to the different regions in Ethiopia. Specific interventions here will build regional capacity to undertake planning and costing steps necessary for Strategy implementation. Third, the One UN programme will build institutional and coordination capacity on social protection service delivery at the sub-regional level and enhance citizen participation in decision-making and accountability processes in order to promote social inclusion.



Mozambique:

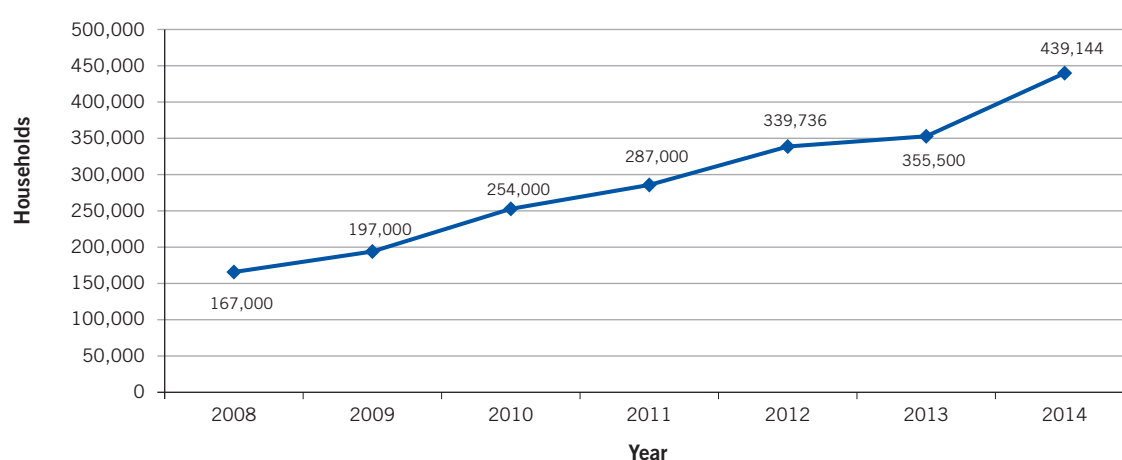
Expanding coverage and improving the administration of existing social protection programmes

Mozambique's multisectoral National Strategy for Basic Social Security (ENSSB) 2010-2014 is both a major milestone in the country's efforts to build a social protection system and an example of strong collaboration between the Government, civil society organizations, and development partners – namely ILO, UNICEF, WFP, DFID, the Embassy of the Netherlands, Irish Aid, the Government of Sweden, and USAID. The ENSSB established

the principles, key actions, implementation tools, and targets for the implementation of basic social protection between 2010 and 2014. It also led to the development of a costed expansion plan.

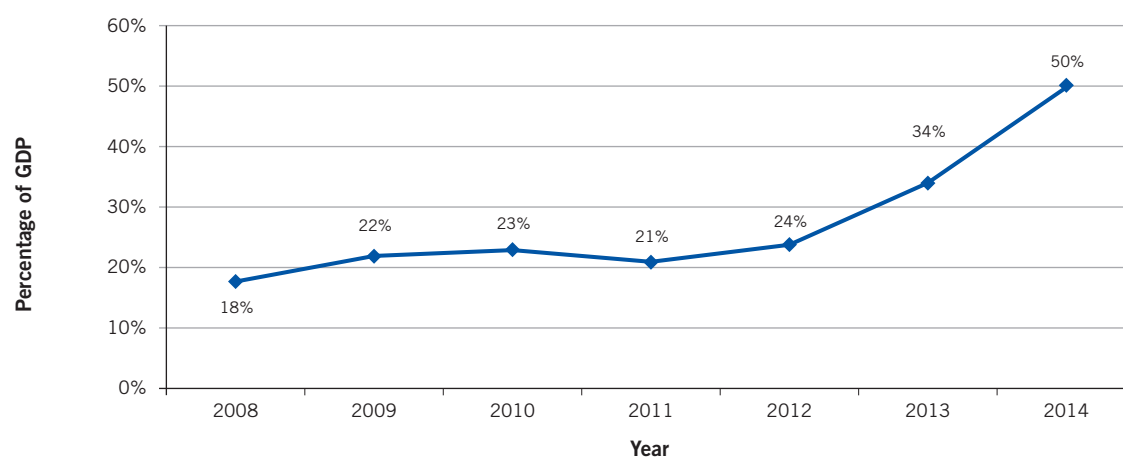
With financial and technical assistance from UN agencies, the Ministry of Women and Social Action (MMAS) and the National Institute of Social Action (INAS) revised programme rules and procedures and developed operational manuals for each programme. Crucially, these advances facilitated significant increases in budget allocations to basic social protection programmes, from approximately 0.21 per cent of GDP in 2010 to 0.51 per cent in 2014. As a result, the number of beneficiaries grew from under 200,000 in 2008 to nearly half a million in 2014, and the benefit size increased as well.

Figure 5: Evolution of households covered by INAS programmes (2008-2014)



Source: ILO, UNICEF, and WFP, 2015.

Figure 6: Evolution of budget allocations to INAS programmes as a per cent of GDP (2008-2014)



Source: ILO, UNICEF, and WFP, 2015.

Furthermore, the ILO is currently supporting the development of the country's MIS. This will represent an important step in terms of ensuring accountability, transparency, and efficiency of social transfers in Mozambique.



Tanzania:

Supporting the scale-up of the Tanzania Social Action Fund (TASAF)



With the overall objective of reducing extreme poverty by half by 2015 (MDG 1), the Government of Tanzania recently decided to scale up the Tanzania Social Action Fund (TASAF). The first wave of the programme (TASAF I) facilitated community access to social services through public works, focusing on infrastructure projects such as schools, health facilities, and water points. TASAF II then added an additional programme component: a community-based conditional cash transfer targeting extremely poor households (those under the food poverty line). TASAF III will, as of mid-2015, begin supporting all individuals living below the food poverty line – equivalent to 15 per cent of the population, or 1 million households.



In September 2014, the World Bank, along with the Government of Tanzania, conducted a crucial midterm review of the TASAF in which other development partners (UNDP, UNICEF, ILO, DFID, and Sida) also participated. These organizations undertook a review mission that led to a set of common recommendations for the next round of the TASAF. The recommendations concerned secondary school transfers, the design of the impact evaluation, the implementation of a grievance mechanism, among others. They were successfully integrated into the programme ahead of the roll-out of the TASAF's third wave.

The process described above demonstrates the extent to which TASAF is a dynamic programme, fine-tuning itself as it expands. It also serves as an example of development partners coming together to provide unified and coherent advice. In early 2015, several development partners (UNDP, ILO, UNFPA, and UNICEF) built on this established collaboration and applied for – and were awarded – joint programming funds from the Sustainable Development Goals Fund (SDG-F). The funds are intended to facilitate their response to the 2014 request from the Ministry of Finance for the UN to provide support in scaling up TASAF (TASAF III), which is geared towards reaching all extreme poor people living below the food poverty line. Given the huge financial, human, and organizational implications of the scale-up, UN support to TASAF III is aimed at expanding the analytical and advisory (technical) capacity available to the Government and ensuring that programme implementation is efficient and effective.



Zambia:

Coordinating support through the Cooperating Partner Group and its subset



The Social Protection Cooperating Partner Group (SP CPG) coordinates joint programming for several development partners in Zambia. It is led by UNICEF, which is responsible for channeling technical assistance to the government-led Technical Working Group on Social Protection and for coordinating the SP CPG. The SP CPG has also brought partners' various areas of expertise to bear on the different pillars of Zambia's National Social Protection Policy.



A subset of the SP CPG members came together in 2010 to provide financial support and technical assistance to the Government. This subset is composed of DFID, Irish Aid, UNICEF, and, more recently, the Government of Finland. The initial support provided concentrated on helping the Government better integrate an array of small-scale cash transfers already in existence under the Social Cash Transfer (SCT) programme. The SP CPG subset group also created a joint financing arrangement to support the Government's social protection efforts. Among the four partners, UNICEF and DFID, in particular, collaborated closely on the provision of coherent support for the fine-tuning of the SCT design. In fact, the social protection specialist from DFID even worked in





Children attend school in Zambia.
Many are able to attend thanks to their families' receipt of SCT.


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the UNICEF offices three days per week for the span of two years in order to provide better support to the Government of Zambia.

By now, the work of the SP CPG and its subset group has expanded to include social assistance programmes beyond the SCT and the broader policy framework for social protection. In 2015, development partners plan to work with the Government on a new Joint Programme to operationalize the National Social Protection Policy (NSPP) that was endorsed in 2014 and to thereby arrive at an organized and predictable scale-up process for social protection programmes.

Zambia: ***Bringing evidence to light to promote the scale-up of the Social Cash Transfer***

 During his annual budget speech in October 2013, the Minister of Finance announced that the Social Cash Transfer (SCT) would benefit from an 800 per cent budget increase in 2014 relative to the previous year. This has led to an increase of the Government share in social protection expenditure from 30 per cent in 2013 to 60 per cent in 2014; the remainder is financed by international donors.

 The lead-up to this declaration involved significant collaboration among development partners, particularly in the area of evidence gathering and evaluation. In 2012, the World Bank conducted a review of existing social safety net programmes in Zambia and remarked that the SCT was the programme that best reached the poor. It also gathered evidence that the SCT remained too fragmented and thinly spread in terms of coverage.

The World Bank's findings were complemented by those of UNICEF and DFID. These partners are involved in a multi-year impact evaluation (2010-2015) of the SCT and work under the umbrella of the Transfer Project, a research and learning initiative that supports governments in the development and implementation of social transfers across Africa. Their impact evaluation showed impressive results in terms of reducing the poverty gap, increasing weight-for-age measures and food security, among other positive outcomes. At the same time, the evaluation showed that the SCT was capable of eliciting productive effects: increased investment in assets, including livestock, and broader benefits to non-beneficiaries and the local economy via trade and production.

The division of responsibilities and respective expertise of each development partner was, without a doubt, crucial to this advocacy effort: the World Bank undertook a review and costing; UNICEF utilized its value-added on the social impact side; FAO leveraged its comparative advantage in productive impacts; DFID contributed with financing; and the ILO has contributed to policy development and dialogue by leading the social protection assessment based national dialogue exercise. The partners have also taken care to speak with one voice on the importance of increased government financing of the programme, in line with the commitments made in the existing ten-year scale-up plan. Through a joint financing agreement, partners and the Government have agreed on common reporting frameworks and benchmarks.



A beneficiary receiving the SCT grant

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Lesotho:

Coordinated support for the implementation of the National Social Protection Strategy



Lesotho's National Social Protection Strategy was launched in February 2015. An existing consortium of development partners (UNICEF, the European Union, the World Bank, ILO, and FAO) is now supporting the strategy implementation, in line with an integrated approach to social protection. UNICEF and the EU are supporting the implementation of the country's single registry system called the National Information System for Social Assistance (NISSA). The consortium intends to generalize the case management mechanism, management information system (MIS), and payment mechanism for all social protection programmes in Lesotho.

As of 2015, development partners are working with the Government to ensure that the child grant, public assistance programme, and old-age pension are: a) inclusive of needy populations; b) well-coordinated amongst themselves; and c) well-linked to other sectors outside of social protection in order to promote graduation from the programmes, as well as greater efficiency in achieving health, education, and other outcomes. In particular, the concept of a one-stop shop – where populations would be able to access their social protection benefits as well as a range of other social services – has been explored in association with UNICEF and Gesellschaft für Internationale Zusammenarbeit (GIZ). This is a concept that the incoming Social Security Organization may choose to adopt with assistance from the ILO.

CHAPTER IV

Research and development, communication, education, capacity building, and awareness raising activities

Another area in which development partners can play a role is in research and development, communication, education, capacity building, and awareness raising. All of these activities contribute to a country's adoption of a social protection culture. In other words, these efforts help make different stakeholders – ministers at the national level, regional and local-level implementers, or civil society – more conversant in social protection. This helps keep governments accountable to their populations and makes the general population both more aware of their entitlements to social protection programmes as well as better able to contribute to the improvement and expansion of social protection systems.

Common themes

Development partners promote awareness and understanding of social protection by holding national and international trainings, forming communities of practice, creating manuals or guidebooks, and coordinating other activities. Their added value appears to lie in their ability to identify relevant country experiences that can be adapted to the local context, to develop practical toolkits and other knowledge products, and to mobilize regional or global expertise on social protection to the benefit of a specific country. By exposing a country's practitioners to broad-reaching networks of social protection experts and researchers, development partners facilitate practitioners' participation in discussions and knowledge-sharing forums where different social protection models and the latest international research findings are presented. In the long run, this contributes to a country's available capacity and thereby its ability to implement social protection.

Country and regional examples



Region-wide:

The World Bank-UNICEF Community of Practice on Cash Transfers and Conditional Cash Transfers Programmes in Africa



The Community of Practice (CoP) on Cash Transfers and Conditional Cash Transfers Programmes in Africa is a learning platform established in late 2011 by social protection teams at the World Bank and UNICEF. Through virtual as well as face-to-face meetings, this CoP brings together government officials with a technical focus on social protection from across Africa to share experiences and exchange lessons on cash transfer programmes and their role in building social protection systems. In order to ensure the smooth running of the CoP, the World Bank and UNICEF are supported by two facilitation teams, one Anglophone and another Francophone. Both teams are responsible for organizing virtual meetings, exchanges, and face-to-face meetings, and for enabling exchange among participants more generally.

This CoP has been hailed by management representatives from both the World Bank and UNICEF as a successful and concrete example of collaboration between the two institutions. Currently, there are 33 African countries represented in the CoP up from just three at its launch in late 2012. Furthermore, since the launch of the CoP, the discussions have matured and the knowledge demonstrated by participants appears to have grown.



© Image Productions, Zambia

Through the CoP, the World Bank and UNICEF pursue a common interest, which is to support African governments to scale up their cash transfer programmes and develop social protection systems. Both organizations bring to bear their solid knowledge on social protection programme design and implementation as well as a diversity of experiences in technical assistance, policy dialogue, advocacy, evaluation, among other things. The existence of this CoP enables them to not only take advantage of their respective expertise and relationships with governments, but also to avoid duplicating each other's efforts in national capacity building.



SASPEN:

The contribution of civil society to education on social protection floors

The Southern Africa Social Protection Expert Network (SASPEN) is an independent project under Friedrich-Ebert-Stiftung's (FES) Social Compact Program, where FES is a member of the Global Coalition for Social Protection Floors.³⁰ SASPEN brings together experts on social protection to discuss regional policy issues and supports national social protection dialogue at the country level. This involves promoting education, transmitting information, and raising awareness around social protection with journalists, civil society organizations, academia, social partners, and governments.³¹

³⁰ SASPEN: *Southern African Social Protection Experts Network*. Available at: <http://www.saspen.org/> [accessed 4 Nov. 2015].

³¹ Global Coalition for Social Protection Floors: *Global Coalition for Social Protection Floors – About us*. Available at: <http://www.socialprotectionfloorcoalition.org/about/> [accessed 4 Nov. 2015].



Kenya:

South-South training and resource package on governance and administration of social protection floors

An innovative training package on the principles and mechanisms for implementing and monitoring non-contributory social protection programmes is currently under development. This initiative is led by the ILO and is being pursued in collaboration with UNICEF and the Government of Kenya. The first step in the project was the identification of the training needs in the region and the gaps in terms of available capacity building tools. A consultation with national stakeholders and development partners identified the need for additional trainings dealing with practical elements of social protection programme implementation. Based on the experience and needs at the country level, the project identified the following priority areas, which now



constitute the four modules of the training package: legal frameworks; coordination; identification; and governance and administration. The training package was tested at a High-Level Dialogue and Learning event on “Institutionalising and Administering Non-Contributory National Social Protection Programmes” on 13-16 April 2015 in Nairobi, Kenya. The package will be finalized and rolled out by the ILO and its partners.³²



Malawi:

Participatory workshop on the social protection assessment based national dialogue

This social protection floor assessment based national dialogue workshop was jointly supported by Irish Aid and several United Nations agencies. The workshop was organized to share knowledge and learn from best practices in social protection in Southern Africa, introduce the social protection floor analytical framework to assess the social protection situation in Malawi, and provide recommendations for filling SPF gaps.³³ This workshop was the first of several to carry out a full-fledged assessment based national dialogue exercise.



A beneficiary of the Malawi social Cash Transfer Programme being interviewed

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³² Video of the learning event available at: <https://www.youtube.com/watch?v=alchBOYnXKI>.

³³ Video of the workshop available at: <https://www.youtube.com/watch?v=6YpHVyEuYLQ>.

CHAPTER V

Monitoring and evaluation

An indispensable part of effective, long-term social protection programming is the monitoring and evaluation of social protection programmes. These activities can serve five main objectives:

- provide information on how the programme is being implemented (for example, pointing to bottlenecks);
- provide insight into the extent to which a social protection system can address poverty, vulnerability, and exclusion;
- provide insight into the extent to which a programme's effects and impacts are aligned with policy goals;
- show what adjustments need to be made to improve programme effectiveness and impact; and
- serve to bolster policy advocacy efforts around programme expansion or the implementation of additional programmes.³⁴

The establishment of monitoring and evaluation systems is in line with the ILO's Social Protection Floors Recommendation, 2012 (No. 202), and in particular article 19:

“Members should monitor progress in implementing social protection floors and achieving other objectives of national social security extension strategies (...).”

Among other efforts, development partners can play a role by helping countries design and implement a broad range of monitoring and evaluation mechanisms, including facilitating ex-post social impact evaluations.

Common themes

Development partners add value to the monitoring and evaluation mechanisms in the ESA region through leveraging their international expertise in different types of evaluations, which helps to inform new initiatives. Additionally, throughout the region, development partners play a key role in creating a culture of accountability. Findings from continual monitoring and evaluation lead to the fine-tuning of existing programmes and the implementation of similar programmes elsewhere.

Examples



Region-wide:

The Transfer Project and the Protection to Production Project



The Transfer Project is a partnership between national governments, research partners, civil society, UNICEF, Save the Children UK, and the University of North Carolina at Chapel Hill. It was launched in 2008 with the goal of expanding the evidence base on social transfers in order to inform better design and implementation of these programmes throughout sub-Saharan Africa.

³⁴ UNICEF: Integrated social protection systems: Enhancing equity for children, Social Protection Strategic Framework (New York, 2012), p. 52. Available at: <http://www.unicef.org/socialprotection/framework> [accessed 9 Sep. 2015].

More specifically, the Transfer Project has three objectives:

1. To strengthen existing and generate new evidence on the effectiveness of social transfer programmes in achieving impacts for children in low-income country settings.
2. To inform the development, design, and implementation of national social transfer policy and programmes based on evidence, through engagement with governments, donors, and civil society.
3. To promote learning across the continent on social transfer programme implementation, and research and evaluation.³⁵

A subsidiary of the Transfer Project, the Protection to Production (PtoP) Project, is a four-year research project that is implemented by FAO in collaboration with UNICEF. The PtoP project focuses on the impact of cash transfer programmes on household economic decision-making and the local economy. More specifically, PtoP “seeks to understand the potential productive and economic impacts of cash transfers on the rural poor in sub-Saharan Africa....[It] uses a mixed method approach, combining econometric analysis of impact evaluation household survey data, general equilibrium Local Economy-wide Impact Evaluation (LEWIE) models, and qualitative research methods.”³⁶

Both the broader Transfer Project and the PtoP Project are particularly strong examples of collaboration among development partners. In conducting PtoP evaluations, it is clear, for example, that UNICEF’s and FAO’s interests closely align when it comes to food security and nutrition issues. At the same time, UNICEF’s expertise on social outcomes and its strong presence at the country level are well complemented by FAO’s expertise in productive impacts. The PtoP multi-year evaluations – ongoing in seven ESA countries – are being broadly used to advocate for social protection in contexts where there are concerns that cash transfers will create dependency. A feature of the Transfer Project worth noting is that evaluations are strongly government-owned, making it easier for them to be informed by questions arising directly from policy/programme work and, in turn, making it more likely that evaluation results will be able to inform policy and programme design.

As a regional initiative, the Transfer Project has also been crucial in promoting cross-country analyses and the use of evidence across countries. Given the variety of social transfer programmes in the region and the range of lessons that are continuously extracted from ongoing country studies, information from any given country is, through this Project, openly shared with other countries. The Transfer Project has thus been helpful in supporting policy advocacy and design efforts in countries considering implementing new social transfers.



Region-wide: **UNECA’s Social Development Index**

As social protection programmes rapidly expand on the African continent, it becomes increasingly apparent that the region is lacking a standardized and region-wide monitoring framework for social protection. In March 2015, the United Nations Economic Commission for Africa (UNECA) and the AU launched the African Social Development Index (ASDI). While it does not measure social protection interventions directly, this index will estimate the depth of exclusion in six key areas: survival, health, education, employment, means of subsistence,

³⁵ The Transfer Project: *Overview of the Transfer Project*. Available at: <http://www.cpc.unc.edu/projects/transfer/overview> [accessed 4 Nov. 2015].

³⁶ FAO: *From Protection to Production: The Role of Cash Transfer Programmes in Fostering Broad-Based Economic Development in sub-Saharan Africa*, (2014). Available at: http://www.fao.org/fileadmin/user_upload/p2p/Documents/PtoP_short_description_11feb14.pdf [accessed 4 Nov. 2015].

and decent life. The ASDI could prove instrumental in measuring the progress made towards satisfying regional and global commitments to social and human development. Furthermore, it could inspire a future monitoring framework akin to the Asian Development Bank's Social Protection Index.³⁷



Ethiopia:

Leveraging partners' strengths in evaluation through the Protection to Production (PtoP) initiative

While more work has yet to be done to encourage the Government of Ethiopia to fully utilize the evidence generated by the PtoP Project to fine-tune its policies (see details above), the evidence generated by the Project has already played an important role in leveraging national interest in social protection and decision-making. For instance, PtoP results served to inform the Government of Ethiopia as to how MoLSA could contribute to the next generation of the PNSP and led to a new focus on linking cash/in-kind transfer beneficiaries to nutrition and health services through social workers. Three different evaluations – a Local Economy-wide Impact Evaluation (LEWIE), a qualitative assessment (on the state of women, social capital, among others), and an impact evaluation – were used for advocacy purposes at the sub-national level, particularly to respond to concerns around dependency on the part of regional governments.

The Project was proof of strong collaboration among development partners (DFID, FAO, and UNICEF), allowing for the pooling of their expertise in looking at both the social and productive impacts of social transfers. Furthermore, the fact that the project is regional encouraged the sharing of technical expertise on evaluation across countries and the cross-country utilization of evidence to effect policy change.



Cash transfer beneficiaries in Ethiopia

© World Bank / Sylwia Pecio

³⁷ Economic and Social Council, United Nations: *The African Social Development Index*, Document E/ECA/COE/34/13/AU/STC/FMEPI/EXP/13(I), Eighth Joint Annual Meetings of the African Union Specialized Technical Committee on Finance, Monetary Affairs, Economic Planning and Integration and the Economic Commission for Africa Conference of African Ministers of Finance, Planning and Economic Development, Meeting of the Committees of Experts, Addis Ababa, 25–27 Mar. 2015. Available at: <http://www.tralac.org/images/docs/7120/african-social-development-index-issues-paper.pdf> [accessed 4 Nov. 2015].



Mozambique: ***Building independent accountability mechanisms***



In Mozambique, civil society organizations are considered to be partners in the social protection sector's development and complement the efforts of Mozambique's implementing agency, the National Institute for Social Action (INAS). Civil society support is organized through a Social Accountability Mechanism, which provides: assistance in service delivery;

independent community-based monitoring; assistance in policy design and programme implementation; and advocacy through the media and with the Parliament for increased fiscal space for social protection. Its aim is to ensure and improve quality service delivery as well as to enhance the impact of social protection in Mozambique.

An example of civil society's contribution to the development of the social protection system in Mozambique is the Position Document on the Evaluation and Revision of the National Strategy for Basic Social Security (ENSSB), which it developed in 2015. The Position Document is supported by international organizations and clearly outlines civil society's vision and proposals for the ENSSB over the 2015-2019 period, including the need for increased budget allocations to the basic social protection sector and the progressive extension of basic social security.

The experience of building a social protection floor in Mozambique is thus a good practice in collaboration not just among international development partners and the Government, but also between development partners, the Government, and civil society organizations. International NGOs and national CSOs in Mozambique work together under the National Civil Society Platform for Social Protection (PSCM-PS), which brings together HelpAge International, Handicap International, Save the Children, and other international and national NGOs.

The openness of the Government of Mozambique has also been a determining factor in the success of the Social Accountability Mechanism. The result was that in 2014, the Government approved a regulatory framework for the incorporation of CSOs in the implementation of the National Strategy for Basic Social Security. Meanwhile, the reach of the Social Accountability Mechanism has already grown from five to eight provinces and is due to cover the entire country by the end of 2015.

CHAPTER VI Conclusion

Despite the rapid extension of social protection throughout Eastern and Southern Africa, the region still faces a number of challenges. First, using public funds to finance broad-reaching programmes that can have a significant impact on poverty remains difficult for many countries. Given budgetary limitations and pressures, many countries also face the risk of moving away from a rights-based approach to social protection and limiting their ambitions to basic safety net programmes that do not promote long-term economic and social stability or reduce inequality.

Second, countries often do not reach a consensus on the need for social protection. Thus, buy-in for these types of programmes can be limited, which undermines society's financial and political commitment to social protection and the latter's sustainability. In particular, there is general resistance to the provision of cash transfers to households that have labour capacity for fear of creating dependency or encouraging moral hazard. At the same time, evidence that dismisses these concerns – while existing and growing – is not widely consulted by influential policy-makers and their constituencies.

Third, while many countries in the region have social protection policies and/or strategies in place, they now face challenges in defining concrete action plans and implementing systems and programmes. It is often the case that a comprehensive and practical plan regarding the expansion of social protection does not exist, for example, and that clear goals and targets are lacking. What is more, it is still common to find a lack of systematic knowledge and expertise in the region on how to deal with these challenges.

However, the country examples highlighted in this Issues Brief show that more and more countries aim to extend significantly the coverage of their social protection programmes and move towards more comprehensive social protection systems.

In this context, United Nations agencies can play a crucial role in promoting the social protection floor and supporting its progressive implementation. They can help countries develop a shared vision for the expansion of social protection through assessment based national dialogues on social protection and participatory development of national social protection strategies. They can support countries in scaling up existing programmes to progressively achieve more inclusive systems and providing higher levels of benefits. They can also help countries in the development of a systems approach to social protection to avoid duplication of services between programmes, search for synergies, and achieve higher efficiency. They can finally use their bird's eye view to share good practices from other countries in Eastern and Southern Africa and beyond and foster South-South cooperation.

By working as One, UN agencies can significantly increase the impact of interventions and avoid situations where conflicting advice is provided to countries. Furthermore, synergies can be achieved when leveraging their respective strengths to provide support on a particular aspect or issue. The pooling of resources can thus help achieve bigger and more sustainable gains than individualized action. At the same time, UN agencies can work together and with countries to better link national social protection actors (administrators, programme managers, among others) to networks of experts and learning opportunities in other countries.

These experiences of working as One on social protection including floors will serve as a role model for the integrated implementation of the social protection components of the 2030 Development Agenda.

ANNEX 1

Statistical Annex

Table 1. Scope of legal social security provisions in Eastern and Southern Africa

	Number of policy areas covered by at least one programme	Sickness (cash)	Maternity (cash)	Old age	Employment injury	Invalidity	Survivors	Family allowances	Unemployment
Angola	●	●	●	●	●
Botswana	4	▲	▲	●	●	None	●	●	▲
Burundi	6	●	▲	●	●	●	●	●	None
Comoros	1	●
Eritrea	▲	None
Ethiopia	4	▲	▲	●	●	●	●	None	▲
Kenya	4	▲	▲	●	●	●	●	None	None
Lesotho	3	▲	▲	●	●	●	●	...	▲
Madagascar	6	▲	●	●	●	●	●	●	None
Malawi	1	△	▲	○	●	None	None	None	None
Mozambique	6	●	●	●	...	●	●	●	None
Namibia	7	●	●	●	●	●	●	●	▲
Rwanda	4	▲	▲	●	●	●	●	None	▲
South Africa	8	●	●	●	●	●	●	●	●
South Sudan	None
Swaziland	4	None	△	●	●	●	●	None	None
Tanzania, United Republic of	5	△	●	●	●	●	●	None	▲
Uganda	4	△	▲	●	●	●	●	None	▲
Zambia	4	△	None	●	●	●	●	None	None
Zimbabwe	4	None	▲	●	●	●	●	None	None

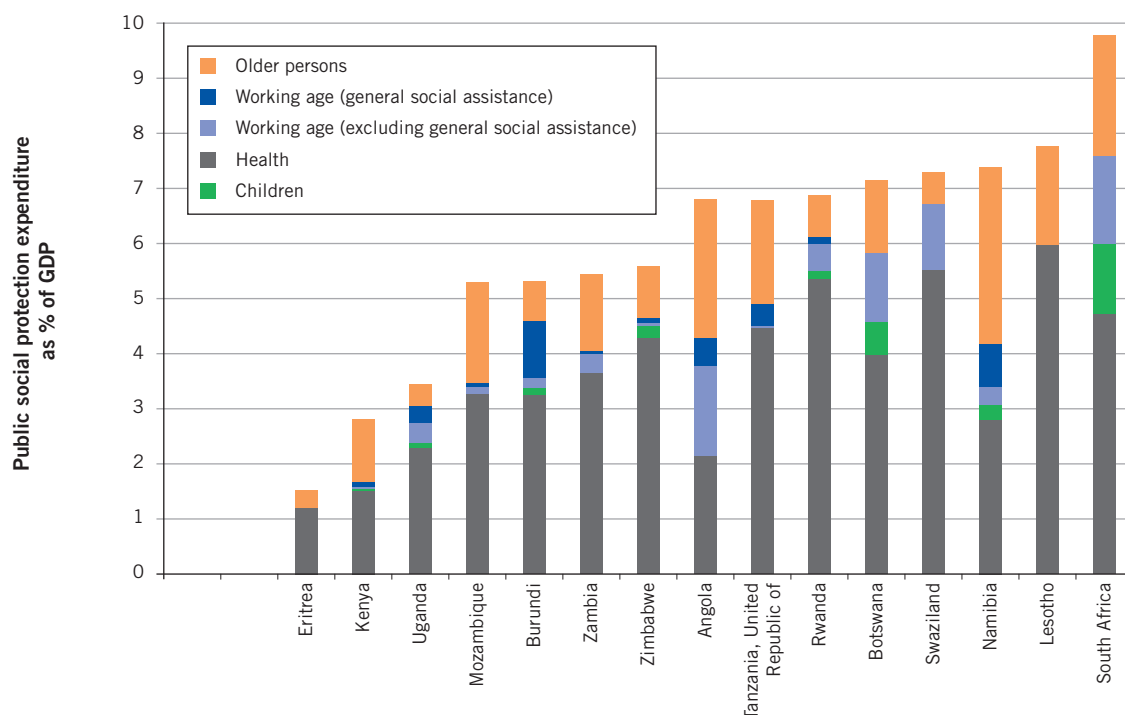
Source: ILO, 2014. Completed with ILO Natlex.

Note: Eight policy areas (or branches) are taken into consideration: sickness, maternity, old age, employment injury, invalidity, survivors, family allowances, and unemployment.

Symbols:

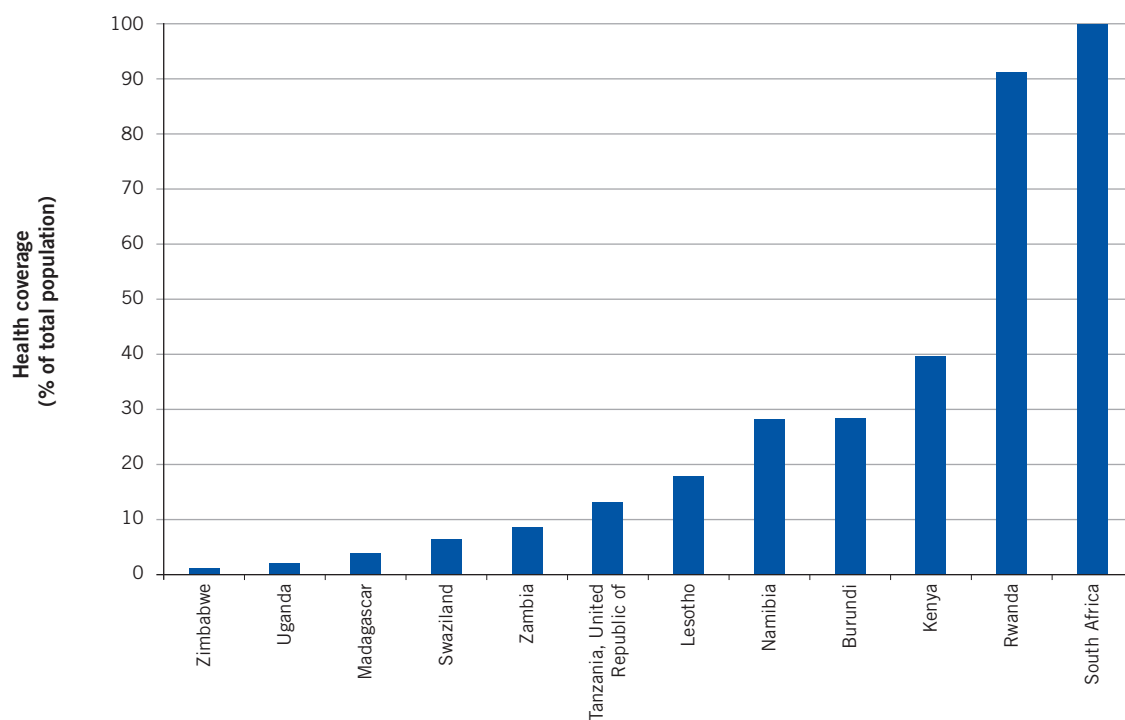
- ... Information not available
- At least one programme anchored in national legislation
- Legislation not yet implemented.
- ▲ Limited provision (e.g. labour code only)
- △ Only benefit in kind (e.g. medical care in the case of sickness and maternity benefits)

Figure 7: Public social protection expenditure as a percentage of GDP in Eastern and Southern Africa



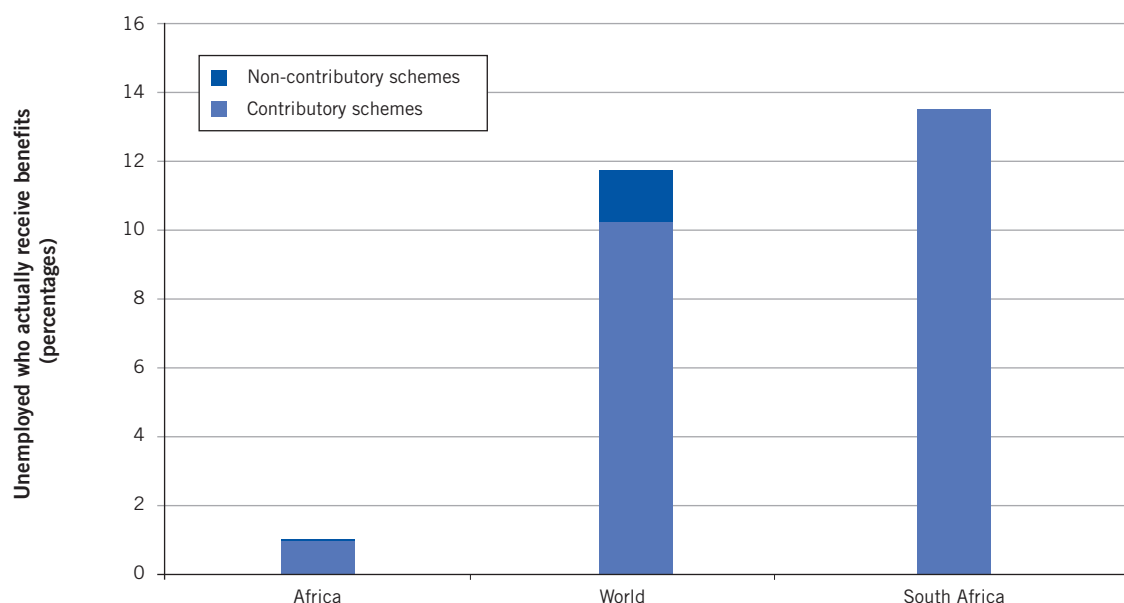
Source: ILO, 2014.

Figure 8: Population in Eastern and Southern Africa covered by health insurance or free access to health-care services provided by the State (percentage)



Source: ILO, 2014.

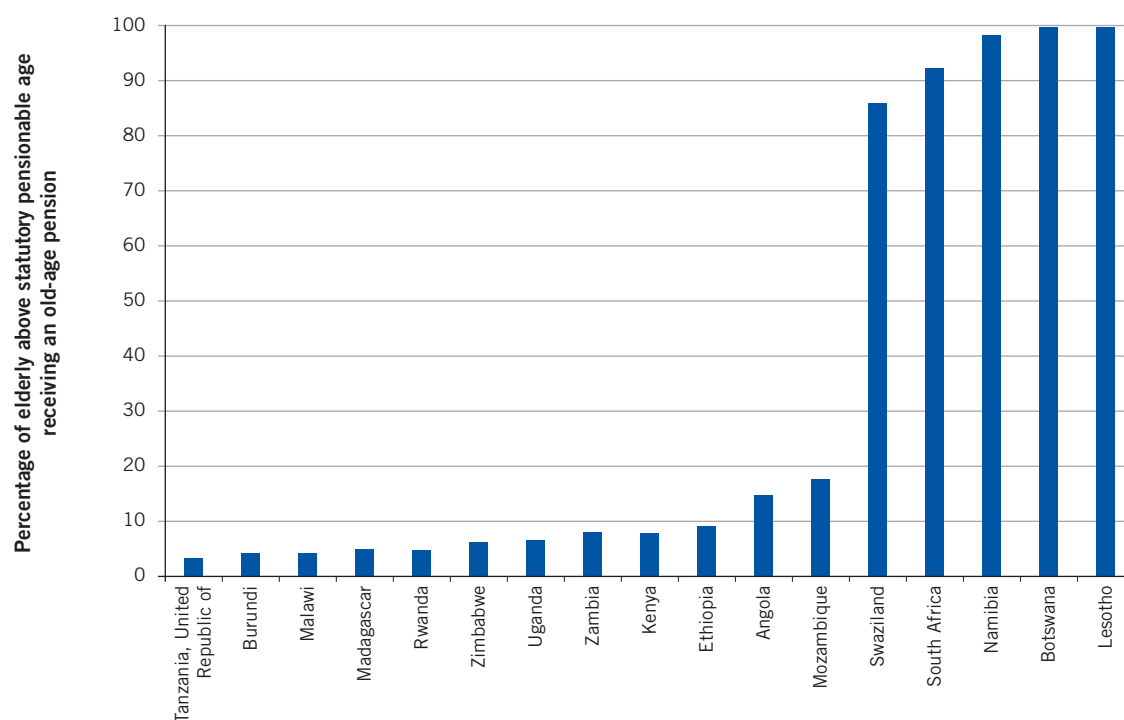
Figure 9: Effective unemployment protection coverage in Eastern and Southern Africa – Unemployed who actually receive benefits (percentage)



Source: ILO, 2014.

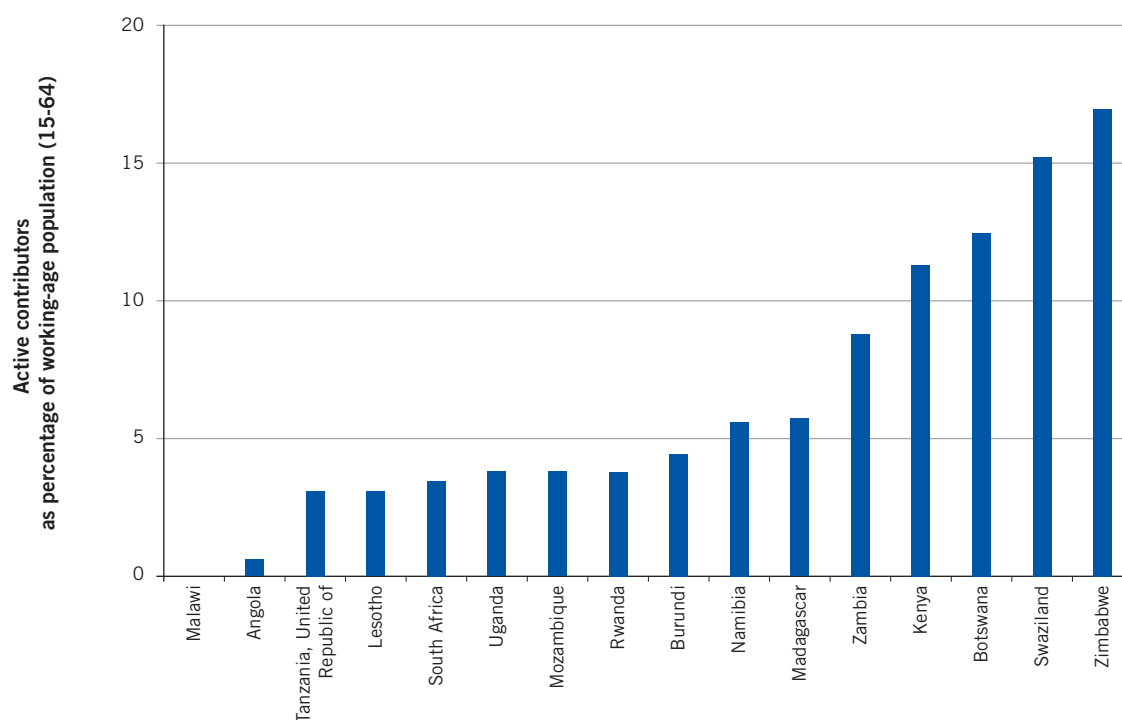
Note: South Africa is the only country in Eastern and Southern Africa that provides unemployment benefits in the form of social insurance. The other countries either have severance payments in place or do not have any programme anchored in national legislation.

Figure 10: Effective old-age pension coverage in Eastern and Southern Africa – Elderly above statutory pensionable age receiving an old-age pension (percentage)



Source: ILO, 2014.

Figure 11: Effective old-age pension coverage in Eastern and Southern Africa – Active contributors in the working-age population (percentage)



Source: ILO, 2014.

Table 2: Main features of non-contributory pension schemes in Eastern and Southern Africa

Country	Age of eligibility	Citizenship	Residency	Income test	Asset test	Pension-tested
Botswana	65	●	●	○	...	○
Kenya ¹	65	...	●	●	...	●
Kenya ²	55	...	●	○	○	○
Lesotho	70	...	●	○	○	●
Mozambique	60 (m) 55 (w)	●	...	●
Namibia	60	○	○	○
South Africa	60	●	●	●	●	●
Swaziland	60	○	○	●
Zambia	60	○	○	○

Source: ILO, 2014.

Notes: ¹ Older Persons Cash Transfer (pilot) introduced in 2006 ² Hunger Safety Net Programme (pilot) introduced in 2008

Symbols:

- ... Information not available
- Yes
- No

ANNEX 2

Social protection resources available to UNCTs in Eastern and Southern Africa

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ANNEX 3

Recommendation concerning national floors of social protection

Preamble

The General Conference of the International Labour Organization,

Having been convened at Geneva by the Governing Body of the International Labour Office, and having met in its 101st Session on 30 May 2012, and

Reaffirming that the right to social security is a human right, and

Acknowledging that the right to social security is, along with promoting employment, an economic and social necessity for development and progress, and

Recognizing that social security is an important tool to prevent and reduce poverty, inequality, social exclusion and social insecurity, to promote equal opportunity and gender and racial equality, and to support the transition from informal to formal employment, and

Considering that social security is an investment in people that empowers them to adjust to changes in the economy and in the labour market, 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, and

Considering that the prioritization of policies aimed at sustainable long-term growth associated with social inclusion helps overcome extreme poverty and reduces social inequalities and differences within and among regions, and

Recognizing that the transition to formal employment and the establishment of sustainable social security systems are mutually supportive, and

Recalling that the Declaration of Philadelphia recognizes the solemn obligation of the International Labour Organization to contribute to “achiev[ing] ... the extension of social security measures to provide a basic income to all in need of such protection and comprehensive medical care”, and

Considering the Universal Declaration of Human Rights, in particular Articles 22 and 25, and the International Covenant on Economic, Social and Cultural Rights, in particular Articles 9, 11 and 12, and

Considering also ILO social security standards, in particular the Social Security (Minimum Standards) Convention, 1952 (No. 102), the Income Security Recommendation, 1944 (No. 67), and the Medical Care Recommendation, 1944 (No. 69), and noting that these standards are of continuing relevance and continue to be important references for social security systems, and

Recalling that the ILO Declaration on Social Justice for a Fair Globalization recognizes that “the commitments and efforts of Members and the Organization to implement the ILO’s constitutional mandate, including through international labour standards, and to place full and productive employment and decent work at the centre of economic and social policies, should be based on ... (ii) developing and enhancing measures of social protection ... which are sustainable and adapted to national circumstances, including ... the extension of social security to all”, and Considering the resolution and Conclusions concerning the recurrent discussion on

social protection (social security) adopted by the International Labour Conference at its 100th Session (2011), which recognize the need for a Recommendation complementing existing ILO social security standards and providing guidance to Members in building social protection floors tailored to national circumstances and levels of development, as part of comprehensive social security systems, and

Having decided upon the adoption of certain proposals with regard to social protection floors, which are the subject of the fourth item on the agenda of the session, and

Having determined that these proposals shall take the form of a Recommendation;

adopts this fourteenth day of June of the year two thousand and twelve the following Recommendation, which may be cited as the Social Protection Floors Recommendation, 2012.

I. Objectives, scope and principles

1. This Recommendation provides guidance to Members to:
 - (a) establish and maintain, as applicable, social protection floors as a fundamental element of their national social security systems; and
 - (b) implement social protection floors within strategies for the extension of social security that progressively ensure higher levels of social security to as many people as possible, guided by ILO social security standards.
2. For the purpose of this Recommendation, social protection floors are nationally defined sets of basic social security guarantees which secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion.
3. Recognizing the overall and primary responsibility of the State in giving effect to this Recommendation, Members should apply the following principles:
 - (a) universality of protection, based on social solidarity;
 - (b) entitlement to benefits prescribed by national law;
 - (c) adequacy and predictability of benefits;
 - (d) non-discrimination, gender equality and responsiveness to special needs;
 - (e) social inclusion, including of persons in the informal economy;
 - (f) respect for the rights and dignity of people covered by the social security guarantees;
 - (g) progressive realization, including by setting targets and time frames;
 - (h) solidarity in financing while seeking to achieve an optimal balance between the responsibilities and interests among those who finance and benefit from social security schemes;
 - (i) consideration of diversity of methods and approaches, including of financing mechanisms and delivery systems;
 - (j) transparent, accountable and sound financial management and administration;
 - (k) financial, fiscal and economic sustainability with due regard to social justice and equity;
 - (l) coherence with social, economic and employment policies;
 - (m) coherence across institutions responsible for delivery of social protection;

- (n) high-quality public services that enhance the delivery of social security systems;
- (o) efficiency and accessibility of complaint and appeal procedures;
- (p) regular monitoring of implementation, and periodic evaluation;
- (q) full respect for collective bargaining and freedom of association for all workers; and
- (r) tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned.

II. National social protection floors

4. Members should, in accordance with national circumstances, establish as quickly as possible and maintain their social protection floors comprising basic social security guarantees. The guarantees should ensure at 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.
5. The social protection floors referred to in Paragraph 4 should comprise at least the following basic social security guarantees:
 - (a) access to a nationally defined set of goods and services, constituting essential health care, including maternity care, that meets the criteria of availability, accessibility, acceptability and quality;
 - (b) basic income security for children, at least at a nationally defined minimum level, providing access to nutrition, education, care and any other necessary goods and services;
 - (c) basic income security, at least at a nationally defined minimum level, for persons in active age who are unable to earn sufficient income, in particular in cases of sickness, unemployment, maternity and disability; and
 - (d) basic income security, at least at a nationally defined minimum level, for older persons.
6. Subject to their existing international obligations, Members should provide the basic social security guarantees referred to in this Recommendation to at least all residents and children, as defined in national laws and regulations.
7. Basic social security guarantees should be established by law. National laws and regulations should specify the range, qualifying conditions and levels of the benefits giving effect to these guarantees. Impartial, transparent, effective, simple, rapid, accessible and inexpensive complaint and appeal procedures should also be specified. Access to complaint and appeal procedures should be free of charge to the applicant. Systems should be in place that enhance compliance with national legal frameworks.
8. When defining the basic social security guarantees, Members should give due consideration to the following:
 - (a) persons in need of health care should not face hardship and an increased risk of poverty due to the financial consequences of accessing essential health care. Free prenatal and postnatal medical care for the most vulnerable should also be considered;
 - (b) basic income security should allow life in dignity. Nationally defined minimum levels of income may correspond to the monetary value of a set of necessary goods and services, national poverty lines, income thresholds for social assistance or other comparable thresholds established by national law or practice, and may take into account regional differences;

- (c) the levels of basic social security guarantees should be regularly reviewed through a transparent procedure that is established by national laws, regulations or practice, as appropriate; and
 - (d) in regard to the establishment and review of the levels of these guarantees, tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned, should be ensured.
9. (1) In providing the basic social security guarantees, Members should consider different approaches with a view to implementing the most effective and efficient combination of benefits and schemes in the national context.
- (2) Benefits may include child and family benefits, sickness and health-care benefits, maternity benefits, disability benefits, old-age benefits, survivors' benefits, unemployment benefits and employment guarantees, and employment injury benefits as well as any other social benefits in cash or in kind.
- (3) Schemes providing such benefits may include universal benefit schemes, social insurance schemes, social assistance schemes, negative income tax schemes, public employment schemes and employment support schemes.
10. In designing and implementing national social protection floors, Members should:
- (a) combine preventive, promotional and active measures, benefits and social services;
 - (b) promote productive economic activity and formal employment through considering policies that include public procurement, government credit provisions, labour inspection, labour market policies and tax incentives, and that promote education, vocational training, productive skills and employability; and
 - (c) ensure coordination with other policies that enhance formal employment, income generation, education, literacy, vocational training, skills and employability, that reduce precariousness, and that promote secure work, entrepreneurship and sustainable enterprises within a decent work framework.
11. (1) Members should consider using a variety of different methods to mobilize the necessary resources to ensure financial, fiscal and economic sustainability of national social protection floors, taking into account the contributory capacities of different population groups. Such methods may include, individually or in combination, effective enforcement of tax and contribution obligations, reprioritizing expenditure, or a broader and sufficiently progressive revenue base.
- (2) In applying such methods, Members should consider the need to implement measures to prevent fraud, tax evasion and non-payment of contributions.
12. National social protection floors should be financed by national resources. Members whose economic and fiscal capacities are insufficient to implement the guarantees may seek international cooperation and support that complement their own efforts.

III. National strategies for the extension of social security

13. (1) Members should formulate and implement national social security extension strategies, based on national consultations through effective social dialogue and social participation. National strategies should:
- (a) prioritize the implementation of social protection floors as a starting point for countries that do not have a minimum level of social security guarantees, and as a fundamental element of their national social security systems; and

- (b) seek to provide higher levels of protection to as many people as possible, reflecting economic and fiscal capacities of Members, and as soon as possible.
 - (2) For this purpose, Members should progressively build and maintain comprehensive and adequate social security systems coherent with national policy objectives and seek to coordinate social security policies with other public policies.
14. When formulating and implementing national social security extension strategies, Members should:
- (a) set objectives reflecting national priorities;
 - (b) identify gaps in, and barriers to, protection;
 - (c) seek to close gaps in protection through appropriate and effectively coordinated schemes, whether contributory or non-contributory, or both, including through the extension of existing contributory schemes to all concerned persons with contributory capacity;
 - (d) complement social security with active labour market policies, including vocational training or other measures, as appropriate;
 - (e) specify financial requirements and resources as well as the time frame and sequencing for the progressive achievement of the objectives; and
 - (f) raise awareness about their social protection floors and their extension strategies, and undertake information programmes, including through social dialogue.
15. Social security extension strategies should apply to persons both in the formal and informal economy and support the growth of formal employment and the reduction of informality, and should be consistent with, and conducive to, the implementation of the social, economic and environmental development plans of Members.
16. Social security extension strategies should ensure support for disadvantaged groups and people with special needs.
17. When building comprehensive social security systems reflecting national objectives, priorities and economic and fiscal capacities, Members should aim to achieve the range and levels of benefits set out in the Social Security (Minimum Standards) Convention, 1952 (No. 102), or in other ILO social security Conventions and Recommendations setting out more advanced standards.
18. Members should consider ratifying, as early as national circumstances allow, the Social Security (Minimum Standards) Convention, 1952 (No. 102). Furthermore, Members should consider ratifying, or giving effect to, as applicable, other ILO social security Conventions and Recommendations setting out more advanced standards.

IV. Monitoring

19. Members should monitor progress in implementing social protection floors and achieving other objectives of national social security extension strategies through appropriate nationally defined mechanisms, including tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned.
20. Members should regularly convene national consultations to assess progress and discuss policies for the further horizontal and vertical extension of social security.

21. For the purpose of Paragraph 19, Members should regularly collect, compile, analyse and publish an appropriate range of social security data, statistics and indicators, disaggregated, in particular, by gender.
22. In developing or revising the concepts, definitions and methodology used in the production of social security data, statistics and indicators, Members should take into consideration relevant guidance provided by the International Labour Organization, in particular, as appropriate, the resolution concerning the development of social security statistics adopted by the Ninth International Conference of Labour Statisticians.
23. Members should establish a legal framework to secure and protect private individual information contained in their social security data systems.
24. (1) Members are encouraged to exchange information, experiences and expertise on social security strategies, policies and practices among themselves and with the International Labour Office.

(2) In implementing this Recommendation, Members may seek technical assistance from the International Labour Organization and other relevant international organizations in accordance with their respective mandates.

ANNEX 4

Joint UNDG-ILO letter to all Resident Coordinators, 24 march 2014



**UNITED NATIONS
DEVELOPMENT GROUP**



International
Labour
Organization

24 March 2014

Dear Colleagues,

In April 2009, the UN System's Chief Executives Board for Co-ordination (CEB) launched the Social Protection Floor Initiative. Endorsed by UN Member States at the Rio +20 Conference on Sustainable Development, and supported by the G-20 and many other fora, the Initiative garnered significant attention and momentum.

UN-wide implementation was given a boost in June 2012 when governments, employers, and workers adopted the path-breaking **ILO Recommendation Concerning National Floors of Social Protection (No. 202)** by consensus at the 101st ILC session, on 14 June 2012, in Geneva.

Social Protection Floors (SPFs) comprise at least basic social security guarantees for health care, and also for income security for children, older persons, and for those unable to work – in particular in cases of sickness, unemployment, maternity, and disability. The ILO Recommendation and UN follow up helped lead to the establishment of Social Protection Floors (SPFs) in a number of countries.

We write to encourage you to maintain momentum behind this important work.

The need remains enormous: more than 76 per cent of the world's population continues to live without adequate social protection coverage. Expanding people's access to social protection is both a way to advance human rights and a sound economic policy. Well-designed social protection systems support household incomes and domestic consumption; build human capital; and increase productivity.

In the face of an uncertain global recovery and lower demand, the adoption of a social protection floor is an opportunity to help stabilize economies, generate inclusive growth, and build political stability. Social Protection Floors are an indispensable tool for helping countries to reduce poverty, curb inequality, strengthen resilience, and lay the ground for sustainable human development.

For this reason we ask Resident Co-ordinators and UNCTs to consider a number of specific steps to advance this work, which could include:

1. building, or where they already exist, strengthening **One UN national social protection floor teams**, which should include committed UN organization representatives, relevant national stakeholders, and development partners.
2. supporting national dialogues, including within Governments, on potential options for designing and implementing locally appropriate SPFs, consistent with relevant provisions in the ILO Recommendation, and

related initiatives – such as WHO’s work on universal health coverage and existing national development priorities and strategies.

3. assisting countries to undertake analysis of social protection needs and gaps, optional measures which would close these gaps, tools to monitor progress, and possible sources of financing, with the hope of increasing floors over time.
4. in the context of preparing United Nations Development Assistance Frameworks (UNDAFs), promoting SPFs as instruments to advance inclusive and sustainable development.
5. working with national statistical offices to strengthen their ability to collect the data needed to analyse social protection needs and existing provisions, disaggregated by factors such as gender, age, and geographical locality. Promote an efficient and co-ordinated UNCT approach to data collection and capacity support.

The “Manual on the Strategic Framework for Joint SPF UN Country Operations” sent to UN Country Teams in 2009 remains a useful guide for your efforts to undertake these or other steps. As well, a set of complementary tools is being developed (to be circulated shortly). It can be used to help governments assess the cost and the design of SPFs.

The UNDG will shortly be publishing an Issue Brief on SPFs which lays out a joint UN position, helps guide the work of UNCTs, and highlights entry points and concrete examples of UNCT support. The note builds on the successful experience of UNDG Asia-Pacific in this area.

Strong and concerted UN support has played a role in helping countries across regions to formulate national Social Protection Floors. The leadership and guidance of Resident Co-ordinators can play an important role. We ask, therefore that you consider, within your country context, the steps which could be taken to help make social protection a reality for all.

Yours sincerely,



Helen Clark
Chair
United Nations Development Group



Guy Ryder
Director-General
International Labour Office

ISBN 978-92-2-130467-8



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