



Disaster Recovery Guidance Series

Social Protection and Disaster Recovery

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1. Introduction

This note highlights the critical contribution that social protection can make to a broader disaster recovery effort by providing assistance directly to disaster-affected households. It is intended primarily for those government officials involved in organizing the post-disaster response and recovery effort who may not be familiar with social protection or the contribution it can make as part of their response and recovery plans. It also provides a high-level sensitization to the main social protection programs and their potential uses in response and recovery, including their primary strengths and limitations in post-disaster settings. It is hoped that this indicative information can provide the basis and impetus for government officials leading the response and recovery effort to collaborate with their own national social protection ministries, departments and agencies in order to assess the most appropriate contribution that social protection can make in their specific country contexts, and at a much more detailed degree of technical specificity.

The note outlines the following points in greater detail:

- **The types of social safety net programs and their relevance to response and recovery.** This section provides an overview of the primary safety net programs in the form of cash, food and in-kind transfers, as well as public works. It outlines the main characteristics for each, along with their relevance to post-disaster contexts, as well as some of the primary opportunities, limitations and tradeoffs regarding their use.
- **Methods for increasing the responsiveness of safety net programs:** scalability and emergency programming. This section outlines the specific methods that can be employed to improve the responsiveness of each of the safety net programs through scalability. This entails leveraging an existing safety net program to deliver more assistance to existing beneficiaries or incorporating non-beneficiaries that have been affected by a disaster into the safety net program on a temporary basis. Alternatively, a dedicated emergency response program may be created to leverage underlying social protection delivery systems to deliver assistance to the affected population.
- **Step-by-step implementation considerations for delivery in post-disaster settings.** Several critical delivery considerations are important in delivering a safety net program to disaster-affected households. This section outlines the social protection ‘delivery chain,’ assessing key delivery considerations and decision points. These are grouped into four phases along the chain, namely: Assess; Enroll; Provide; and Monitor and Manage. Within these four phases, there are also nine sequential steps.
- **A typology for assessing readiness and establishing priorities during this disaster.** Ultimately, the extent to which social protection can be used following a disaster will depend to a large extent on the strength of the social protection system in any given country, including its comprehensiveness and responsiveness. This section provides a rough typology to determine the broad priorities for the current disaster, as well as ahead of the next disaster.

■ **Investing in adaptive social protection to be better prepared for the next disaster.**

Lastly, the note presents the Adaptive Social Protection agenda, a preparedness agenda that summarizes the core investments that are required to increase the responsiveness of the social protection system ahead of the next disaster. This note deliberately focuses on a post-disaster scenario with no assumed lead-time to undertake preparedness measures and investments to enhance the responsiveness of the social protection system. However, in all instances, it is recommended that preparedness measures and investments in the social protection system be made to develop an Adaptive Social Protection that is more responsive to disasters.

First things first: What is social protection?

The World Bank Social Protection and Labor Strategy for 2012-2022 defines social protection in the following way:

“Social protection and labor systems, policies, and programs help individuals and societies manage risk and volatility and protect them from poverty and destitution—through instruments that improve resilience, equity, and opportunity.”

Three interrelated goals for social protection are identified:

- **Resilience** for the vulnerable through insuring against the impact of drops in wellbeing from a range of shocks.
- **Equity** for the poor through protecting against destitution and promoting equality of opportunity.
- **Opportunity** for all through promoting human capital in children and adults and “connecting” men and women to more productive employment.

There are many social protection programs that enable the pursuit of these goals, each of which generally fall into the following three categories:

■ **Social Safety Net (SSN) / Social Assistance (SA) Programs** are non-contributory

interventions designed to help individuals and households cope with chronic poverty, destitution, and vulnerability. SSN/SA programs target the poor and vulnerable. Examples include unconditional and conditional cash transfers, noncontributory social pensions, food and in-kind transfers, school feeding programs, public works, fee waivers and targeted subsidies, and other interventions (social services).

- **Social Insurance Programs** are contributory interventions that are designed to help individuals manage sudden changes in income because of old age, sickness, disability, or natural disaster. Individuals pay insurance premiums to be eligible for coverage or contribute a percentage of their earnings to a mandatory insurance scheme. Examples include contributory old-age, survivor, and disability pensions; sick leave and maternity/ paternity benefits; and other types of insurance (for example, health insurance coverage).

- **Labor Market Programs** can be contributory or noncontributory programs. They are designed to help protect individuals against loss of income from unemployment (passive labor market policies) or help them to acquire skills and connect them to labor markets (active labor market policies). Unemployment insurance and early retirement incentives are examples of passive labor market policies, whereas training, employment intermediation services, and wage subsidies are examples of active policies.

Together, these programs constitute a country’s social protection ‘system’. Within a social protection system, there are multiple social protection programs — social assistance, social insurance and labor market programs. Each of these programs pursues myriad

Box 1: Social Protection: Enhancing the Timeliness of Response, and Avoiding Further Income Losses Associated with a Late Response

It is widely understood that late responses to shocks are costlier than taking early action. For example, Hill, Skoufias and Maher (2019) estimate that the cost of not responding on time to meet the consumption needs of those suffering from drought is 3.9 percent lower income (gross domestic product [GDP]) per capita in the long run. The gain from an emergency response that is one month quicker is 0.8 percent of GDP per capita.

Ethiopia's Productive Safety Nets Program (PSNP) is an example of a response delivered through a social safety net program that included adequate preparedness measures. As such, it dramatically enhanced the speed with which a disaster response could be delivered to affected households. The PSNP provides assistance to chronically food insecure households, targeting around 8 million people. To meet the additional needs associated with the drought, a Risk Financing Mechanism (RFM) was put in place to enable rapid responses to shocks, that is, within six weeks from request to disbursement. By contrast, the process of early warning, assessment, appeal, and response through the humanitarian system typically takes around eight months (Hobson and Campbell 2012).

objectives, reaching different sections of the population with various forms of assistance, each with varying degrees of utility for disaster response and recovery (see section 2). This system can look very different from country to country, suggesting different pathways, constraints and opportunities for the use of social protection in disaster response and recovery. These constraints and opportunities are explored further in section 6.

A country's social protection system and its constituent programs can be used to deliver assistance to affected households in order to protect their wellbeing, thereby enabling them to recover more quickly. In order to meet immediate consumption needs in the aftermath of shocks, households often resort to 'negative coping strategies', such as reducing consumption, selling their productive assets, and/or pulling their children out of school (because of the need to pay fees). These negative coping strategies can undermine their productive potential and human capital over the long term. By providing assistance to households in the immediate aftermaths of shocks, social protection systems can protect human capital and livelihoods. Moreover, as Box 1 describes, responses to shocks using pre-existing social protection systems and programs can potentially enhance the timeliness of the

response, thereby contributing to avoiding income losses associated with a late response.

Social protection systems and their programs can also contribute to the longer-term recovery from disasters by supporting the affected households to "bounce back better". The concept of "building back better" (BBB) in disaster risk management (Priority 4 of the Sendai Framework for Disaster Risk Reduction) emphasizes that reconstruction after a disaster offers an opportunity that should be harnessed to build more resilient societies ahead of the next disaster (Hallegate and others 2018). For example, BBB encourages the reconstruction of buildings previously inside flood zones to be built outside of them, or new structures that are designed to resist high winds, and so on. Rebuilding following a disaster in a manner that recreates the same vulnerabilities to disasters is counterproductive. In the same way, social protection programs that are integrated into longer-term recovery can provide the means with which vulnerable households can invest in becoming less exposed and vulnerable to future disasters over the longer term, so that they do not only 'bounce back' to a prior state of vulnerability to the next disaster, but 'bounce back better' or 'bounce forward' toward a more resilient state (see for example, Shelton, 2013).

2. Safety Net Programs and Disaster Recovery

This note focuses on the role of safety net programs in disaster response and recovery.

The types of safety net programs that are most often used to support disaster response and recovery include cash transfers, food and in-kind transfers and public works programs.¹ Transfer and public works programs are the primary types of interventions delivered by humanitarian agencies to disaster-affected people, highlighting a strong intersection between non-governmental humanitarian assistance programs and government-led social protection programs. Where they exist, government-led safety net programs can provide the means for delivering post-disaster assistance through pre-existing, nationally led delivery conduits — either alongside or instead of humanitarian assistance. Moreover, safety net programs are typically targeted to the poorest and most vulnerable households,

providing the means through which to address the particular vulnerability of these households to the impacts of disasters. Social insurance and active labor market programs may also be utilized in a disaster response and recovery, as noted in Box 2. However, they are not the focus of this note.

When contemplating the use of an existing safety net program for use in post-disaster recovery, the following foundational questions should be considered:

- Which geographic areas have been affected by the disaster?
- Within those areas, how many households have been affected?
- Among the affected households, how many are likely to be especially vulnerable to the impacts — based on their livelihood, poverty

Box 2: Social Insurance Programs and Disaster Recovery

Contributory programs such as social and unemployment insurance are often considered to be the primary tools by which the social protection system can assist households affected by shocks. However, access for the poor and most vulnerable is often limited.

Shocks, such as disasters, can lead to a cessation of business activity and unemployment. As such, unemployment insurance (defined as a labor market or a social insurance program) is the quintessential shock-responsive program to assist affected households.

In countries where the share of the formal labor force is limited and access to unemployment and social insurance is highly constrained — especially among the poorest households — the role for these kinds of social insurance programs is limited. This is primarily due to their inadequate reach and limited coverage of the poorest and most vulnerable.

Thus, social insurance programs are integral to the provision of assistance across all households and can provide risk management resources to those households that can access such programs. For those households that cannot access such programs, typically at the lower end of the income distribution, non-contributory social assistance programs can provide alternative risk management options, when appropriately designed.

¹ Public works are more typically referred to as cash-for-work by the humanitarian community.

Box 3: When Might Social Protection be Better than Alternative Options for Disaster Recovery?

The Oxford Policy Management (OPM) research series on Shock Responsive Social Protection highlighted that recovery through social protection will be preferable to other alternatives (such as humanitarian assistance) for the provision of assistance when it satisfies the following criteria:

- **Meeting needs:** This requires delivering an equal or greater impact than alternatives through a response that is better targeted, providing a more adequate level of support, or providing support of a more appropriate nature.
- **Coverage of the population:** This means increasing the absolute number of people reached, or the relative share of those in need of assistance.
- **Timeliness:** This entails delivering a timelier response to crises, and avoiding interventions delivered too late to be of use for the shock they were intended to address.
- **Predictability:** This is of importance in ensuring that funding for implementing agencies and therefore, assistance to households will be more predictable.
- **Elimination of duplication:** This could include reducing duplication in delivery systems and processes and increasing coordination among program implementers.
- **Sustainability:** This is an important consideration, leading to strengthened organizational capacity, such as through responses embedded in government-led systems.

When combined with information about costs, the value for money of shock-responsive social protection versus alternative responses can be assessed. The research found that the discussion focuses particularly on improving cost-efficiency, that is, how well inputs (financial, material and human resources) are converted into outputs (for example, amounts disbursed to beneficiaries or the number of people reached with assistance).

Source: O'Brien and others (2018)

status, belonging to a vulnerable group (such as women, the disabled, the elderly and children)?

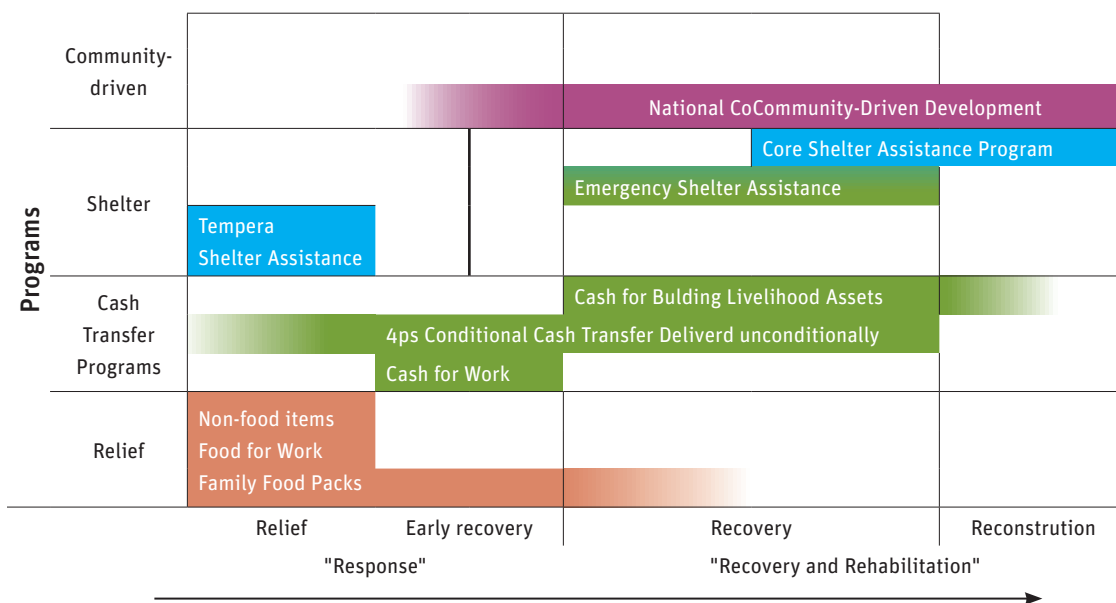
- Which safety net programs have the largest coverage among these households?
- Does the safety net program have the capacity (physical, human and financial) to be used to respond to this disaster?
- To what extent has this capacity been undermined by the impact of a disaster?
- Does this safety net have a comparative advantage in the recovery process as compared to other forms of assistance delivered by government ministries, departments and agencies (MDAs) or non-governmental/humanitarian actors? (Box 3)
- If so, how will it be coordinated alongside the other interventions?

Multiple programs may be required to reach different households in different post-disaster time periods. Where multiple safety net programs exist covering different segments of the population, more than one program may

be utilized. This may include assistance across several post-disaster time periods (such as disaster relief, response, recovery, and so on), depending on the assessment and the relative strengths and weaknesses of each program type. For example, Figure 1 depicts the multiple interventions delivered by the Department of Social Welfare and Development (DWSD) in the Philippines across the post-disaster phases. The use of a safety net program(s) should be considered in terms of its relative role and value added compared to other interventions across government or by partners providing post-disaster assistance to households.

In instances where the use of an existing safety net program(s) is deemed appropriate, there are further nuances to be considered according to program type. Each are explored below, including further considerations regarding the relative opportunities and limitations each presents for disaster response and recovery. Moreover, even where an existing safety net program does not exist — or does exist but does not meet these criteria — there may be options for creating a dedicated, ad hoc emergency program with these characteristics.

Figure 1: Multiple Programs for Multiple Household Needs in the Philippines



Source: Bowen (2015).

Time

3. Types of Social Safety Net Programs

3.1. Cash transfer programs

Regular safety net program characteristics:

Cash transfer safety net programs include the provision of assistance in the form of cash and other near-cash transfers (for example, food stamps, vouchers, and so on) that can be used to transfer resources to the poor and near-poor/vulnerable. The main, direct objective of cash and near cash transfer programs is to increase poor and vulnerable household incomes. Conditionality can also be attached to a cash transfer. The program is then called a conditional cash transfer (CCT) program, in contrast to an unconditional cash transfer (UCT) program. Typical conditionalities could include the following: a transfer is received only if a child attends school or if a child completes a specified number of health center visits during infancy. Such conditionalities are used to promote and improve human development-related outcomes.

Relevance to post-disaster contexts: Cash is increasingly being used in the humanitarian sector as a post-disaster modality. It has several advantages over the more prevalent method of in-kind post-disaster transfers. However, the appropriateness of cash in a post-disaster setting needs to be considered based on several factors. Existing, government-led safety net cash transfer programs — ‘responsive’ or otherwise — are increasingly being leveraged as conduits to deliver cash to affected households after disasters. As noted in Box 4, the humanitarian Grand Bargain highlighted the importance of linking humanitarian cash transfers more closely to national social protection cash transfer programs, wherever possible.

Advantages

- **Multiplier effects:** Cash has been shown to have positive multiplier effects on local markets and economies.

Box 4: The Humanitarian Grand Bargain: Using Cash Transfers and National Social Protection Systems to Respond to Shocks

The Grand Bargain is an agreement between donors and aid providers to increase the means of the people in need and improve the efficiency and effectiveness of humanitarian assistance. It is hoped that this would also help to address the humanitarian financing gap. Among other commitments, the Grand Bargain commits donors and aid organizations to providing 25 per cent of global humanitarian funding to local and national responders by the year 2020. This includes increasing un-earmarked money, as well as increasing multi-year funding to enable greater predictability and continuity in humanitarian responses (Agenda for Humanity 2016).

The Grand Bargain emphasizes the need to link cash payments with the provision of social protection: “Delivering cash should, where possible and appropriate, use, link or align with local and national mechanisms such as social protection systems” (Grand Bargain Document 2016, p.6). It commits aid organizations and donors to “Increase social protection programmes and strengthen national and local systems and coping mechanisms in order to build resilience in fragile contexts” (Grand Bargain Document 2016, p.14).

- **Efficiency:** There can be significant efficiency and value-for-money gains for those implementing the program, compared to the stock piling and provision of in-kind alternatives.
- **Beneficiary choice, agency and dignity:** Recipients report that cash provides them with greater choice and control over how best to meet their own needs. It also provides them a greater sense of dignity relative to in-kind support as a result of being empowered to choose what they need.

Some constraints

- **Reliant on functioning markets:** Cash is ineffective if markets are not functioning. This may occur and persist for some time after a disaster, particularly in the event of a fast-onset, destructive disaster.
- **Possible inflationary impact:** Where markets are functioning, the prices of key goods needed for basic needs and recovery may increase, for example, specific food items or housing materials.
- **Abuse, corruption and diversion:** Both cash and in-kind transfers can be subject to abuse, corruption or diversion. This should be taken into consideration when developing strategies to mitigate identified risks. The comparative risk of abuse, corruption and diversion of cash versus in-kind transfers will be context specific and should be carefully assessed.
- **Security concerns:** Cash can raise security concerns for distributors and beneficiaries at payment sites, as well as during transportation. Such risks must also be adequately mitigated.

3.2. Food and in-kind transfer programs

Regular safety net program characteristics:

In-kind and food-based programs provide additional resources to households when they need them most, typically in the form of food rations, supplementary and school feeding programs, or emergency food distributions. Food and in-kind transfers are still a dominant transfer modality in many countries,² including Egypt, India, Indonesia, and Sri Lanka. A recent wave of evaluations has shown that, on average, in-kind transfers are less cost effective at delivering resources to households than cash transfers (Alderman and others 2017; Gentilini 2016; and Margolies and Hoddinott 2015).

Relevance to post-disaster contexts: In-kind transfers are the predominant transfer modality among the humanitarian community. For example, 93 percent of interventions are non-cash based (ODI 2015). This modality of transfer has also been used in countries such as Mexico and Jamaica to provide social protection response to households affected by both idiosyncratic and covariate shocks.³ In-kind transfers in post-disaster situations serve several important functions, including:

Advantages

- **Meeting lifesaving needs:** In-kind, food and shelter assistance represent potentially lifesaving interventions immediately after a disaster when beneficiaries may lack access to such resources to meet their basic needs for some time.
- **Not reliant on the functioning of local markets:** Food and in-kind transfer programs are essential alternatives to cash where markets are not functioning or are not accessible.

² “Based on administrative data from programs in 108 countries, food and vouchers programs cover 20.4 percent of the population in those settings. This is 13 percentage points higher than [for] unconditional cash transfers (UCTs).” (Alderman and others 2017).

³ Idiosyncratic shocks are shocks that affect individual households, such as the loss of a job, illness or death of a family member. By contrast, covariate shocks are shocks that affect a large proportion of the population, such as, disasters, economic crises or pandemics.



Photo: Binyam Teshome / World Bank

Some constraints

- **Logistical burden and cost:** The provision of in-kind transfers requires complex and cumbersome procurement, supply chains and delivery/transport mechanisms, as well as stockpiling and storage of resources that may perish over time. Relative to cash, the logistics necessary for in-kind transfer programs tend to imply higher costs than cash delivery.
- **Abuse, corruption and diversion:** Both cash and in-kind transfers can be subject to abuse, corruption or diversion. This should be taken into consideration when developing strategies to mitigate any potential risks. The comparative risk of abuse corruption and diversion of cash versus in-kind transfers will be context specific and should be carefully assessed.

- **Lack of choice for beneficiaries:** Unlike cash, the recipient does not have the choice and agency to select the precise assistance tailored to their own particular needs (for example, type of food, materials for shelter, rebuilding, inputs for livelihood rehabilitation, and so on).

3.3. Public works programs

Regular safety net program characteristics:

Labor-intensive public works (LIPW) programs have two main objectives: first, to provide a source of income to poor workers, and second, to construct or rehabilitate public infrastructure. This entails providing temporary employment at low-wage rates mostly to unskilled manual workers. The work involves labor-intensive projects, such as road construction and maintenance, irrigation infrastructure, reforestation, soil conservation, and so on.

Relevance to post-disaster contexts:

Public works have been widely utilized as crisis response tools, providing temporary employment and the means to rehabilitate community infrastructure, both of which are high priorities following a disaster. Beneficiaries may be remunerated for their labor with cash and / or food. Similarly, the humanitarian community widely utilizes Cash-for-Work (CfW)-related interventions following disasters.

Advantages

- **Contributes directly to rehabilitation:** Social benefits can be provided to the wider community, beyond just the immediate recipients. This can be done through projects that may include anything from post-disaster clean-up to rehabilitation-centered public works projects.
- **Beneficiary dignity:** By providing income support to the beneficiary, worker's dignity can be maintained. That is, a recipient would be working for a return on their labor, and not only receiving a transfer.
- **Self-targeting:** Public works programs can be self-targeted depending on the objectives. A program presents the wage and project, and then people decide whether to participate. These programs differ from transfer programs that are typically targeted based on damages or other metric for post-disaster need.
- **Can receive wider public and political support:** Public works programs can be more popular with both the public and politicians in some contexts due to the completion of works by beneficiaries, as opposed to the provision of a transfer without the completion of a service.
- **Climate co-benefits:** Longer-term public works activities can also be designed to generate climate co-benefits. For instance, sustainable land management practices (such

as re-vegetation, the use of multi-purpose trees, or physical structures such as terraces, bunds, pits, and small dams) can store carbon in soils and vegetation. At the same time, it can generate adaptation benefits by reducing water runoff and bringing degraded land back into productive use, thereby leading to higher yields and stronger defenses against flooding and drought.

Some limitations

- **Significant administrative burden:** Public works projects can be administratively demanding. Projects must be well designed and implemented, and materials must be selected and procured. Furthermore, the work must be supervised to ensure that it is done correctly. Such projects benefit from advance planning, although simple post-disaster clean-up activities following the onset of disasters can be organized with minimal preparedness and reduced administrative burden.
- **Lengthy processing:** A public works project cycle is often lengthy, starting from the selection of the type of public works project to implementation. This may mean that the program is not agile enough to be quickly launched after a disaster, unless it has been explicitly designed as such.
- **Work requirement/condition:** The programs are inaccessible to those unable to provide labor, including the elderly and disabled — that is, those who are among the most vulnerable to disaster impacts. Such programs are often complemented by unconditional transfers to vulnerable groups and others who cannot fulfill the labor requirement.

4. Making Safety Net Programs Disaster-responsive

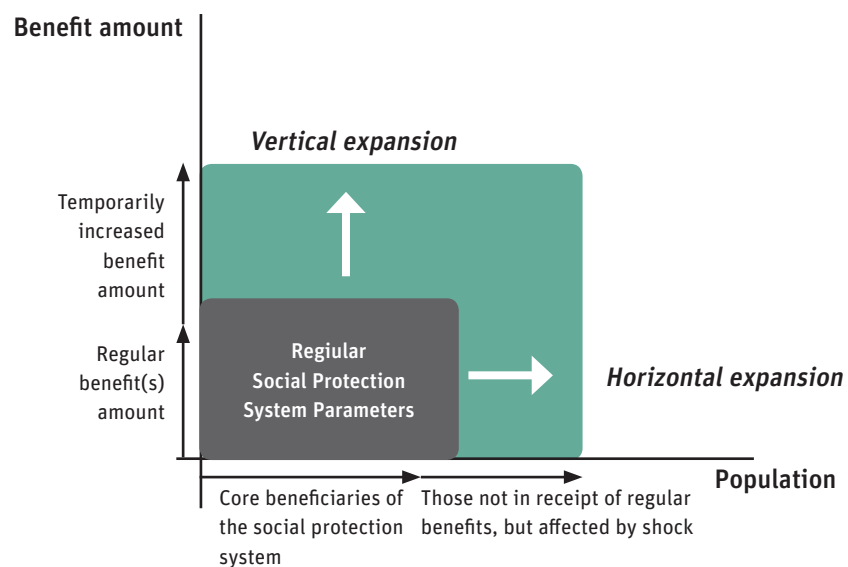
A regular safety net program can be made to be more responsive to a disaster through scalability (Figure 2). A scalable safety net is a pre-existing safety net program with traditional objectives related to poverty reduction, human capital development, and so on, that is also capable of responding to a disaster in the following ways:

- **Scaling up**, alternatively referred to as **vertical expansion** (Oxford Policy Management 2015): This involves providing more assistance (in terms of the amount and / or duration of assistance) to households that are pre-enrolled in an existing safety net program.
- Scaling out, alternatively referred to as **horizontal expansion** (Oxford Policy

Management 2015): Such a program would be capable of adjusting to post-disaster needs and reaching households not already enrolled in the existing safety net program but deemed eligible for post-disaster assistance due to the impacts of the disaster. Programs capable of scaling out are typically also able to scale up.

- **Dedicated emergency program**, alternatively referred to as **piggybacking** (Oxford Policy Management 2015): Several countries do not formally scale up or scale out any existing safety net programs. Rather, they create or utilize a dedicated emergency program with similar characteristics — including cash, in-kind assistance, and public works, which may leverage the same underlying safety net delivery systems used by regular non-emergency safety net programs.

Figure 2: Scalability in an Adaptive Social Protection Program



Source: World Bank (2016).

4.1. Scaling up an existing safety net program / Vertical expansion

- **Where a safety net with a good degree of coverage within disaster-affected areas exists, scaling up the program offers the path of least resistance and complexity.** This is an increasingly common practice in the case of safety nets, predominantly cash transfer programs. In many places, scaling up has been a pragmatic method for ex-post disaster responses, for example, by leveraging safety nets after a disaster has already occurred to deliver assistance to affected safety net beneficiaries. Well-known global experiences include Fiji and the Philippines among others that are described in Boxes 5-9. Scaling up assistance in this manner can be an effective means of reaching pre-identified and pre-registered poor and vulnerable households with assistance at an acute time of need through an existing delivery conduit. However, a serious constraint is the inability to reach other households that may have been affected and who may be equally or more in need of assistance as the pre-existing safety net beneficiaries. These other households will need to be reached through other programs delivered by government MDAs or humanitarian partners.

Advantages of scaling up an existing safety net program

- **Relatively simple:** This involves using existing systems and processes to simply deliver more assistance to an existing pool of beneficiaries, that is, those who are already registered and enrolled.
- **Minimal preparedness required:** This may be evidenced by the fact that this is most often employed after a shock with no preparedness.
- **Pro-poor:** Where the safety net is well-targeted and has adequate coverage, it can reach some of those most vulnerable to the impacts of disasters (as the pre-existing safety net will target poor households).

- **A first step:** This can be a first step in a more ambitious engagement that later seeks to introduce greater complexity through scaling out. However, it may face serious capacity and / or political constraints.
- **Can be supported by partners:** This entails actionable partnerships with development partners and humanitarian actors who may also choose to channel a share of their post-disaster support through the safety net. It may be used to contribute to vertical expansion through “top-ups”, for example, the Philippines and Nepal (see Boxes 6 and 8).
- **Can be done quickly:** This may be fast as the delivery channel to the program’s beneficiaries is already established and, critically, financing is available.

Some limitations

- **Limited responsiveness:** Delivering assistance in this way may not be reflective of needs on the ground. Among the affected, there may be those equally or more in need of assistance than existing beneficiaries. However, they may not be included in the regular social protection program. With this method, such people cannot be reached.
- **Adequacy:** Where top-ups are too low, they may not suffice to meet the needs of those affected by the shock. As such, the expansion amount should be tailored accordingly.
- **Equity:** Due to limited responsiveness, there may be issues of equity which can cause dissatisfaction and unrest. A response based on program limitations rather than actual needs is suboptimal, even when pragmatic.
- **Finance:** The feasibility, scale and timing of the response will be determined by the availability of financial resources to cover this increase in program costs.

Snap shots of global experiences in scaling up, through vertical expansions and top-ups to existing beneficiaries:

Box 5: Fiji: Vertical Expansion through the Social Protection System– Tropical Cyclone Winston, 2015

Fiji was severely affected by tropical cyclone Winston in February 2016. The cyclone killed 44 people and caused damage and loss to the productive, social and infrastructure sectors amounting to US\$ 959 million (or 22 percent of the country's GDP).

In response to the cyclone, the Government of Fiji made additional transfers through its existing social protection system, in particular, through the Poverty Benefit Scheme, the Social Pension Scheme and the Care and Protection Scheme. Transfers were equivalent to three months of regular transfers and were made to all existing beneficiaries, regardless of whether they were affected by the disaster. In addition, the Government of Fiji provided low-income households whose homes were damaged or destroyed with vouchers for repairs and reconstruction under the Help for Homes Initiative.

An impact assessment of the response to the cyclone through the social protection system found that households that received assistance were more likely to report having recovered from various shocks; for instance, they were 8-10 percent more likely to have recovered from housing damage.

Source: Mansur, Doyle and Ivaschenko (2017).

Box 6: The Philippines: Vertical Expansions through the Pantawid Cash Transfer Program – Typhoon Yolanda, 2013

Typhoon Yolanda, which was one of the strongest typhoons ever recorded, struck the Philippines on November 8, 2013. The storm led to storm surges of over 4 meters in some regions, and nearly 6,300 people died. In addition, 4.1 million people were displaced. Pantawid, the flagship nationwide conditional cash transfer (CCT) program to reduce poverty and build human capital that reaches 4.4 million beneficiary households, was used as a vehicle to deliver vertical expansions to existing beneficiaries in the affected areas.

Following the declaration of a “state of calamity”, program conditionalities were waived in specific geographic areas for a certain amount of time (Bowen 2015). Between November 2013 and February 2014, a total of US\$ 12.5 million was distributed to affected beneficiaries. Top-up cash and in-kind support was provided for beneficiaries for an extra two months, covering 100 percent of the food basket.

Both the World Food Programme (WFP) and the United Nations Children's Fund (UNICEF) also leveraged the national household targeting system and the Pantawid delivery system to provide assistance to affected households, topping up the amounts provided by the Philippines Department of Social Welfare and Development (DSWD). In parallel, the WFP provided assistance to those that were not beneficiaries of the Pantawid program through its international non-governmental organization (INGO) implementing partners.

Source: Bowen (2015); Smith (2017).

Box 7: Tonga: Vertical Expansion through the Elderly and Disability Programs - Typhoon Gita, 2018

The tropical cyclone Gita passed directly to the south of Nuku'alofa and severely impacted large parts of the main island, Tongatapu and neighboring 'Eua. Alongside the wider governmental and humanitarian response, the Government channeled assistance through its Social Welfare Scheme for the Elderly and Disability Benefits Scheme. These constitute the Government's two core social protection programs, which intentionally targeted two highly vulnerable groups.

The vertical expansion was quick to be disbursed, given that the programs were already operational. As such, they provided funds for the immediate post-disaster needs of existing beneficiaries. The financing for the expansion was provided by the Australian Government, leveraging the Government of Tonga's social protection systems.

Source: Government of Tonga (2018)

Box 8: Nepal: Vertical Expansions provided by UNICEF through the Social Protection System – Earthquake 2015

In 2015, Nepal was affected by a devastating earthquake, which killed more than 8,700 people, injured over 22,300 and caused damages and losses amounting to over US\$ 7 billion. The earthquake destroyed 490,000 houses and rendered an additional 265,000 houses temporarily uninhabitable.

During the 2015 earthquake response, UNICEF used the social assistance system to deliver cash assistance to approximately 434,000 people in 19 districts of the country. An existing working relationship with the Government of Nepal helped with providing cash-based humanitarian assistance at scale within 2 months. A flat amount of 3,000 Nepalese Rupees (about US\$ 25 equivalent) was provided to each beneficiary as a top-up to the existing social assistance payment by the government. The amount transferred was equivalent to approximately 2 months of consumption for an individual at the poverty line. The program benefited from using the government's delivery systems, which allowed for a relatively quick and cost-effective delivery of assistance.

Source: UNICEF (2015).

Box 9: Dominica: Vertical and Horizontal Expansion of Public Assistance - Hurricane Maria 2017

In September 2017, Dominica was affected by Hurricane Maria, a category 5 hurricane. The hurricane caused 31 deaths and affected about 80 percent of the population. Moreover, crops were destroyed, water and power services were interrupted, and 90 percent of roofs were damaged or destroyed.

In response to the hurricane, the Government of Dominica, with the assistance of the WFP and UNICEF, developed an Emergency Cash Transfer (ECT) that provided assistance to 25,000 people. In particular, the ECT vertically scaled up Dominica's unconditional cash transfer program, the Public Assistance Programme (PAP), such that existing beneficiaries of the PAP received support from the ECT. Moreover, the ECT horizontally scaled up the PAP temporarily, thereby providing support to households that were not beneficiaries of the PAP, but who were severely affected by the hurricane. Beneficiary households for the horizontal scale-up were selected based on targeting criteria including demographic and disaster-related indicators.

Source: Beazley (2018).

4.2. Scaling out an existing safety net program / Horizontal expansion

Scaling out an existing safety net program is operationally more challenging, benefitting from significant prior investment and preparedness. The ability to scale out enables a safety net program to include new households into the program based on eligibility from the impact of a disaster. Introducing the ability to scale out in this manner is far more complex operationally. As such, it will benefit from significant preparedness measures and investments to adapt underlying systems, processes and capacities. Many countries are beginning to introduce this functionality as a key to building a responsive safety net, with prominent examples (included below) in the operational snapshots for Ethiopia, Kenya, Mexico and Uganda.

Advantages of scaling out an existing safety net program

- **Flexibility in meeting post-disaster household needs:** A program that can scale out can better meet changed needs on the ground.

- **Leveraging existing systems:** Building on top of an existing delivery mechanism provides a strong foundation for this additional functionality.

Some limitations

- **Benefits from significant investment, ex ante:** Horizontal expansion will be easiest when investments have been made in advance including with regard to program design features and their delivery processes, financial preparedness, information systems, institutional arrangements and partnerships (as summarized in section 5).
- **Scaling down:** Once new beneficiaries have been incorporated into a safety net on a temporary, post-disaster basis, stopping benefits following the disaster — and scaling back down — can be difficult.
- **Time requirements:** Identifying and enrolling a new cohort of beneficiaries may be time-intensive and can lead to significant delays in the provision of assistance.

Boxes 10-13 provide some snapshots of global experiences in scaling out through horizontal expansions and top-ups to existing beneficiaries.

Box 10: Kenya: Horizontal Expansion through the Hunger Safety Net Program (HSNP)

A widely cited example of horizontal expansion is Kenya's Hunger Safety Net Program (HSNP). During the second stage of implementation, the HSNP provided regular, unconditional electronic cash transfers (Kenyan Shillings [Kshs] 5,100 every 2 months) to 100,000 households. The program was also designed to scale up and down (as well as scale out horizontally) in response to weather shocks (for example, a drought/El Niño). It included an additional 272,000 households in the country and provided support with cash transfers. The poverty-targeted cash transfers are conducted electronically, with payments made directly into fully functioning bank accounts using biometric and personal identification number (PIN)-enabled bank cards via the banking agent network.

In 2015, a total of 4 separate scale-ups were completed (with funding from the United Kingdom's Department for International Development [DFID]). The scale-up (and down) in response to drought is triggered by remotely sensed data (that is, satellite data, a Vegetation Condition Index [VCI]). When the VCI hits the "severe" or "extreme" threshold in any sub-county in a county, this generates a quota of households (HHs) to receive a scaled-up payment with the following categorization: sub-counties in severe drought = 50 percent of all HHs minus routine beneficiary HHs; and sub-counties in extreme drought = 75 percent of all HHs minus routine beneficiary HHs. The scale-up covers pre-defined sets of households based on HSNP management information system (MIS) wealth groups (that is, using a pre-targeted group rather than targeting during disasters). Additionally, only HHs with active bank accounts could receive the scale-up payment.

Source: Government of Kenya (2015).

Box 11: Ethiopia: Horizontal Expansion through the Productive Safety Net Program (PSNP)

The Productive Safety Net Program (PSNP) is a large, national social safety net (SSN) program. It is designed to respond to the impacts of chronic drought, food insecurity, and climate change on Ethiopia's poorest households. In so doing, the PSNP incorporates public works activities that improve climate resilience and promote community-level adaptation. It also includes a federal contingency budget to help poor households and communities better cope with transitory shocks. In addition, it uses targeting methods to identify those communities most vulnerable to shocks and climate change. These investments in more dynamic targeting for the PSNP and other preparedness measures enabled the program to extend the duration of its regular support for 6.5 million existing beneficiaries. Specifically, it provided an extra 2-3 months of assistance (vertical expansion), while also releasing contingency funds to enroll an additional 3.1 million beneficiaries who were not in the core PSNP caseload (horizontal expansion) in response to the droughts of 2011 (Slater and Bhuvanendra 2013).

The scalability feature of the Productive Safety Net Program was designed to provide a first line of response to drought, complementing the existing humanitarian appeal mechanism, which will continue to be used to respond to needs in areas outside of the Productive Safety Net Program districts, or in cases where needs within the Productive Safety Net Program districts exceed available resources. During the 2011 Horn of Africa crisis, the administrative and logistical infrastructure of the Productive Safety Net Program proved capable of scaling up the coverage of the program very rapidly, thereby strengthening the capacity of hundreds of thousands of vulnerable households to withstand a series of unexpected shocks.

Source: World Bank (2013).

Box 12: Uganda: Horizontal Expansion of the Northern Uganda Social Action Fund (NUSAF)

The Northern Uganda Social Action Fund (NUSAF) developed from a livelihood promotion (NUSAF I) into a public works program (NUSAF II). NUSAF III's Disaster Risk Financing component allows for the prompt response to disaster events, while also building capacity to store and analyze data. The data is then used to identify when a disaster response through the safety net would be needed.

The NUSAF III project is a public works project that includes a contingency component to finance drought risks, when a parametric trigger event is met (specifically, scalability of the NUSAF is linked to the Normalized Difference Vegetation Index, NDVI).

In response to the drought in 2016, the NUSAF III public works program was scaled out in August 2016 to include an additional 30,000 households (approximately 150,000 people). Assistance was provided through a drawdown on US\$ 4 million from a US\$ 10 million contingency fund (World Bank 2017). Although the response was successful, there were some delays in payments because payment mechanisms at the district level had only just been put into place.

Source: World Bank (2017).

Box 13: Mexico: Horizontal Cash Transfer and Public Works Programs

Following the food, fuel and financial crisis of 2007-2008, Mexico's Opportunities (Oportunidades) program (later called Thrives ["Prospera"] that has since ended), together with the Food Aid Program, the Food Support Program (Programa de Apoyo Alimentario), scaled out to reach 1.35 million new poor families (FAO 2017). Moreover, a new cash bonus to assist children aged 0 to 9 was added (FAO 2017). Prospera's monthly payments to the poorest families increased by 24 percent (Bastagli 2014; Oxford Policy Management 2017).

Mexico's Temporary Employment Program (Programa de Empleo Temporal) (PET) has also scaled up in response to economic shocks and natural disasters. PET is a temporary employment program overseen by the Ministry of Social Welfare and implemented by several sectoral ministries. In 2003, an emergency response and contingency financing mechanism was added as a subcomponent of PET, namely, the Immediate Temporary Employment Program (Programa de Empleo Temporal Inmediato (PETi) (World Bank 2013). Daily wages are not limited, and paperwork for the PETi is reduced. The program supports communities in building or rehabilitating basic infrastructure. The activities include cleaning and rehabilitation of housing, and sanitation and solid waste removal for disease control and prevention. In 2016, 174,267 people benefited from PETi.

4.3. Emergency programs and “piggybacking”

Several countries do not formally scale up or scale out existing safety net programs; rather, they use a dedicated emergency program with similar characteristics, which may leverage safety net sub-systems in its delivery (“piggybacking”). Often, emergency programs are created in response to a disaster, and may be formalized and embedded over time. Alternatively, they may be used only once. These emergency programs may be located within or outside of the social protection Ministries, Departments and Agencies (MDAs), often in the Departments of Agriculture or the Departments for Food Security, to name a few. These emergency programs are separate from existing safety net programs and maintain dedicated response objectives. Thus, they do not require “scalability”, but they will possess similar characteristics to safety net cash transfers, in-kind or public works programs. The emergency program may leverage the same underlying/existing safety net delivery systems. These can include information systems such as social registries, payment systems, front-line social protection staff, and so on. This process has been referred to as “piggybacking” by Oxford Policy Management (2015). Alternatively, the emergency program may have its own delivery mechanisms.

Advantages of emergency programming and piggy backing

- **Dedicated and clear objective:** The new program is not constrained by parameters of an existing safety net program; the primary objective is to meet disaster needs, implying a built-in flexibility for this purpose, by design.

- **Ring fences existing safety net programs:** By not bringing disaster-affected households into a safety net program on a temporary basis, the above-mentioned issues of scaling down after a disaster can be avoided.
- **May support disaster recovery objectives:** Programs may support broader recovery objectives beyond meeting basic consumption needs, for instance, through housing repair grants that support the affected poor households.

Some limitations

- **Benefits from significant investment, ex ante:** As with scaling out, an emergency program would benefit from significant prior investment and preparedness measures. However, the case of Pakistan below highlights that such programs can be created after a disaster where strong government leadership and capacity are found — although often most likely at the expense of the timeliness of the response.
- **Program fragmentation:** The introduction of an additional stand-alone program can create greater fragmentation in a social protection portfolio, relative to scaling up and out an existing program, that must be managed accordingly.
- **Institutional fragmentation:** Such emergency programs utilizing social protection delivery systems may not be housed within the traditional counterpart for social protection. This can cause overlapping mandates and a potential lack of clarity regarding roles and responsibilities. Such institutional fragmentation will need to be mitigated and managed.

Box 14: Pakistan: Citizen's Damage Compensation Program (CDCP) – An Emergency Shock Response Program

In July and August 2010, Pakistan experienced the worst floods in its history (World Bank 2010). In response to the floods, the Government put in place a temporary nationwide social safety net program, the Citizen's Damage Compensation Program (CDCP). This program successfully reached an estimated 8 million flood-affected people through cash transfers.

During Phase 1 (from September 2010 to June 2011), the goal was to provide quick assistance to families (that is, one-off cash transfers of Pakistani Rupee [PRK] 20,000, or approximately US\$ 213) who had lost their homes or faced a serious threat to their wellbeing because of the flood (using geographic targeting).

Phase II of the CDCP started in 2011 with the goal of supporting the recovery of affected households. Flood-affected households, including many of those from Phase I, were provided with cash payments which could be used to meet any of their recovery needs, such as reconstructing their houses, restoring their livelihoods or paying back accumulated debt. With additional donor support available, the Government of Pakistan was able to double the size of the grant to eligible households to PRK 40,000 (around US\$ 426), a more suitable amount to support recovery.

Source: World Bank (2013).

Box 15: Mauritania and Senegal: Piggybacking in the Sahel – Leveraging Social Protection Registries and Payment Platforms

Since 2017, Mauritania has been implementing a shock-responsive safety net program called the Elmaouna. Elmaouna, implemented by the Food Security Office, targets the most vulnerable households during the lean season. Having been first piloted during the lean season of 2017, the program is based on piggybacking, that is, using the Social Registry as well as the Tekavoul (social safety net) payment platform. It provided cash transfers to 1,000 households during the lean season in 2017, as well as cash transfers to 3,500 households during the lean season in June to September 2018. A transfer amount of Mauritanian ouguiya (MRO) 2,400 (around US\$ 65 equivalent) per household was provided for four months (June to September 2018). The successful implementation of the pilot program demonstrated cost-effectiveness and timely delivery.

Similarly, following the 2017 lean season, the Government of Senegal introduced a pilot cash transfer program within the broader Emergency Plan for Food Security (Plan d'Urgence a la Securite Alimentaire). This approach, which included the provision of emergency assistance to 8,175 food insecure households, piggybacked on the existing national cash transfer program's delivery systems, known as the National Family Safety Scholarship Program (Programme National de Bourses de Sécurité Familiale) (PNBSF). The Government of Senegal introduced the pilot cash transfer program (as opposed to in-kind assistance, such as rice) during the three months of the lean season, utilizing the Unique Social Registry (RNU), and the social workers' network. The program was implemented through the existing social workers under the PNBSF program. The pilot cash transfer program illustrated the need to use the RSU for response efforts. As a result, the Government of Senegal decided to adopt cash transfers as the main tool to fight food insecurity in the future.

Source: World Bank (2018) and unpublished material received from World Bank country team members for Mauritania and Senegal.

5. Implementation Considerations along the Social Protection “Delivery Chain”

The core steps for the delivery of social protection programs as part of a disaster recovery effort can be considered along the social protection “delivery chain”. Although social protection programs pursue different objectives, most follow a common delivery chain, which addresses the key decision points for program implementation. Figure 3 depicts the social protection delivery chain. It is grouped into four phases (Assess; Enroll; Provide; and Monitor and Manage), and within these four phases, there are 9 sequential steps. The delivery chain summarizes key steps in the process of delivering regular social protection programs. Similar steps are required for delivering social protection in a post-disaster context. This section provides a short summary of those steps, including post disaster modifications. It is intended to provide an initial illustration of the important considerations for delivering post-disaster support rather than a front-to-

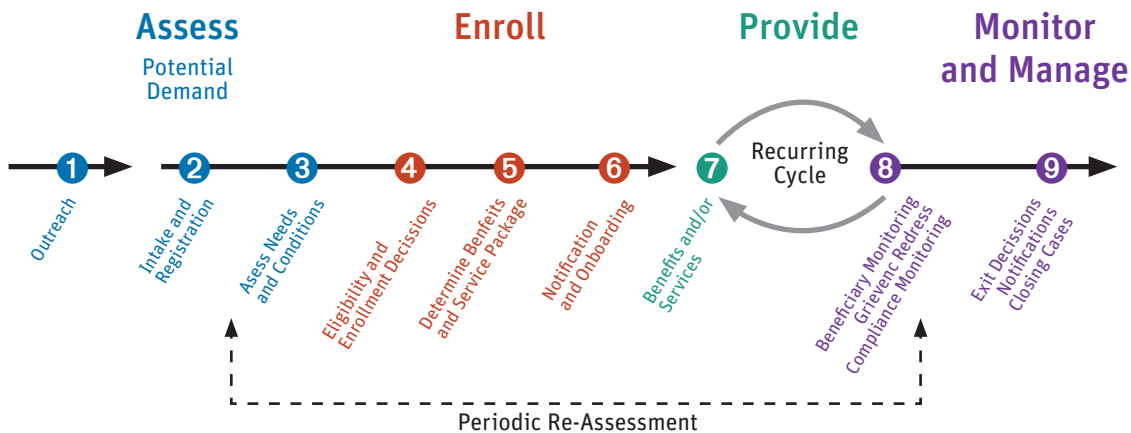
end implementation guide. To ensure smooth implementation of the delivery of assistance following disasters, it is useful to define processes and procedures for the delivery of assistance in operations manuals ahead of a shock.

In each case, prior investments along the delivery chain can expedite the process of delivering the program more efficiently and effectively following a disaster.

1. Outreach: How will I let affected households know that they may be eligible for support?

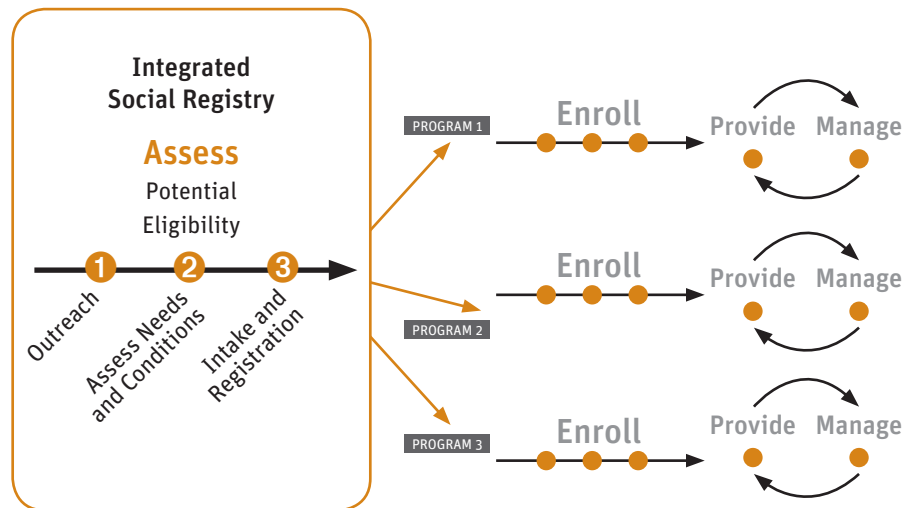
The objective of the outreach process is to inform beneficiaries of the social protection program, create awareness, and encourage potential beneficiaries to apply for assistance. Outreach activities usually use a variety of communication mechanisms, including public messaging through the media (electronic and print); local information

Figure 3: The Social Protection Delivery Chain



Source: Lindert and others, Sourcebook (forthcoming).

Figure 4: Intake and Registration through the social registry



Sources: Leite and others (2017); Lindert and others (forthcoming 2019).

sessions through community structures; word-of-mouth; visual information campaigns; staff outreach; and digital communications (for example, social media). Outreach activities are necessary to encourage potential beneficiaries to apply, as well as to inform existing beneficiaries about regular interactions, such as payment dates and times (Smith 2018).

Post disaster considerations: Disasters can disrupt communications channels, undermining outreach activities. Therefore, the communication mechanisms may need to change in a post-disaster setting. For instance, where digital communication is interrupted, outreach may need to focus on word-of-mouth or staff outreach campaigns. Also, the type of information to be provided following a disaster depends on the type of response to be implemented. In the case of vertical expansions, beneficiaries will already be aware of the program. However, they may not be aware of the additional payment(s) to be provided. In the case of a horizontal expansion or piggybacking, the information provided would need to be more comprehensive. Specifically, it would need to inform potential beneficiaries about the objective(s) of the program, who can apply, how to apply, what kind of assistance they may expect and when, and so on (Smith 2018).

2. Intake and Registration: How should I gather information about the disaster-affected households to assess their needs and potential eligibility for support?

The objective of the intake and registration process is to collect information about potential beneficiaries (individuals, households and/or communities) to be able to assess their eligibility for the social protection program. Intake and registration are completed either on demand, where potential beneficiaries register themselves (typically at social welfare offices), or en masse, in which case survey teams visit the population to collect household data. En masse surveying may have been used to establish a social registry containing information about social protection and non-social protection beneficiary households. Where a social registry exists, it may not be necessary to complete separate intake and registration processes for each social protection program. Rather, the social registry serves as the basis for intake and registration for multiple programs (Smith 2018), as depicted in Figure 4. Some social registries have near universal coverage (such as Chile,

Colombia, the Dominican Republic, Pakistan, and the Philippines). Others cover between one-third and one-half of the population (such as Brazil, Georgia, Indonesia, Mexico, Montenegro, and Turkey). Others operate on a much smaller scale, either because they have been implemented in specific geographic areas before expanding to national coverage (for example, China, Djibouti, Mali, and the Republic of Yemen) or because the programs they serve are very narrowly targeted (for example, Azerbaijan) (Leite and others 2017).

Post-disaster considerations. In the case of a vertical expansion of an existing program, the registration of beneficiaries will have already been completed through the regular program. However, depending on program objectives, it may be necessary to leverage additional information in the event that only some of the existing beneficiaries are to be targeted. For example, this could include only those that live in a disaster-affected area, prioritizing categorical vulnerabilities such as disability, old age, children, and so on. Regarding horizontal expansion, piggybacking and emergency programs, it will depend on the extent of the existing information contained in a social registry, as well as how current such information is.⁴ Where up-to-date and complete, the social registry will already contain the information about most of the households in the affected areas. Otherwise, additional information may need to be gathered through post-disaster surveys or on-demand registration. Depending on the impacts of the disaster, it may be necessary to change the location and number of registration offices. This may include temporary offices to facilitate on-demand registration.

3. Assess Needs and Conditions: Among those affected by the disaster, who are most likely to require support?

The objective of this step is to assess the needs of the applicants according to eligibility criteria and screening tools, determining whether they are eligible for benefits, and then inform the determination of the benefits and service package. The assessment of needs and conditions is based on adherence to criteria-based information, such as income / consumption and poverty status, age, gender or other categorical criteria, or geography. These are often relatively static and evolve infrequently.

Post disaster considerations. In case of vertical expansions, the eligibility criteria for regular programs are retained in the event of disaster. This can lead to exclusion errors as beneficiaries or households who are in need of assistance may not be among the regular beneficiaries of the program. By contrast, horizontal expansions or piggybacking allow for changes in the eligibility criteria of the program (using damage to the household as a proxy for eligibility, for example) as well as the reduction of exclusion errors.

4. Eligibility and Enrollment Decisions: Based on intake, registration and assessment, who should be enrolled in the program?

As part of the eligibility and enrollment decision-making process, program implementers decide which of the potential beneficiaries who completed the intake and registration will be included in the program as beneficiaries. All applicants are informed of the decision. For beneficiaries, the enrollment process then includes the collection of additional documents (if applicable), as well as registration for the programs. It also

⁴ The development and updating of a social registry can be costly. As such, they are typically conducted infrequently (for example, every five years). Therefore, the data contained in a social registry can become outdated with time (Smith 2018).

includes preparation of the delivery of benefits and services packages, for instance, through establishing a payment mechanism / setting up a bank account. Beneficiaries are then provided with a beneficiary identification (ID), or other means to verify their status as a beneficiary.

Post-disaster considerations. When disasters are disruptive, beneficiaries may lose their means of identification and documentation. Depending on the type of identification required, processes may need to be adapted. For instance, where identification is based on beneficiary IDs, these may need to be reissued by program staff following a disaster. Where identification is based on national IDs, the process to replace these documents will be outside the jurisdiction of the social protection program institution. As such, assistance from the issuing authority would be required. Regarding the case of horizontal expansion, processes will need to be adapted to enable the enrollment of new beneficiaries. Processes for eligibility and enrollment may also need to be adapted to enable the rapid inclusion of additional beneficiaries.

5. Determine Benefits and Service Package: Once enrolled, what kind of benefits will they receive?

As part of the determination of the benefits and service package, the beneficiary list is finalized prior to each payment, the amount of the transfer is set, and provision points are determined. The determination of the benefits and services packages will seek to ensure that the benefits and services provided are appropriate in light of need and will depend on resource availability and political feasibility. For regular social protection programs, benefits and service packages are often determined in such a way as to smooth consumption, reduce chronic poverty, provide assistance in the event of unemployment, and/or ensure an adequate pension.

Post-disaster considerations. Typically, benefits and service packages of regular social protection programs are designed to address chronic, rather than transitory, needs. Therefore, benefits and service packages may need to be modified to address the specific needs of a population following disaster. The objectives of the transfers may include meeting immediate consumption needs and assisting households in restoring their livelihoods. Where benefits are provided in cash, it is important to ensure that the amount provided is enough to purchase an appropriate amount of food for the household. Where in-kind benefits are provided, the amount should suffice to meet nutritional requirements. As such, available financing mechanisms may determine what benefits and service packages are feasible.

6. Notification and Onboarding: What is the best way to inform the selected beneficiaries that they will receive support?

As part of the notification and onboarding step, beneficiaries receive notification that they have been selected as a beneficiary.

Beneficiaries are informed of the benefits and service package that they will receive, including the timing and duration of payments and services. They will also be informed about the steps required to avail themselves of such benefits and services.

Post-disaster considerations: As a result of a destructive disaster, it may be difficult to notify beneficiaries of their selection for the program. This may particularly be the case where beneficiaries have been physically displaced as a result of the shock. As with the outreach stage, alternative mechanisms will need to be created to inform beneficiaries of the decision. Ideally, where possible, notification could be delivered when the beneficiary applies for the program.

**7. Provide benefits and/or services:
How will this assistance be physically
delivered to the selected beneficiaries?**

The process of providing benefits and/or services focuses on the delivery of transfers to beneficiaries. This requires providing the correct payment amount to the right people at the proper frequency and time (Grosh, del Ninno, Tesliuc, and Ouerghi 2008). For cash transfers, payment modalities may include physical cash, transfers to bank accounts, and mobile money. Electronic transfers, such as bank transfers or mobile money, involve two steps: the provision of funds to the bank account / mobile money account, and the collection of funds by the beneficiary. In cases where goods are not available in the markets, in-kind assistance may be provided.

Post-disaster considerations. In the event of destructive disasters, payment processes for cash transfers and supply chains for in-kind benefits can be insecure or disrupted. For instance, pay points and offices of banks or payment service providers can be destroyed or rendered inaccessible. They may also lack connectivity which can affect mobile money and automated teller machine (ATM) networks. Beneficiaries are also often cut off and limited in their mobility in disaster-affected communities. Therefore, in the event of disasters, it can be useful to temporarily switch to manual payment provision. Moreover, temporary pay points can be set up to ensure accessibility. In the cases of both vertical and horizontal scale-ups following disasters, as well as emergency programs and piggybacking, additional transactions will increase the workload of staff and the payment service provider. As such, additional financial resources at the local level will be required for distribution.

**8. Beneficiary Monitoring, Grievance
Redress and Compliance Monitoring:
Is the program functioning effectively,
responding to needs, and do any
adjustments need to be made?**

The objective of this step is to ensure that grievances made by beneficiaries and non-beneficiaries are addressed, as well as to conduct beneficiary monitoring.

This includes, for instance, monitoring payment receipts; ensuring that beneficiaries meet conditionalities, such as health and education conditions; recording grievances and complaints⁵; addressing administrative issues related to delivery; and facilitating case management processes. To ensure that these processes are implemented effectively, it is important that they be supported by adequate human resources. So too, systems should be in place to record these processes.

Post-disaster considerations: Following a destructive disaster, there can be challenges in maintaining program operations because of damaged offices, a breakdown of communication channels and limited staff (who themselves may be among those affected by the disaster). Further, post-disaster contexts may be associated with extra demands on the system. Additional complexities include changed program conditionalities, the inclusion of new beneficiaries, and the introduction of temporary modifications. These challenges can be addressed by temporarily deploying staff from other regions, ensuring the availability of alternative data management options, and backing up systems (for example, through the use of clouds). Where program conditionalities are in place, these can be temporarily waived; however, in such cases, this must be communicated clearly to program staff, beneficiaries and partners.

⁵ Examples of grievances include: Beneficiaries did not receive information about the program, were misinformed, did not receive the information they needed, were not notified, were treated poorly, were incorrectly classified in a certain category, did not receive payments, received an incorrect amount, and so on.



9. Exit Decisions, Notifications, and Closing Cases: When should the program be wound down and how will beneficiaries be informed?

As part of the exit decisions, notifications and case outcomes processes, assessments are made as to whether beneficiaries have met the conditions to graduate from the program, notifying them of their exit.

Where there are changes in regulations and exit conditions, these would need to be communicated to beneficiaries. After beneficiaries exit the program, cases are closed.

Post-disaster considerations. Programs that were scaled up need to be scaled down after the emergency. Scaling programs down following an emergency can be difficult. Different approaches include scaling down the program after a certain amount of time or a certain

number of transactions or following a change in household vulnerability indicators after the assistance was provided. While scaling down following a vertical expansion requires a termination of additional payments, scaling down following a horizontal expansion can be more challenging as it involves reducing the caseload. In some cases, however, beneficiaries who have been newly included in the program as part of the horizontal expansion may qualify for continued assistance; where this is the case, these decisions need to be communicated carefully to ensure there is clarity regarding which beneficiaries will continue to receive benefits and which will exit the program. In each case, social protection case workers should connect beneficiaries to additional, longer term (non-disaster specific) social protection programs for which they may be eligible.

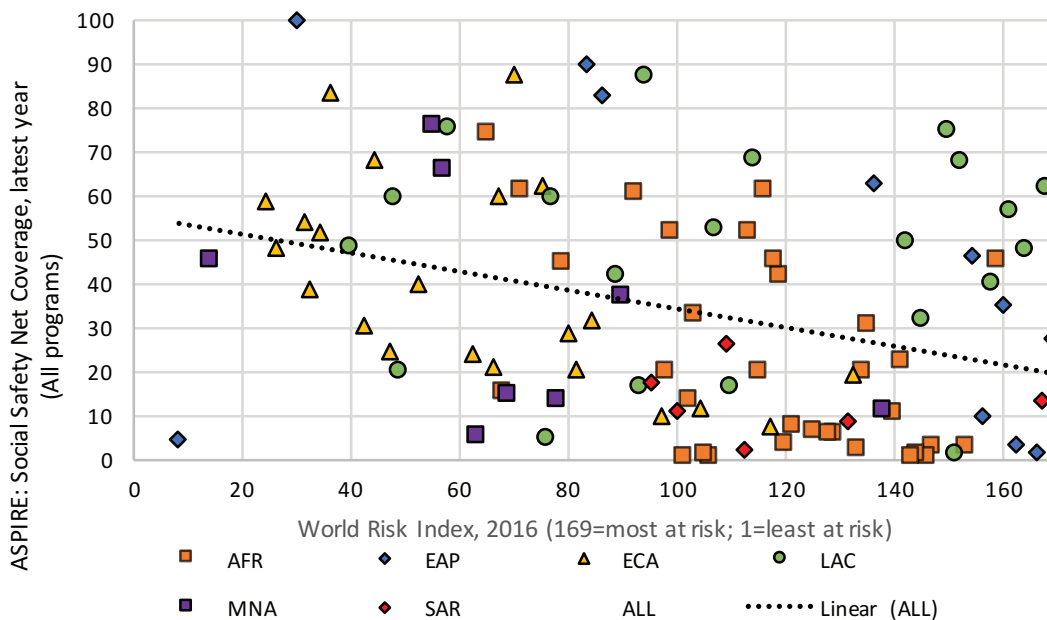
6. Typology for Assessing Readiness and Establishing Priorities

Ultimately, the extent to which social protection can be used following a disaster will depend to a large extent on the strength of the social protection system in a given country, specifically its comprehensiveness and responsiveness. As depicted in Figure 5, the coverage of a country's social protection system can vary dramatically and may not always be commensurate with the level of disaster risk that the country faces. A typology can be developed incorporating two key dimensions: (i) the comprehensiveness and maturity of the social protection system: its policies, programs and administrative sub-systems; and (ii) the capacity of the social

protection system and its constituent programs to respond to disasters. The typology proposed here, as captured in Figure 6, is merely indicative of the types of considerations that could be used to assess the readiness and priorities of countries in using social protection to respond and recover from shocks, as well as actions to better prepare for the next disaster.

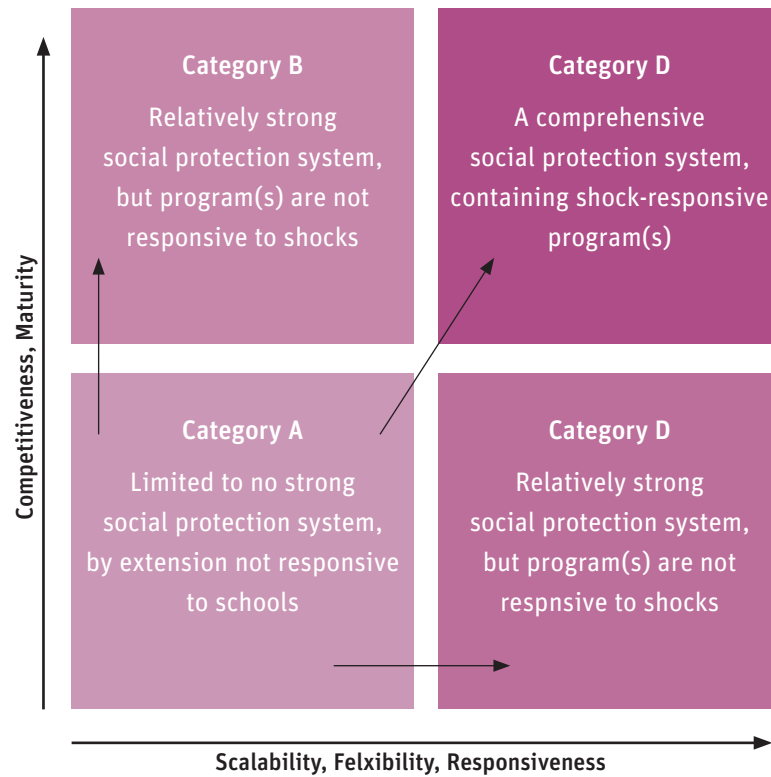
Along these two dimensions of comprehensiveness and responsiveness, four broad categories of countries can be distinguished (Figure 6). Depending on the category, different options are available to a country in using social protection systems for disaster response and recovery. At the

Figure 5: Social Safety Net Coverage, Latest Year and Risk of Natural Disaster (low to high/left to right)



Source: Author's depiction using Atlas of Social Protection Indicators of Resilience and Equity (ASPIRE). Note: AFR= Africa; EAP= East Asia and the Pacific; ECA= Europe and Central Asia; LAC= Latin America and the Caribbean; MNA= Middle East and North Africa; SAR= South Asia Region.

Figure 6: Typology for Country Readiness and Priorities



Source: Adapted from World Bank (2012), Figure 4.1

same time, depending on the category of the country, the priorities may differ with respect to enabling their social protection systems to better respond to shocks in the future.

Category A Countries: Limited to no social protection system, by extension not responsive to shocks.

■ **Common traits of Category A country social protection systems:**

- Is the social protection system comprised of small-scale, fragmented programs?
- Does the system and its programs lack the ability to respond to shocks in any deliberate way?
- Are there significant gaps in the coverage of households, especially those that have been affected by the disaster?

- Does the system lack a comprehensive Management Information System (MIS)? Is it paper-based or does it utilize basic database management tools?
- Are social registries with databases about households limited or non-existent? Do they contain only information about existing social protection beneficiaries of the small programs?
- Is there limited institutional capacity (physical, human, financial) for the implementation of social protection programs?
- Is the policy framework for social protection weak or nonexistent?

■ **Advice for actions to take immediately after the disaster:** Governments could consider implementing ad hoc emergency

responses, such as cash for work, a food voucher system or providing in-kind assistance to facilitate response and recovery. However, where regular social protection systems, policies and programs are basic or nonexistent, the implementation of ad hoc emergency responses can be challenging and time-consuming. For instance, where delivery mechanisms are absent, these must be put in place; moreover, the identification of beneficiaries after a disaster has occurred can lead to delays.

Beyond the potential implementation of ad hoc programs, the emphasis for such countries is on what can be done in the future, with the disaster itself being used as the basis for advocacy in developing a basic social protection system. Priorities include assessing the potential contribution for a stronger and more responsive social protection system to the response and recovery. This assessment may be strengthened by: (i) collecting data on the affected population and severity of impact; (ii) determining who was affected and how severe the impacts were; (iii) examining the kind of assistance received by households and how effective it was in mitigating impacts on their wellbeing; and (iv) determining what worked well and what did not, as well as what could be improved, especially in terms of institutional coordination and gaps in assistance to affected households.

- **Advice for actions to take prior to the next disaster:** The disaster itself may be used as the basis for advocacy in the development of a basic social protection system, including for future scalability and emergency programming. There is also an opportunity to move more directly and purposefully toward responsiveness and Category D, thereby leapfrogging the kinds of rigidity found in Category B and C countries.

Category B Countries: Relatively strong social protection systems, but program(s) are not responsive to shocks.

- Common traits of Category B country social protection systems:
 - Is there a large national safety net program, such as a national cash transfer or public works program?
 - Is there a social registry containing information about social protection beneficiaries and non-beneficiaries?
 - Is there strong institutional capacity (physical, human and financial) for the implementation of social protection programs, including at the local level?
 - Is there a strong policy framework for social protection?
- Has there been limited / no experience with responding to disasters through safety nets?
- Advice for actions to take immediately after the disaster: Vertical expansions and payment top-ups may be feasible and desirable where the program beneficiaries are strongly correlated with those affected by the disaster. Vertical expansion may be delivered through the existing program, as in the case of Fiji and the Philippines. It is also important to determine and understand how well the vertical expansion worked; the accuracy of beneficiary targeting; the adequacy of benefit levels; the timeliness of payments; the efficacy of coordination between social protection and humanitarian actors; the coherence of benefit levels; possible inclusion / exclusion errors, and so on.
- Advice for actions to take prior to the next disaster: Formalize the process for vertical expansion prior to the next disaster. This includes providing dedicated, prepositioned resources; issuing standard operating procedures and triggers for their use; and making formal arrangements with partners

that may also use the program to channel a share of their assistance in the future. Also, it is important to use the experience of topping up / vertical expansion to advocate for the development of increased scalability (horizontal expansion) or a dedicated emergency program to be better able to meet household needs for the next disaster.

Category C Countries: Relatively weak social protection systems, though some degree of shock responsiveness for one or more programs.

- Common traits of Category C country social protection systems:
 - Is the social protection system very limited? Does it contain small-scale, fragmented programs as in Category A?
 - Are there large gaps in household coverage, including in the disaster-affected areas?
 - Is the Management Information System limited or nonexistent? Is program management paper-based or does it utilize basic database management programs?
 - Are social registries with databases about households limited or nonexistent? Do they contain only information about existing social protection beneficiaries of the small programs?
 - Is there limited institutional capacity for social protection?
 - Is the policy framework for social protection weak or nonexistent?
 - Has some capability for shock response been developed, most likely through a dedicated emergency program?
- **Advice for actions to take immediately after the disaster:** Although the underlying social protection system is relatively weak — characterized by fragmented programs, a weak policy and institutional environment or rudimentary information systems — the

country has developed responsive capability through scalability, or more often, through a dedicated emergency program. The responsive program can be leveraged to deliver assistance. During the recovery, it will be important to assess the effectiveness of the program within the wider response and recovery effort, specifically whether there was good coordination with other interventions. In addition, policymakers should examine the extent to which it was able to meet household needs in a timely fashion.

- Advice for actions to take prior to the next disaster: Where the responsive program is small in scale, there will be a need to focus on investing in that program before the next disaster so that it can better meet household needs. Concurrently, this will benefit from continued investment in the wider social protection system, including policies, programs and sub-systems. As such, they can provide a stronger platform for the emergency program's delivery, or the development of additional emergency programs and scalability, as required.

Category D Countries: A comprehensive social protection system, containing shock-responsive program(s).

- Common traits of Category D country social protection systems:
 - Does the country have a significant social protection sector (for example, a national safety net, a safety net system or safety nets that are in the process of being consolidated)?
 - Has the safety net been previously used to respond to shocks?
 - Does the safety net have an adequate targeting system for chronic and transitory needs?
 - Are disaster contingency plans in place?

- Has sustainable financing been arranged for safety nets to respond to shocks?
- Is there an (advanced) Management Information System?
- Is there a beneficiary registry?
- Is there a reliable and rapid payment mechanism?
- Are scale-ups informed by early warning data, based on a pre-determined trigger?
- Is there strong institutional capacity for social protection and disaster risk management?
- Is there good coordination among social protection and disaster risk management institutions?
- Is accurate monitoring and evaluation data available?

■ **Advice for actions to take immediately after the disaster:** The ideal scenario should include a well-prepared program(s) designed to meet household needs generated by a disaster through scalability. The program(s) will be a central pillar for the government-led response and recovery effort. The emphasis during recovery should be placed on continued learning and improvement ahead of the next disaster, specifically in terms of the program's timeliness of response, its effectiveness in meeting household needs, coordination with other interventions and cost effectiveness.

■ **Advice for actions to take prior to the next disaster:** This would entail continued investment in strengthening the program. It could include monitoring and evaluation during the last disaster for iterative learning and continued improvement, as well as continuing to strengthen institutional arrangements with other sectors. Other measures might include putting in place financing mechanisms for improved shock-responsiveness.

A rough typology, but no substitute for a detailed analysis. This typology and categorization may provide an indicative, quick assessment of what can and cannot be done after a disaster, as well as the priorities ahead of the next disaster. However, more rigorous assessments will need to be conducted ahead of a disaster, which will yield more precise recommendations. A rigorous stocktaking of the disaster risks faced by households will be necessary. This should include information about their exposure and vulnerability, as well as an extensive stocktaking of the post-disaster assistance available to those households (from outside of the social protection system). In addition, an assessment of the social protection system's coverage and responsiveness will help to reveal the primary gaps in meeting household needs. Such needs may be filled by introducing scalability to existing safety net program(s) and creating an additional dedicated emergency program(s)

7. Adaptive Social Protection: Preparing to Respond to the Next Disaster

The adaptive social protection agenda focuses on preparing countries for the next disaster through investments in several core building blocks. This note focuses primarily on options for utilizing social protection for disaster recovery. However, after the disaster occurs, the Adaptive Social Protection agenda recognizes the constraints in using social protection in recovery. As such, it is primarily a preparedness agenda focused on the ways in which certain investments can improve effectiveness in recovery.

Adaptive Social Protection highlights five core building blocks for investments to improve responsiveness: (1) government leadership; (2) institutional arrangements; (3) data and information; (4) programs and delivery systems; and (5) finance. The building blocks are depicted in Figure 7. Building a comprehensive ASP system will require investments across these five building blocks, as detailed below. The roadmap presents pathways in moving toward becoming a Category D country, that is, one with a comprehensive social protection system that is responsive to shocks.

1. Government leadership

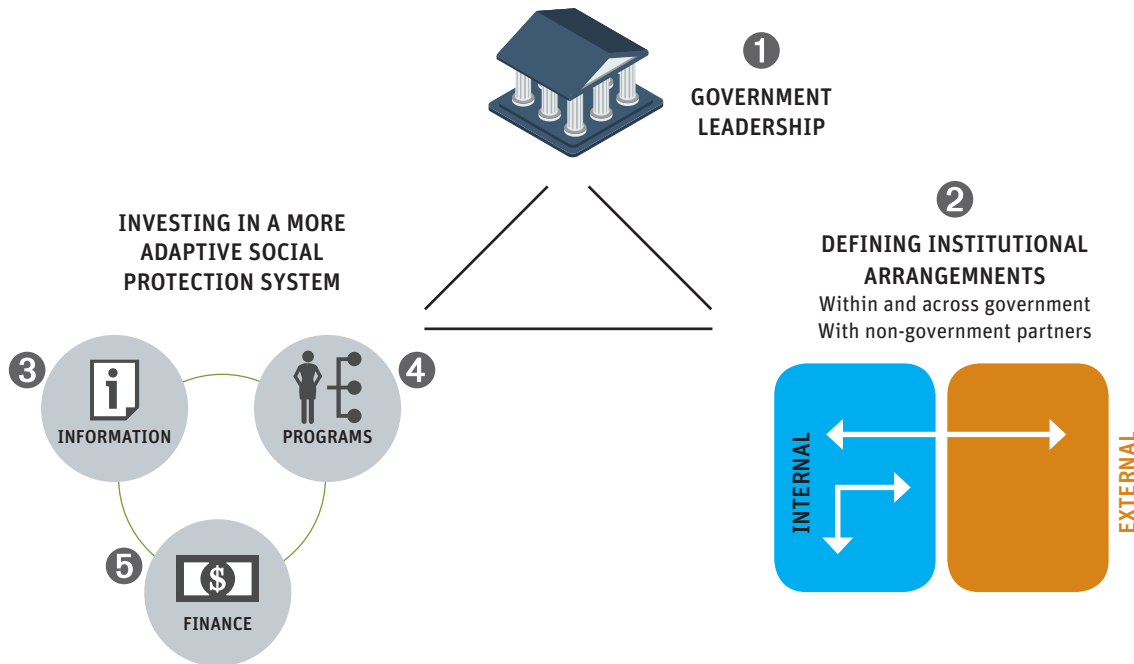
Government leadership and ownership of the agenda is a prerequisite to the development of ASP, internalizing the responsibility to manage the risks from disasters as well as the responsibility to assist vulnerable households, and ultimately to develop adaptive social protection. Although hard to quantify or measure, leadership can be evidenced by: (i) the identification of priorities and objectives

in high level and sectoral strategies, plans and policies; (ii) the presence of appropriate financial commitments to the sustainable development of adaptive social protection; and (iii) the government's monitoring of and reporting on service delivery in response to shocks, thus demonstrating its accountability.

2. Institutional arrangements

Adaptive social protection involves myriad actors, many of whom may not be traditional partners with the social protection sector. This includes, most prominently, the disaster risk management-related coordinating and implementation bodies that in many instances do not understand the potential value added of social protection for disaster response and recovery. As such, the development of ASP requires a high degree of coordination among relevant MDAs around shared objectives. Similarly, at an implementation level, ASP requires investment in additional capacity — including human capacity — at all levels of government. This is necessary to effectively delivering a shock response, especially among social protection MDAs for whom shock response is a significant departure from “business as usual” in terms of operations and capacity. Existing institutions and institutional arrangements may be able to advance the ASP agenda. Alternatively, ASP may require the formation of new institutions or institutional reform. In most contexts, the development of strong partnerships with non-governmental actors, including the humanitarian community, will be critical for ensuring post-disaster coordination around ASP-related interventions, including the design and delivery of responsive programs.

Figure 7: Building Blocks of Adaptive Social Protection



Source: World Bank (2018).

3. Data, analysis and information systems

New information and analyses are required to better understand risk and vulnerability as a basis for program design and implementation. This should include an overview of the population affected by shocks, how much assistance will be required, how frequently, and where. For instance, by overlaying poverty maps with hazard maps, one can identify the areas most affected by poverty and vulnerability to disasters. Moreover, based on early warning data, early responses to shocks through social protection programs can be triggered. Therefore, ASP requires integrating disaster risk management and social protection data, analyses and information systems. This can be done by creating common databases accessible by multiple stakeholders, including primarily the use and adaptation of social registries. Relatedly, a stronger evidence base regarding the effectiveness of ASP-related interventions is required to continue to guide future implementation.

4. Programs and delivery processes

Based on an understanding of risk and vulnerability, safety net programs will need to be designed and prepared to meet household needs. Programs should be designed based on a greater understanding of risk and vulnerability and the gaps in terms of anticipated household need following a disaster. Programs with parameters to meet those needs and fill those gaps should also be appropriately designed (in the ways described in section 3). Moreover, program delivery processes are prepared to enable them to be responsive.

5. Finance

To facilitate a timely response following a disaster, finance must be disbursed quickly through programs to be delivered in a timely manner to beneficiaries. This can be achieved through the pre-planning and pre-positioning of resources that are linked to responsive programs. Two types of disaster risk financing



Photo: Binyam Teshome / World Bank

and insurance instruments can be used to meet disaster-related needs, namely: (i) ex-ante instruments that must be arranged in advance, that is, before disasters strike; and (ii) ex-post instruments that are available to governments following the occurrence of a disaster. Disaster

risk financing instruments differ in the amounts they make available, the speed of access and the cost of accessing finance. By combining different instruments, countries can protect against disasters of varying frequency and severity (World Bank Group 2014).

For more details regarding key considerations of each building block, please consult the forthcoming World Bank Social Protection and Jobs publication funded by GFDRR: Adaptive Social Protection and Shocks.

Annex: Glossary

Term	Explanation
Active labor market programs	Programs aimed at increasing the skills, employment, and long run earning potential of participants through training, apprenticeships, job search assistance, subsidized job placements, and the like (Source: Grosh and others 2008).
Adaptive Social Protection	<p>Adaptive social protection systems, policies, and programs help individuals or households to better manage the risk of shocks – through an enhanced focus on instruments that build household resilience both before and after shocks occur.</p> <p>First, ASP looks to build resilience before a shock occurs through promoting increases in household wellbeing that can potentially move particularly vulnerable households above a wellbeing threshold. This results in a greater capacity to resist the negative impacts of future shocks when they do occur.</p> <p>Second, ASP works in the post-shock phase to hasten recovery among affected households by ensuring that those beneath a vulnerability threshold do not become more vulnerable and fall into destitution – and that those above the threshold do not fall beneath it due to a shock.</p>
Cash transfer programs	Programs that transfer cash to eligible people or households. Common variants include child allowances, social pensions, needs-based transfers, and conditional cash transfers (Source: Grosh and others 2008).
Conditional cash transfer program	Provide money to poor families contingent on them making investments in human capital, such as keeping their children in school or taking them to health centers on a regular basis (Source: Grosh and others 2008).
Fee waivers for health	Waivers granted to individuals based on their personal characteristics (such as poverty), relieving them of the need to pay for health services for which charges usually apply (Source: Grosh and others 2008).
Fee waiver for scholarships for schooling	Also known as stipends (usually paid in cash to households), education vouchers (coupons that households use to purchase education or inputs to education), targeted bursaries, and interventions related to tuition and textbooks. All such mechanisms are meant to assist households in meeting the costs of schooling (Source: Grosh and others 2008).
In-kind food transfers	Provide additional resources to households by making food available when they need it most in the form of food rations, supplementary and school feeding programs, or emergency food distribution (Source: Grosh and others 2008).
Labor Market Programs	Examples of labor market programs include skills-building programs, job-search and matching programs, and improved labor regulations.
Management Information System (MIS)	Includes all the databases kept by the various program units in the performance of their functions—registry of beneficiaries, payments, and so on (Source: Grosh and others 2008).
Public works programs	Where income support for the poor is given in the form of wages (in either cash or food) in exchange for work effort. These programs typically provide short-term employment at low wages for unskilled and semiskilled workers on labor-intensive projects such as road construction and maintenance, irrigation infrastructure, reforestation, and soil conservation. Generally seen as a means of providing income support to the poor in critical times rather than as a way of getting the unemployed back into the labor market (Source: Grosh and others 2008).

Term	Explanation
Safety nets	Noncontributory transfer programs targeted in some manner to the poor and those vulnerable to poverty and shocks. Analogous to the U.S. term “welfare” and the European term “social assistance.” (Source: Grosh and others 2008).
Safety net systems	A collection of programs, ideally well-designed and well-implemented, complementing each other as well as complementing other public or social policies (Source: Grosh and others 2008).
Social Insurance	Contributory programs designed to help households insure themselves against sudden reductions in income. Types of social insurance include publicly provided or mandated insurance against unemployment, old age (pensions), disability, the death of the main provider, and sickness (Source: Grosh and others 2008).
Social Registry	Social registries are information systems that support outreach, intake, registration, and determination of potential eligibility for one or more social programs (Source: Leite and others 2017).
Social Protection Programs	Social protection systems, policies, and programs help individuals and societies manage risk and volatility and protect them from poverty and destitution—through instruments that improve resilience, equity, and opportunity (World Bank 2012).
Targeting	The effort to focus resources among those most in need of them (Source: Grosh and others 2008).

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