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UNDG social protection coordination toolkit

Coordinating the design and implementation of nationally defined social protection floors

Joint United Nations response to implement social protection floors and achieve the Sustainable Development Goals

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The UN Refugee Agency

UNDG social protection coordination toolkit

Coordinating the design and implementation of nationally defined social protection floors

International Labour Organization • United Nations Development Group

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Foreword

In April 2009, the United Nations System Chief Executives Board for Co-ordination (CEB) launched the Social Protection Floor Initiative (SPF-I), which sought to organize and strengthen UN efforts to establish basic income and social service guarantees for all, known as a Social Protection Floor.

Endorsed by UN Member States at the Rio+20 Conference on Sustainable Development, and supported by the Group of Twenty (G-20) and many other forums, the SPF-I gained significant attention and momentum. An important milestone for the SPF-I was the unanimous adoption by governments, employers', and workers' representatives of the International Labour Organization's (ILO) Social Protection Floors Recommendation, 2012 (No. 202), at the 101st session of the International Labour Conference (ILC).

In 2014, United Nations Development Group (UNDG) Chair Helen Clark, and ILO Director-General Guy Ryder sent a letter to all UN Resident Coordinators (UNRCs) and United Nations Country Teams (UNCTs) calling for continued and coordinated actions towards making social protection a reality for all. Meanwhile, UN Member States have renewed their commitments to ending poverty and reducing inequalities as part of the 2030 Agenda for Sustainable Development, in which the extension of social protection, and social protection floors in particular, figures prominently as a target to achieve these goals.[1] The reinforced focus on Social Protection inferred from the SDGs underlines the global recognition of its potential but creates also further responsibilities for the UN as a whole, in terms of the need for coherent UN-wide support for SPF implementation at country level.

In Asia and the Pacific, the establishment of social protection floors has increasingly been recognized by all countries as an efficient approach to reducing vulnerability and strengthening resilience to natural calamities and other shocks, as well as combating poverty, inequality, and exclusion. The level of engagement on social protection has increased dramatically as evidenced by the number of United Nations Development Assistance Frameworks (UNDAFs) that prioritize the development of social protection.

The design and establishment of social protection floors is a new area of work for many UNCTs, thus requiring the development of new methodologies and tools to assess social protection situations, provide convincing recommendations to governments, ensure the sustainability of financing, and support the development of innovative implementation strategies and mechanisms.

UNDG Asia-Pacific pioneered the work of UN collaboration for the social protection floor by establishing a regional Thematic Group on Social Protection, and publishing the first Regional Social Protection Issues Brief in 2014.[2] Following this initiative, several other regional groups have been established under the auspices of the UNDG and regional issue briefs are being prepared, notably in East-Southern Africa, Arab States, and West-Central Africa.

Further, the UNDG A-P Technical Working Group on Social Protection has agreed on the development of a toolkit on coordinating the design and implementation of social protection floors. The toolkit builds on initiatives in the

[1] Social protection including floors are mentioned in five of the 17 Sustainable Development Goals (SDG), namely SDG 1 on ending poverty, SDG 3 on ensuring healthy lives, SDG 5 on achieving gender equality, SDG 8 on promoting decent work, and SDG 10 on reducing inequality.

[2] UNDG Asia-Pacific social protection issues brief. Available at: http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=46017.

region and from other parts of the world. It provides entry points for UNCTs and other stakeholders to support governments to better coordinate social protection initiatives, with the objective of being effective and efficient in delivering the right service to the right person at the right time. It is the result of interactive work that was only possible due to the different types of expertise and experience available among the various UN Agencies; demonstrating again the value added by UN joint work in the area of Social Protection.

The present toolkit on coordinating the design and implementation of social protection floors includes:

- A common definition of coordination in the field of social protection, and a common understanding of its importance;
- A methodology to assess the level of coordination in a country;
- Potential entry points for UNCTs to support governments and other stakeholders in coordinating the development and implementation of social protection floors; and
- The identification of good practices to ensure the development and delivery of coordinated social protection floors.

The toolkit is structured to delineate the various levels of coordination that exist (horizontal coordination at the policy level, vertical coordination, and horizontal coordination at the operational level), outline a practical assessment methodology for users to apply in various country contexts to determine the level of coordination that exists and that is needed, and provide concrete experiences from countries that illustrate ways to improve coordination in social protection.

Haoliang Xu
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UNDP Regional Director for Asia and the Pacific

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ILO Regional Director for Asia and the Pacific

UNITED NATIONS DEVELOPMENT GROUP

International Labour Organization

24 March 2014

Dear Colleagues,

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

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

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

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

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

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

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

1. building, or where they already exist, strengthening **One UN national social protection floor teams**, which should include committed UN organization representatives, relevant national stakeholders, and development partners.
2. supporting national dialogues, including within Governments, on potential options for designing and implementing locally appropriate SPFs, consistent with relevant provisions in the ILO Recommendation, and related initiatives – such as WHO's work on universal health coverage and existing national development priorities and strategies.

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

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

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

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

Yours sincerely,

Helen Clark
Chair
United Nations Development Group

Guy Ryder
Director-General
International Labour Office

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Abreviations and acronyms

AABY	Aam Aadmi Bima Yojana – India
ABND	Assessment-based National Dialogue
ATM	Automated teller machine
BPL	Below Poverty Line – India
CARD	Council for Agricultural and Rural Development – Cambodia
CBEP	Community-based Employment Program – Philippines
CBHI	Community Based Health Insurance – Cambodia
CCT	Conditional cash transfer
CODI	Core systems Diagnostic Instrument
CSO	Civil society organization
D&D	Decentralization and Democratization – Cambodia
FAO	Food and Agriculture Organization of the United Nations
FPS	Ficha de Protección Social – Chile
G-20	Group of Twenty
GIZ	German Corporation for International Cooperation
HEF	Health Equity Fund – Cambodia
ICROP	Integrated Community Registration and Outreach Programme – South-Africa
ICT	Information and communication technology
ILC	International Labour Conference
ILO	International Labour Organization
IMIS	Integrated management information system
ISPA tools	Inter-Agency Social Protection Assessment tools
IT	Information technology
M&E	Monitoring and evaluation
MIS	Management information system
MOFALD	Ministry of Federal Affairs and Local Development – Nepal
NGO	Non-governmental organization
NIMS	National Information Management System – Nepal
NSC	National Steering Committee – Nepal
NSPA	National Social Protection Act – Nepal
NSPF	National Social Protection Framework – Nepal
NSPP	National Social Protection Policy – Zambia
NSPS	National social protection strategy
NSPS-PV	National Social Protection Strategy for the Poor and Vulnerable – Cambodia
OHCHR	Office of the High Commissioner for Human Rights
OSS	One Stop Shop – Mongolia
RAP	Rapid Assessment Protocol
RIS	Social Information Registry – Chile
RSBY	Rashtriya Swasthya Bima Yojana – India
SASSA	South African Social Security Agency – South-Africa
SIIS	Integrated System for Social Information – Chile

SISBEN	System of Identification of Social Program Beneficiaries – Colombia
SJSN	Sistem Jaminan Sosial Nasional (social security law) – Indonesia
SP CPG	Social Protection Cooperating Partners Group – Zambia
SPF	Social Protection Floor
SPF-I	Social Protection Floor Initiative
SPIAC-B	Social Protection Inter-Agency Cooperation Board
SPTT	Social Protection Task Team – Nepal
SSDM	Social Services Delivery Mechanism – Cambodia
SWS	Single window services
TWG	Technical Working Group – Zambia
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UN CEB	United Nations Chief Executives Board for Coordination
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UN DESA	United Nations Department of Economic and Social Affairs
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-HABITAT	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNODC	United Nations Office on Drugs and Crime
UNRC	United Nations Resident Coordinator
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women
WFC	Workers Facilitation Centres – India
WFP	World Food Programme
WHO	World Health Organization
WMO	World Meteorological Organization

Introduction

Social protection is a human right and a social and economic necessity

Social protection is a set of measures that allows all members of society to access essential health care, and provides them with income security. The latter includes cash transfers for children, pensions for older persons and persons with disabilities, unemployment benefits, maternity benefits, and others. Social protection therefore helps to reduce poverty and allows all people to live in dignity. Access to social protection is a state responsibility, which is typically provided through public institutions and financed by contributions, taxes, or both.

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

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

The Social Protection Floor concept reaffirms the right to social protection

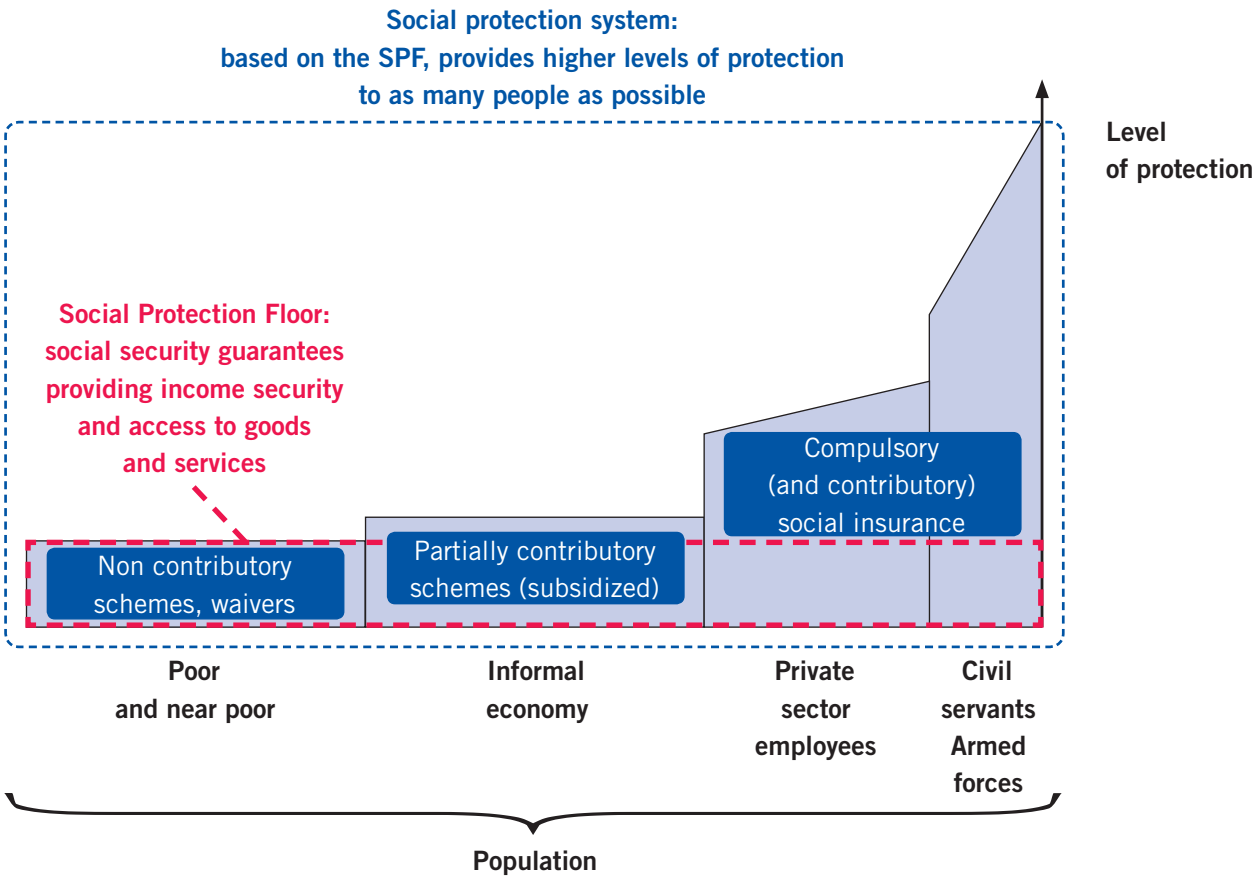
To turn the right to social protection into a national reality and improve the lives of millions of people worldwide, the United Nations System Chief Executives Board for Coordination (UN CEB) launched the Social Protection Floor Initiative in April 2009.[3]

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

Among the many strategies that countries can employ in expanding their social protection programmes and systems, the Social Protection Floor approach stands out for its promotion of universal and rights-based social protection coverage. The SPF approach also highlights the need to consider individuals' social protection needs throughout the life cycle. By definition, social protection floors should ensure that, at a minimum, all in need have access to essential social services (such as health care and education) and a basic level of income security over the life cycle. Figure 1 demonstrates how a basic level of social protection coverage can, through different modalities (contributory, non-contributory, and partially contributory), reach different population groups.

[3] UN cooperating agencies for SPF-I include: FAO, OHCHR, UN Regional Commissions, UNAIDS, UN DESA, UNDP, UNESCO, UNFPA, UN-HABITAT, UNHCR, UNICEF, UNODC, UNRWA, WFP and WMO. Other cooperating agencies include the IMF and the World Bank. The SPF-I is led by ILO and WHO.

Figure 1. Social protection system overview



Source: V. Schmitt, Q. Paienjton, and L. De: *UNDG Asia-Pacific Social Protection Issues Brief* (ILO, 2014).

In June 2012, governments, employers', and workers' representatives adopted the ILO's Social Protection Floors Recommendation, 2012 (No. 202), by consensus at the 101st session of the International Labour Conference.[4] Social protection floors consist of four components which aim to ensure equitable access to basic services and transfers to the entire population of a country, with a special emphasis on the poorest and most vulnerable. Defined as basic social security guarantees, these four components are described in Article 5 of the Social Protection Floors Recommendation, 2012 (No. 202):

(a) Health: access to a nationally defined set of goods and services, constituting essential health care, including maternity care, that meets the criteria of availability, accessibility, acceptability and quality;

(b) Child transfers: basic income security for children, at least at a nationally defined minimum level, providing access to nutrition, education, care and any other necessary goods and services;

(c) Social protection during working age: basic income security, at least at a nationally defined minimum level, for persons in active age who are not able to earn sufficient income, in particular in case of sickness, unemployment, maternity and disability; and

(d) Pensions: basic income security, at least at a nationally defined minimum level, for older persons.

[4] The full text of Recommendation No. 202 is reproduced in Annex 4 and is available online at: http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:R202.

Social protection, including floors, in the 2030 Development Agenda

The Sustainable Development Agenda which was adopted in September 2015 by all UN member States comprises 17 Goals for every country to increase economic development and address socio-economic needs of people, among others. Social protection, including floors, are among and contribute to five of these goals, namely SDG 1 on ending poverty, SDG 3 on ensuring healthy lives, SDG 5 on achieving gender equality, SDG 8 on promoting decent work, and SDG 10 on reducing inequality.

More specifically, social protection forms part of the following targets:

- Target 1.3 (coverage of the poor and vulnerable through social protection floors);
- Target 3.8 (universal health coverage including financial risk protection and access to essential quality goods and services);
- Target 5.4 (gender equality and anti-discrimination through the provision of equitable public services, infrastructure and social protection policies);
- Target 8.5 (full and productive employment and decent work for all women and men, including young people and persons with disabilities); and
- Target 10.4 (reduction in inequality within and among countries through the adoption of social protection policies).

The Social Protection Floor concept calls for more coordination

Unlike other government sectors, social protection has traditionally been developed and delivered by several institutions and stakeholders focusing on certain population groups (e.g. workers of the formal sector), delivering specific services (e.g. health care), or certain types of transfers (e.g. family allowances). Therefore, the design and implementation of a Social Protection Floor will require coordination among all of the different organizations involved in the provision of social protection services and transfers. In particular, it is essential to ensure that the floor has universal coverage by combining the different schemes.

In addition to the complementarity of stakeholders described above, coordination is also needed to ensure the efficiency of the social protection system by minimizing duplications (e.g. two organizations delivering the same benefit to the same population at the same time). Coordination could also contribute to improving the effectiveness of the system by combining several benefits and services from different organizations to simultaneously address various dimensions of poverty and social exclusion.

Efforts to develop and implement coordinated SPFs should encompass all social protection stakeholders (i.e. central governments, local governments, social partners, development partners, and relevant civil society organizations (CSOs)), as well as stakeholders from related fields (education, women empowerment, enterprise development, planning, finance, disaster risk management, decentralization and climate change adaptation, among others). Besides, the role of private households and specifically women in providing care should be acknowledged and taken into consideration when designing and implementing social protection floors.

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

Objectives, scope and structure of the UNDG social protection coordination toolkit

The present toolkit is primarily addressed to UN Country Teams (UNCTs). It provides a conceptual framework to support the efforts of UNCTs to convince governments of the importance of coordination in the field of social protection. The toolkit also provides concrete guidance and practical tools to conduct a country-level evaluation of existing coordination mechanisms that are used for planning and implementing social protection policies, as well as to collectively identify possible improvements to these coordination mechanisms. Finally, the toolkit provides guidance and practical examples for UNCTs to support governments and other relevant stakeholders in specifying and implementing the recommended improvements for better coordination in the field of social protection.

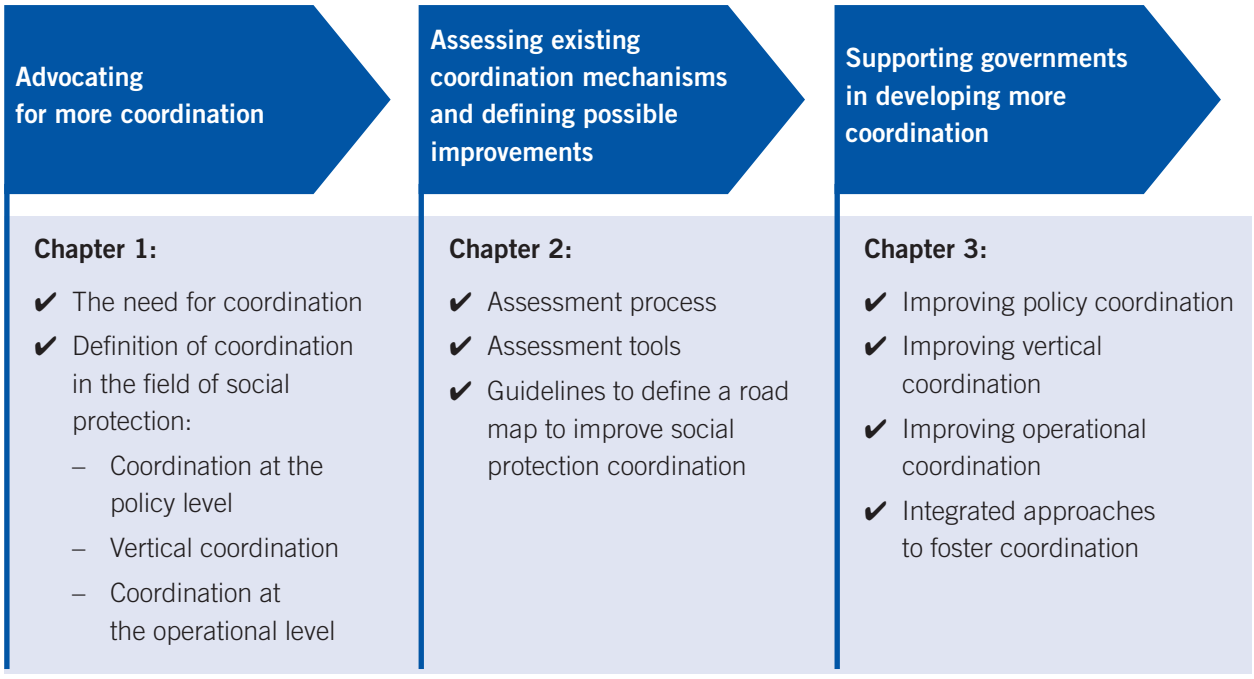
Coordination among the different UN agencies working in the field of social protection is hereafter envisioned as an initial step to be completed in order to effectively support national actors in their coordination efforts. Ideally organized under the supervision of the UN Resident Coordinator (UNRC), UN collaboration in the field of social protection should be reflected in a United Nations Development Assistance Framework (UNDAF), One UN programme, or other UN programming framework. Intra-UN coordination is not the purpose of the present toolkit. More information on intra-UN coordination can be found in the UNDG toolkit for improved functioning of the United Nations development system at the country level (http://toolkit.undg.org/).

In the present toolkit:

- **Chapter 1** advocates for more coordination by defining and justifying why coordination is needed.
- **Chapter 2** proposes a methodology to assess existing coordination efforts at the country level. This assessment will lead to recommendations to improve coordination.
- **Chapter 3** provides entry points and examples to inspire and guide UNCTs and other social protection stakeholders to improve coordination.

The structure of the toolkit is illustrated in figure 2.

Figure 2. Overall structure of the toolkit



A gradual implementation of coordination mechanisms

Coordination can be implemented stepwise by starting with feasible initiatives and convinced stakeholders, and then progressively extended to finally reach global coordination of social protection programmes.

Besides, some component of social protection might require a more urgent and intense coordination effort. This is notably the case for nutrition and early childhood development which are critical along the life cycle of an individual, and involve numerous service providers and other stakeholders.

Also, there is no point in waiting for the different components of the SPF to be installed to start the coordination effort. Coordination for a more efficient social protection system – a more accessible and effective SPF – has to be considered from the outset of social protection development since it might have an impact on the design of the different schemes (e.g. use of a shared database).

CHAPTER I The importance of coordination in the context of designing and implementing social protection floors

The need for coordination

The SPF proposes a holistic approach to social protection

Different components of social protection are the responsibilities of different line ministries and public organizations, including deconcentrated structures and local governments. Additionally, social partners are often involved in designing, managing, and monitoring the schemes. At the local level, social workers (including those responsible for child protection services) play a prominent role in making the right to social protection a reality for all. Further, and notably due to the lack of proper public services and facilities, private households and traditionally women also play important functions in shaping the social protection landscape notably through providing care. Development partners (notably, international organizations and civil society organizations) can play an important role in supporting governments in developing, implementing, and delivering social protection programmes, especially in developing countries. In many cases, the roles and responsibilities of these different stakeholders are not clearly defined or articulated, causing the system to suffer from multiple gaps and overlaps.

Conclusions of the International Labour Conference (ILC) in 2011 defined social protection floors as follows:

> *"…social protection floors, containing basic social security guarantees that ensure that over the life cycle all in need can afford and have access to essential health care and have income security at least at nationally defined minimum level. Social protection floor policies should aim at facilitating effective access to essential goods and services, promote productive economic activity and be implemented in close coordination with other policies enhancing employability, reducing informality and precariousness, creating decent jobs and promoting entrepreneurship."*[5]

The SPF thus offers an integrated set of social policies with the aim of promoting a comprehensive, coherent, and coordinated approach to social protection that ensures that beneficiaries are supported throughout the course of their lives. The Social Protection Floor concept is based on a holistic and coherent approach to social protection. It promotes horizontal coordination and a systemic approach for the development of comprehensive social protection.

The horizontal dimension of the Social Protection Floor, i.e. universal coverage, results from the coordination of existing schemes and programmes and the development of a strategy to fill the gaps. Therefore, good coordination between the various organizations in charge of providing transfers and services is required for the design and the implementation of a Social Protection Floor.

The realization of the vertical dimension of social protection coverage extension, which is clearly mentioned in ILO's Recommendation No. 202, also requires coordination mechanisms to be installed. Indeed, it is expected that the different stakeholders will complement each other in order to provide more adequate and comprehensive benefit packages, taking into account and progressing toward minimum international standards of the ILO's Social Security (Minimum Standards) Convention, 1952 (No. 102).

In addition, several guiding principles of Recommendation No. 202 relate to coordination. It clearly moves from the usual segmented approach of social protection (social assistance versus social insurance) to the promotion

[5] ILC, PR No. 24 – Report of the Committee for the Recurrent Discussion on Social Protection, 2011. Available at: http://www.ilo.org/ilc/ILCSessions/100thSession/reports/provisional-records/WCMS_157820/lang--en/index.htm [19 January 2016].

of a comprehensive framework in which the focus is on the output, i.e. the provision of the right social transfer to the right person at the right time, as well as universal access to all basic guarantees.

Box 1 Aspects of Recommendation No. 202 referring to coordination

Aspects of Recommendation No. 202 referring to coordination include:

Section 3 (m, n): Members should apply the principles of coherence across institutions responsible for the delivery of social protection; and high-quality public services that enhance the delivery of social security systems.

Section 10 (c): In designing and implementing social protection floors, Members should ensure coordination with other policies that enhance formal employment, income generation, education, literacy, vocational training, skills and employability, that reduce precariousness, and that promote secure work, entrepreneurship and sustainable enterprises within a decent work framework.

Section 13 (2): Members should progressively build and maintain comprehensive and adequate social security systems coherent with national policy objectives and seek to coordinate social security policies with other public policies.

Yet, the design and implementation of SPFs should be organized through processes and according to working patterns that enforce coordination and collaboration among all the multiple stakeholders responsible for the different elements that will make the Social Protection Floor a reality for all. In order to better support people across their life cycles and provide them with accurate support, it is essential to coordinate between contributory and non-contributory schemes and to envision portability of entitlements, thus leaving no one on the sidelines.

Such a feature can be observed in Thailand's social health protection programmes. The National Health Security Office built a national registry of beneficiaries based on the population database maintained by the Ministry of Interior. This registry is shared by the three social health protection schemes in order to ensure universal coverage for the entire population.[6]

The SPF also calls for the coordination of social protection with other policies

Article 10 of Recommendation No. 202 calls for countries developing and implementing SPFs to:

> *"ensure coordination with other policies that enhance formal employment, income generation, education, literacy, vocational training, skills and employability, that reduce precariousness, and that promote secure work, entrepreneurship and sustainable enterprises within a decent work framework"*

Social protection cannot function as an isolated and stand-alone field. It is interrelated with health, food security, education, formalization and employment policies, among other fields. It is also firmly linked to economic development policies through its positive impact on local economies,[7] household productivity, and labour market

[6] ILO: *A national health insurance beneficiary registry based on national identification numbers in Thailand* (Geneva, 2015). Available at http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=53144.

[7] A. Barrientos and R. Sabates-Wheeler: *Local economy effects of social transfers* (Brighton, University of Sussex 2006).

participation, that in turn result in more sustainable and equitable growth.[8] This is particularly visible in the case of conditional cash transfers that often bind income security with the use of public services. Further, acknowledging the role of private households and particularly women in providing care, social protection policies should also be coordinated with gender equality and women empowerment strategies.

Social protection can help minimize people's vulnerability to shocks that affect their future. Therefore, social protection policies can be linked to disaster risk management and climate change adaptation, which share common objectives.[9] Similarly, in order to ensure the sustainability of SPFs, it is critical to ensure the coherence between social protection policies and the national financial, fiscal, and economic contexts. To that extent, ministries of finance, as well as budget and planning offices and international financial institutions are key stakeholders in the coordination effort.

Finally, social protection benefits should be delivered close to where people live and work. This impacts the administrative structures of a country. Thus, it is important to ensure that social protection policies are consistent with decentralization and deconcentration reforms.

To conclude, coordination between social protection and related fields is a necessity not only to ensure the adequacy and consistency of the system, but also to guarantee its sustainability (given fiscal forecasts and budgetary allocations) and its efficiency.

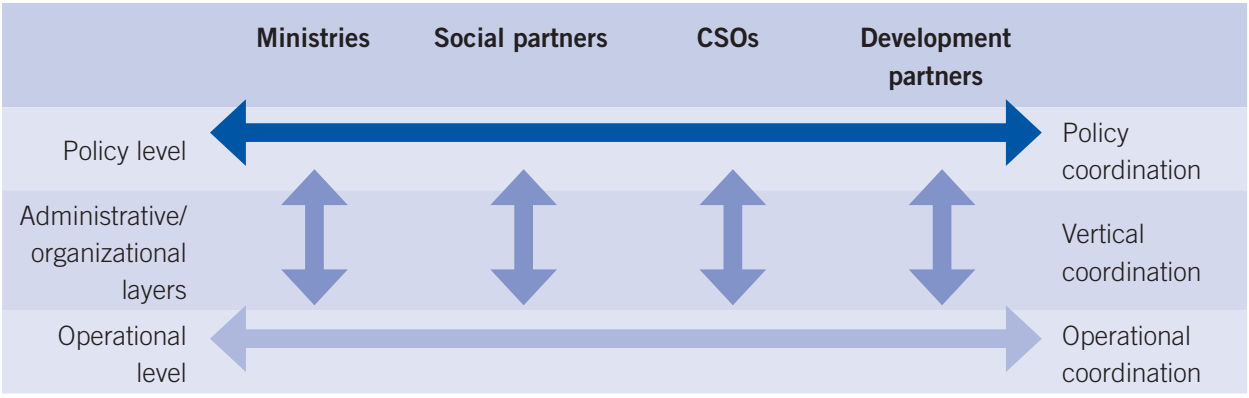
Definition of coordination

Coordination, with the ultimate aim of developing and implementing nationally defined SPFs, can be defined as the alignment and harmonization of all stakeholder activities (at the operational level) in a coherent and holistic way to reach clearly identified and shared objectives (at the policy level). Obviously, a vertical link (vertical coordination) is also required between the policy and the operational levels.

The coordination effort to implement SPFs takes more than the organization of regular information-sharing meetings to deliver information about ongoing projects. It is only effective when the different stakeholders build on each other's proposals and share their strengths (expertise and resources) to reach a common predefined goal.

Figure 3 below illustrates the three dimensions of coordination required for the efficient design and implementation of an SPF in a country. The three dimensions include horizontal coordination at the policy level, vertical coordination between the policy level and the operational level, and horizontal coordination at the operational level.

Figure 3. Required coordination efforts to develop and implement social protection floors



[8] N. Mathers and R. Slater: *Social protection and growth: Research synthesis* (Barton ACT, Department of Foreign Affairs and Trade, 2014).

[9] UNICEF EAPRO: *Protecting children from poverty, disaster and climate risks: Linking Social Protection with Disaster Risk and Climate Change Adaptation in East Asia and the Pacific – Reflections from a Symposium.* (Bangkok, 2014).

Horizontal coordination at the policy level

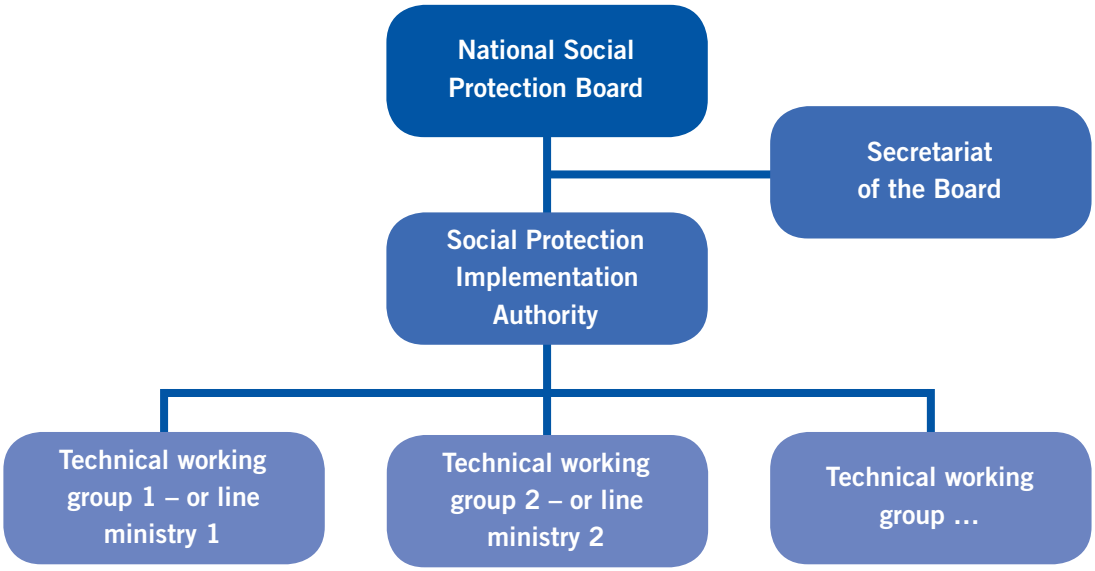
The social transfers (in cash and in kind) that constitute a national SPF usually fall under the responsibility of different line ministries, departments, and agencies (e.g. Ministry of Education, Ministry of Health, Ministry of Social Welfare, Ministry of Labour, and so on). The design, implementation, and operation of these transfers involve many other entities, such as ministries of finance, budget offices, social partners, civil society organizations, UN agencies, and other development partners. The understanding and subscription of each of these stakeholders to the vision of social protection and the development path promoted by the government are essential to ensure effective development and implementation of the social protection system.

Each entity working in the field of social protection has its own agenda and priorities, which may contribute to a certain extent to the organization of SPFs, but may also partially duplicate or neutralize efforts of other entities. Many countries are affected by scattered and complex social protection systems, which are inefficient and make it difficult to access benefits. Nationally defined SPFs should be developed through a strong and inclusive coordination effort at the policy level to reach a common understanding of national goals, priorities, and development strategies. Major objectives of the coordination effort at the policy level are to define the national SPF and create a road map for its implementation.

Ideally, the shared vision of social protection would be embodied in one entity. This entity should be responsible for facilitating the coordination process, have the legitimacy to settle conflicts, and be accountable for the successful and efficient implementation of the SPF.

Informed by field experiences and different country cases (including the Philippines, Cambodia, and others), figure 4 depicts a structure that should enable the different social protection stakeholders to coordinate their efforts at the policy level. Taken together, the structure presents an organizational benchmark against which institutional arrangements for social protection coordination may be measured.

Figure 4. Example of the organizational set-up for coordination at policy level



In the organizational structure depicted above, the National Social Protection Board would be responsible for the development of a national social protection strategy and the review of each line ministry's policy before submission to the prime minister's cabinet or president's office. The Board would also consolidate national statistical data on

the extension of social protection and produce or update national coverage indicators. It would be composed of representatives from the different ministries involved in the social protection field, as well as workers' and employers' representatives, civil society organization representatives, and development partners' representatives. The number of members should be as limited as possible to ensure the effectiveness of the Board in making decisions and orienting the social protection development in the country (e.g. one representative for all development partners should be sufficient, providing these actors have developed an internal coordination meeting ahead of the Board meetings). It is important that the Board has a clear mandate, ideally established by an act of parliament. Furthermore, to ensure attendance, it is crucial that a budget is provided and that coordination efforts are reflected in individual organization performance appraisals. Finally, the Board should be led by a senior official with the capacity and legitimacy to lead the coordination, and to report to the president's or vice-president's office or cabinet of the prime minister. The Secretariat of the Board should prepare the board meetings and agendas, and the questions to be discussed.[10]

Table 1. Definition and concrete examples of the different components of horizontal coordination at the policy level

	Definition	Objectives	Main forms
Coordination at the policy level	■ Coordination among different departments and agencies operating within a single ministry ■ Coordination among different line ministries involved in social protection (including Ministry of Finance) ■ Coordination among the government and relevant stakeholders (social partners, civil society, development partners)	■ Develop a shared vision of the SPF in a country, consistent with related policies and aligned with the specific culture and history of the country, notably with respect to the place of women ■ Define the roles and responsibilities of the different stakeholders in a way that they complement each other ■ Install the entity and indicators required to monitor the implementation of the SPF	■ Set up social protection teams, such as in Zambia (Box 5) ■ Use national dialogue to assess the social protection situation and formulate recommendations to achieve a nationally defined SPF,[10] such as in Thailand and Indonesia (Box 6) ■ Define a realistic national social protection strategy with clear, shared priorities, such as in Myanmar (Box 7) ■ Install a board or committee to monitor implementation of the road map, such as in Nepal (Box 8) ■ Install a common monitoring system for the SPF implementation, such as in Dominican Republic (Box 9)

[10] An Assessment-based National Dialogue (ABND) on social protection is a large-scale participatory exercise that aims to identify priority areas for government intervention in the field of social protection and estimate the cost of these interventions. The ABND can also take into account other social protection assessment tools, such as Core systems Diagnostic Instrument (CODI), applied in a country and incorporate the results of such tools. For more information, visit: http://secsoc.ilo.org/abnd.

The Social Protection Implementation Authority would be responsible for organizing and monitoring the implementation of the Board's decisions. Hence, it would be responsible for the implementation of the Social Protection Floor (planning and budgeting). Under the Social Protection Implementation Authority, different technical working groups could be installed to develop knowledge and organize technical work on thematic areas. The working groups could be organized by social protection branch (e.g. health protection, work injury insurance, old-age pension, and so on), by demographic group (e.g. children, persons with disabilities, older persons, working-age population, and so on), or according to any other segmentation that is relevant to the country-specific context (e.g. a thematic working group could be dedicated to the installation of an integrated management information system). Similar to the Board, the technical working groups should be composed of representatives of different social protection stakeholders and led by a senior official with the capacity and legitimacy to lead coordination efforts. Ideally, as part of its planning activities, the Social Protection Implementation Authority will clearly define individual and mutual outcomes which could be formalized in the form of a memorandum of understanding with each stakeholder. A common monitoring framework will be required for the Social Protection Implementation Authority to follow up on the work undertaken by the different stakeholders.

The table 1 resumes the different components of horizontal coordination at the policy level and introduces its main forms that are futher elaborated upon in Chapter 3.

Vertical coordination

The delegation of responsibilities and activities from the central level to the local level is mandatory for any social protection organization or scheme. The delivery of social transfers has to take place in close proximity to the people, including those in rural and remote areas, in order to ensure accessibility for the most vulnerable groups in society. Other functions, like the identification of vulnerable groups or the adjustment of benefits to local needs and constraints, also require the involvement of subnational layers of the administration. Ultimately, the social protection system needs to be consistent with deconcentration and decentralization policies, as well as with local administrative capacities.

This highlights the need for a second type of coordination: vertical coordination which should include top-down (guidance, monitoring, and budget allocation) and bottom-up (feedback and reporting) mechanisms, to ensure the efficient flow of information and funds between the central and operational levels.

The vertical coordination mechanism encompasses all the different layers of the government (federal, national, provincial/regional, district, and commune/village levels). Vertical coordination is particularly important for planning and budget allocation. In order to properly plan and allocate the available budget, it is necessary for the central level to retrieve information available at the operational level (for instance, the number of identified beneficiaries). Conversely, the local level needs the right information on details of schemes and eligibility criteria in order to contribute to the planning and budget allocation process.

Vertical coordination consists of ensuring a flow of information both downwards and upwards. The central level usually defines and informs the local level on scheme parameters and operational guidelines, while the local level enrols the beneficiaries, controls the conditional actions, if any, and, in some cases, delivers the benefits.

Vertical coordination also contributes to a well-functioning appeals and grievance mechanism. In order to ensure accessibility, it should be possible for beneficiaries and residents to submit complaints at the local level of

the administration. It is therefore important to ensure an efficient upward flow of information that will lead to the resolution of cases at the appropriate level of the organization. It is equally important to install the downward flow of information that will provide the beneficiaries with appropriate answers.

Three components are key to guarantee a proper vertical coordination in a country: (i) a consistent framework for the delegation of responsibilities to lower levels of the administration; (ii) the installation of efficient and common reporting tools to exchange information and plan budgets; and (iii) the installation of a chain of committees linking the different layers of the administration to build ownership and ensure well-informed decisions.

Ideally, based on the subsidiarity principle (matters ought to be handled by the lowest competent authority), the delegation of responsibilities to lower levels of the administration has to be consistent with the country's policy and administrative structure. Additionally, the delegation of responsibilities has to be aligned with the

Table 2. Definition and concrete examples of the different components of vertical coordination

	Definition	Objectives	Main forms
Vertical coordination	■ Coordination of the central level of an organization (headquarters) with its local facilities	■ Ensure respect for policy decisions during the implementation ■ Improve efficiency of the administration through the principle of subsidiarity by empowering local administrations and other structures at the local level ■ Improve the level of information at all levels ■ Improve transparency and traceability of information in the social protection system ■ Create ownership at lower levels ■ Facilitate with ease the sound and timely allocation of resources	■ Delegate responsibilities to local authorities with clear definitions of the roles and responsibilities between the different layers of the subnational administration, such as in South Africa (Box 10) ■ Install an incentive system for the local administration, such as in Brazil (Box 11) ■ Install an efficient chain of committees and set of procedures in order to organize flows of information and finances in two directions (top-down and bottom-up), such as in Kenya (Box 12) ■ Design and implement reporting mechanisms and tools, such as in the Philippines (Box 13) ■ Develop an integrated management information system, such as in Chile (Box 14)

decentralization of the related capacities and budget. This idea of subsidiarity is particularly appropriate for the grievance mechanism since basic issues could be handled at local levels of the administration.

The reporting system could be automated using a management information system (MIS), which would optimize the transparency and traceability of the social protection system. It would allow for better planning processes, as well as fairer allocations of resources. Real-time information on field activities would also allow the central administration to react quickly in case of need. This reporting system would ideally be based on SMART indicators following the theory of change and result-based approaches adopted by the country.

Committees at the different layers would form a chain of accountability that will link the central level to the lowest layer of the administration. By providing local actors with clear roles and responsibilities, they also contribute to build ownership, which often leads to better governance.

The table 2 resumes the different components of vertical coordination. It also introduces the main forms of vertical coordination that are futher detailed in Chapter 3.

Horizontal coordination at the operational level

The separation of roles and responsibilities existing at the policy level is often replicated within each layer of the subnational administration, including at the grassroots level, where social protection delivery takes place. This is to say that the lack of coordination at the policy level is often replicated at the local level.

Box 2 Introduction to the Single Window Service (SWS)

The SWS is a "one-stop shop" for the delivery of social protection programmes and employment services. Ideally embedded in government institutions and operated by the subnational administration, the SWS is linked to the central level via a formalized reporting system. This reporting system should ensure the transparency and traceability of the social protection system. The SWS also coordinates the local level (responsible for service delivery) with the central/national level (responsible for policy development, planning, and monitoring and evaluation).

The SWS has three components, namely: (i) a physical place where families can obtain information and access all social protection and employment programmes; (ii) a coordination mechanism at the policy and operational levels and vertically with the central level; and (iii) a reporting and monitoring tool for all social protection and employment programmes.

The SWS can perform different functions on behalf of social protection organizations based on unified tools and procedures. For instance, the SWS could be responsible for: the provision of information on all schemes; maintenance of the social protection identification system; running the common selection method; the implementation of common delivery mechanisms (smart cards and automated teller machines (ATMs)); the development of combined benefit packages for a more effective social protection system; the installation of a common grievance mechanism; the enforcement of joint monitoring and evaluation procedures; and so on.

For a practical example of SWS, see box 19.

Source: ILO, Geneva.

The holistic approach promoted by the SPF Initiative must be reflected in the operations of the different programmes. Yet, there is a third dimension of coordination necessary for the effective implementation of SPFs: horizontal coordination at the operational level. Coordination at the operational level should happen among the subnational administration, but must also encompass deconcentrated divisions and agencies, social partners, civil society organizations, and development partners working at the local level. This coordination at the local level should also acknowledge the role of private households in providing care, especially in the absence of comprehensive public systems.

This level will include the coordination of the following functions: provision of information; selection and registration of recipients; provision of identification documents; collection of contributions; payment or benefit delivery mechanisms; provider contracting; complaint and grievance systems; and monitoring and evaluation (M&E).

Good coordination patterns at the local level should result in the empowerment of local social officers, enabling them to develop a case management approach (at individual or family levels) to social protection delivery. The development of a case management approach and the empowerment of local social officers not only require a strong delegation of responsibilities (partial management of the beneficiary list at the local level), but also the development and establishment of shared tools that will allow the local social officers to develop a broad vision of available social protection transfers. This could be completed through the development and implementation of an integrated MIS covering functions such as beneficiary selection, identification provision, payment delivery, M&E, and complaints and grievances. Conversely, the absence of coordination at the local level may lead to gender adverse results, not considering the specific role that women play in providing care, notably with respect to early childhood development.

Effective coordination could also be accomplished through the development of more systemic approaches, such as the Single Window Service concept developed by the ILO, detailed in box 2.

Table 3. Definition and concrete examples of the different components of horizontal coordination at the operational level

	Definition	Objectives	Main forms
Operational coordination	■ Coordination between different local administration departments ■ Coordination between the local administration and deconcentrated services (divisions and agencies) ■ Coordination between the local administration and relevant stakeholders working at the operational level (social partners, civil society organizations, development partners) as well as households	■ Ensure efficient use of the available resources (especially in the context of limited fiscal space and poor budget delegation) ■ Simplify the social protection system for the population (to avoid multiple entry points for people to access programmes) ■ Improve the efficiency of the SPF for sustainable graduation out of poverty through the provision of combined benefit packages	■ Promote the role of local social officers, such as in India (Box 15) ■ Promote the installation of shared identification databases, such as in India (Box 16) ■ Support the implementation of a shared selection system, such as in Colombia (Box 17) ■ Develop simplified delivery mechanisms, such as in Mongolia (Box 18) ■ Implement a Single Window Service, such as in Cambodia (Box 19)

The table 3 resumes the components and objectives of horizontal coordination at the operational level. It also introduces its main form that are futher detailed in Chapter 3.

Benefits and costs of coordination

Table 4 summarizes the main advantages and disadvantages of more coordination.

Table 4. Benefits and costs of coordination

Benefits and advantages	Costs and disadvantages
■ Provides potentially better results for the population (e.g. universal coverage). ■ Helps convey the 'big picture' or strategic goals (e.g. sustainable development), which are not always captured by individual agencies' or ministries' objectives. ■ Helps realize synergies and maximize the cost effectiveness of policy and/or service delivery. ■ Generates economies of scale (e.g. sharing of infrastructure, facilities, data and information, and property, among others). ■ Sets a precedent for the way a government operates that can be used in other areas beyond social protection. ■ Improves client focus and thereby service quality and user-friendliness. ■ Assists with prioritization, resolution of potential conflicts, and trade-offs in decision-making. ■ Improves working relations with other agencies and ministries that are likely to be critical to future successes, and the achievement of cross-cutting objectives (e.g. formalization). ■ Contributes to the empowerement of local administrations, and therefore to the success of decentralization processes.	■ Creates an additional layer responsible for coordination that may create some confusion in lines of accountability. ■ Results in longer decision-making processes. ■ Leads to greater difficulty in measuring effectiveness and impacts because of the need to develop and maintain more sophisticated performance measurement systems. ■ Causes direct and indirect costs related to management and staff members who spend time establishing and sustaining joint working arrangements. ■ Leads towards consensus and the "path of least resistance" at the expense of making tougher decisions about trade-offs for improvement. ■ May require capacity development plans, notably at the local level.

CHAPTER II Assessing existing coordination mechanisms

Introduction to the assessment process

Objectives of the assessment

The coordination assessment intends to: (i) convince each entity working in the field of social protection of the importance of coordination, and (ii) define areas of work, procedures, and tools that can be better coordinated. The assessment enables existing institutions to move away from a "silo mentality" and improve efficiency, effectiveness, and the impact of their operations.

The assessment is a good opportunity to set in motion a coordination effort and establish a body mandated to facilitate coordination.

The main objectives of the assessment are to:

- create momentum on the need for more coordination;
- assess the effectiveness of coordination structures and mechanisms at the policy level, and identify issues affecting policy-making and planning;
- assess the effectiveness of vertical coordination structures and mechanisms, and identify issues with the bottom-up and top-down flows of information and budget;
- assess the effectiveness of coordination structures at the operational level;
- analyse the relevance of increased collaboration between social protection services for achieving a greater impact;
- identify functions that could be shared across existing programmes or schemes;
- identify actors who could perform shared functions;
- propose a road map to progressively implement the recommendations; and
- build the legitimacy of the body that is mandated to facilitate the coordination effort.

Key questions to be answered during the assessment

Key questions guide the analysis of the horizontal coordination efforts at the policy level, vertical coordination mechanisms, and horizontal coordination efforts at the operational level. Detailed matrices of questions are provided in Annex 2.

Examples of questions used to assess existing coordination mechanisms at the policy level:

1. Is there an entity mandated and with the legitimacy to develop a Social Protection Floor strategy?
2. What is the process to develop a national strategy for social protection?
3. How are social partners and other relevant representatives of beneficiaries involved in the development and monitoring of social protection policies?

Examples of questions used to assess existing vertical coordination mechanisms:

1. Is there a clear definition of the roles and responsibilities across the different levels of the administration?
2. Is there a referral entity for social protection at the different layers of the administration?
3. What are the procedures and tools to exchange information between the central and local levels of social protection organizations?

Examples of questions used to assess existing coordination mechanisms at the operational level:

1. Is there a shared database for the selection or identification of beneficiaries?
2. Is there a unique entry point for residents to access the social protection system?
3. What is the role of the local administration in the delivery and monitoring of social protection benefits?

Identifying the proper actors to conduct the coordination assessment exercise

The assessment process could be led by UNCTs and involve all relevant stakeholders (central and local governments, social partners, development partners, civil society organizations, and so on). However, in order to maximize the impact of such an exercise, it is important to ensure accountability of relevant officials, as well as representatives of beneficiaries, civil society, and social partners in the assessment process itself. Ideally, the coordination assessment would be the decision and responsibility of the government, and UN agencies providing technical support.

A preliminary step in the assessment that UNCTs could initiate is a rapid stakeholder analysis to characterize their willingness and legitimacy to coordinate the social protection sector. This would result in the establishment of a core team to lead the assessment process. This preparatory step is important since the coordination assessment itself could be the first achievement and the reason for establishing an ad hoc national social protection team.

As part of the team involved in the assessment, it is critical to involve "social protection champions", including people with ideas and vision, as well as people with sufficient political influence in the country to push the recommendations at the highest levels of government and ensure that these recommendations are translated into action.

The following questions in table 5 can help to identify participants and leaders of the social protection team:

Table 5. Guiding questions to identify actors that should contribute to the coordination assessment exercise

Objectives	Questions
Ensuring the impact of the team's work	■ Who are the champions and allies who will push to make social protection a central issue? ■ Who are the non-government allies?
Ensuring the quality of the team's work	■ What are the particular priority groups among potential beneficiaries, and who is representing them? ■ Which organizations are willing to innovate?

(Table 5 continued)

Objectives	Questions
Ensuring a balanced representation among the team	■ What are the main organizations working in the field of social protection? ■ What is the position of social partners regarding the implementation of an SPF, and what is their relationship with the government? ■ What are the risks of involving civil society? ■ What is the role of private households, and particularly women in providing social protection services in the country?
Identifying the leader	■ Who could legitimately propose and implement common working patterns? ■ Which organization could take advantage of coordinating social protection?

In which cases should the coordination assessment be completed?

The question of coordination is particularly relevant in countries that have many interventions in the area of social protection. The multiplicity of initiatives and stakeholders can lead to systems that are difficult to understand for beneficiaries, situations where beneficiaries receive similar benefits from different programmes, and duplication of efforts.

Nevertheless, installing good governance practices and enforcing coordination mechanisms from the outset of social protection development is easier (limited number of interventions to coordinate without a long history of autonomy).

Box 3 **Introduction to the Assessment-based National Dialogue exercise**

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

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

Source: ILO: *Social protection Assessment-based National Dialogue: A global guide* (Geneva, 2016).

Coordination assessment could even been carried out when developing national social protection strategies. Ideally, it could be carried out during an Assessment-based National Dialogue (ABND) exercise which looks at the social protection situation of a country and identifies gaps in coverage. The ABND combined with the coordination assessment would lead to recommendations on what remains to be done to complete the national Social Protection Floor and how to coordinate existing schemes to improve performance and maximize the use of national resources.

Coordination assessment could also complement and support other assessment tools such as the Core systems Diagnostic Instrument (CODI) and other Inter-Agency Social Protection Assessment (ISPA) tools, being developed at the request of the Social Protection Inter-Agency Cooperation Board (SPIAC-B).

As mentioned earlier, coordination is a continuous effort. Thus, the assessment exercise can also be used for any country aiming to be more effective and efficient in the design and implementation of SPFs.

Box 4 Introduction to the Core systems Diagnostic Instrument (CODI)

CODI is one of the Inter-Agency Social Protection (ISPA) tools envisioned as a core diagnostic tool that will assess the overall social protection system performance in a coherent manner through a consistent set of outcome metrics building on existing knowledge. CODI includes an overview of the basic features of the national social protection policy framework, including (i) the legal framework and rights, (ii) the national social protection strategy and objectives, (iii) institutional arrangements, (iv) degree of benefits institutionalization, (v) national capacity for policymaking, dialogue, implementation, and coordination, (vi) public spending and sources of financing, and (vii) monitoring and evaluation capacity.

The tool maps out the key design features of the major social protection programmes in the country and assesses the gaps, looking for opportunities to improve, as well as, reinforce programmes' complementarities inside and outside the social protection system. The assessment focuses on the following areas: identification of beneficiaries, eligibility verification, enrolment, delivery of the benefit (the transfer of cash, food, training or other services), monitoring and evaluation, complaint and appeal mechanisms, and information dissemination and raising awareness.

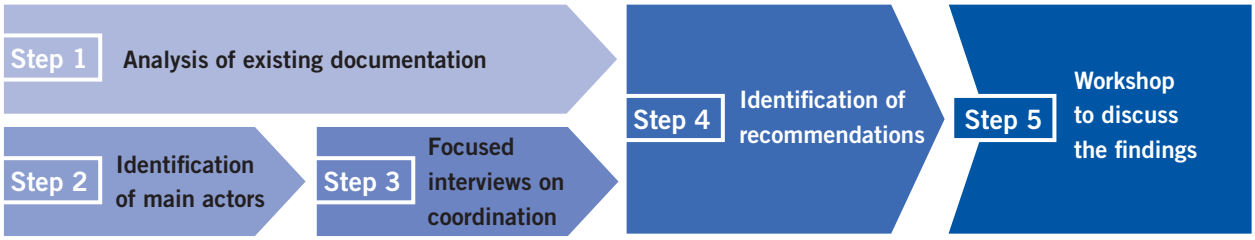
CODI proposes a methodology to assess the performance of the social protection system in a country against 10 performance criteria. These performance criteria are formulated on the basis of internationally agreed good practices, standards and principles, and expert practice.

Source: SPIAC-B

Description of the assessment process

Figure 5 represents a proposed assessment process for social protection coordination mechanisms. It is composed of five steps:

Figure 5. Coordination assessment process



Step 1 Analysis of existing documentation

This first step has four main objectives:

- understanding coordination mechanisms installed at the policy level;
- understanding vertical coordination mechanisms, as well as the administrative framework of the country;
- understanding coordination mechanisms installed at the operational level; and
- identifying possible coordinated initiatives in other areas.

Table 6 presents key questions and possible sources of information to conduct the literature review:

Table 6. Objectives of the desk review

Objectives	Key Questions	Possible source
Understanding coordination mechanisms at the policy level	■ Is there a coordinated policy or strategy document at the national or provincial levels? ■ How was the document developed, and who was involved in the production of the document? ■ What is the scope of the policy or the strategy compared to the scope of the SPF? ■ Is there an entity mandated to coordinate social protection? ■ Is there an implementation plan for the strategy?	■ Past coordination assessment ■ National social protection strategy/policy ■ Government websites

(Table 6 continued)

Objectives	Key Questions	Possible source
Understanding vertical coordination mechanisms and the administrative framework of the country	■ What are the different layers of the administration? ■ What are their respective roles and responsibilities in general? ■ What are their respective roles and responsibilities in the field of social protection? ■ Is there a unique stakeholder for social protection? ■ Are there any documented tools or procedures for planning, budgeting, or reporting?	■ Decentralization and deconcentration strategies, laws, or decrees ■ Government websites ■ NGO reports
Understanding coordination mechanisms existing at the operational level	■ What are the main pitfalls of existing social protection programmes, and could the situation be improved through a better coordination? ■ Is there a shared database for selection and identification of beneficiaries (e.g. social protection card)? ■ Is there a grievance and appeals mechanism in place? ■ Is there a shared delivery facility at the local level?	■ Social protection assessment reports ■ Past coordination assessment ■ Annual reports of social protection schemes ■ NGO reports
Identifying possible coordinated initiatives in other areas	■ Is there a coordinated mechanism to deliver public services? ■ Is there any initiative to coordinate public organizations involved in enterprise creation? ■ Is there any initiative to coordinate public organizations involved in tax collection?	■ Government websites and reports

It is proposed that the literature review be entered into a compilation matrix similar to the one shown in figure 6 (see Annex 2 for more detailed matrices).

Figure 6. Proposed matrix to organize the findings of Step 1

	Design		Implementation		Recommendations
	Main features	Gaps	Main features	Issues	
Coordination at the policy level					
Vertical coordination					
Coordination at the operational level					

To be filled during Step 1

The first part of the matrix, which is likely to be completed during Step 1, is dedicated to the design of social protection coordination. The term "design" is intended to refer to the theoretical functioning of the coordination efforts, i.e. what was envisaged to ensure coordination of social protection in the country. On the other hand, the implementation part of the matrix is more likely to be completed during Step 3 of the assessment process after gathering experiences from the field. The term "implementation" refers to coordination efforts that are actually happening and how they are happening.

A design gap refers to a missing provision or what appears to be a misconception of the coordination effort compared to recognized good practices (for examples of good practices, please refer to Chapter 3). Examples of possible design gaps are listed below.

- No entity is responsible for organizing the coordination between social insurance and social assistance measures.
- There is no national cross-ministerial social protection policy or strategy.
- No process has been developed to share information across different schemes.
- Several institutions or ministries have the mandate to coordinate and monitor subsets of programmes, but their databases are not compatible.
- There is no shared monitoring and evaluation framework.
- Each programme has its own selection and registration processes and tools.

Step 2 Identification of main actors

The objective of Step 2 is to identify the main stakeholders involved or who should be involved in the design and implementation of nationally defined SPFs. This identification should come together with a precise description of the roles and responsibilities of each stakeholder.

The mapping of existing schemes and initiatives to deliver social transfers and services may not be sufficient to gain a full picture of the actors who should be involved in the design and implementation of the SPF guarantees

(for example, some of the expected actors may not fully play their roles, or actors responsible for budget allocations may not appear). In order to develop a complete picture of SPF stakeholders, a separate mapping exercise is proposed using the matrix in figure 7.

Figure 7. Matrix for the mapping of SPFs actors

Guarantees	Policy definition	Planning and budgeting	Scheme design	Administration	Monitoring and evaluation
1 – Health					
2 – Children					
3 – Working-age population					
4 – Older persons					

The simple matrix introduced in figure 7 should allow users to identify stakeholders involved in the different stages of the design and implementation of SPFs in a country for each of the four SPF guarantees. The matrix notably elaborates on the actors involved in: policy-making; planning and budgeting; scheme design and validation; administration and benefit delivery; and monitoring and evaluation.

The administration column could be split into different sub-columns to better fit with local contexts, in which case, the following seven sub-columns may be relevant:

- provision of information to the population;
- selection of recipients;
- identification and authentication;
- enrolment of recipients;
- collection of contributions;
- delivery of benefits; and
- grievance management.

The main stakeholders in social protection usually include the following:

- Ministry of Health;
- Ministry of Social Development/Social Welfare;
- Ministry of Labour;
- Ministry of Agriculture;
- Ministry of Education;
- Ministry of Women and Child Development;
- Ministry of Local Government/Community Development;
- Ministry of Enterprise Development;
- Ministry of Finance;
- National Planning Commission/Council;
- Parliament;
- Social partners;
- Private households;
- Private companies;
- Beneficiaries;

- Community leaders;
- Non-governmental organizations (NGOs);
- Community-based organizations; and
- Faith-based organizations.

The simple exercise of filling in the matrix for SPF actors highlights two important pieces of information:

(i) It will identify stakeholders contributing to the social protection system and quantify their respective contributions (depending on the number of occurrences of a name).

(ii) It will provide the first idea of the coordination effort needed (depending on the number of different organizations listed in the matrix).

For instance, considering the first SPF guarantee on health, some countries have a very limited number of stakeholders involved in this guarantee. For example, in Mongolia the Universal Social Health Insurance is managed by the Social Insurance General Organization and covers more than 92 per cent of the population and is complemented by primary health services financed by the State budget through the Ministry of Health. Other countries still have scattered health protection systems involving numerous schemes, each managed by separate organizations. For example, in Cambodia the health insurance for the formal sector is managed by the National Social Security Fund, while the rest of the population is covered by health equity funds (HEF) and community-based health insurance schemes, most of which are managed by NGOs at a provincial scale. As of April 2010, there were 57 HEF schemes implemented in Cambodia, including 42 schemes operated by NGOs and 15 schemes operated by local health facilities.

From the matrix, one should be able to extract a list of the main stakeholders (or a representative sample) involved in the design and implementation of SPFs in a country. This list should at least include the following types of organizations:

- line ministries;
- local administrations;
- agencies (social security funds, job centres, and so on);
- social partners;
- civil society organizations;
- development partners; and
- people's representatives/community leaders.

Example of selection

For instance, instead of involving all the NGOs operating in the health sector in Cambodia, one would be able, thanks to the matrix, to select the most important ones.

Step 3 Focused interviews on coordination

Each of the actors selected during the previous step should be interviewed. The interviews should focus on existing coordination mechanisms for the design and implementation of nationally defined social protection floors. These interviews have the following objectives:

- identification of existing coordination mechanisms (at the policy and operational levels, as well as vertical coordination);

- assessment of the knowledge on existing coordination mechanisms;
- assessment of the relevance of the installed coordination mechanisms;
- identification of main areas where better coordination could facilitate the implementation of SPFs; and
- identification of roadblocks to better coordination, opportunities to improve coordination, and willingness to collaborate with others.

The focused interviews use the same interview outline for all stakeholders to allow for the identification of potential divergences in terms of knowledge, behaviour, and willingness to coordinate. In order to achieve all the expected objectives, the interviews should be organized in three parts: (i) an introduction on the purpose of the interview by the interviewer; (ii) a discussion on the current stage of coordination; and (iii) a discussion on the next steps to be completed in terms of coordination (see Annex 1 for an example of a detailed interview outline). The following questions can guide the development of the interview outline:

- Examples of questions regarding coordination mechanisms at the policy level:
  1. What do you think of the process that has led to the national social protection strategy?
  2. Are your organization's concerns well reflected in the national social protection strategy?
  3. Do you follow the monitoring and evaluation framework for social protection?
- Examples of questions regarding existing vertical coordination mechanisms:
  1. How is your organization structured and is it consistent with the administrative structure of the country?
  2. What are the procedures and tools to communicate information across the different layers of your organization?
  3. Could you describe the planning and budgeting process of your organization?
- Examples of questions regarding existing coordination mechanisms at the operational level:
  1. Do you share your data with any other organization?
  2. How do you identify your beneficiaries?
  3. Do you deliver your benefits only through your own facilities?
- Examples of questions to identify possible improvements:
  1. Do you think that there is room for improvement of coordination within your organization?
  2. Do you think that you are collaborating well with others?
  3. Could you describe the ideal situation for your organization in which to operate?

To ensure the success and relevance of this exercise, it is important to secure a certain level of confidentiality and present aggregated results (e.g. per organization type). The purpose of the interviews is not to assess the behaviour of individual organizations, but to identify roadblocks and opportunities to better develop the coordination effort.

Information collected through the interviews can be synthetized using the same compilation matrix used in Step 1 and illustrated in figure 8 (see Annex 2 for detailed matrices).

Figure 8. Proposed matrix to organize and compile the interview results

	Design		Implementation		Recommendations
	Main features	Gaps	Main features	Issues	
Coordination at the policy level					
Vertical coordination					
Coordination at the operational level					

To be filled during Step 3

An implementation issue refers to divergence between the coordination system as described from the desk review and its establishment. Implementation issues can result from lack of capacities among responsible organizations or weak enforcement of the initial design. Some examples of implementation issues include:

- The national SPF working group meets infrequently, e.g. once a year.
- Some NGOs refuse to go through the local administration to complete the selection of beneficiaries.
- Data received from different schemes at the central level are not compatible, thus there is no aggregated database on social protection.
- The shared registry data are outdated.

Step 4 Identification of recommendations and preparation of a draft report

By Step 4, one should have a comprehensive understanding of the coordination situation, including gaps and implementation issues. Based on this analysis of the situation, recommendations can be formulated to improve coordination using the matrix in figure 9.

Figure 9. Proposed matrix to formulate recommendations

	Design		Implementation		Recommendations
	Main features	Gaps	Main features	Issues	
Coordination at the policy level					
Vertical coordination					
Coordination at the operational level					

To be filled during Step 4

Recommendations can be short-term, medium-term, or long-term. There are three sources for recommendations:

- suggestions made by stakeholders during the interviews;
- international and country good practices; and
- common sense.

For each dimension of the coordination assessment, namely horizontal coordination at the policy level, vertical coordination, and horizontal coordination at the operational level, a dedicated section of Chapter 3 provides examples and explanations of efforts that could be pursued, starting with the most basic and easiest to implement.

Based on the coordination assessment, a report is drafted to summarize the findings and recommendations. The following is a sample outline for the draft report:

- Current stage of social protection in the country
  - National strategic framework, if any;
  - Existing programmes and provisions;
  - Implementation status.
- Organization of the social protection sector
  - Main organizations involved in social protection;
  - Mandates;
  - Links with the decentralization process, where relevant.
- Coordination assessment
  - Horizontal coordination at the policy level (existing patterns, strengths, and pitfalls);
  - Vertical coordination;
  - Horizontal coordination at the operational level.
- Recommendations for better coordination in the field of social protection
  - Short-term measures;
  - Medium-term initiatives;
  - Long-term projects.

Step 5 Workshop to discuss the findings, and finalization of the report

The final step of the proposed coordination assessment process is critical since it should be the starting point to develop and implement new ways of working. Step 5 consists of holding a workshop to share the findings with stakeholders, followed by the adoption of the report. This final step should bring together all the stakeholders involved in the SPF design and implementation.

The objectives of the workshop are to:

- develop a shared picture of the situation, notably on the gaps and issues regarding the current coordination practices;

- create the will to improve coordination patterns;
- build momentum for the next steps to improve coordination; and
- collect comments on the draft report with the view to finalize it after the workshop.

The workshop could be organized using the "Scan-Focus-Act" approach intended to engage participants into action. Following this approach, the main phases of the workshop could be:

- Scan:
  - introduction to the need for coordination; and
  - examples of coordination good practices in various countries, both inside and outside the field of social protection.
- Focus:
  - current stage of social protection coordination in the country; and
  - identification of the main issues to be solved regarding coordination in the field of social protection and employment promotion (i.e. definition of the objectives of better coordination).
- Act:
  - search for solutions; and
  - establish a shared road map.

The first phase of the workshop aims to build a common understanding of coordination and make the case for more coordination. The potential results from coordinated actions will be explained based on examples of good practices from within the country and from international experiences.

The second phase of the workshop aims to provide all stakeholders with accurate information on the current coordination situation in the country. This phase should not focus only on issues, but also highlight initiatives that are working. The discussion should lead to defining a coordination vision, i.e. what coordination should look like. This will allow for the identification of issues that should be addressed first.

The third phase of the workshop focuses on searching for solutions to solve the highlighted issues. This phase of the workshop would include presentations on other countries' initiatives, small group discussions, or other exercises that enable participants to express their views. Finally, a draft action plan should be developed, identifying key activities to be conducted in the short, medium, and long terms.

Decisions made at the workshop could be formalized under a global road map to be submitted to officials for adoption (or even validated at the end of the workshop). An important output of the workshop is to identify one stakeholder or committee who will be responsible for orchestrating the coordination effort and monitoring the implementation of adopted decisions.

In order to ensure that the assessment results are translated into actions, the coordination assessment report should be finalized, endorsed by representatives of the main stakeholders, and submitted to the governement for adoption and implementation.

CHAPTER III Improving coordination for the design and implementation of SPFs

This chapter aims to provide practical entry points for UNCTs to support governments in improving coordination mechanisms for the design and implementation of SPFs. It is structured according to the three dimensions of coordination that were introduced in Chapter 1, namely, horizontal coordination at the policy level, vertical coordination, and horizontal coordination at the operational level.

For each dimension, entry points are ordered to represent a gradual approach to the progressive installation of better coordination mechanisms. Each highlighted entry point is illustrated by a country experience.

Improving horizontal coordination at the policy level

Potential activities that could be supported by UNCTs to improve horizontal coordination at the policy level are (figure 10):

- setting up social protection teams;
- using a national dialogue to define shared social protection priorities;
- defining a social protection strategy in coherence with other national development policies;
- promoting the installation of a single entity accountable for the SPF implementation; and
- installing a common monitoring system for the SPFs implementation and management.

Figure 10. Five steps for improved horizontal coordination at the policy level

Setting up social protection teams

In many countries, despite impressive achievements from each organization taken separately, the social protection system is insufficiently coordinated to serve the people effectively. The installation of social protection teams is recognized as means to initiate coordination efforts in order to define and implement a nationally defined SPF. Such teams should be composed of representatives from the various government institutions involved in the field of social protection, as well as representatives of other stakeholders, notably social partners, developments partners, and relevant civil society organizations.

The installation of such teams provides a platform to share information and knowledge among social protection practitioners. It also strengthens the impact of policy and technical advisory services provided to governments since this guidance would be collegially discussed. In this respect, complementing the national social protection team with a UN SPF working group can facilitate UN/government collaboration on social protection.

Social protection teams have the ability to define common objectives and align all of their members behind these objectives. The teams benefit from the combination of different expertise and points of views. Social protection teams should also contribute to the clarification of responsibilities within the social protection system. Organizations should be individually accountable for their specific duties and mutually accountable to complete the common objectives.

Box 5 Dual teams linking government and development partners in Zambia

Since 2004, development partners in Zambia have been coordinating their efforts in social protection through a Social Protection Cooperating Partners Group (SP CPG) led by UNICEF. From its inception, the Group has focused on securing financial resources and providing coherent technical support for the extension of social assistance. The Group has also supported the Government in developing an integrated social protection system, including contributory components.

In 2012, a multi-sector working group made up of key government stakeholders initiated the development of the National Social Protection Policy (NSPP). This Technical Working Group (TWG) on social protection was formed under the Ministry of Community Development, Mother and Child Health and involved all relevant sectors and departments. Formulation of the NSPP also involved the SP CPG to provide technical support. In 2014, the NSPP was endorsed, covering both contributory and non-contributory measures to boost social protection coverage in Zambia.

The Government-led TWG and the SP CPG are currently working on a joint programme that will support the implementation of the NSPP between 2016 and 2018, ensuring more systematic and coherent support for the development of social protection in the country.

Selected members of the Group, including the Department for International Development, Irish Aid, UNICEF, and Finland, joined efforts to provide a mix of advisory services and financial support for a dramatic expansion of the Social Cash Transfer programme, which in 2014 benefited from an 800 per cent budget increase using a combination of donor and national financing. Today, the Group continues to support basic social protection, as well as the building of an integrated national system that includes social insurance, namely through the operationalization of the NSPP.

Sources: ILO and UNICEF Zambia.

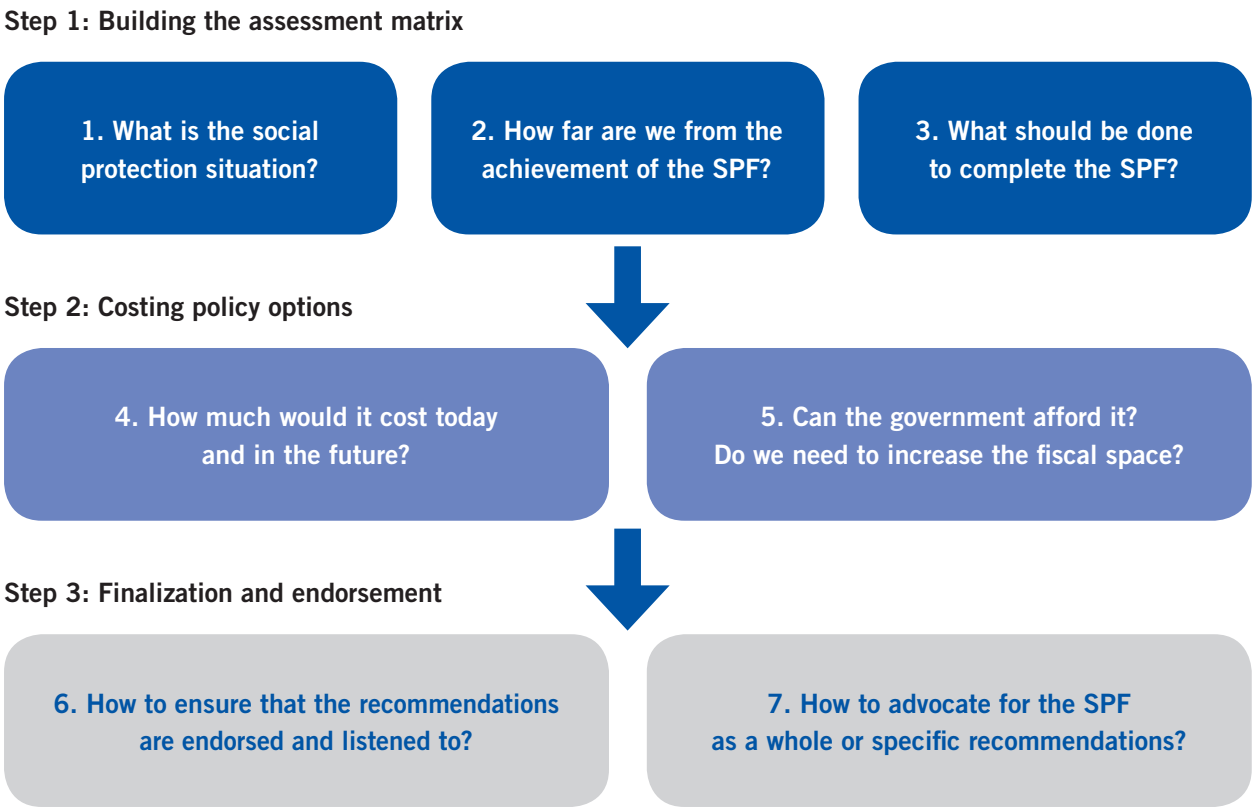
Using a national dialogue to identify shared priorities

As stated in Chapter 1, the identification of common goals is crucial to organize the coordination effort. The facilitation of a national dialogue will allow for the identification of shared priorities. As a result of these shared priorities, stakeholders should be able to develop their own activities and projects within the framework provided by the national dialogue consensus.

The identification of shared priorities should be the result of concerted discussions that take into account the views and challenges faced by each stakeholder. The priorities should not be the compilation of individual requests, but rather the identified core issues to be addressed by the social protection system as a whole. Moreover, the selection of priorities should take into account the ability of the country to deal with these issues, both in terms of human resources and financial capacities.

An Assessment-based National Dialogue (ABND) on social protection precisely aims to identify priority areas for government's intervention in the field of social protection. It provides an opportunity for all stakeholders in a country to come together, have a structured discussion on the social protection situation, and formulate priority policy options. Discussions take place at national workshops, through consultations, and during technical sessions. Figure 11 summarizes the ABND process.

Figure 11. The three steps of the ABND



Source: ILO: *Social protection Assessment-based National Dialogue: A global guide* (Geneva, 2016).

A national dialogue where representatives from government, non-government, workers', and employers' organizations jointly produce the ABND report allows the social protection situation to be captured from a range of perspectives and enables progressive consensus building on key social protection ideas in line with the four SPF guarantees. This facilitates a holistic definition of the national SPF that aligns with the visions of different segments of society, and thus will vary from one country to another. This lends legitimacy to domestic policy choices, helps to secure the necessary fiscal space, and, in turn, helps to ensure the sustainability of the policies.

Box 6 ABND exercises in Asia

Since 2011, the International Labour Organization, in collaboration with governments and several UN agencies (including UNICEF, WHO, UNFPA, UN WOMEN, UNESCO, and UNAIDS) has supported governments in conducting social protection Assessment-based National Dialogue exercises. The process has notably been completed in Indonesia, Thailand, Viet Nam, Myanmar, and Mongolia. Similar exercises are being conducted in a number of countries, such as Lao People's Democratic Republic and the Philippines.

In Indonesia, the ILO jointly launched the assessment report in December 2012 with the Vice Minister of National Development and Planning. The recommendations and cost projections contained in the report were recognized by the Government as useful tools to inform ongoing policy discussions for the implementation of the new social security law, Sistem Jaminan Sosial Nasional (SJSN), and the further extension of anti-poverty programmes. Indonesia consequently became the first ILO member State to pursue concrete follow-up actions to the adoption of the Social Protection Floors Recommendation, 2012 (No. 202).

In Thailand, the joint Royal Thai Government/UN assessment report was launched at the Government House in May 2013 by the Minister attached to the Office of the Prime Minister, the Minister of Labour, and the Minister of Social Development and Human Security. The event was also attended by the Deputy Secretary General of the National Economic and Social Development Board, relevant permanent secretaries, government representatives, workers' and employers' organizations, civil society, academics, embassies, and international organizations. The event gave visibility to the UN's work in Thailand and paved the way for future collaboration between the UN Country Team in Thailand and the Royal Thai Government in supporting the recommendations of the ABND report.

Sources: S. Satriana, V.Schmitt and T. Muhamad: *Social protection assessment based national dialogue: towards a nationally defined social protection floor in Indonesia* (Jakarta, ILO, 2012). Available at: http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=35128.
V. Schmitt, T. Sakunphanit and O. Prasitsiriphol: S*ocial protection assessment based national dialogue: Towards a nationally defined social protection floor in Thailand* (Bangkok, ILO, 2013). Available at: http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=38377.

Defining social protection strategies that are coherent with other national development policies

The definition of shared priorities for the extension of social protection and the implementation of an SPF should be enshrined in a national strategic framework. The adoption of a national social protection strategy is an efficient way to maintain priorities despite changes in the government. It also provides official support to formalize the vision of the country in terms of social protection development and its implementation path.

The preparation of such a strategy also forces a country to ensure the coherence of social protection development policies with other national policies, notably with respect to available funding (fiscal space allocation). These strategies should be based on pertinent context-specific targets, clear and well-established theories of change, and sound results-based management approaches which ensure the capacity to plan the right interventions where and in the way that they need to be.[11]

[11] For more information on results-based management and theory of change, please refer to the UNICEF EAPRO reference guide available at: http://www.unicef.org/eapro/16Tools_for_Programming_for_Policy_Results.pdf.

Ideally, the definition of the strategy should be completed using the results of a national dialogue. This would ease the adoption of the strategy and its implementation.

Along with developing national social protection strategies, UNCTs and their partners should support governments to assess in detail the costs of the different priorities. They should also analyse available financial resources to help the government define a realistic strategy with a clear implementation plan and allocate the required resources.

Box 7 National social protection strategy and social budgeting in Myanmar

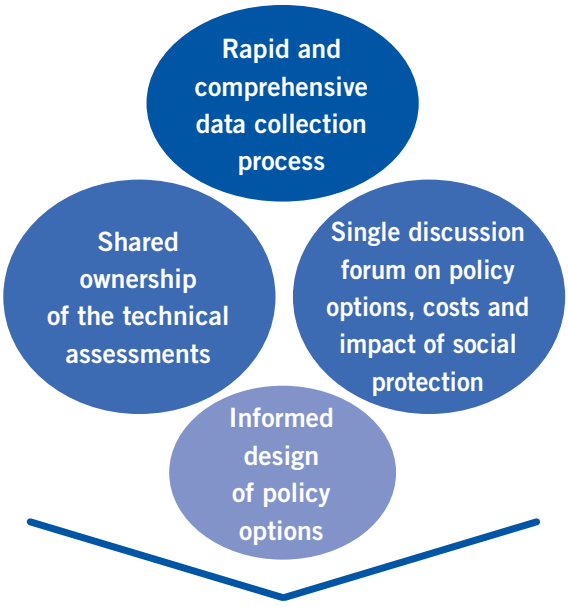
Extending social protection has become a priority in Myanmar. Therefore, the Government has requested development partners engaged in social protection to support the elaboration of a national social protection strategy for the country. The drafting of the strategy has been conducted by a national technical working group composed of relevant line ministries and co-chaired by the Ministry of Social Welfare and UNICEF.

Various development agencies conducted coordinated activities in support of the elaboration of the strategy: the World Bank supported an inventory of the current social protection interventions; UNICEF organized an initial workshop focusing on the vision and scope for social protection in the country and a capacity development session; the ILO led a social protection Assessment-based National Dialogue; and UNICEF coordinated a final policy workshop. The combination of methodologies towards a consolidated work plan allowed the organizations to share the burden of data collection and to create a consensus on the baseline for monitoring progress in terms of social protection coverage (figure 12).

The strategy, drafted under the guidance of the Deputy Minister of Social Welfare, Relief and Resettlement, was endorsed by a High Level Working Committee (including various Ministers and Deputy Ministers), approved by the President's Office, and officially launched in December 2014.

While the development of the strategy itself is a milestone for Myanmar's social policy, it will not impact people's lives without a budget allocated for implementation. To open the discussions with budget decision-makers (the Ministry of Finance and the Parliament), UNICEF generated the necessary evidence based on the first comprehensive analysis of budget trends in Myanmar since 2011/12. This analysis shows that there is fiscal space available for investing in social services thanks to growing government revenues, and will allow for the development of an implementation plan aligned with available human capacities and financial resources of the country.

Figure 12. Joining forces for the development of an NSPS



Sources: WFP; World Bank; ILO; UNICEF Myanmar.

UNICEF and MDRI-CESD: *Making Public Finance Work for Children* (Yangon, UNICEF, 2014). Available at: http://www.unicef.org/myanmar/Making_Public_Finance_Work_for_Children_in_Myanmar_(Eng).pdf.

Promoting the installation of a single entity accountable for the SPF implementation

The SPF covers a wide range of services and transfers that fall under the responsibilities of several different existing entities (e.g. Ministry of Health, Ministry of Labour, and so on). It makes it almost impossible, or very costly, to develop a cross-functional approach for the SPF implementation.

Yet, it would be beneficial for a government to look at the SPF as a whole in order to benefit from possible synergies at the grassroots level (e.g. unique data collection). Thus, it would be logical to place the SPF implementation under the responsibility of a single entity with the legitimacy to coordinate all relevant line ministries and enforce priorities in the field of social protection. This entity would be responsible for ensuring the effectiveness and efficiency of the SPF.

The main functions of this entity would be:

- the development of action plans for the implementation of the strategy through the coordination of all ministries and agencies working in the field of social protection, and using result-based management and theory of change approaches;
- the monitoring of activities undertaken in the field of social protection, including the organization of regular and sound evaluations, and the management of information and statistics (tracking the extension of coverage);
- the direct supervision of coordination mechanisms (notably local coordination committees) and shared tools, such as a unified identification database or delivery mechanism; and
- the settlement of complaints in case lower levels have not been able to resolve the issue.

Box 8

Central-level institutional structure to support the National Social Protection Framework (NSPF) in Nepal

The National Food Security Act of Nepal clearly states that "[a] central level regulatory body will be put in place by means of Social Protection Act to regulate, coordinate, monitor, evaluate and introduce reform in the system." A report produced by UNICEF concurs that a nodal agency called the National Social Protection Authority can be set up with constitutional recognition under the Ministry of Federal Affairs and Local Development (MOFALD) for the implementation of the National Social Protection Act (NSPA).

The nodal agency will help build linkages across ministries and develop strategies for organization and staff development. A centralized National Information Management System (NIMS) will ensure efficiency and provide live data to guide the implementation of social protection programmes.

For effective implementation of social insurance schemes and the National Health Insurance Act, a National Steering Committee (NSC) should be formed under the proposed social security organization. Representatives should include the National Planning Commission, relevant ministries (primarily Ministry of Health), the Employee Provident Fund, private sector representatives, trade unions, development partners' Social Protection Task Team (SPTT), and relevant civil society organizations, including those working for the informal sector. The role of the committee is to build synergies and complementarities with all social protection interventions across the various sectors and levels within Government. The committee will also be responsible for policy coherence, as well as resource mobilization for the implementation of the national framework.

(Box 8 continued)

The NSC should be responsible for bringing development partners on board by ensuring that their programmes are firmly aligned with the national framework. It is necessary to ensure that the partners complement and do not compete with one another or government agencies in terms of programmes. Therefore, the NSC could develop an interface with the development partners' SPTT.

Source: D. Chopra and N. Wadhawan: *Conducting an institutional assessment and providing capacity development and training on social protection in Nepal* (Center for Social Protection, Institute of Development, 2014).

Installing a common monitoring system for SPF implementation and management

As previously explained, a prominent role of the central level is to monitor the social protection system and its extension. These monitoring and evaluation activities should be built in a way to achieve two objectives:

- organize the exchange of information and the allocation of financial resources (each organization or stakeholder being asked to share its accomplishments and plans); and
- identify possible synergies.

In order to monitor effectively, it is necessary to develop appropriate tools to follow up on SPF progress as a whole. For information to be easily extracted and compared, each stakeholder should use the same template to report on its activities. A monitoring system can help to track: (i) accomplishments over the last period, (ii) action plan for the next period, (iii) difficulties faced and risks, and (iv) decisions that need to be made.

The country should have developed a monitoring plan (performance dashboard for the extension of social protection). Such monitoring plans should be consistent with the country's theory of change model. It would simplify reality and provide information about the performance of programmes relevant to decision makers. The monitoring plan would be based on SMART (specific, measurable, achievable, realistic, and time-bound) indicators agreed upon by all social protection stakeholders.

Ideally, this whole exchange of information would be embedded in an integrated management information system.

Box 9

Establishment of coordinating structures to lead social protection planning and budgeting in the Dominican Republic

The Government of the Dominican Republic created a new institutional framework for the *Solidaridad* conditional cash transfer (CCT) programme to ensure inter-institutional and intersectoral decision-making and remedy the fragmentation of the previous social policy.

Under the new framework, two important committees were formed: the Interagency CCT Committee comprised of the agencies in charge of operations, and payment of transfers; and the Intersectoral CCT Committee, comprised of representatives from the *Solidaridad* programme and the Health, Education, Planning, and Finance Ministries, to discuss planning and budgeting issues. The redesigned *Solidaridad* CCT has consequently become a collaborative effort and is achieving concrete coordination outcomes.

(Box 9 continued)

The Intersectoral Committee has made improvements in programming and budgeting to close supply gaps in education and health, in order to ensure a reliable supply of services for *Solidaridad* beneficiaries.

Improved budget management has resulted from the identification of potential supply gaps and anticipated supply constraints due to the increased demand for services by programme beneficiaries. The Social Cabinet and the Ministries of Finance and Economy allocated the funds needed to cover these supply gaps in the 2010 National Budget Law. The CCT Intersectoral Committee has facilitated communication across ministries to monitor the timely disbursement of the funds. The Committee also facilitated the training of regional and/or district directors of the Ministries of Education and Health and the *Solidaridad* programme, focusing on the programme's new operations manual.

Source: ILO: *Governance and administration of Social Protection Floors in Southern Africa, Module: Social Protection Floors Coordination* (forthcoming).

Improving vertical coordination

UNCTs can potentially engage in the following activities to improve vertical coordination in a country (figure 13):

- promoting the principle of subsidiarity;
- developing the interest of local administration;
- streamlining the chain of committees in order to ease the flow of information and budget;
- encouraging the implementation of reporting mechanisms between the different layers of the subnational administration for the sound management of social protection; and
- developing integrated management information systems (IMIS).

Figure 13. Five steps for a better vertical integration

Promoting the principle of subsidiarity

According to the principle of subsidiarity, matters ought to be handled by the smallest, lowest, or least centralized competent authority. It clearly promotes decentralization, which is associated with objectives of effective and efficient delivery of public services, democratic decision-making, popular participation in government, and accountability of public institutions to citizens. As such, decentralization has been a key feature in the pursuit of efficiency and transition to democracy in many countries, effectively shifting the responsibility of providing services from national to local governments.

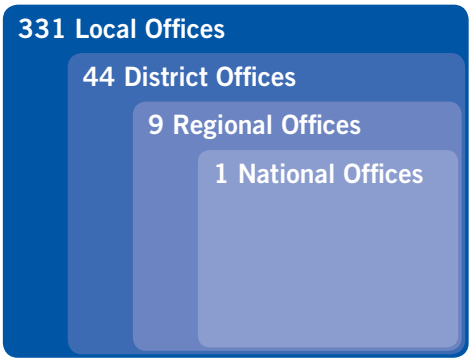
It is generally accepted that the decentralization of certain functions of the social protection system should lead to better services for residents.[12] The process of decentralization can substantially improve the efficiency, transparency, accountability, and responsiveness of service provision compared to centralized systems.

Box 10 Delegation of competencies in the South African Social Security Agency

The establishment of the South African Social Security Agency (SASSA) sought to integrate and consolidate grant administration services across all nine provinces. The legislative mandate of SASSA is to ensure the provision of comprehensive social assistance services against vulnerability and poverty within the constitutional and legislative framework.

SASSA's services are decentralized with national, provincial, district, and local offices (four-tier structure as shown in figure 14). Because social protection is rights based, it must be implemented according to uniform norms and standards. However, reaching vulnerable segments of the population and providing easily accessible services can be challenging from the central level. Thus, SASSA combined centralized powers and functions with decentralized service units. This approach has resulted in the standardization of service delivery across the country. Citizens can access the same services in any part of the country at their doorsteps.

Figure 14. The four-tier structure of SASSA



Roles and responsibilities of the different layers optimize the chain of command, ensuring both the reactivity of the organization (i.e. autonomy of the local levels) and the homogeneity of the delivered services (i.e. parameters and rules defined and enforced by the central level).

Sources: SASSA: *South African Social Security Agency*, website. Available at: http://www.sassa.gov.za/.

ILO: *ICROP: Reaching out to rural poor through mobile service units* (Geneva, 2015). Available at: http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=51861.

Developing the interest of local administration

For the implementation of coordinated social protection floors to be possible, it is crucial that capacities and interest exist at each layer of the subnational administration with respect to their respective roles and responsibilities. None of the coordination efforts can be successful if the involved stakeholders do not have the capacity or required commitment to complete their duties.

Local administration often suffers from a lack of resources, thus the additional effort that is required from local administrations for the purpose of establishing and coordinating a Social Protection Floor has to be rewarded. This reward is not only financial; the positive political impacts of well-implemented social protection programmes have already been documented.

[12] UNDP and UNCDF: *Strengthening the governance of social protection: The role of local government*, A working paper prepared for the Regional Dialogue for Social Protection and Local Governance, Bangkok, 30 Sep. – 1 Oct. 2013.

Box 11 Inclusion of political and economic incentives for collaboration in Brazil

In Brazil, the decentralized *Bolsa Familia* programme uses a system of performance-based financial incentives for municipalities to promote quality implementation. Municipalities receive financial incentives according to a performance score called the Decentralized Management Index, which captures the quality of their completion of key programme functions, such as keeping the beneficiary registry updated and monitoring beneficiary compliance with programme conditions. The federal Government transfers resources to municipalities in accordance with the index and the number of beneficiary families covered.

Municipalities can gain political benefits from having a well-implemented programme in their territory. A study of the *Bolsa Escola* programme (which preceded *Bolsa Familia*) found that the greater the number of children in the municipality who benefited from the programme, the more likely the incumbent mayor would be to gain re-election. This positive association appeared despite the fact that *Bolsa Escola* was a federal programme. Thus, decentralized programme implementation allowed local mayors to gain political rewards when they were perceived as effective intermediaries for potential beneficiaries in the municipality. The study also found that mayors who did not implement the programme properly, or failed to provide civil society with a forum for feedback and appeals, experienced significant political costs. This demonstrates the effectiveness of political accountability through electoral rewards and punishments.

Sources: Caixa: *Bolsa Família*, website. Available at: http://www.caixa.gov.br/programas-sociais/bolsa-familia/Paginas/default.aspx. ILO: *Cadastro Único – Operating a registry through a national public bank* (Geneva, 2015). Available at: http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=47097.

Streamlining the chain of committees to ease the flow of information and alignment of the different subnational layers

Each layer of the subnational administration has a role to play in transforming a policy statement into a concrete SPF accessible to the population:

- The upper layers of the subnational administration are usually responsible for ensuring the application of national policies, formulating local policies, and developing capacities of the lower levels.
- The lower layers are in turn in charge of the actual implementation of the schemes and are responsible for providing quality services to the people.

The distribution of the roles and responsibilities along the chain of the subnational administration creates the need for coordinating the different layers responsible for interconnected activities. This is particularly important since, by experience, the roles and responsibilities of the different layers are not always clearly defined, and the responsible administrations do not always have the appropriate capacities.

Box 12 The institutional framework for coordination of social protection interventions in Kenya

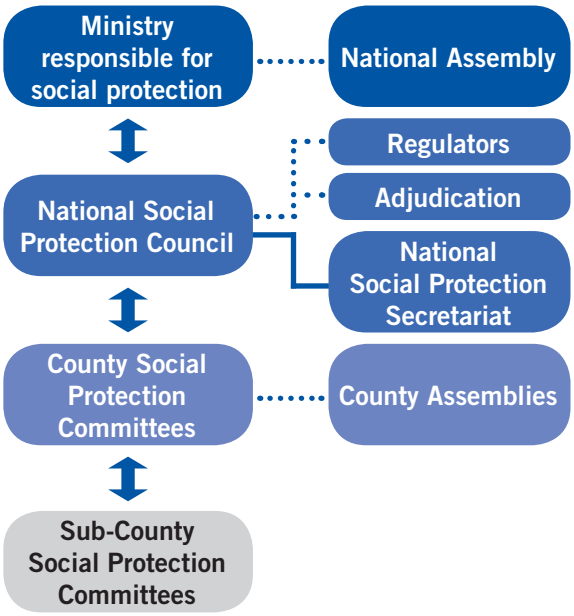
In 2012, the Kenyan Government adopted the Social Protection Policy, which included an institutional framework for the coordination of social protection interventions from the national to the county level, the latter of which has the bulk of service delivery responsibilities.

Figure 15 provides a broad overview of the national and county coordination mechanisms to oversee the development, implementation, and integration of social protection strategies, programmes, and resources.

Clear roles and functions are associated with each of these structures:

- The National Social Protection Council is a multi-sectorial body, which facilitates oversight of the implementation of the Social Protection Policy.
- The National Social Protection Secretariat's main role is to implement Council decisions and to carry out day-to-day functions. It provides technical support and coordinates the implementation of agenda items in social protection.
- County and sub-county Social Protection Committees are responsible for community-based initiatives. They are all accountable to the National Council. Their main roles are to:
  - promote oversight and monitoring of social protection interventions in their jurisdictions;
  - promote coordination and harmonization of programmes within the county to avoid overlaps; and
  - ensure that sector policies and guidelines are implemented in the county and maintain a registry of programmes and beneficiaries in the county in coordination with the single registry at the national level (integration of MIS between the counties and the national level). Disputes are resolved or referred to the National Council by County Committees.
- Regulators and Adjudication regulate and set standards for and supervise compliance by social security and health insurance schemes. One or more adjudication institutions provide an independent appeals function in relation to the resolution of social protection disputes. Appeal institutions are accessible once the internal complaint mechanism of a particular social security, health insurance, or social assistance institution has been exhausted.

Figure 15. Chain of committees in Kenya



Source: ILO: *Governance and administration of Social Protection Floors in Southern Africa, Module: Social Protection Floors Coordination* (forthcoming).

Encouraging the implementation of reporting mechanisms between the different layers of the subnational administration for the sound management of social protection

Local administrations have a clear competitive advantage in the delivery of social protection benefits and services. However, empowering local administrations without proper capacity building and control can lead to inefficiencies. To prevent adverse effects of delegation and ensure efficient delivery of the social protection system as a whole, reporting mechanisms need to be established.

Reporting mechanisms aim not only to ensure the work efficiency of the lower levels and effectiveness of their activities, but also to ensure that appropriate decisions and actions are taken by the upper levels notably in terms of budget allocation. As such, reporting done by the different levels of an administration or organization should contribute to improving vertical coordination in both directions: top-down and bottom-up.

Flash reports can be used to report from one level to the upper level (see Annex 3). These flash reports present information in a simple and standardized way which eases communication between the different levels, facilitates the identification of bottlenecks and the formulation of solutions.

Ideally, the reporting format should encompass both quantitative and qualitative information and use easy-to-read figures.

Box 13 Harmonizing social protection schemes and service delivery in the Philippines

In a country with high socio-economic inequality, geographical diversity, and a fragmented social protection system with inadequate coordination among different institutions, building a common monitoring and reporting system is both necessary and desired. Often, the monitoring and reporting mechanisms of individual social protection programmes vary across regions, are complex and difficult to use, do not capture adequate data, and are supported by insufficient infrastructure.

Efforts are being made towards developing a common monitoring, evaluation, and reporting system, which can harmonize practices across different social protection – and especially social welfare – schemes. In addition to national-level agencies, the system will build on the existing capacities of local government units and regional and local offices of government departments, and strengthen their communication with one another.

An existing initiative is the Community-based Employment Program (CBEP), an online monitoring and reporting system for public employment projects. The CBEP system consolidates information on all infrastructure and non-infrastructure projects being implemented by the Government. These projects include:

(i) infrastructure projects, such as construction and repair of roads, bridges, schools, water systems, social housing, and so on;

(ii) non-infrastructure projects, such as reforestation, coastal resource management, and self-employment undertakings; and

(iii) emergency employment projects in the case of natural and man-made disasters.

(Box 13 continued)

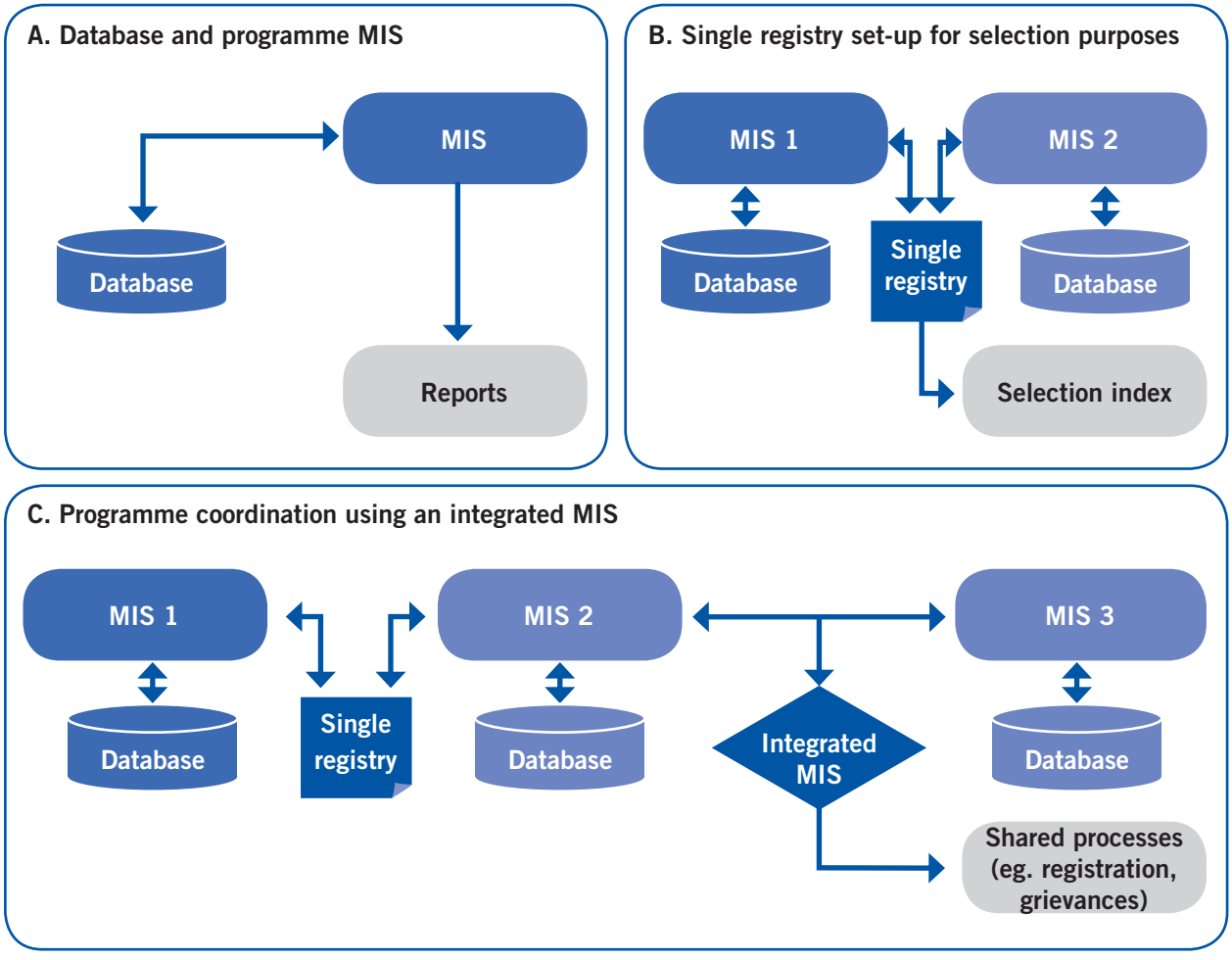
CBEP is chaired by the Department of Labour and Employment (which leads coordination and monitoring of jobs generated by various agencies with projects enrolled under CBEP) and steered by the National Anti-Poverty Commission. It consolidates information from several government departments and agencies, local governments, public financial institutions, and public-private partnerships. CBEP recorded data on 2,324,311 jobs in 2012.

Source: ILO: *Philippines: Assessment based national dialogue on social protection, employment promotion and disaster management*, website. Available at: http://www.social-protection.org/gimi/gess/ShowProject.do?id=2507.
ILO: *Philippines, DOLE's Integrated Livelihood and Emergency Employment Program* (Geneva). Available at: http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=51497.

Developing integrated management information systems (IMIS)

Administrative functions of social protection schemes, such as selection of beneficiaries, identification of recipients, registration, verification of compliance with conditions if any, delivery of benefits, management of grievances, and others, require information to be captured, stored and analysed. The use of a database and

Figure 16. The different types of social protection MIS



Source: Illustration based on V. Barca and R. Chirchir: *Single registries and integrated MISs: De-mystifying data and information management concepts* (Barton ACT, Department of Foreign Affairs and Trade, 2014), p. 18.

management information system (MIS) eases the operations by automating them. It also contributes to improving transparency and traceability of the schemes. Any decision like selection of beneficiaries can be easily tracked and explained later.

A database and MIS of a programme can be used to manage registration of beneficiaries, identification and authentication, collection of contributions, payment of benefits and delivery of services, and other key administrative functions (figure 16, A).

Further, looking at the entire social protection system in a country, information systems and databases can be used to better coordinate among and ensure consistency across different schemes and institutions involved in social protection or employment services.

A single registry is a shared database of individuals between two or more programmes. Information contained in the single registry can be used to identify and select beneficiaries. In most countries having a single registry, this database will contain selection indexes (i.e. ways to select beneficiaries) used by the different programmes. The use of a single registry does not affect the normal administrative functions of the different programmes, which will continue to use their own MISs (figure 16, B).

An Integrated Management Information System (IMIS) is a common software used by several social protection programmes to manage part or all of the administrative functions jointly: registration of beneficiaries, identification and authentication, collection of contribution, payment of benefits and delivery of services, complaints and appeal and so on (Figure 16, C).

Box 14 Integrated system for social information in Chile

Chile formally established the Integrated System for Social Information (known as SIIS) in 2008, but the system has its roots in the 1990s. The system's framework and technical architecture is a direct consequence of a conceptualization of poverty and vulnerability that encompasses all risks associated with poverty across the life cycle – integration is at its heart. It is an interoperable platform that links information online. Information can be accessed in two different ways depending on each institution's technological capacity: through a web service or through batch processes.

The system integrates the country's two main pillars of social protection: *Chile Solidario* and *Chile Crece Contigo* (both cross-sectorial by design), as well as other programmes focused on health, education, employment, and so on.

The system's single registry, Social Information Registry (RIS), is managed by the Social Information Division of the Ministry of Social Development, but is based on legal agreements with 43 state institutions and 345 municipalities. Self-reported information is continuously collected through municipality offices using the *Ficha de Protección Social* (FPS) form, and it becomes part of the RIS. Moreover, as the result of legal agreements, periodically new administrative records collected by other state institutions become part of the RIS. The RIS also keeps records of some sensitive data, such as income and taxes, which may be used only under very specific circumstances. Regarding data use, each participating institution is given an

(Box 14 continued)

access key/identifier, allowing information and functionalities from the integrated system to be shared to a different extent with different users, depending on legal arrangements with specific organizations.

On average, RIS information is consulted 9,000 times a day, and 17,000 certified FPS scores are requested online daily. As of the end of 2014, the registry contained data of more than 13 million people (around 75 per cent of the Chilean population).

Source: V. Barca and R. Chirchir: *Single registries and integrated MISs: De-mystifying data and information management concepts* (Barton ACT, Department of Foreign Affairs and Trade, 2014).

Integration could happen at two levels:

- within the social protection sector, where information across programmes is managed through a single registry or some form of an integrated MIS; or
- across sectors, when the interoperability of information is extended to other sectors than social protection (e.g. health, education, and civil registry, among others).

The development of information and communication technology (ICT) master plans would contribute to ensure interconnectivity between the different systems developed and their ability to exchange information. It also aims to identify possible synergies and avoid wasting money in duplicating systems where the provision of one shared solution would be more efficient. Finally, ICT master plans should also clarify the utilization of collected data and protect recipients' privacy and dignity.

Improving horizontal coordination at the operational level

Possible actions to be organized and supported by UN agencies to support governments in improving horizontal coordination at the operational level include (figure 17):

- promoting the role of local social officers and enhancing their capacities;
- promoting the installation of shared identification databases;
- supporting the implementation of shared systems to select beneficiaries;
- developing simplified delivery mechanisms based on shared front offices; and
- developing a Single Window Service for the Social Protection Floor.

Figure 17. Five steps for improved horizontal coordination at the operational level

Promoting the role of local social officers and enhancing their capacities

Social welfare ministries are usually key stakeholders for social protection within a government, notably because of their historical role in developing and implementing social assistance policies. Social welfare workers are the frontline providers of social protection who are tasked with identifying vulnerabilities among populations and providing social transfers as well as other social support.

Promoting the role of skilled social workers (who can have different roles and responsibilities according to the national context, for instance midwives in Indonesia,[13] social welfare officers at the *Soum* level in Mongolia, Solidario's caseworkers in Chile, and so on) is key to ensure that:

- vulnerabilities are identified, including among the poorest segments of the population;
- awareness is raised on social protection;
- potential recipients are identified and supported in their enrolment process; and
- beneficiaries are ultimately able to access all the programmes and services for which they are eligible, as well as supported towards graduation from poverty.

Social workers also have the capacity to propose tailor-made support to individuals and families thanks to their knowledge of the population and their specific place within communities. They are key in ensuring that social protection is not just the sum of programmes, but rather a system that creates synergies between programmes and offers adapted answers to the needs of people.

Box 15 Community Facilitators visit local homes in Karnataka, India

To tackle the challenges of a large number of informal economy households who have limited information on and lack access to existing social protection mechanisms, the State Government of Karnataka, India, with support from the German Corporation for International Cooperation (GIZ), set up a network of Workers Facilitation Centres (WFCs). WFCs follow a proactive approach to reach out to people in remote areas through their local workers, commonly known as Community Facilitators.

Community Facilitators visit the households of beneficiaries, who primarily comprise poor and vulnerable population groups and people living in rural and remote areas. Their functions include, among others:

- identifying eligible households and members;
- collecting information;
- assisting people with the documentation required to register for schemes and claim benefits;
- following up on claims; and
- providing information and creating awareness of social protection.

[13] For more information regarding the role of midwives in Indonesia, see the *Design study of the single referral system for the extension of social protection in Indonesia*. Available at: http://www.ilo.org/wcmsp5/groups/public/---asia/---ro-bangkok/---ilo-jakarta/documents/publication/wcms_308610.pdf.

(Box 15 continued)

Community Facilitators act as a bridge between government departments operating social protection schemes and informal economy households. They usually belong to the same locality where the Centre is based, which facilitates their acceptance by beneficiary households and allows them to easily communicate with beneficiaries. To help in their work, Community Facilitators undergo training on social protection concepts and key schemes, conditions of informal economy workers, and communication skills.

Out of an estimated 361,525 informal economy households in Karnataka, Community Facilitators have collected and updated data on 260,348 of the households. As a result 88,000 individuals have received benefits. The Communitiy Facilitators have also helped to increase people's awareness of existing social protection schemes. This illustrates how a case management approach (i.e. with Community Facilitators using a case-by-case approach to offer adopted services to eligible beneficiaries) can be successfully implemented within a country.

Source: ILO: *Workers Facilitation Centres: Bringing social protection services closer to the people* (forthcoming).

Promoting the installation of shared identification databases

The ability to accurately identify potential beneficiaries is crucial for delivering social protection; however, many countries have weak identification systems that are not conducive to social protection programme delivery. Identification systems are used to identify recipients, ensure identified beneficiaries have access to social protection benefits, and ensure a well-functioning delivery system. Poor means of identification may result in the exclusion of otherwise eligible people and potential beneficiaries may face hurdles while registering for programmes and claiming benefits. Children and other demographic groups that often do not possess legal identification documents (i.e. migrants, indigenous people, and women) are particularly vulnerable to this risk.

The management of shared identification systems is both the result of coordination efforts and an excellent means to foster collaboration. Having a common tool to identify beneficiaries means that the different stakeholders (social protection organizations) have no other choice but to collaborate. Besides the coordination effort itself, the installation of shared identification systems has other positive impacts on the social protection system:

- It forces different schemes to share information on their recipients and improves transparency of the system.
- It allows for better monitoring of the use of social protection and prevents double dipping (i.e. service providers granted with access to the unified database have the full entitlement picture for one person).
- It allows for the identification of uncovered populations and, hence, the formulation of more inclusive policies, or the installation of universal schemes.
- It has the potential to simplify access to services, for instance using one card for all schemes.
- It has the potential to create linkages between the different programmes to ensure portability of benefits, and provide combined benefit packages.

Despite all the related advantages, it is equally important while developing such shared databases to take into consideration the respect for people's privacy (access to data and security of the storage), as well as to clearly define the use of the database in order to prevent any misuse (identification of non-documented migrants for instance).[14]

[14] SPIAC-B: Inter-Agency Social Protection Assessment: Identification systems for Social Protection assessment tool (forthcoming).

Box 16 *Rashtriya Swasthya Bima Yojana* (RSBY) in India: Building an IT platform to deliver the SPF

Rashtriya Swasthya Bima Yojana (RSBY) is a health insurance scheme that was launched on 1 April 2008 by the Central Ministry of Labour and Employment. Initially targeting the Below Poverty Line (BPL) population, the scheme has since been extended to defined categories of unorganized workers and is expected to reach 350 million recipients by 2017.

RSBY is a cashless, paperless, and portable scheme that uses information technology to better serve the people. Recipients are provided with a Smart Card, which is the sole instrument needed for identification and to claim benefits.

RSBY uses a prepaid Smart Card, which is given to each recipient family at the time of enrolment in the scheme. The Smart Card is prepared and printed on the spot at the time of registration in the village and handed over to the recipient. The Smart Card can be used by the recipient to obtain treatment in any one of about 12,000 empanelled hospitals across India. Fingerprints of all recipients are collected during enrolment. Thumb impressions of each of the household recipients are stored in the Smart Card. This fingerprint is used to verify the identity of the beneficiaries at the health facility (authentification).

Figure 18. RSBY Smart Card

In addition to biometrics, Key Management System technology is used to provide a secure environment for Smart Card issuance and usage. A government officer called a Field Key Officer needs to be present at the enrolment station to guarantee that only the correct recipients receive Smart Cards.

RSBY is gradually demonstrating that it is not only able to effectively deliver health insurance to poor and vulnerable sections of society, but also create an ICT platform (and notably a functional identification system) that can effectively deliver additional social security benefits.

Other ministries and departments have shown interest in delivering their own social security schemes through the RSBY platform. The Department of Financial Services, Ministry of Finance, implements a life and disability insurance scheme called *Aam Aadmi Bima Yojana* (AABY). The Department has decided to use the RSBY Smart Card platform to deliver AABY. Similarly, the Ministry of Rural Development has decided to deliver the National Social Assistance Programme (which also targets BPL) through the RSBY platform.

Source: ILO and RSBY: *Extending social health protection to vulnerable populations by using new technologies* (Geneva, ILO, 2015).

Supporting the implementation of shared selection systems

In many countries, each programme has developed its own tools and processes to collect data and select recipients. Beneficiary registries are often independent of each other, even within the same ministry or agency. As a result, the social protection landscape is scattered and inconsistent, which results in limited outreach and numerous inclusion and exclusion errors. The existence of many small databases and the absence of a common

database covering the entire eligible population with socio-economic data lead to a lack of information on this population, consequently making a large proportion of the potential beneficiaries invisible to policy-makers.

One possible way to tackle this issue is to develop common registries to select beneficiaries. Developing a common selection system necessarily aligns stakeholders' understanding of the factors that define poverty and vulnerability (when it comes to social assistance), as well as requires the development of a shared database on the population. Such initiatives could encompass social assistance and social insurance, notably in case the country is willing to ensure a universal coverage (e.g. health protection in Thailand, single referral system in Indonesia).

The collection and compilation of data on eligible populations also enable local governments and policy-makers to better understand these populations and develop appropriate and coordinated programmes. In addition, a common selection system can contribute to increase the outreach of social assistance programmes (efficient use of shared resources to cover wider areas) and mitigate the risks of data manipulation, fraud, and clientelism by installing more transparency in the selection criteria.

At the same time, careful attention should be payed to the risk of systematic exclusion since for an individual not being properly registered in the single registry might lead to exclusion from all social protection programmes.

Box 17 SISBEN in Colombia

Through the establishment of a unified household vulnerability index, Colombia has channelled social assistance to those in need and reduced inequalities in the country.

The System of Identification of Social Program Beneficiaries (SISBEN) produces a household vulnerability index that is used to identify the beneficiaries of social assistance programmes in Colombia. Based on the Index, each household receives a score from 0 to 100 (from poorest to richest). The score is calculated by the software using 24 variables across four dimensions: health, education, housing, and vulnerability. Scores and variables are adjusted according to household location. The data is collected at the local level and compiled in a national database, which is updated on a monthly basis.

Social programmes using SISBEN receive the national aggregated database. Based on their available budget and policy design, the programmes set the maximum eligibility score that will be applied and may choose additional eligibility criteria or qualifying conditions. Once this is set, SISBEN delivers the list of potential beneficiaries.

Progressively implemented since 1995, SISBEN is based on data collected by the country's 1,101 municipalities and districts. In 2013, ten institutions running several social protection and employment programmes were using SISBEN to identify potential beneficiaries.

In 2014, the SISBEN database held information on more than 34 million people, or more than 70 per cent of the national population.

The main lessons learned from Colombia are the following:

- A common system to assess vulnerabilities and identify potential beneficiaries can contribute to improve coherence across social protection programmes.

(Box 17 continued)

- It also helps improve the transparency and traceability of social protection system administration since entitlements are determined using a transparent methodology.
- By establishing one common mechanism to assess vulnerabilities and identify beneficiaries, social protection programmes were able to develop a more reliable identification system at a lower administrative cost.
- Local governments are invited to play an important role in collecting data that is used to develop and update SISBEN. The system has therefore fostered collaboration between national and local institutions.

Source: ILO and SISBEN: *A unified vulnerability assessment and identification system for social assistance* (Geneva, ILO, 2015).

Developing simplified delivery mechanisms based on shared front offices

A very simple yet efficient way to foster collaboration is to establish shared facilities where different line services are represented and serve the people. These delivery mechanisms simplify access to services for beneficiaries. Through close proximity, these delivery mechanisms also build a basis for collaboration through better understanding each other's activities and mandates.

A one-stop shop, is an example of this type of collaborative delivery mechanism. One-stop shops may bring together frontline service delivery to beneficiaries without further integration of back-office procedures (i.e. no single registry, no IMIS). These facilities can prevent stigmatization of the poor since the same office is used for many purposes other than social assistance. They are very relevant to installing more coherence in an otherwise fragmented social protection field.

Regarding the administration of social protection and employment programmes, the delivery of several services in a single location contributes to increase transparency and efficiency thanks to a certain degree of self-management. In addition, local administrations in some places have developed staff capacities in order to install a backup system in which officers can replace each other to provide uninterrupted basic services. This approach is particularly efficient to ensure continuous provision of services in remote areas without increasing public expenditures.

Box 18 The One Stop Shop in Mongolia

The One-Stop-Shop (OSS) is a response to the challenge of providing quality services in Mongolia, the most sparsely populated country in the world. Starting from 2007 and implemented nationwide since 2011, the One-Stop-Shops deliver civil registration services, social protection and employment counseling services, as well as notary and banking services, at provincial (*aimag*) and district (*soum*) levels.

Gathering representatives from different government agencies (including social insurance, social welfare, and employment departments), the OSS has offered the Government an opportunity to enhance the legal framework of public service provision and improve the accessibility, awareness, and transparency of services provided. Officers working in the OSS come from different types of organizations: local

(Box 18 continued)

government, deconcentrated divisions of centralized authorities, and private enterprises. OSS is placed under the responsibility of the Head of the Governor's Office, who can decide to include complementary lines of services in the OSS according to local needs. At the national level, the OSS programme is managed by the State Cabinet.

The main goal of the OSS project is to make public services more accessible to citizens by reducing the time and expenditure needed to move from one office to another to obtain a service or payment. In addition to bringing all the required offices into one room, the OSS project has made several efforts to simplify processes by reducing the number of stamps, certifications, and documents necessary to obtain a service. OSS also have developed guides for citizens to better understand the administrative processes they have to go through in order to access a service.

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The OSS is designed to provide existing services and does not have its own programmes. While OSSs are being developed at the different levels of the subnational administration, there are no relationships between these different levels. All OSSs are supposed to be developed according to the same model and to provide services from the same departments. Now commonly used by the population, the OSS offers a fertile ground for local administrations to improve coordination and the quality of public services to their population.

Source: ILO: *A one stop shop for accessible, transparent and efficient public service delivery in Mongolia* (Geneva, 2016).

Developing a Single Window Service mechanism

The Single Window Service (SWS) is a mechanism for the coordinated development and delivery of social protection programmes and employment services. Embedded in government institutions and operated by the subnational administration, the SWS is linked to the central level via a formalized reporting system. This reporting system ensures the transparency and traceability of the social protection system. It also facilitates better coordination between the local level (responsible for service delivery) and the central/national level (responsible for policy development, planning, and monitoring and evaluation).

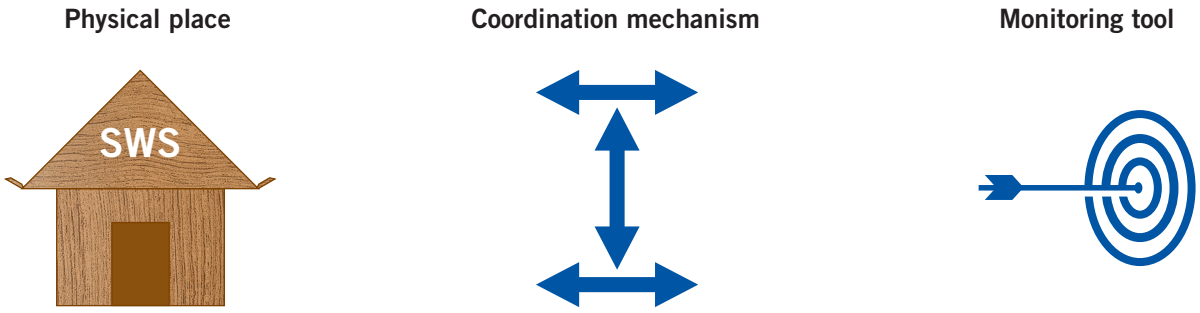
The SWS concept has three components (figure 19):

1. It is a physical place, unique and accessible to all, where families can obtain information and access all social protection and employment programmes. In other words, it is the facility that is responsible for delivering the SPF in a country (this component is covered by the OSS in the case of Mongolia).
2. It is a coordination mechanism for social protection in the three dimensions of coordination, namely:
   - horizontal coordination at the policy level;

- vertical coordination; and
- horizontal coordination at the operational level.

3. It is a monitoring and reporting tool for all social protection and employment public policies through collecting information on the operations and gradually compiling it at each layer of the subnational administration to reach decision-makers.

Figure 19. The three components of the Single Window Service



Tasks performed in the physical SWS facility usually include:

- information dissemination on existing programmes and schemes;
- case management and referral mechanisms, starting from the assessment of specific needs;
- maintenance of a single beneficiary database (ID system) and common selection system (when required);
- facilitation of enrolment processes for social programmes and support to future recipients;
- development of combined benefit packages delivered through a case management approach to address the different aspects of poverty and social exclusion;
- installation of a common feedback, and grievance process; and
- installation of shared monitoring tools together with a chain of committees involving each layer of the subnational administration up to the central government.

Families or individuals register at the physical place at the subnational level. An assigned case manager assesses the vulnerabilities and skills of potential beneficiaries and develops personalized plans covering the assessment of specific social needs and options for support, including psychosocial support, income support, skills development, enterprise creation, or job placement. The case manager also enacts referral mechanisms with other services (such as health and education), provides support for scheme registration, and facilitates access to benefits in cash or in kind.

The SWS gives concrete functions to each layer of the subnational administration in the delivery of social services. It also takes stock of decentralization policies, clarifies the assignment of roles and responsibilities between the different layers of the subnational administration, and implements processes and tools for them to complete their functions. For instance, complaints and appeals would be collected at the lower level (i.e. close to the people) and processed by the lowest capable layer (based on the subsidiarity principle).

The SWS is embedded within government structures and contributes to building the capacity of local institutions to administer and monitor existing social protection (including social welfare) and employment support programmes. It provides a coherent framework for the implementation of national social protection strategies in an integrated,

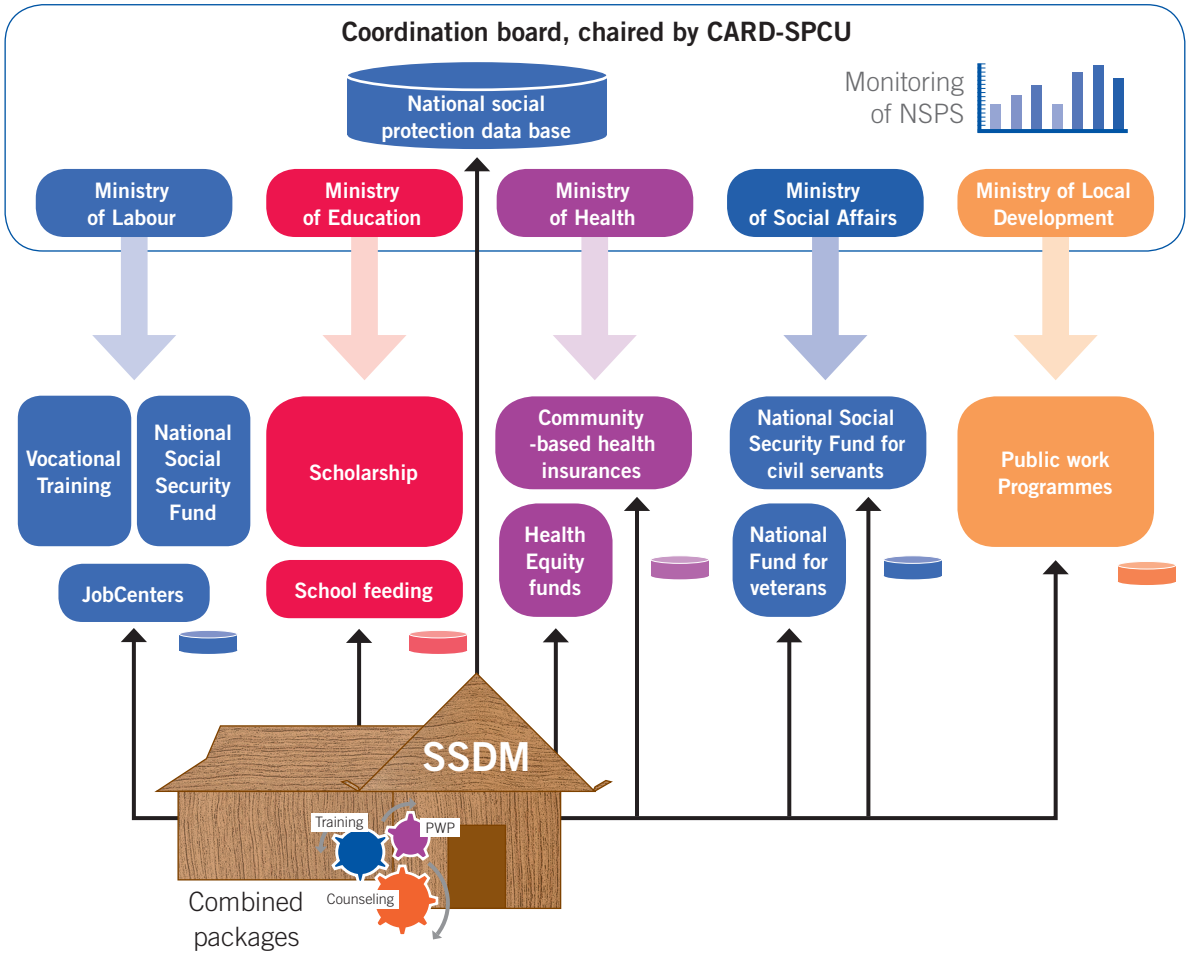
effective, and efficient way by establishing a management system and a reporting mechanism that links the central government to provinces, districts, communes, and villages. It also contributes to better coordination at the policy level by providing the central government with accurate information that potentially covers the four guarantees of the SPF.

Box 19 The Social Service Delivery Mechanism in Cambodia

In Cambodia, the Social Service Delivery Mechanism (SSDM) was launched as a pilot in June 2014 and is progressively installed in two districts of the Siem Reap Province. Its main objectives are (i) to extend social protection coverage and reduce vulnerabilities, (ii) to increase efficiencies and traceability, (iii) to trigger cross-ministerial coordination, and (iv) to empower communities and local administrations in the provision of social services.

The ILO, together with the Council for Agricultural and Rural Development (CARD), designed the mechanism as part of the National Social Protection Strategy for the Poor and Vulnerable (NSPS-PV). The SSDM is intended to be a tool to develop, deliver, and monitor social protection and employment promotion services in the country (figure 20).

Figure 20. Main features of the SSDM in Cambodia



(Box 19 continued)

In line with the Decentralization and Democratization (D&D) reform, each level of the subnational administration has a role to play in the SSDM operations, including the village, commune/*sangkat*, district/municipality/*khan*, and provincial levels. The SSDM has installed committees at each layer of the administration and tools to ensure an efficient coordination effort and the constant flow of information between these layers. The mechanism is managed at the national level by the CARD-Social Protection Coordination Unit (CARD-SPCU), which is responsible for coordination of all efforts related to the implementation of the NSPS-PV in the country.

The SSDM will progressively cover five functions:

(i) contribute to the dissemination of information on existing social protection and employment programmes available locally (health equity funds (HEF), community-based health insurance (CBHI) schemes, cash transfers, public works programmes, and so on);

(ii) facilitate SSDM enrolment and applications to the existing programmes through local teams using standardized procedures and tools;

(iii) collect feedback and grievances from beneficiaries and try to find solutions;

(iv) establish a transparent management information system that will enable the monitoring of achievements, planning for the future, and evaluating social policies and the progressive implementation of the NSPS-PV; and

(v) deliver some specific social services, such as cash transfers, and offer a hotline facility for specific vulnerable groups.

Source: ILO: *A mechanism to deliver coordinated social protection services in Cambodia*. Available at: http://www.social-protection.org/gimi/gess/ShowProjectPage.do?pid=2318.

I Schmitt, V.; Saan, V.; Taieb, D.; Van Langenhove, T. 2013. *Feasibility study of the Social Service Delivery Mechanism for the implementation of the National Social Protection Strategy in Cambodia* (Bangkok, ILO). Available at: http://www.ilo.org/wcmsp5/groups/public/---asia/---ro-bangkok/---sro-bangkok/documents/publication/wcms_237824.pdf.

ANNEX 1 Interview outline for the coordination assessment

Date: . . . . . .

Name of the interviewee: . . . . . .

Organization: . . . . . .

Position: . . . . . .

1. Introduction to the interview

a. Why conduct the interviews

b. Who are the other interviewees

c. What will be done with the information provided

2. The current stage of coordination

a. Could you name and briefly describe the main coordination mechanisms you are aware of at the policy level for the design and implementation of SPFs?

   i. Is your organization involved in these mechanisms?

   ii. How would you assess these mechanisms?

   iii. What are the benefits and concerns for each of these mechanisms?

b. Could you name and briefly describe the main vertical coordination mechanisms you are aware of for the design and implementation of SPFs (top-down and bottom-up processes)?

   i. Is your organization involved in these mechanisms?

   ii. How would you assess these mechanisms?

   iii. What are the benefits and concerns for each of these mechanisms?

c. Could you name and briefly describe the main coordination mechanisms you are aware of at the operational level for implementation of SPFs?

   i. Is your organization involved in these mechanisms?

   ii. How would you assess these mechanisms?

   iii. What are the benefits and concerns for each of these mechanisms?

d. Have any efforts been taken to articulate public components of social protection with those traditionally provided within private households, particularly by women?

   i. in the field of early childhood development?

   ii. in the field of nutrition?

   iii. in the field of long term care?

e. Are you aware of any pooling of resources and/or information in the field of social protection? Notably:

   i. Shared databases

   ii. Shared delivery mechanisms

   iii. Shared monitoring tools

3. On the way to better coordination

a. According to you, is it relevant to call for more coordination among the different stakeholders working in the field of social protection?

b. For your organization, what are the three expected benefits of more coordination?

c. What can be done to improve coordination?

ANNEX 2 Example of compilation matrix for the coordination assessment

Horizontal coordination at the policy level

Category	Criteria	Design		Implementation	
		Main features	Gaps	Main features	Issues
Institutional set-up for policy-making and review	Description of the entity in charge of developing policies for the SPF				
	Missions (covered areas) and budget				
	Legitimacy to coordinate relevant stakeholders (appointed by?)				
	Staff dedicated to the functioning of the entity (secretariat/cabinet)				
	Tripartism/voice of the people in the process of policy development				
	Linkages with other fields (outside social protection)				
	Developed reference documents				

Category	Criteria	Design		Implementation	
		Main features	Gaps	Main features	Issues
Institutional set-up for coordinating the implementation	Description of the entity in charge of implementing policies related to the SPF				
	Missions (covered areas) and resources (budget and staff)				
	Legitimacy of the entity				
	Monitoring process installed for the implementation				
	Developed shared tools and mechanism (identification systems, MIS, and so on)				

Other coordination mechanisms at the policy level: for instance, regarding enterprise promotion.

Vertical coordination

Category	Criteria	Design		Implementation	
		Main features	Gaps	Main features	Issues
Roles and responsibilities of each layer of the subnational administration	Decentralization legal framework				
	Level 1 – National/federal				
	Level 2 – Provincial/regional				
	Level 3 – District				
	Level 4 – Commune				
	Level 5 – Village/communities				
Structure in charge of coordinating the SFPs and local development plans	Level 1 – National/federal				
	Level 2 – Provincial/regional				
	Level 3 – District				
	Level 4 – Commune				
	Level 5 – Village/communities				
Top-down information sharing and allocation of resources	General organization				
	Tools				
	Incentives for the lower levels to collaborate				
Bottom-up information sharing and allocation of resources	General organization				
	Tools				
	Reporting system (IMIS)				

Horizontal coordination at the operational level

Category	Criteria	Design		Implementation	
		Main features	Gaps	Main features	Issues
Communication and promotion of the SPF	Actors in charge of promoting social protection				
	Role of local social welfare officers				
	Means and scope of communication				
	Communication outreach				
Selection of recipients	Actors in charge of the selection of beneficiaries				
	Process and tools used to select recipients				
	Scheme's outreach				
Application process	Generic process to apply to a scheme				
	Accessibility of the process for disadvantaged groups (especially remote areas)				
	Identification system(s)				
Delivery of benefits	Actors in charge of delivering benefits in cash				
	Actors in charge of delivering benefits in kind				
	Accessibility of the delivery points				
	Actors in charge of monitoring social protection schemes at the local level				
	Dialogue in the local monitoring system				
	Grievance and appeal mechanism				

Other local delivery mechanism or shared tools: databases, e-administration, and so on.

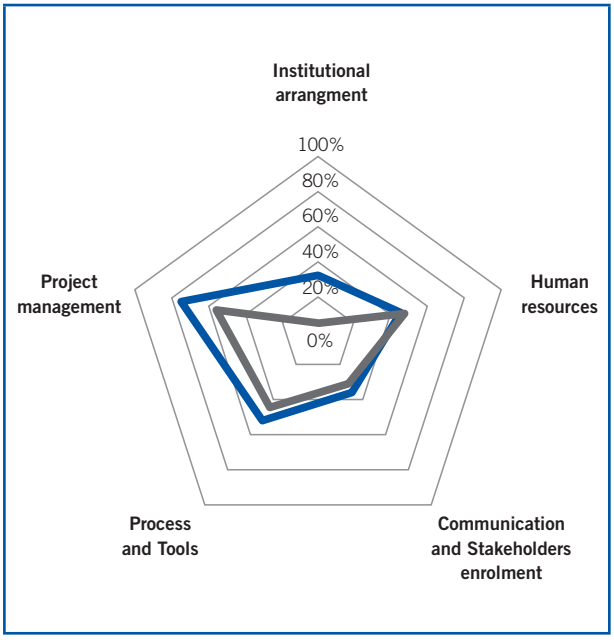
ANNEX 3 Sample of flash report

In order to follow the implementation project of the SSDM in Cambodia, a weekly flash report is produced by the lower administrative layer involved in the project (commune). These reports are shared, discussed, and compiled successively by each layer of the administration until they reach the national level.

Each layer of the administration uses the same format and receives a limited number of these flash reports. The flow starts with very concrete questions and information, which are progressively reshaped at each level of the administration in order to bring the right information to the right person.

The report uses a combination of quantitative data under the form of a graph that synthetises the actual advancement of the implementation project, and qualitative data to provide key information on the accomplishments, but also in order to prepare the next steps.

Date: 05 March 2014
Area: National level



Risks and warnings / Decisions to be taken

- Project team need to be officialised at the Provincial level to organize the trainings in the 3rd week of March
- CARD suggested 1 SSDM assistant at national level to support the general operation in CARD

Actions completed this week

- Meeting with CARD: List of action to be completed in March
- Follow up with districts, communes activities
- Contracts for local consistencies: for legal doc, coordination framework with line ministries and translation of user guides

Actions to complete next week

- Translation of:
  - Training material
  - Management toolkit
  - Design study
- Operational manual
- Update of social-protection.org
- Organize meetings with potential donors
- Steering Committee Meeting
- Sign MOU between CARD & ILO
- Meeting among trainers (CARD, NCDD, ILO) on the Training tools

ANNEX 4 Social Protection Floors Recommendation, 2012 (No. 202), Geneva, 101st ILC session (14 June 2012)

Recommendation concerning National Floors of Social Protection

Preamble

The General Conference of the International Labour Organization,

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

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

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

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

Considering that social security is an investment in people that empowers them to adjust to changes in the economy and in the labour market, and that social security systems act as automatic social and economic stabilizers, help stimulate aggregate demand in times of crisis and beyond, and help support a transition to a more sustainable economy, and

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

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

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

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

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

Recalling that the ILO Declaration on Social Justice for a Fair Globalization recognizes that "the commitments and efforts of Members and the Organization to implement the ILO's constitutional mandate, including through international labour standards, and to place full and productive employment and decent work at the

centre of economic and social policies, should be based on ... (ii) developing and enhancing measures of social protection ... which are sustainable and adapted to national circumstances, including ... the extension of social security to all", and

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

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

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

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

I. Objectives, scope and principles

1. This Recommendation provides guidance to Members to:

   (a) establish and maintain, as applicable, social protection floors as a fundamental element of their national social security systems; and

   (b) implement social protection floors within strategies for the extension of social security that progressively ensure higher levels of social security to as many people as possible, guided by ILO social security standards.

2. For the purpose of this Recommendation, social protection floors are nationally defined sets of basic social security guarantees which secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion.

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

   (a) universality of protection, based on social solidarity;

   (b) entitlement to benefits prescribed by national law;

   (c) adequacy and predictability of benefits;

   (d) non-discrimination, gender equality and responsiveness to special needs;

   (e) social inclusion, including of persons in the informal economy;

   (f) respect for the rights and dignity of people covered by the social security guarantees;

   (g) progressive realization, including by setting targets and time frames;

   (h) solidarity in financing while seeking to achieve an optimal balance between the responsibilities and interests among those who finance and benefit from social security schemes;

   (i) consideration of diversity of methods and approaches, including of financing mechanisms and delivery systems;

(j) transparent, accountable and sound financial management and administration;

(k) financial, fiscal and economic sustainability with due regard to social justice and equity;

(l) coherence with social, economic and employment policies;

(m) coherence across institutions responsible for delivery of social protection;

(n) high-quality public services that enhance the delivery of social security systems;

(o) efficiency and accessibility of complaint and appeal procedures;

(p) regular monitoring of implementation, and periodic evaluation;

(q) full respect for collective bargaining and freedom of association for all workers; and

(r) tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned.

II. National social protection floors

4. Members should, in accordance with national circumstances, establish as quickly as possible and maintain their social protection floors comprising basic social security guarantees. The guarantees should ensure at a minimum that, over the life cycle, all in need have access to essential health care and to basic income security which together secure effective access to goods and services defined as necessary at the national level.

5. The social protection floors referred to in Paragraph 4 should comprise at least the following basic social security guarantees:

(a) access to a nationally defined set of goods and services, constituting essential health care, including maternity care, that meets the criteria of availability, accessibility, acceptability and quality;

(b) basic income security for children, at least at a nationally defined minimum level, providing access to nutrition, education, care and any other necessary goods and services;

(c) basic income security, at least at a nationally defined minimum level, for persons in active age who are unable to earn sufficient income, in particular in cases of sickness, unemployment, maternity and disability; and

(d) basic income security, at least at a nationally defined minimum level, for older persons.

6. Subject to their existing international obligations, Members should provide the basic social security guarantees referred to in this Recommendation to at least all residents and children, as defined in national laws and regulations.

7. Basic social security guarantees should be established by law. National laws and regulations should specify the range, qualifying conditions and levels of the benefits giving effect to these guarantees. Impartial, transparent, effective, simple, rapid, accessible and inexpensive complaint and appeal procedures should also be specified. Access to complaint and appeal procedures should be free of charge to the applicant. Systems should be in place that enhance compliance with national legal frameworks.

8. When defining the basic social security guarantees, Members should give due consideration to the following:

   (a) persons in need of health care should not face hardship and an increased risk of poverty due to the financial consequences of accessing essential health care. Free prenatal and postnatal medical care for the most vulnerable should also be considered;

   (b) basic income security should allow life in dignity. Nationally defined minimum levels of income may correspond to the monetary value of a set of necessary goods and services, national poverty lines, income thresholds for social assistance or other comparable thresholds established by national law or practice, and may take into account regional differences;

   (c) the levels of basic social security guarantees should be regularly reviewed through a transparent procedure that is established by national laws, regulations or practice, as appropriate; and

   (d) in regard to the establishment and review of the levels of these guarantees, tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned, should be ensured.

9. (1) In providing the basic social security guarantees, Members should consider different approaches with a view to implementing the most effective and efficient combination of benefits and schemes in the national context.

   (2) Benefits may include child and family benefits, sickness and health-care benefits, maternity benefits, disability benefits, old-age benefits, survivors' benefits, unemployment benefits and employment guarantees, and employment injury benefits as well as any other social benefits in cash or in kind.

   (3) Schemes providing such benefits may include universal benefit schemes, social insurance schemes, social assistance schemes, negative income tax schemes, public employment schemes and employment support schemes.

10. In designing and implementing national social protection floors, Members should:

    (a) combine preventive, promotional and active measures, benefits and social services;

    (b) promote productive economic activity and formal employment through considering policies that include public procurement, government credit provisions, labour inspection, labour market policies and tax incentives, and that promote education, vocational training, productive skills and employability; and

    (c) ensure coordination with other policies that enhance formal employment, income generation, education, literacy, vocational training, skills and employability, that reduce precariousness, and that promote secure work, entrepreneurship and sustainable enterprises within a decent work framework.

11. (1) Members should consider using a variety of different methods to mobilize the necessary resources to ensure financial, fiscal and economic sustainability of national social protection floors, taking into account the contributory capacities of different population groups. Such methods may include, individually or in combination, effective enforcement of tax and contribution obligations, reprioritizing expenditure, or a broader and sufficiently progressive revenue base.

    (2) In applying such methods, Members should consider the need to implement measures to prevent fraud, tax evasion and non-payment of contributions.

12. National social protection floors should be financed by national resources. Members whose economic and fiscal capacities are insufficient to implement the guarantees may seek international cooperation and support that complement their own efforts.

III. National strategies for the extension of social security

13. (1) Members should formulate and implement national social security extension strategies, based on national consultations through effective social dialogue and social participation. National strategies should:

    (a) prioritize the implementation of social protection floors as a starting point for countries that do not have a minimum level of social security guarantees, and as a fundamental element of their national social security systems; and

    (b) seek to provide higher levels of protection to as many people as possible, reflecting economic and fiscal capacities of Members, and as soon as possible.

    (2) For this purpose, Members should progressively build and maintain comprehensive and adequate social security systems coherent with national policy objectives and seek to coordinate social security policies with other public policies.

14. When formulating and implementing national social security extension strategies, Members should:

    (a) set objectives reflecting national priorities;

    (b) identify gaps in, and barriers to, protection;

    (c) seek to close gaps in protection through appropriate and effectively coordinated schemes, whether contributory or non-contributory, or both, including through the extension of existing contributory schemes to all concerned persons with contributory capacity;

    (d) complement social security with active labour market policies, including vocational training or other measures, as appropriate;

    (e) specify financial requirements and resources as well as the time frame and sequencing for the progressive achievement of the objectives; and

    (f) raise awareness about their social protection floors and their extension strategies, and undertake information programmes, including through social dialogue.

15. Social security extension strategies should apply to persons both in the formal and informal economy and support the growth of formal employment and the reduction of informality, and should be consistent with, and conducive to, the implementation of the social, economic and environmental development plans of Members.

16. Social security extension strategies should ensure support for disadvantaged groups and people with special needs.

17. When building comprehensive social security systems reflecting national objectives, priorities and economic and fiscal capacities, Members should aim to achieve the range and levels of benefits set out in the Social Security (Minimum Standards) Convention, 1952 (No. 102), or in other ILO social security Conventions and Recommendations setting out more advanced standards.

18. Members should consider ratifying, as early as national circumstances allow, the Social Security (Minimum Standards) Convention, 1952 (No. 102). Furthermore, Members should consider ratifying, or giving effect to, as applicable, other ILO social security Conventions and Recommendations setting out more advanced standards.

IV. Monitoring

19. Members should monitor progress in implementing social protection floors and achieving other objectives of national social security extension strategies through appropriate nationally defined mechanisms, including tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned.

20. Members should regularly convene national consultations to assess progress and discuss policies for the further horizontal and vertical extension of social security.

21. For the purpose of Paragraph 19, Members should regularly collect, compile, analyse and publish an appropriate range of social security data, statistics and indicators, disaggregated, in particular, by gender.

22. In developing or revising the concepts, definitions and methodology used in the production of social security data, statistics and indicators, Members should take into consideration relevant guidance provided by the International Labour Organization, in particular, as appropriate, the resolution concerning the development of social security statistics adopted by the Ninth International Conference of Labour Statisticians.

23. Members should establish a legal framework to secure and protect private individual information contained in their social security data systems.

24. (1) Members are encouraged to exchange information, experiences and expertise on social security strategies, policies and practices among themselves and with the International Labour Office.

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

ANNEX 5 Additional reading

1. The UN Social Protection Floors Initiative

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ILO. 2016. Social protection Assessment-based National Dialogue: A global guide (Geneva). Available at: http://www.social-protection.org/gimi/gess/RessourcePDF.action;jsessionid=0206fafb51666c4eccc7dd9c78cbe5b2d8205b3ce2b3060e900d9d5733f77d7f.e3aTbhuLbNmSe34MchaRahaPc3n0?ressource.ressourceId=53462 [18 Feb. 2016].

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