

# UNDG Asia-Pacific

## social protection issues brief



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



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## **UNDG Asia-Pacific social protection issues brief**

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# **UNDG Asia-Pacific social protection issues brief**

Valerie Schmitt, Qimti Paienjton, and Loveleen De<sup>1</sup>

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<sup>1</sup> The authors produced the Issues Brief based on the inputs from the participating members of the UNDG Asia-Pacific Thematic Working Group on Social Protection and many other experts in Asia and the Pacific.



## Foreword

In April 2009, as part of UN's response to assist countries to confront the global financial crisis, the United Nations System Chief Executives Board for Coordination (UN CEB) launched the Social Protection Floor Initiative (SPF-I). Endorsed by United Nations (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 Initiative gained significant attention and momentum.

UN-wide implementation was given a boost in June 2012 when governments, employers' representatives, and workers' representatives adopted the International Labour Organization (ILO) Recommendation concerning national floors of social protection (Social Protection Floors Recommendation, 2012 (No. 202)) by consensus at the 101<sup>st</sup> Session of the International Labour Conference (ILC). Social protection floors (SPFs) are nationally defined sets of basic social security guarantees which secure protection aimed at preventing or alleviating poverty, vulnerability, and social exclusion.

In Asia and the Pacific, the establishment of social protection floors has increasingly been recognized by all countries as an efficient approach to reduce vulnerability and strengthen 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. Several UN agencies have joined forces to promote social protection floors and support countries in designing and implementing their national social protection strategies. This is the case in Cambodia, India, Indonesia, Lao People's Democratic Republic, Mongolia, Myanmar, Nepal, and Thailand to name only a few.

While acknowledging these achievements in a recent letter sent to all UN Resident Coordinators (UNRCs) and United Nations Country Teams (UNCTs), Helen Clark, Chair of the United Nations Development Group (UNDG), and Guy Ryder, Director-General of the ILO, encouraged participating agencies to maintain momentum behind the establishment of social protection floors and proposed a number of concrete steps to help make social protection a reality for all.<sup>2</sup>

Indeed, more than two-thirds of the Asia-Pacific population presently have no access to comprehensive social protection that enables people to cope with life risks. The large number of "near poor"—people who live just above the poverty line—in the region lack access to essential care, education, and skills training, and are vulnerable to even minor adverse changes in their fortunes. Unfortunately, the region is highly vulnerable to natural disasters and economic shocks. In fact, the Asia and the Pacific region has experienced some of the most damaging disasters in recent decades, with alarming consequences for human development. This reinforces the need to continue building nationally defined social protection floors.

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

The aim of this document is to provide the UNCTs in Asia and the Pacific region and the United Nations Development Group Asia-Pacific (UNDG A-P) with:

- a common UN position on social protection;
- brief overview of social protection in the region;

<sup>2</sup> Joint UNDG-ILO letter to all Resident Coordinators, 24 March 2014, available in Annex 5.

- potential entry points for UNCTs in supporting the development of national social protection strategies followed by the progressive and coordinated implementation of those strategies; and
- resources available to UNCTs on social protection.

This Issues Brief is the first of a series of toolkits, research, and position papers for UNCTs that will further elaborate on some of the potential entry points. This document also complements the “Social Protection Floor Initiative: Manual and Strategic Framework for Joint UN Country Operations”,<sup>3</sup> by addressing specific issues and providing concrete areas for joint action in Asia and the Pacific region.

This Issues Brief has been produced based on a number of consultations with the members of the UNDG A-P Thematic Working Group on Social Protection who have shared inputs, comments, and concrete examples from the ongoing work of UN agencies in social protection in the region. Members include the ILO (as Group coordinator), Food and Agriculture Organization of the United Nations (FAO), United Nations Development Programme (UNDP), United Nations Economic and Social Commission for Asia and the Pacific (UN ESCAP), United Nations Educational, Scientific and Cultural Organization (UNESCO), United Nations Population Fund (UNFPA), United Nations Children’s Fund (UNICEF), United Nations Office of the High Commissioner for Human Rights (UN OHCHR), United Nations Entity for Gender Equality and the Empowerment of Women (UN WOMEN), World Food Programme (WFP), and World Health Organization (WHO).

It is our hope that this Issues Brief spurs further debate on social protection floors and supports countries in designing and implementing their national social protection strategies.



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<sup>3</sup> “Social Protection Floor Initiative: Manual and strategic framework for joint UN country operations”, developed by the Group of Co-operating agencies and development partners, under the coordination of the International Labour Office and World Health Organization, Geneva, November 2009. Available at: [www.socialsecurityextension.org/gimi/gess/ShowResource.action?resource.ressourceId=14484](http://www.socialsecurityextension.org/gimi/gess/ShowResource.action?resource.ressourceId=14484) [accessed 5 June 2014].



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## Abbreviations and acronyms

4Ps	Pantawid Pamilyang Pilipino Programme (Philippines)
ABEL	Access to Basic Education Programme in Laos
ABND	assessment based national dialogue
ADB	Asian Development Bank
AIDS	acquired immunodeficiency syndrome
APRM	Asia and the Pacific Regional Meeting
ASEAN	Association of Southeast Asian Nations
ATM	automated teller machine
AusAID	Australian Government Agency for International Development
BAPPENAS	Ministry of National Development and Planning (Indonesia)
BRICS	Brazil, Russia, India, China and South Africa
CARD	Council for Agricultural and Rural Development (Cambodia)
CBHI	community based health insurance
CCT	conditional cash transfer
CDCF	Cambodia Development Cooperation Forum
CSMBS	Civil Servants Medical Benefit Scheme (Thailand)
CSO	civil society organization
DFAT	Department of Foreign Affairs and Trade (Australia)
DFID	Department for International Development (United Kingdom)
DSWD	Department of Social Welfare and Development (Philippines)
DWT	Decent Work Technical Support Team
EII	employment injury insurance
FAO	Food and Agriculture Organization of the United Nations
G-20	Group of Twenty Finance Ministers and Central Bank Governors
GDP	gross domestic product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GSIS	Government Service Insurance System (Philippines)
HEF	health equity fund
HIV	human immunodeficiency virus
ICROP	Integrated Community Registration Outreach Programme (South Africa)
ID Poor	Identification of the Poor programme
IDS	Institute of Development Studies
IFAD	International Fund for Agricultural Development
ILC	International Labour Conference
ILO	International Labour Organization
IMF	International Monetary Fund
LGU	local government unit (Philippines)
MDGs	Millennium Development Goals
MIS	management information system
MNCH	maternal, neonatal and child health
MOE	Ministry of Education
MOH	Ministry of Health
MOL	Ministry of Labour (Mongolia)
MOLISA	Ministry of Labour, Invalids and Social Affairs (Viet Nam)
MOSW	Ministry of Social Welfare

MPDSP	Ministry of Population Development and Social Protection (Mongolia)
MRD	Ministry of Rural Development
NESDB	National Economic and Social Development Board (Thailand)
NGO	non-governmental organization
NREGS	National Rural Employment Guarantee Scheme (India)
NSPS	National Social Protection Strategy
NSPS-PV	National Social Protection Strategy for the Poor and Vulnerable (Cambodia)
NSSF	National Social Security Fund (Cambodia)
NSSF-C	National Social Security Fund for Civil Servants (Cambodia)
NTWG	National Technical Working Group (Myanmar)
ODI	Overseas Development Institute
OECD	Organisation for Economic Co-operation and Development
OSS	one-stop-shop (Mongolia)
PKH	Programme Keluarga Harapan (Family Hope Programme) (Indonesia)
PKSA	Children's Social Welfare Programme (Indonesia)
PNPM	Nasional Pemberdayaan Masyarakat (national programme for community empowerment) (Indonesia)
PSA	public service announcement
PWP	public works programme
RAP	Rapid Assessment Protocol
RGC	Royal Government of Cambodia
RSBY	Rashtriya Swasthya Bima Yojana (national health insurance scheme) (India)
RTG	Royal Thai Government
RTW	Return to Work
SASS	State Authority for Social Security (Lao People's Democratic Republic)
SISBEN	Sistema de Identificación de Potenciales Beneficiarios de Programas Sociales (Colombia)
SJSN	Sistem Jaminan Sosial Nasional (national social security system) (Indonesia)
SNEC	Supreme National Economic Council (Cambodia)
SPCU	Social Protection Coordination Unit
SPER	Social Protection Expenditure and Performance Review
SPF	social protection floor
SPF-I	Social Protection Floor Initiative
SPI	social protection index
SPTT	Social Protection Task Team (Nepal)
SSDM	social service delivery mechanism (Cambodia)
SSO	Social Security Organization (Lao People's Democratic Republic)
SSS	Social Security Scheme (Thailand); Social Security System (Philippines); Samajik Suvidha Sangam (India)
STI	sexually transmitted infection
SWS	single window service
TA	Technical Assistance for Social Protection (Philippines)
TDRI	Thailand Development Research Institute
TNP2K	National Team for the Acceleration of Poverty Reduction (Indonesia)
TVET	technical vocational education and training
UCS	Universal Coverage Scheme (Thailand)
UN	United Nations



UN CEB	United Nations System Chief Executives Board for Coordination
UN DESA	United Nations Department of Economic and Social Affairs
UN ESCAP	United Nations Economic and Social Commission for Asia and the Pacific
UN OHCHR	United Nations Office of the High Commissioner for Human Rights
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women
UN-HABITAT	United Nations Human Settlements Programme
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDG A-P	United Nations Development Group Asia-Pacific
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNODC	United Nations Office on Drugs and Crime
UNPAF	United Nations Partnership Agreement Framework (Thailand)
UNPDF	United Nations Partnership Development Framework (Indonesia)
UNRCO	United Nations Resident Coordinator's Office
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
VAT	value added tax
WB	World Bank
WCF	Workmen's Compensation Fund (Thailand)
WFC	Worker Facilitation Centre (India)
WFP	World Food Programme
WHO	World Health Organization



**CHAPTER 1****Joint UN position on social protection in Asia and the Pacific**

According to Article 25 of the Universal Declaration of Human Rights (1948), everyone has a right to a decent standard of living, including access to essential social services (such as health and education) and protection from difficult circumstances that may be beyond their control (such as unemployment, sickness, disability, and old age). Social protection is needed to ensure that no one is excluded from the fulfilment of these rights.

Social protection is needed for economic reasons as well. If implemented effectively, social protection is essentially an investment in human capital, which will contribute to greater labour productivity and pro-poor economic growth in the long run. By supporting the most vulnerable people, social protection can help individuals and families to manage risk better (who, in the absence of social protection, may rely on short-term coping strategies with adverse long-term impacts) and thereby encourage higher investment in human capital and assets, leading to economic growth. Of equal importance is the fact that by addressing social and economic inequalities between subgroups of people and promoting universal realization of basic rights, social protection can contribute towards social and political stability within countries.

While countries in the Asia and the Pacific region have made considerable economic progress in the last two decades and lifted millions out of poverty, not all have benefitted from these gains. Millions of people are still poor, deprived of basic rights, and vulnerable to increased risks resulting from global economic crises and climate change. There is a threat that human development gains made in the past decade may fail to “stick” and begin to reverse, and this has helped place social protection high on the policy agenda in the region.

At the 67<sup>th</sup> Session of the UN ESCAP Commission in May 2011, Member States of the UN ESCAP passed a resolution on “Strengthening social protection systems in Asia and the Pacific”. At the ILO’s 15<sup>th</sup> Asia and the Pacific Regional Meeting (APRM) held in Kyoto, Japan in December 2011, governments, employers, and workers from Asia and the Pacific region determined that “building effective social protection floors, in line with national circumstances” was one of the key priorities in national policy for the Asia and the Pacific Decent Work Decade. The signing of the “Declaration of Colombo” by the Ministers in charge of social development from South Asia in February 2011 and the adoption of the “Declaration on strengthening social protection” by the Association of Southeast Asian Nations (ASEAN) Leaders in October 2013 confirm the growing regional importance of social protection. It is based on the principle that “everyone is entitled to equitable access to social protection, based on a rights-based, needs-based, life-cycle approach and covering essential services” and also strives to “extend coverage, availability, quality, equitability and sustainability of social protection and gradually promote it, to ensure optimal benefits”.<sup>4</sup>

The utility of social protection in contributing to sustainable development has been increasingly recognized at the international level since the onset of the global financial crisis in 2007–08. Social protection contributes not only to the social dimension of sustainable development (it contributes to reducing poverty, social exclusion, and inequalities), but also to the economic dimension (it has a positive impact on human capital development, acts as a stabilizer in times of crisis, and facilitates economic growth) and to the environmental dimension (it makes people more resilient to natural shocks and helps facilitate quick recovery).

<sup>4</sup> ASEAN Declaration on Strengthening Social Protection, Brunei, 2013, <http://ilo.org/gimi/gess/ShowResource.action?resource.ressourceId=41679> [accessed 5 May 2014].

While social protection may occupy different positions within UN organizations' mandates and agendas, and thereby take on different working definitions and components, UN organizations have much in common in terms of the desired objectives, principles, and approaches to social protection.

In April 2009, the High Level Committee on Programmes of the UN System's Chief Executives Board for Coordination launched the Social Protection Floor Initiative as one of several joint initiatives to combat and accelerate recovery from the global economic crisis. Endorsed by UN Member States at the Rio+20 Conference on Sustainable Development, supported by the G-20 (see box 2), and acknowledged at many other forums, the Initiative garnered significant attention and momentum. The SPF-I is not only a testament to that common ground, but also a useful framework for defining a practical way forward for coordinating the UN's work on social protection.<sup>5</sup>

Building on this foundation, the International Labour Conference adopted the Recommendation concerning national floors of social protection (Social Protection Floors Recommendation, 2012 (No. 202)) at its 101<sup>st</sup> Session in 2012. Recommendation No. 202 reaffirms the role of social security as a human right and as a social and economic necessity, and provides guidance to countries in building social protection floors (SPFs) within progressively comprehensive social security systems.

Box 1

The Social Protection Floors Recommendation, 2012 (No. 202)

The Social Protection Floors Recommendation, 2012 (No. 202), was adopted at the 101<sup>st</sup> Session of the International Labour Conference in 2012.

This Recommendation expresses the commitment of governments and workers' and employers' representatives to move towards building comprehensive social security systems and extending social security coverage by prioritizing the establishment of national floors of social protection. It also provides concrete guidance to countries to establish and maintain social protection floors within their national strategies for the extension of social security.

For the purposes 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. These social security guarantees should ensure:

- (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.

**Source:** Recommendation No. 202,

[http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100\\_ILO\\_CODE:R202](http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:R202) [accessed 5 May 2014].

<sup>5</sup> UN cooperating agencies for the SPF Initiative 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.

## Box 2

## Recognition of the need for social protection systems and SPFs by the G-20

Leaders of the G-20 have recognized the importance of social protection measures and the need to establish nationally defined SPFs. At the G-20 Pittsburgh Summit in September 2009, the Leaders' Statement committed to "invest in people by providing education, job training, decent work conditions, health care and social safety net support, and to fight poverty, discrimination, and all forms of social exclusion" (Article 5) and to "continue to provide income, social protection, and training support for the unemployed and those most at risk of unemployment" (Article 43).

The G-20 Labour and Employment Ministers' Conclusions from the Pre-summit Meeting in Paris in September 2011 recommended the development of "nationally defined social protection floors with a view to achieving strong, sustainable and balanced economic growth and social cohesion" (Article 15), encouraged "international organizations to coordinate their actions more effectively to help countries develop nationally determined social protection floors" (Article 16), and called for a strengthened collaboration between the ILO and the International Monetary Fund (IMF) and other international organizations "in order to help governments, where necessary, to define the necessary fiscal policies to play their role contributing to the progressive implementation of social protection floors according to national needs and circumstance" (Article 17).

At the Cannes Summit in November 2011, the Leaders of the G-20 reaffirmed their determination to "strengthen the social dimension of globalization" and recognized the importance of social protection floors (Article 6).

At the Los Cabos Summit in June 2012, the Leaders of the G-20 recognized "the importance of establishing nationally determined social protection floors" and were determined to "continue to foster inter-agency and international policy coherence, coordination, cooperation and knowledge sharing to assist low-income countries in capacity building for implementing nationally determined social protection floors". G-20 Leaders also asked international organizations to identify policy options with low-income countries on how to develop effective sustainable protection floors (Article 22).

The G-20 Leaders' declaration at the St. Petersburg Summit in September 2013 calls for coordinated and integrated public policies (macroeconomic, financial, fiscal, education, skills development, innovation, employment, and social protection) to achieve better quality and more productive jobs (Article 6) and recognizes that "sound national social protection floors are needed, which are affordable, effective, efficient, and socially adequate" (Article 30).

The G-20 Brisbane Summit to be held in December 2014 will also place focus on strengthening social protection.

**Sources:** G-20 Leaders' declarations.

While recalling the global consensus that was achieved with the adoption of the ILO's Recommendation No. 202, Helen Clark, Chair of UNDG, and Guy Ryder, Director-General of the ILO, reaffirm in a recent letter to Resident Coordinators and UNCTs that "social protection floors 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".<sup>6</sup>

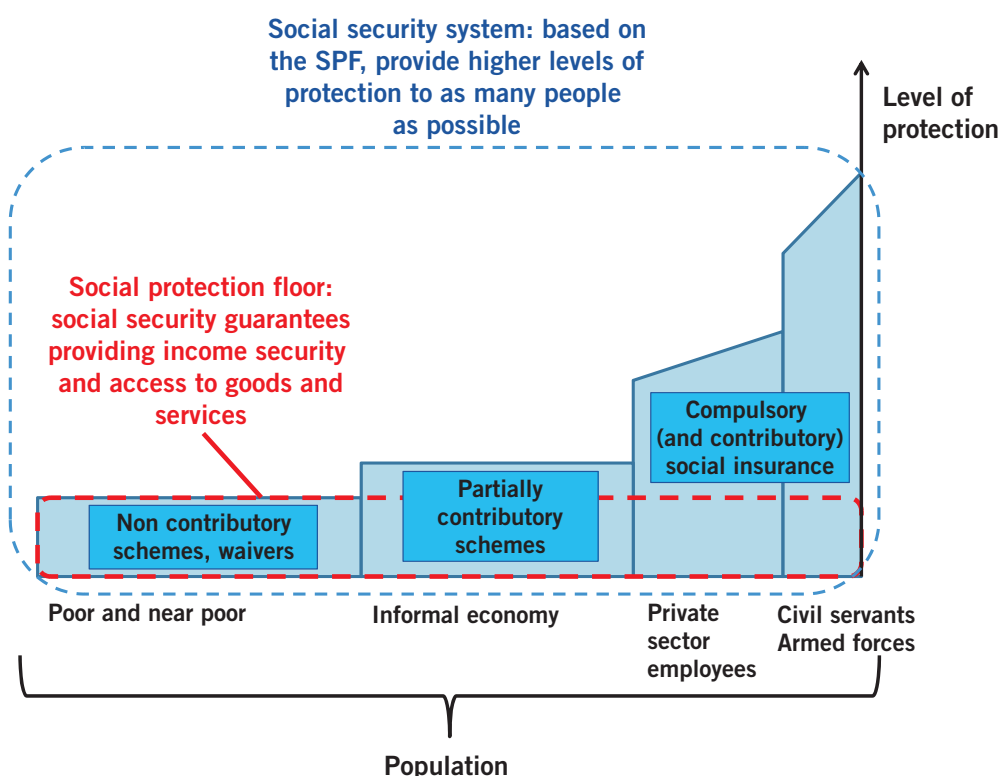
<sup>6</sup> Joint UNDG-ILO letter to all Resident Coordinators, 24 March 2014, available in Annex 5.

The primary objective of SPFs is to guarantee access to necessary goods and services (essential health care, maternity care, nutrition, education, and child care) and provide income security throughout the life cycle. To achieve this, countries need to combine SPF interventions with measures to guarantee availability and acceptable quality of social services.

The SPF approach calls for universal coverage of all residents and children, but special support may be needed for disadvantaged groups and people with special needs.

Once an SPF has been established, countries should seek to provide higher levels of protection to as many people as possible, and as soon as possible. The figure below illustrates the role of national SPFs as the foundation of any social security (or social protection) system.

**Figure 1. The social protection floor in the broader context of social security**



Source: UNDG A-P Thematic Group on Social Protection.

While the main guarantees and guiding principles for establishing social protection floors have been agreed upon at the global level, it is expected that SPFs within countries will be defined and owned nationally and will be in line with national contexts. To implement the most effective and efficient combination of benefits and schemes, different approaches can be considered, including universal benefit schemes, social insurance schemes, social assistance schemes, negative income tax schemes, public employment schemes, and employment support schemes.

All countries in the Asia and the Pacific region already have some social protection measures in place. Annex 1 lists a sampling of social protection schemes in Asia and the Pacific, revealing that the following social protection measures are commonly found in countries in the region:

- i) free access to primary health care or social health protection schemes (social health insurance, universal or targeted health schemes);

- ii) free education up to a certain grade, or fee waivers and scholarships to facilitate access to education;
- iii) child allowances and cash transfer programmes targeted at poor households to facilitate access to nutrition, education, care, and ensure minimum income security for poor families;
- iv) social insurance schemes providing protection to the working age population and their families in case of loss of income during unemployment, work injury, incapacity or invalidity, maternity, or death of the breadwinner;
- v) public works programmes (cash for work and food for work) and employment guarantee schemes to provide minimum income security for working age people and their families, combined with employment opportunities and vocational training;
- vi) minimum pensions and contributory social pensions for the elderly and the disabled; and
- vii) community empowerment and infrastructure development programmes to ensure that social services and basic infrastructure (roads, water and sanitation, health centres, etc.) are available in remote and poor areas, while providing the working poor with a specific number of days of guaranteed employment per year.

Given the current state of social protection, the task at hand for policy-makers is to ensure that these measures reach all those people who need to be protected and that the measures are adequate, i.e. the nature and amount of benefits are sufficient to ensure the fulfilment of basic rights.

The task at hand for the United Nations Development Group Asia-Pacific (UNDG A-P) and development partners is to facilitate this process. To achieve this, UNCTs are encouraged to initiate and support national dialogues on social protection; build national capacity for the design, implementation, and coordination of social protection schemes; and promote a long-term, systematic approach to social protection in their countries.

More specifically, Helen Clark and Guy Ryder have requested all Resident Coordinators and UNCTs to take immediate and coordinated action in supporting the establishment of social protection floors and the extension of social protection coverage.<sup>7</sup>

The steps to advance this work include:

- i) establishing or strengthening UN national social protection floor teams;
- ii) supporting national dialogues to discuss potential options for designing and implementing contextually appropriate SPFs;
- iii) assisting countries to analyse social protection needs and gaps, optional measures to close identified gaps, tools to monitor progress, and possible sources of financing with the option to expand the SPF over time;
- iv) promoting SPFs as instruments to advance inclusive and sustainable development in the context of preparing UNDAFs; and
- v) working with national statistical offices and promoting an efficient and coordinated UNCT approach to data collection and provision of capacity support.

The two subsequent chapters of this document provide illustrations of potential entry points for UN agencies, together or as parts of a whole, to support the development of national strategies and plans on social protection and to support the effective implementation of social protection for all.

<sup>7</sup> Joint UNDG-ILO letter to all Resident Coordinators, 24 March 2014, available in Annex 5.





## CHAPTER 2

## Supporting the development of national social protection strategies

Although most countries in the region have already established some social protection measures, and sometimes several measures, the basic entitlements of the SPF still have to be guaranteed.

As governments in the region look to develop national strategies and development plans on social protection, they should be encouraged to consider:

- establishing a social protection floor that guarantees a basic set of entitlements to all their people; and
- going beyond the social protection floor to offer more comprehensive social protection when and where possible.

### 2.1 Key questions when developing social protection plans

While developing a nationally-defined plan for social protection, countries have to address some key questions. Many countries are already doing so.

▶ **What?** – Countries may wish to take stock of existing social protection programmes (inventory of schemes and measures) in order to identify the missing elements of their social protection system with a view to provide at least the floor to all the population (design gaps), as well as to determine what is not functioning well (implementation issues).

▶ **Who?** – Countries may wish to identify, through disaggregated data analysis (such as by gender, age, location, and household characteristics), which subgroups of the population are currently not availing social services and transfers, to ensure that the disadvantaged and vulnerable are not excluded.

▶ **What next?** – Countries may wish to initiate a national dialogue to discuss and evaluate identified policy gaps and implementation issues in order to formulate policy recommendations and possible steps to address these gaps and issues, thereby ensuring that social protection is a reality for all people.

▶ **How?** – Countries should be encouraged to adopt coordinated and participatory approaches to formulate their social protection strategies and development plans. Social protection includes measures to facilitate access to necessary goods and services through cash transfers (compensation for loss of income, reimbursement of health-care costs, among others) and in-kind transfers (free education, free immunization, food distribution, among others). Therefore, effective implementation of social protection involves many line ministries (including those of health, education, labour, social welfare, agriculture, finance, planning, and investment), social security institutions, workers' and employers' representatives, civil society organizations, local non-governmental organizations (NGOs), and development partners (UN agencies, international NGOs, bilateral donors). Given their roles in effective implementation, it is therefore desirable to involve these stakeholders, as necessary or appropriate, in identifying social protection gaps and issues, as well as in the formulation of strategies and plans to address the issues. Note that the private sector can potentially be engaged to deliver essential services such as water, sanitation, health, education, and housing in a cost-effective and efficient manner under the general oversight and regulation of the State. One such way is through public-private partnerships.

▶ **When?** – The immediate realization of a complete social protection floor is not a realistic policy goal for most countries in the region. However, using a development planning framework, countries can build a social protection path with milestones and timelines best suited to the needs of the people and the national contexts.

## 2.2 Potential entry points for UN support to governments in the development of social protection plans

UN agencies can provide concrete support for the design of national social protection development plans by setting up social protection teams, promoting the SPF framework, providing technical inputs to social protection development plans, building technical capacities, and sharing and disseminating knowledge.

Potential entry points for UN agencies

- ▶▶ Setting up social protection teams
- ▶▶ Promoting the SPF framework
- ▶▶ Providing technical inputs to social protection development plans
- ▶▶ Building technical capacities
- ▶▶ Sharing and disseminating knowledge

▶▶ **Setting up social protection teams** and working groups can help to share information and knowledge among UN agencies and other development partners and jointly provide policy and technical advisory services to governments and implementing agencies. Where UNDAFs exist, these should be linked to the related institutions, mechanisms, and processes.

Box 3

The Nepal Development Partner Social Protection Task Team

In Nepal, the Social Protection Task Team (SPTT) is a group of development partners who are committed to coordinating and cooperating in their support to improving social protection in Nepal. The SPTT has been meeting regularly since 2006 and includes UNICEF and ILO (chair and co-chair, respectively), Asian Development Bank (ADB), Department for International Development (DFID), the World Bank, United Nations Capital Development Fund (UNCDF), WHO, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), and the WFP.

The SPTT started by documenting and assessing the existing social transfer programmes in Nepal. Surveys, consultations among UN and development partners, and focus group discussions were conducted to engage targeted beneficiaries and identify design and implementation gaps.

In 2007, the UN system together with the Government prepared the 2008–10 UNDAF, which placed emphasis on employment-oriented, pro-poor, and broad-based economic growth, inclusive development through targeted programmes, and social development. The UNDP-led millennium development goals (MDGs) training programme was conducted in 2007 with a wide inter-ministerial audience, where UNICEF elaborated on the idea of a child grant.

The SPTT has adopted a “Statement on working principles and approach”, articulating the team’s commitment to cooperate in order to improve social protection in Nepal, as well as support the SPF Initiative. A focus of the SPTT is to support the Inter-Ministerial National Steering Committee on Social Protection and the Social Security Study Committee to develop an integrated and coherent National Social Protection Framework. The

*(Continued on next page)*

**Box 3** (Continued)

draft Framework has adopted the SPF approach and emphasizes the need to focus on system and capacity building, consolidation of measures, and evidence generation, in order to improve the effectiveness and efficiency of social protection.

**Sources:** SPTT, Nepal.

UNICEF Nepal and G. Köhler: *The challenges of delivering as one: Overcoming fragmentation and moving towards policy coherence* (Geneva, ILO, ILO Working Paper, Policy Integration Department, 2011).

*The Nepal Development Partner Social Protection Task Team: Statement on working principles and approach* (August 2010).

**Box 4**

**The SPF Joint Team in Thailand**

The UN Social Protection Floor Joint Team in Thailand was created in March 2010. It includes the ILO (chair), United Nations Resident Coordinator's Office (UNRCO), UNICEF, UNFPA, WHO, UNESCO, UNDP, UN WOMEN, and the World Bank. The main objective of the SPF Joint Team is to contribute to building a holistic and coherent national social protection system, closing the coverage gaps, and reducing inequalities.

Since its inception, the SPF Joint Team has been a useful and efficient coordination and knowledge-sharing mechanism, building capacities on social protection within the UN system in Thailand, among government agencies, workers' and employers' representatives, and civil society. The Joint Team promotes with one voice the progressive development of a more comprehensive social protection floor in Thailand, publicizes Thailand's experience through videos and publications, and shares important milestones achieved at the global level with Thai counterparts.

The SPF Joint Team is one of the UNRCO's joint task teams and was given the responsibility to prepare the social protection chapter of the United Nations Partnership Agreement Framework (UNPAF) 2012–16. The matrix not only indicates each agency's own programme of activities in response to the needs of the national counterparts, but also tries to identify what the UN system as a whole can provide in response to these needs.

From June 2011 to May 2013, the SPF Joint Team engaged line ministries, UN agencies, social partners, civil society organizations, academia, and other relevant stakeholders to assess the social protection situation in Thailand, identify policy gaps and implementation issues, and draw appropriate policy recommendations for the achievement of a comprehensive social protection floor in Thailand. The report, *Social protection assessment based national dialogue: Towards a nationally defined social protection floor in Thailand*, was launched by the Royal Thai Government (RTG) and the Joint Team in May 2013. Please see box 11 for more information.

The SPF Joint Team has also helped to write two social protection floor success stories on the Universal Coverage Scheme (UCS) and the universal tax-financed 500 baht Pension Scheme (published in a joint ILO-UNDP publication, *Sharing innovative experiences: Successful social protection floors experiences*).

The Joint Team organized and facilitated a Development Cooperation Seminar on "Social protection: Towards universal coverage in Thailand", hosted in November 2010 by UNRCO and the National Economic and Social Development Board (NESDB), which resulted in a number of policy recommendations for the design of a welfare society in Thailand by 2017.

(Continued on next page)

**Box 4** (Continued)

The Joint Team contributed to organizing a number of consultative meetings and training workshops on social protection, which progressively shaped a shared vision of the social protection situation, policy gaps and implementation issues, as well as increased the technical capacities of national counterparts (e.g. on costing social protection floor benefits):

- Consultative meeting on Social Protection Floor in Thailand, 10 August 2011;
- Costing SPF Coverage Gaps in Thailand: Methodology and First Results Workshop, 30 November 2011;
- Civil Society Forum on Social Protection Floor in Thailand, 23 February 2012;
- Assessment Based National Dialogue Workshop: “Final Results and Recommendations to the Government”, 16 March 2012;
- Hands-on training course on “How to Cost, Finance and Monitor Social Protection Schemes?” from 15 to 17 May 2012; and
- Training course on “Social Protection: Assessment, Costing and Beyond” organized by ILO Decent Work Technical Support Team (DWT) Bangkok, in close collaboration with the Faculty of Economics, Chulalongkorn University, from 15 to 19 October 2012.

The Joint Team raised awareness on the social protection situation through the development of a 26-minute video on *Building a Social Protection Floor in Thailand* and a public service announcement (PSA) *Why is social protection important to me?*, which was broadcast on a number of Thai television stations, such as True Vision, Channel 11, and MCOT (see box 9). It also developed an educational tool, *Let's learn about social protection*, which aims to raise awareness and increase knowledge on social protection for children in the 10–12 years age group.

The UN Social Protection Floor Joint Team in Thailand is an example of effective inter-agency collaboration. Each agency brings its own expertise and puts forward the needs and expectations of its national counterparts. At the same time, the social protection agenda is coordinated through continuous communication, regular meetings, and the design and implementation of joint projects and activities. This long-term cooperation enhances the coherence and the relevance of interventions. In terms of advocacy, working as one team is an efficient option: the UN SPF Joint Team is increasingly recognized as the UN voice on social protection in the country and is the basis for partnerships with the Royal Thai Government on social protection.

**Source:** UN SPF Team, Thailand.

More information on the SPF Team in Thailand is available at:

<http://www.social-protection.org/gimi/gess/ShowSpf.do?id=1> [accessed 5 May 2014].

Brochure *UN SPF Joint Team in Thailand: A replicable experience* is available at:

<http://www.socialsecurityextension.org/gimi/gess/ShowProjectRessource.do?ressourceId=30388&pid=1325> [accessed 5 May 2014].

Video on *SPF Joint Team in Thailand: A replicable experience* is available at:

<http://www.socialsecurityextension.org/gimi/gess/ShowRessource.action?ressource.ressourceId=29828> [accessed 5 May 2014].

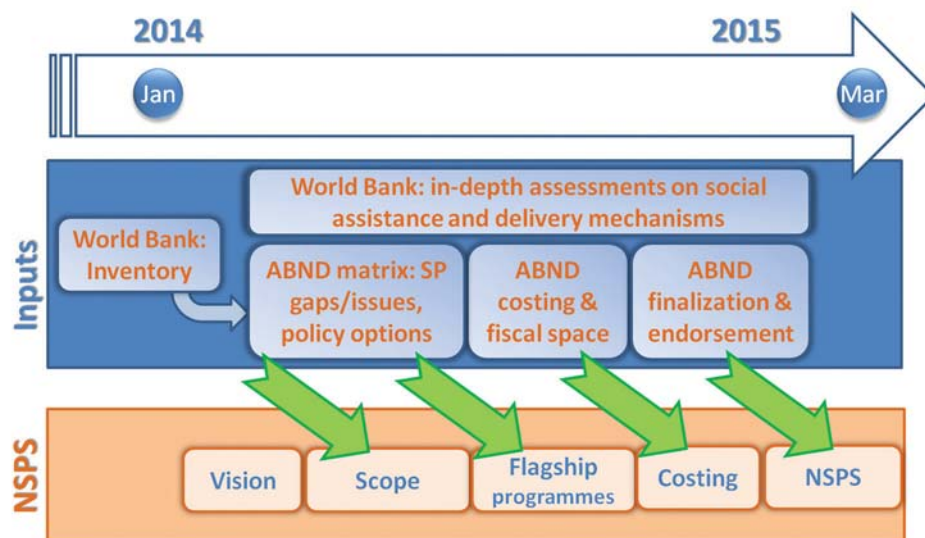
Box 5

Social Protection National Technical Working Group and Development Partners' support in Myanmar

The National Technical Working Group (NTWG) on Social Protection, co-chaired by the Ministry of Social Welfare, Disaster Relief and Resettlement and UNICEF, is composed of representatives from the Government of Myanmar (Ministry of Labour, Employment and Social Security, General Administration Department, Attorney General Office, Ministry of Finance, Ministry of Planning and Economic Development, Ministry of Livestock, Fisheries and Rural Development, Ministry of Health, Ministry of Education, Social Security Board, and Foreign Economic Relations Department). Its first meeting was held in January 2014. The main objective of the group is to prepare the National Social Protection Strategy (NSPS).

Development agencies are supporting the process: UNICEF is co-chairing the NTWG on Social Protection, the World Bank conducted an inventory of existing schemes, which can serve as a baseline for the development of the strategy, and the ILO is leading an assessment based national dialogue exercise of social protection, which will similarly provide a number of technical inputs to the strategy. All agencies are also committed to raising the capacities of national counterparts through the organization of specific training courses and study tours.

Figure 2. Inputs to the NSPS in Myanmar



Sources: UNICEF; World Bank; ILO Myanmar. The diagram was adapted from a presentation of the ILO and the World Bank.

Box 6

UN Task Team on Employment and Social Protection in India

In support of the Government of India's 12<sup>th</sup> Five Year Plan, the United Nations in India will conduct evidence-based analysis on social protection based on international standards, with the aim to provide options for establishing a national social protection floor. Convened by the International Labour Organization (ILO), the Employment and Social Protection Task Team brings together 11 UN agencies, including the International Fund for Agricultural Development (IFAD), UN ESCAP, UNDP, UNESCO, UNFPA, UNICEF, United Nations Industrial Development Organization (UNIDO), UN WOMEN, WFP, and WHO. The Work and Employment Community of the UN Solution Exchange connects the team members and supports the outreach of the team.

(Continued on next page)

**Box 6** (Continued)

The UNDAF 2012–17 identified social protection as one of the outputs under inclusive growth. Because of this, the Task Team on Employment and Social Protection commissioned the study *A Social Protection Floor for India* to consider the feasibility of a social protection floor for India. The study, which was financially supported by the ILO/Japan Social Safety Net Fund, outlines the key characteristics of the Indian workforce and shows how this both necessitates and poses a challenge for building a social protection floor. The study further examines the existing social protection programmes in India with a particular emphasis on the trends in financial expenditures on social protection. Laying down the structure of a possible social protection floor for India, the study shows how entitlement-based social protection arrangements are beginning to emerge in many areas. Analysing the possible cost implications of an SPF for India, the study discusses the fiscal challenges and issues related to the design and delivery of social security in the Indian context. Based on this analysis, a road map for a social protection floor in India is proposed and discussed. The study comes to the conclusion that the creation of an SPF can have dramatic consequences for the lives of the poor, macroeconomic stability, growth, and development in India.

The United Nations Task Team on Employment and Social Protection further agreed to explore possibilities of formulating a social protection framework at the state level in three Indian states. The National Planning Commission has suggested that these states should be Odisha, Jharkhand, and Madhya Pradesh. The Task Team has instituted the preparatory work for the State of Odisha.

**Source:** United Nations Task Team on Employment and Social Protection, India.

**Box 7**

**UN Social Protection Working Group in Mongolia**

In early 2012, a UN Working Group on Social Protection was set up in Mongolia to support the achievement of UNDAF’s Strategic Priority 2: “Basic social services and social protection: Equitable access to and utilization of quality basic social services and sustainable social protection”. The ILO is the designated lead agency of this Working Group.

In September 2013, the Ministry of Population Development and Social Protection (MPDSP) and the UNCT for Mongolia, through its Working Group on Social Protection, initiated the assessment based national dialogue exercise on social protection and employment support. Consultation meetings have been conducted to develop the assessment matrix and cost estimation model.

Besides national dialogues that invited all stakeholders to share their opinions and recommendations, a group of experts and practitioners from MPDSP, Ministry of Labour (MOL), and UN agencies have met to discuss parameters and jointly review the cost calculations for the proposed social protection measures.

The assessment based national dialogue (ABND) report will be released by 2014 and will provide ground-level information for the Government to extend social security and establish an SPF in Mongolia. It is expected that the group formed by MPDSP, MOL, and the UN Working Group on Social Protection will continue serving as a platform for exchanging opinions, ideas, and challenges for further implementing the social protection reforms.

**Source:** ILO Country Office for China and Mongolia.

More information on the UN Social Protection Working Group in Mongolia is available at: <http://www.social-protection.org/gimi/gess/ShowProjectPage.do?pid=2287> [accessed 5 May 2014].

In a similar endeavour, the social protection floor has been selected as one of the flagship areas of joint UN collaboration in Sri Lanka under the second pillar of the UNDAF, “Disparity Reduction, Equitable and Quality Social Services”. This second pillar is co-chaired by ILO and UNICEF. A specific task force on the social protection floor is currently being established under the leadership of the ILO.

► **Promoting the SPF framework** can be done through advocacy activities, workshops, conferences, as well as visits by high-level policy-makers and UN representatives.

**Box 8**

**Michelle Bachelet’s visit to Viet Nam**



Prime Minister of Viet Nam Nguyen Tan Dung (right) receives Chair of the UN SPF Advisory Group, Michelle Bachelet, 15 October 2010  
© 2010 Viet Nam News

A Social Protection Floor Advisory Group of the UN SPF Initiative was created in 2010 with the following functions:

- to coordinate the preparation of the flagship report *Social Protection Floor for a Fair and Inclusive Globalization* which served as an advocacy tool and as general guidance on global and regional policies and strategies to support the implementation of the social protection floor in developing countries and address poverty issues in developed countries;
- to provide inputs regarding the adaptation of the global concept of a social protection floor to regional, national, and local needs, priorities, and constraints;
- to encourage international dialogue among key actors and stakeholders on appropriate policy issues; and
- to advise on policies and strategies to increase the fiscal space and ensure financial sustainability and affordability of the social protection floor.

Composed of members chosen among distinguished political leaders, international policy-makers, and leading experts in the global social protection community, and chaired by Michelle Bachelet, this group met on a regular basis during 2010–11.

In this context, Michelle Bachelet undertook a visit to Viet Nam in October 2010 in order to promote the concept of an SPF.

A High-level Discussion on the SPF was held, during which, the Minister of Labour recognized that “...in addition to being relevant in the case of Viet Nam, the social protection floor concept will contribute to facilitating the implementation of the National Social Protection Strategy and make this strategy more efficient. Therefore, it is a great tool that should be used as a framework for the implementation of the Strategy, and included into the umbrella of the NSPS implementation plan”.



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**Sources:**

Press release on Ms Bachelet’s visit is available at:  
<http://vietnamnews.vnagency.com.vn/Politics-Laws/204699/UN-offers-global-approach-to-social-protection-system-.html>  
[accessed 5 May 2014].

More information on the SPF Advisory Group is available at:  
<http://www.ilo.org/public/english/protection/spfag/about/index.htm> [accessed 5 May 2014].

Box 9

Public service announcement “Why is social protection important to me?”



The UN SPF Team in Thailand produced this public service announcement (PSA) to raise awareness among the general public on social protection and the different forms it takes in Thailand. The PSA was presented at the Government House on 10 May 2013 to the Minister attached to the Prime Minister’s Office, the Minister of Labour, the Minister of Social Development and Human Security, and 300 guests. This PSA was also broadcast on a number of Thai television channels, including True Vision, Channel 11, and MCOT.

Source: UN SPF Team Thailand.

PSA is available at: [http://www.youtube.com/watch?feature=player\\_embedded&v=ZB40vK05xSs](http://www.youtube.com/watch?feature=player_embedded&v=ZB40vK05xSs) [accessed 5 May 2014].

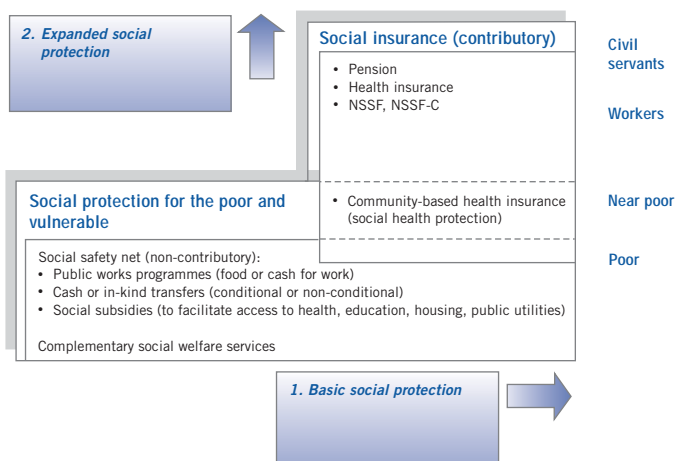
► **Providing technical inputs to social protection development plans** can be done through baseline studies, assessment exercises of existing schemes, costing of national social protection strategies, and inputs to national strategy documents.

Box 10

The National Social Protection Strategy for the Poor and Vulnerable (NSPS-PV) in Cambodia

At the 2<sup>nd</sup> Cambodia Development Cooperation Forum (CDCF) in December 2008, the Royal Government of Cambodia (RGC) and development partners acknowledged that progress had been made in reducing overall poverty, but many parts of the population remained vulnerable to economic and social shocks, thus pushing them into poverty. This led to the development of the National Social Protection Strategy for the Poor and Vulnerable (NSPS-PV).

**Figure 3. Two dimensional extension of social protection in Cambodia’s NSPS-PV**



The NSPS-PV outlines a long-term vision and strategic framework for the development and extension of social protection, taking into consideration the different dimensions of social protection and risk profiles of the poor and vulnerable in Cambodia.

The Government’s long-term vision for the extension of social protection and the improvement of livelihoods is to guarantee basic social protection provisions to the entire population through targeted transfers to the poor and vulnerable and contributory schemes for the better-off. This embodies the concept of an SPF.

*(Continued on next page)*



**Box 10** (Continued)

The Government envisions building an integrated, coordinated, sustainable, and comprehensive social protection system for all citizens over the long term, which implies that its components (non-contributory and contributory) will be developed in a coordinated manner.

The NSPS has three approaches:

- protecting the poorest and most disadvantaged who cannot help themselves by providing social assistance and services, such as food distribution, social transfers, old-age and disability pensions, among others;
- preventing the impact of risks that could lead to negative coping strategies that further impoverish people, through the expansion of social protection measures; and
- promoting ways for the poor to move out of poverty by building human capital through education, adequate health care and livelihood support, and providing greater opportunities.

The NSPS-PV was prepared through a consultative process involving line ministries, social partners, and the civil society, with technical inputs from development partners. It was adopted in March 2011 by the Royal Government of Cambodia and was officially launched and presented to the people by the Prime Minister of Cambodia in December 2011. The Council for Agricultural and Rural Development (CARD) has ensured an effective coordination of all relevant stakeholders.

**Sources:** CARD; ILO; UNICEF; UNDP, Cambodia.

Cambodia's National Social Protection Strategy for the Poor and Vulnerable is available at: <http://www.socialprotection.gov.kh/documents/publication/nsps%20book%20en.pdf> [accessed 5 May 2014].

Assessing existing policies and programmes, as well as identifying policy gaps, implementation issues, and financial bottlenecks, are vital to the further design, implementation, and development of efficient, effective, and sustainable social protection programmes and the establishment of an SPF for all.

The use of a national dialogue with representatives from government, non-government, workers', and employers' organizations to produce the ABND reports 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 a 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, helping to secure the necessary fiscal space and in turn helping to ensure their sustainability.

ABND exercises are to be conducted in Lao People's Democratic Republic, Mongolia, Myanmar, the Philippines, Solomon Islands, and Vanuatu during 2014–15. By providing evidence-based recommendations for the extension of social security coverage, both horizontally and vertically, ABND exercises constitute concrete inputs to national social protection strategies.

**Box 11**

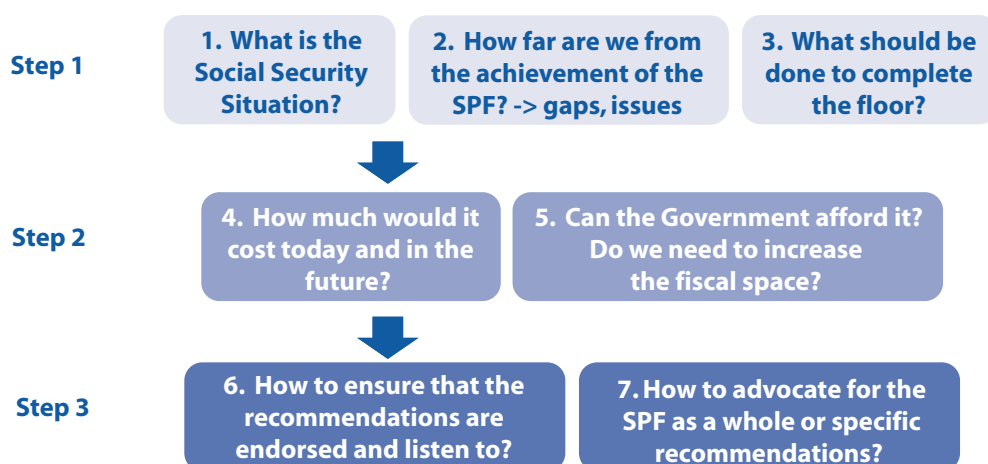
**Assessment based national dialogue exercises conducted in South-East Asia**

Between 2011 and 2013, the International Labour Organization, in collaboration with governments and several UN agencies (including UNICEF, WHO, UNFPA, UN WOMEN, UNESCO, and the Joint United Nations Programme on HIV/AIDS (UNAIDS)) conducted social protection assessment-based national dialogue exercises in Cambodia, Indonesia, Thailand, and Viet Nam.

The ABND methodology uses the SPF guarantees as a benchmark to describe and assess the social security situation in the country and identify policy gaps and implementation issues, if any. The exercises were carried out in order to take stock of existing social protection realities in the respective countries, including social insurance, social assistance, and anti-poverty programmes. These inventories present a comprehensive picture of what elements of national social protection floors are in place, where “holes” in national floors exist, and provide a framework within which recommendations can be made for the further design and implementation of social protection provisions that would guarantee at least the SPF to the entire population. Consultations and tripartite workshops were held to present the SPF concept and framework, discuss and validate the diagnosis of the social security situation with relevant stakeholders at national and provincial levels, and formulate recommendations to bridge the social protection gaps and issues. As part of the social protection assessments, in each country the ILO Rapid Assessment Protocol (RAP) costing tool was used to estimate the cost and affordability of implementing social protection recommendations. ABND exercises involve three main steps: (1) building an assessment matrix; (2) the rapid assessment protocol; and (3) finalization and endorsement of the ABND report.

Recommendations from the ABNDs have been implemented in Indonesia (universal health care scheme launched in January 2014, improvement of the health care benefit package, and coordination mechanisms within the draft of the five-year development plan); in Thailand (long-term care part of the Government’s policy); and in Viet Nam (Party Resolution 15 on social policies approved by the Central Committee of the Communist Party in June 2012, which aims to achieve social security for the whole population by 2020). ABND is the first step in introducing long-term interventions in a country, including the design of new schemes (based on feasibility studies), the implementation of those schemes, and the reform of existing schemes to increase coverage or benefit levels.

**Figure 4. The ABND's main steps**



*(Continued on next page)*

Box 11 (Continued)



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In Thailand, the joint RTG/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.

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 action to the adoption of Recommendation No. 202.

**Source:** ILO DWT – Bangkok.

Report of the ABND exercise in Indonesia is available at:

<http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=35128> [accessed 5 May 2014].

Report of the ABND exercise in Thailand is available at:

<http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=38377> [accessed 5 May 2014].

Report of the ABND exercise in Viet Nam is available at:

<http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=30497> [accessed 5 May 2014].

► **Building technical capacities** is done by organizing national- and regional-level training seminars on a variety of topics, such as the ABND exercise, cost estimation tools like the Rapid Assessment Protocol, coordination mechanisms for the delivery of social protection, design and implementation of specific benefits like unemployment protection or old-age pensions, and design and implementation of policies and legislations.

Box 12

Training workshop and good practices guide on “Social protection assessment based national dialogue”



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A regional hands-on training workshop on “Social Protection: Assessment, Costing and Beyond” was held in October 2012 in Bangkok. It brought together 66 participants and resource persons from ASEAN governments, workers’ and employers’ organizations, universities, UN agencies, and other development partner organizations, who are involved in the designing, costing, and implementation of social protection programmes. It helped the participants to:

1. better understand concepts on social security and SPF;
2. share experiences and initiatives to extend social security to all;
3. learn the main steps involved in conducting an ABND exercise;
4. gain technical expertise in designing and costing schemes; and
5. understand how to collaborate with the ILO and other UN agencies on expanding social protection.

*Social protection assessment based national dialogue: A good practices guide* is a unique resource package that aims to provide the requisite knowledge and expertise for conducting an ABND exercise, which is the first step towards the implementation of nationally-defined SPFs. Designed by practitioners for practitioners, it is based on real experiences in Asia. It can serve several purposes, such as self-learning, training, or conducting full-fledged ABND exercises in a country. It is structured along the steps of the ABND approach and includes several hands-on exercises to facilitate learning and better understanding.

The guide is in the form of a publication (textbook) and a more comprehensive resource package (e-box) available online, allowing for future input from practitioners and experts who are conducting similar exercises.

**Source:** ILO DWT – Bangkok.

Contents of the training workshop is available at:

<http://www.social-protection.org/gimi/gess/ShowProjectPage.do?pid=1735> [accessed 5 May 2014].

Guide is available at: <http://www.social-protection.org/gimi/pages/abnd/> [accessed 5 May 2014].

Training workshops vary according to the target participants. They include training courses for practitioners on specific topics, executive courses for policy-makers, training of trainers for civil society organizations, briefing notes and presentations to parliaments’ commissions, and awareness generation tools for the general public and social partners. An online education tool on social protection for Thai children in the 10–12 age group is currently under development. Such tools could be adapted, further developed, and disseminated in countries of the Asia and the Pacific region through educational institutions, social media, and other media.

In low- and middle-income countries, there is a need to create a ‘critical mass of people’, i.e. people who understand and advocate for social protection, particularly among the new generation of government officials, technical staff of organizations implementing social protection measures, social partners, and civil society organizations.

The UN has a key role to play in the development of these training programmes. Tailor-made courses could be organized, e.g. with UN training centres such as the ILO's International Training Centre based in Turin, Italy, or in partnership with other actors, such as the annual two-week training course on social transfers organized by HelpAge in Chiang Mai, Thailand. Support to regional master course programmes can be provided by delivering lectures and financing fellowships for students from neighbouring countries, as in the case of the ILO's and WHO's partnership with the master course programme on health financing at Naresuan University, Thailand.

► **Sharing and disseminating knowledge** on national and international experiences can be done through global publications sharing countries' experiences, knowledge sharing conferences, south-south exchanges, or web portals such as the ILO's Social Protection Platform <http://www.social-protection.org/>, the South-South learning on social protection gateway <http://south-south.ipc-undp.org/>, or the social protection gateway: <http://www.socialprotection.org/>.

**Box 13** Knowledge sharing platforms on social protection



The Social Protection Platform is the International Labour Office's global knowledge sharing tool to extend social protection. The platform aims to facilitate the exchange of information and ideas, capture and document experiences, identify knowledge gaps, and facilitate the creation of knowledge through the promotion of innovation. To achieve this goal, the Social Protection Platform relies on the contributions of its users and the dialogue and exchanges between them. The platform, developed and run by the ILO Social Protection Department, provides an international interdisciplinary knowledge sharing environment and technical assistance services for the extension of social security.

The Social Protection Platform provides assistance, information, and collaborative tools to all those working towards universal social protection coverage. It fosters collaboration between all the actors involved in the extension of social security: policy-makers, international organizations, development banks, technical teams from ministries of employment, health, social protection, or finance, social partners, donors, as well as technical cooperation experts, social security fund managers, mutual health organization staff, cooperatives, NGOs and other civil society organizations, trainers, researchers, among others.

**Source:** ILO.

<http://www.social-protection.org/> [accessed 5 May 2014].

*(Continued on next page)*

**Box 13** (Continued)



The South-South Learning on Social Protection gateway is an online collaborative platform for policy dialogue and knowledge-sharing amongst social protection practitioners in the global South. It is an initiative of the International Policy Centre for Inclusive Growth to foster South-South collaboration, aiming to expand the knowledge base and capacities of developing countries to design and implement nationally-owned poverty reduction strategies, bridging the gaps between theory, policy, and practice with accessible and diverse social protection information, as well as providing a space where practitioners can share ideas, experiences, and resources. The website has been set up as a “virtual bookcase” where you can find a searchable database of social protection materials from across the world. The collection includes tools, case studies, policy papers, and research.

**Source:** UNDP.

<http://south-south.ipc-undp.org/> [accessed 5 May 2014].



The social protection gateway is hosted by UNDP. It is the result of collaboration between the UNDP, ILO, and the World Bank. It is designed to “dynamically draw content from partner sites (particularly for events, publications, and news)”. It also aims to facilitate knowledge-sharing on effective social protection approaches, including through capacity-building, and draws particularly on the experiences of middle-income countries for the benefit of low-income countries.

**Source:** UNDP.

<http://www.socialprotection.org/> [accessed 5 May 2014].

**Box 14** The social protection floor success stories



UN agencies and country teams in Thailand, Cambodia, India, and other parts of the world helped to create 18 case studies on social protection policies from countries of the global South. These case studies were compiled in a joint UNDP-ILO publication, *Sharing innovative experiences: Successful social protection floor experiences*. This publication is the first of its kind, collating examples of good SPF practices for the purpose of sharing knowledge among South-South countries. The expertise and experiences that these countries have gained through their own efforts of establishing an SPF represent a valuable source of information for other countries to plan, expand, extend, or reorient their own SPF systems.

Sources: UNDP; ILO.

<http://www.social-protection.org/gimi/gess/RessShowRessource.do?ressourceId=20840> [accessed 5 May 2014].

**Box 15** South-South exchange conference and Compendium on “Integrating Social Policies and the Delivery of SPFs”

A South-South exchange conference on “Integrating Social Policies and the Delivery of SPFs” took place in Cambodia in May 2013 and brought together policy-makers, practitioners, experts, and resource persons from different countries across the world, as well as the UN Resident Coordinator in Cambodia, several UN agencies, and development partners. The workshop took stock of the experiences of various participating countries in the development of coherent national social protection strategies. It also presented country cases where improved coordination had been achieved at the policy and implementation levels through the establishment of coordination boards, the development of integrated packages of services and transfers, the establishment of integrated delivery mechanisms for these services, and following a single window service approach.



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A reference group of experts from ASEAN countries (Cambodia, Indonesia, Lao People’s Democratic Republic, Malaysia, Thailand, and Viet Nam) and other countries in Asia and the Pacific (Australia, China, India, Republic of Korea, Mongolia, and Pakistan), as well as Latin America (Argentina, Brazil, Chile, and Colombia), Africa (South Africa and Zambia), and Europe (France) was established and shared their experiences during the workshop with 120 other participants.

*(Continued on next page)*

**Box 15** *(Continued)*

Experiences shared during the workshop included for instance:

- The Integrated Community Registration Outreach Programme (ICROP) in South Africa, which uses a network of mobile units or vehicles, equipped with modern information and communication technology, and mobile automated teller machines (ATMs).
- The Worker Facilitation Centres (WFCs) from Karnataka, India, which act as a bridge between the various government departments running social protection schemes and the unorganized economy workers by generating awareness, identifying eligible households and workers, maintaining a database of beneficiaries, and assisting with the registration and the claims processes.
- The Samajik Suvidha Sangam (SSS) in Delhi, India, which delivers programmes from 38 social welfare schemes through a one-stop service structure at the decentralized level.
- LabourNet in India, which offers a service package that includes skills assessment and training, job placement, assistance in creating micro-enterprises, access to health and accident insurance, and access to the banking sector, with the aim of empowering beneficiaries and enabling them to become self-resilient.
- Mongolia's 21 one-stop-shops (OSS) that provide, at the provincial level, access to social welfare, social insurance, civil registration, land administration and property right registration, legal entity registration, tax offices, and notary and bank services.
- Chile's Solidario, which relies on personalized case management systems where social workers keep track of vulnerable families and develops a personalized contract with them to ensure a long-term escape from poverty.
- Several examples of efficient and integrated management information systems (MIS) to assess vulnerabilities, register individuals and households, keep track of participation in existing services, and monitor achievements. Two of these systems included Brazil's Cadastro Único, an integrated MIS that covers 25.3 million families representing over 53 per cent of Brazil's population, and Colombia's Sistema de Identificación de Potenciales Beneficiarios de Programas Sociales (SISBEN), a unified system that assesses vulnerability levels of potential beneficiaries for all existing social welfare schemes.

Based on the case studies presented during the workshop, the ILO, in close collaboration with other UN agencies and relevant development partners, is now developing a Compendium on "Integrating Social Policies and Delivery of Social Protection Floors" (forthcoming in 2014).

**Sources:** ILO DWT – Bangkok; UN Office for South-South Cooperation.

Workshop information is available at:

<http://www.social-protection.org/gimi/gess/ShowProjectPage.do?pid=2207> [accessed 5 May 2014].

There is also a need to document countries' ongoing local or area-based experiences that could be scaled up to the national level. Some provinces of Indonesia, such as Bali, have established universal social health protection schemes. Their experiences could be documented as a source of information for the national level. In Thailand, UNFPA plans to document the "Older Persons Watch", a mechanism to protect the rights of older people and provide social support to them. The cases of community-based funding and local government initiatives for long-term care can also be documented with a view to develop national-level policies and to scale up these experiences at the national level.



## CHAPTER 3

### Supporting the progressive and coordinated implementation of social protection

Once countries have developed a long-term vision in the form of a social protection strategy or a development plan, the next step is to design a comprehensive social protection system in line with the SPF concept, guiding principles, and systems approach, and to effectively implement it. Challenges that may be faced by governments include the need to integrate new social protection policies into existing and broader developmental policies, possible compromises due to the political economy (e.g. on targeting approaches, resources allocated to non-contributory schemes, among others), limited administrative capacity, suboptimal delivery systems, insufficient financial resources, and institutional bottlenecks.

To help countries maximize what they can achieve and overcome their constraints, all UN agencies have a role to play.

Support to national governments can benefit from a collective or coordinated approach by UN agencies, for instance, through joint projects or programmes under the UNDAFs. Joint programming may help mobilize resources from donors and capitalize on the comparative advantages of different agencies.

Additionally, agencies can work directly with their national counterparts, but towards a shared vision of inclusive, progressive, and sustainable social protection. The exact nature of the latter will vary from country to country, depending on the relationships and niches occupied by the respective agencies in the countries.

Areas of work within the country, where there is a potential role for UN agencies to play, include ensuring policy coherence and harmonization, promoting a legal framework based on evidence and aligned with international labour standards, supporting affordability and feasibility assessments, ensuring effective coverage, adequacy of benefits, availability and quality of social services, strengthening developmental linkages, improving governance and delivery mechanisms, and strengthening management information systems, monitoring, and evaluation mechanisms.

*Potential entry points for UN agencies*

- ▶▶ Ensuring policy coherence and harmonization
- ▶▶ Promoting a legal framework based on evidence and aligned with international labour standards
- ▶▶ Supporting affordability and feasibility assessments
- ▶▶ Reaching out to all those in need of protection
- ▶▶ Providing adequate levels of benefits
- ▶▶ Ensuring supply-side improvements
- ▶▶ Strengthening developmental linkages
- ▶▶ Improving governance and delivery mechanisms
- ▶▶ Strengthening information systems, monitoring, and evaluation

## » Ensuring policy coherence and harmonization

**Implementing social protection policies and programmes cannot be done in isolation.** Given that social protection contributes to empowerment of people, development of human capital, increases in labour productivity, and pro-poor economic growth in the long run (see Chapter 1), social protection policies are an integral part of national development policies. They need to be consistent with fiscal policies (additional fiscal space is needed to finance social protection), employment policies (linkages between social protection and employment of the working age population need to be ensured or re-established), and the social contract and shared vision for society. Since the implementation of social protection policies usually involves several ministries and institutions, there is a need for the efforts to be coordinated in order to minimize duplication, promote operational efficiencies, and enhance effectiveness.

Historically, in most countries, social protection has developed in an ad hoc fashion, often through piecemeal measures in response to crises or to address specific vulnerabilities. Thus, what has emerged over the decades is an assortment of insular social protection policies and mechanisms, resulting in inefficiencies, coverage gaps, coverage overlaps, and imperfect resource allocation measures. The development of coherent social protection policies can help to identify and close such gaps and improve efficiency.

It is useful for UN agencies to work together with governments while developing and implementing national social protection strategies. This helps governments to select the ideas from different agencies that resonate with the national developmental goals and vision for society, and ensure that national policies are not primarily driven by external agendas. For example, Cambodia's National Social Protection Strategy for the Poor and Vulnerable, which was developed by the Council for Agricultural and Rural Development with representation from line ministries and development partners, reconciles the vision of the country with policy frameworks of various development partners.

Finally, while assessing the social protection situation and identifying policy gaps, a natural reaction is to advocate for a new benefit scheme. While doing so, UN agencies should ensure that this does not increase fragmentation in the country's social protection system.

The establishment of coordinating mechanisms is critical to ensure that coherence is sustained at the policy and implementation levels in the long term. It is difficult for a single line ministry (i.e. a ministry of health or social welfare) to achieve effective policy coordination, as their respective mandates do not embrace all dimensions of the SPF. Successful coordination mechanisms can be established, however, at a supra-ministerial level. In Thailand, the National Commission on Social Welfare Service Promotion is a platform for coordinating all social welfare policies, chaired by the Prime Minister. In Indonesia the National Social Security Council is responsible for coordinating the implementation of the new social security laws. In Cambodia a special Social Protection Coordination Unit was created under the Council for Agricultural and Rural Development. Likewise, UN agencies should aim to work with coordinating bodies – such as ministries of planning, vice-president's offices, prime minister's offices, and inter-ministerial task forces – in addition to their traditional ministerial counterparts.

## Box 16

## Harmonized technical assistance for social protection in the Philippines

A Technical Assistance for Social Protection (TA) facility has been created by the Department of Social Welfare and Development (DSWD) as a mechanism to screen, prioritize, coordinate, and monitor all planned technical assistance relating to DSWD's social protection reform agenda. As a member of the Steering Committee of this facility (which also includes the World Bank, ADB, and the Australian Department of Foreign Affairs and Trade (DFAT)), UNICEF provides strategic guidance in formulating the five-year strategic technical assistance framework and annual technical assistance plan, monitors the implementation of the TA activities, identifies the policy implications of key TA findings, and identifies thematic issues that will impact organizational reforms and change.

**Source:** UNICEF Philippines.

## Box 17

## Promoting the adoption of a Minimum Social Protection Package in the Maldives

In the Maldives, a seminar initiated by UNICEF and convened by the Ministry of Finance with support from the Vice-President's Office, provided an opportunity for all relevant line ministries and UN agencies – UNDP, WHO, UNICEF, UNFPA, and FAO – to jointly develop a working document called the *Minimum Social Protection Package*. The document lists all the services that need to remain in the public domain, namely education and health, social transfers, transport and inter-island connectivity, and food price subsidies. The Maldives' Cabinet subsequently adopted the document.

**Source:** G. Köhler: *The challenges of delivering as one: Overcoming fragmentation and moving towards policy coherence* (Geneva, ILO, ILO Working Paper, Policy Integration Department, 2011).

### ► Promoting a legal framework based on evidence and aligned with international labour standards

Obligations and entitlements to social protection benefits should be specified in a precise manner, so as to clearly delineate the rights and duties of residents and contributors. To ensure the predictability and sustainability of social protection provisions, laws and regulations should be designed and enforced to support all social protection schemes and services. ILO Conventions and Recommendations contain useful guidelines for the drafting of social security and social protection laws.<sup>8</sup>

It has been seen in many countries that social protection benefits have been provided for several years without having a legal basis. Thailand's Universal Coverage Scheme had health volunteers play a key role by ensuring that health-care benefits and services were provided to the beneficiaries. Their work stemmed from a long-standing tradition of mutual help, but has no legal basis. In other instances, a legal basis is in place, but with focus on the "how" rather than the "what". For example, regulations for Thailand's minimum pension scheme specify the disbursement process and eligibility criteria, but do not provide for indexation of the benefit levels on inflation.

<sup>8</sup> For more information, please visit the page "The Right to Social Security": [www.social-protection.org/gimi/gess/ShowTheme.do?tid=2566#00](http://www.social-protection.org/gimi/gess/ShowTheme.do?tid=2566#00) [accessed 5 May 2014].

Other countries have pushed for the development of social security legislation that appears to contradict current implementation frameworks, making them very difficult to implement. This is maybe one of the reasons why it took ten years to implement Indonesia’s Law No. 40 on the National Social Security System (enacted in 2004), which aimed to ensure a more coherent social security system. Indeed, the Law entailed certain organizational and financing principles that required a profound change of the statutes of existing social security institutions.

The development of laws should not precede pilot testing or evidence collection where social protection mechanisms are tested and documented, but rather accompany it. The evidence may serve as useful guidance while drafting social protection laws and regulations, as well as ensure that the legal documents are in accordance with the national context, allowing for them to actually be implemented and enforced.

**Box 18**

**Rashtriya Swasthya Bima Yojana in India is based on pre-existing schemes**

India has introduced various demand-side financing mechanisms to provide financial security for vulnerable segments of society. However, most of these schemes have had problems due to poor policy design, lack of clear accountability at the State level, lack of sustained efforts in implementation, weak monitoring and evaluation, unclear roles and responsibilities of different stakeholders, and poor awareness among beneficiaries. The national Government felt that there was a need for a national-level health insurance scheme that would provide financial security to the vulnerable segments of society.

By capitalizing on the experiences of other major government and non-government health insurance schemes in India, the national Government decided to launch a health insurance scheme that later came to be known as Rashtriya Swasthya Bima Yojana (RSBY). RSBY was launched on 1 April 2008 by the Ministry of Labour and Employment. Initially targeted at the most vulnerable groups, RSBY has since been progressively extended to building and construction workers registered with welfare boards, street vendors, beedi<sup>9</sup> workers, National Rural Employment Guarantee Scheme (NREGS) beneficiaries, domestic workers, among others. Several organizations, including the World Bank, GIZ, and the ILO, contributed to the design of the RSBY.

**Source:** [www.rsby.gov.in](http://www.rsby.gov.in) [accessed 5 May 2014].

**Box 19**

**The new social security law in China is based on ten years of pilot testing experience**

Preliminary pilots and schemes have shaped the Social Insurance Law, a law drafted in cooperation with the ILO, the International Social Security Association (ISSA), and the World Bank, and enacted by the People’s Republic of China in 2011. The new Voluntary Rural Pension Scheme, introduced in line with the UN SPF Initiative, exemplifies this gradual development of social security schemes.

In 2009, the Government launched pilots of a government-financed basic pension and an individual account pension scheme, responding to the stagnated membership of the contributory pension scheme piloted in 1986 and implemented in 1991. Apart from testing the non-contributory part of the new scheme, the pilots gave insights into the consequences of introducing state-funded operational costs rather than the former system where counties charged administration fees. The pilot was carried out in 838 counties in 2010 and enabled the impressive growth of coverage from a mere 56 million people in 2008 to 326 million people in 2011.

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<sup>9</sup> Beedis are traditional cigarettes.

**Box 19** (Continued)

The new Social Insurance Law aims at improving the portability of benefits (pensions and health) across China, establishing a national identification card system, covering foreign workers, and establishing a national fund for basic pensions and provincial funds for other benefits. The scope of social security coverage has expanded from urban to rural areas, state-owned enterprises to all types of establishments, and from salaried workers to the non-employed and people engaged in flexible types of employment. The success of China's social security extension relies on: (1) subsidies (central and local governments); (2) unified social security cards; (3) piloting before enactment of the Social Insurance Law; (4) reduced fragmentation; and (5) efforts to increase portability of benefits (e.g. between rural and urban pension systems).

**Sources:**

ILO Decent Work Country Programme – The People's Republic of China 2013-2015.

<http://www.ilo.org/public/english/bureau/program/dwcp/download/china.pdf> [accessed 5 May 2014].

Social Protection Floor Initiative: SPF Country Brief China (ILO, Geneva, 2010), [http://www.ilo.org/secsoc/information-resources/publications-and-tools/Brochures/WCMS\\_SECSOC\\_17336/lang—en/index.htm](http://www.ilo.org/secsoc/information-resources/publications-and-tools/Brochures/WCMS_SECSOC_17336/lang—en/index.htm) [accessed 5 May 2014].

ISSA: *Social security coverage extension in the BRICS: a comparative study on the extension of coverage in Brazil, the Russian Federation, India, China and South Africa* (International Social Security Association, Geneva, 2013), <http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=36249> [accessed 5 May 2014].

Compilation Group of the People's Republic of China National Report on Sustainable Development: *The People's Republic of China National Report on Sustainable Development* (Beijing, China Environmental Science Press, 2012), <http://dqs.ndrc.gov.cn/zttpl/hgkcxdh/zgjz/201206/P020120618324807039706.pdf> [accessed 5 May 2014].

► **Supporting affordability and feasibility assessments**

While government spending on social protection is currently quite low among countries in the region, they may be hesitant to enhance social protection citing its unaffordability. For several countries, especially those with a large proportion of poor people, lack of fiscal space is a real concern, particularly if they are to implement full-fledged SPFs. Herein lies a key role for UN agencies: to convince governments that some aspects of a social protection floor may be immediately feasible while others can be gradually adopted. It is also important to recall the long-term vision on social protection in a country and that in due time their investment in human capital reaps dividends in the form of higher economic growth.

As a collective, UN agencies can promote the idea of affordability and generate political will to address specific needs in a country. In countries where fiscal constraints and inequalities are severe, careful planning is required to prioritize benefits for poor and disadvantaged people. UN agencies can also work with government counterparts on cost estimation and return-on-investment models to assess the financial implications of implementing social protection measures. There are several cost estimation tools that can assess the cost of implementing social protection and the impact on poverty reduction, including the SPF cost estimation tool known as the Rapid Assessment Protocol, developed jointly by the ILO and UNICEF.

Cost assessment exercises should ideally be complemented by public expenditure reviews and fiscal space analyses, which may involve tax reforms and other fiscal policy measures. While UN agencies can conduct the cost assessment exercises using the Rapid Assessment Protocol, they will need to work with the World Bank and IMF on fiscal space analyses and recommendations on increasing fiscal space. National ministries, including finance and planning, and national research institutes – such as the Thailand Development Research Institute (TDRI) which develops long-term macroeconomic projections for Thailand – also need to be involved.

Box 20

Assessing the feasibility of a cash transfer in Viet Nam

In line with the national priority to reform the social protection sector, the Government of Viet Nam aims to extend social assistance to the poor and vulnerable, including children. To support the Government in this work, UNICEF Viet Nam, in collaboration with the Economic Policy Research Institute and the World Bank, has engaged in the cost assessment of a cash transfer to households with children. The analysis considers various policy options (different target groups, various benefit levels, among others) and estimates the cost and impact under each scenario. The exercise has given the opportunity to engage with the Government on important issues related to social protection, such as long-term versus short-term considerations, actual versus perceived fiscal space, phasing out of existing transfers, and harmonizing new and existing schemes into an integrated social protection system. This illustrates that extending support to governments on social protection cost assessments can be useful in promoting universal and integrated social protection measures.

Additionally, the UN's inclusion of early childhood development at the centre of social assistance reform gained traction in 2013 as part of the overall reform of Viet Nam's social protection system. Crucially, children aged up to 3 years old and pregnant mothers have slipped through the safety net due to overlapping poverty responses, prompting the UN to collaborate with the World Bank in 2013 to support the Government to deliver the newly designed "Strengthening Viet Nam's Social Assistance System" project for 2014–18.

This President-approved project is seen as highly significant by the UN, as it reconfirms the Government's commitment to social assistance reform. Through the lens of early childhood development, it is a big breakthrough in bringing education, health and nutritional needs of children into sharper focus with a comprehensive support package.

**Source:** UNICEF Viet Nam.

Box 21

Cost assessment and feasibility studies in Sri Lanka

Sri Lanka has ratified the ILO Maternity Protection Convention, 1952 (No. 103). A study is being conducted to assess the feasibility of establishing a maternity protection insurance scheme covering female workers and addressing matters where the national legislation falls short of the provisions of Convention No. 103.

In addition, as part of a rapid assessment, a study is being conducted that provides an overview of existing social security provisions, coverage gaps, and overall coherence of the system. The Social Protection Floor guarantees are used as a benchmark to describe and assess the social security situation in the country and identify existing policy gaps and implementation issues.

A detailed study on the feasibility of setting up an employment injury insurance (EII) scheme was also conducted to estimate financial requirements, explore coordination with other social security schemes, and design recommendations for a benefit package. The study recommends that Sri Lanka substantially reform its employee injury compensation legislation so as to ensure compliance with ILO standards. This would involve increases in the value of compensation and the introduction of periodic payments for permanent disability and death. Improving current levels of coverage should be regarded as being fully consistent with the national goals of expanding industrialization and increasing exports. The study recommends in particular that the Employees' Trust Fund should be expanded to provide employment injury coverage since this solution would have the

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**Box 21** *(Continued)*

merit of requiring the least changes in current institutional structures, while being the simplest and least costly to introduce. A Thematic Committee of Social Protection under the Master Plan of the National Human Resource and Employment Policy has been established by the Government to carry forward the recommendations on social protection.

Sri Lanka has an ageing demographic structure which is increasing over time. While social protection benefits are important to support the ageing population, some thought is being accorded to the involvement of elderly people in the development process of the country. In this context, it is important to note that the old-age dependency ratio was 9.4 per cent in 1946, increased to 21 per cent in 2011, and is projected to increase to 29 per cent in 2031, implying that every three working people will have to look after one elderly person. Developed countries have taken measures such as increasing the retirement age and engaging the elderly in productive work activities. Innovative measures are required in Sri Lanka as well to manage social protection and socio-economic development with the engagement of elderly people.

**Source:** ILO Country Office for Sri Lanka and the Maldives.

**Box 22**

**Costing, rate-of-return, and fiscal space studies in Cambodia**

In addition to providing inputs to Cambodia's National Social Protection Strategy for the Poor and Vulnerable document, development partners contributed to make a case for additional investments in social protection through the development of the following studies and models:

- A Social Protection Expenditure and Performance Review (SPER) provided a comprehensive overview of Cambodia's social protection system, including an assessment of the country's demographic, economic, and labour market context, and of the main social protection schemes in terms of coverage, expenditures, and benefit levels. The SPER served as a basis to discuss policy issues for consideration by national policy-makers.
- A financial assessment of the National Social Protection Strategy for the Poor and Vulnerable provided for 12 policy options and cost estimates over the 2012–20 period in United States dollars, Khmer riels, and percentage of gross domestic product (GDP). For some of the policy options proposed, the costing included targeted and universal scenarios. Based on these individual policy proposals, the cost of a complete SPF package for Cambodia was projected to cost between 0.4 per cent (low combined benefit package) and 2.4 per cent (high combined benefit package) of GDP by 2020. While performing the cost estimation exercise in Cambodia, the main assumptions included a high GDP growth rate and a rapid decline in the poverty headcount.
- Rate of return estimates for social protection instruments were also produced. They provided empirical evidence that social protection investments contribute to immediate poverty and inequality reductions. In addition, a positive rate of return would be achieved after 12 years, and a rate of return of between 12 and 15 per cent would be reached after 20 years. The study also shows that the effects, benefits, and returns of social protection can be higher if it is implemented together with complementary policies, such as investing in the quality and availability of health care and education, in enhancing sanitation conditions and infrastructure, in fostering economic productivity and the formal labour market, and in promoting industrialization, innovation, and technical change.

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**Box 22** (Continued)

- An analysis of the fiscal space for social protection in Cambodia, which looks into options that could create fiscal space for financing the implementation of the programmes mentioned in the NSPS-PV, calls for increased budget spending on social protection. It argues that an SPF package would only cost 0.8 per cent of GDP by 2020, but would reap immense economic and social benefits. The study also explores various complementary ways to create additional fiscal space for social protection in Cambodia: increase revenue collection (due to high GDP growth), generate additional tax and customs revenues from the successful implementation of the Revenue Mobilization Strategy, effectively implement public finance management reform to improve revenue collection and budget spending accountability and credibility, improve administrative efficiency, and channel donor funding to specific pilot programmes.

**Sources:** CARD; Supreme National Economic Council (SNEC), Cambodia; ILO; UNICEF; Overseas Development Institute (ODI).

Cambodia's National Social Protection Strategy for the Poor and Vulnerable is available at: <http://www.socialprotection.gov.kh/documents/publication/nsps%20book%20en.pdf> [accessed 5 May 2014].

J-C. Hennicot, W. Scholz: *Cambodia. Social protection expenditure and performance review* (Geneva, ILO, 2012), <http://www.social-protection.org/gimi/gess/RessShowRessource.do?ressourceId=34870> [accessed 5 May 2014].

J-C. Hennicot: *Cambodia: Financial assessment of the National Social Protection Strategy for the Poor and Vulnerable* (Geneva, ILO, 2012), <http://www.social-protection.org/gimi/gess/RessShowRessource.do?ressourceId=347> [accessed 5 May 2014].

A. Mideros Mora, F. Gassmann, and P. Mohnen: *Estimation of rates of return of social protection instruments in Cambodia: A case for non-contributory social transfers* (Maastricht, UNU-MERIT, Working Paper Series 2013-063, 2013), <http://www.merit.unu.edu/publications/wppdf/2013/wp2013-063.pdf> [accessed 5 May 2014].

*The analysis of fiscal space for social protection for Cambodia – Vision 2030* (SNEC, ODI, 2014).

**Box 23**

**Additional cost and affordability of establishing SPFs in Cambodia, Indonesia, Thailand, and Viet Nam**

Cambodia, Indonesia, Thailand, and Viet Nam already dedicate between 1.8 per cent (case of Cambodia) and 6.3 per cent (case of Viet Nam) of their GDP on public social protection expenditures. A major part is allocated to health care, ranging between 40 and 70 per cent of total social protection public expenditures. Thailand and Viet Nam – which both have old-age pension schemes for formal sector workers – respectively spend 37 per cent and 49 per cent of total social protection public expenditures on income security for older persons, whereas public spending on income security for the elderly is much lower in Indonesia and nearly nil in Cambodia. Indonesia is already investing a significant share of its public social protection expenditures on children (23 per cent), while this SPF guarantee is underdeveloped in other countries. Finally, social protection for the working age population is relatively underdeveloped in all countries.

Based on these different social protection situations, the cost and affordability of implementing additional SPF policies and schemes was estimated using a tool called the Rapid Assessment Protocol.

In the four countries, individual policy proposals, as well as low and high combined benefit packages, were proposed to complete the SPF. Their costs were calculated, projected, and expressed as a percentage of GDP. Based on these combinations, it was estimated that completing the SPF would cost:

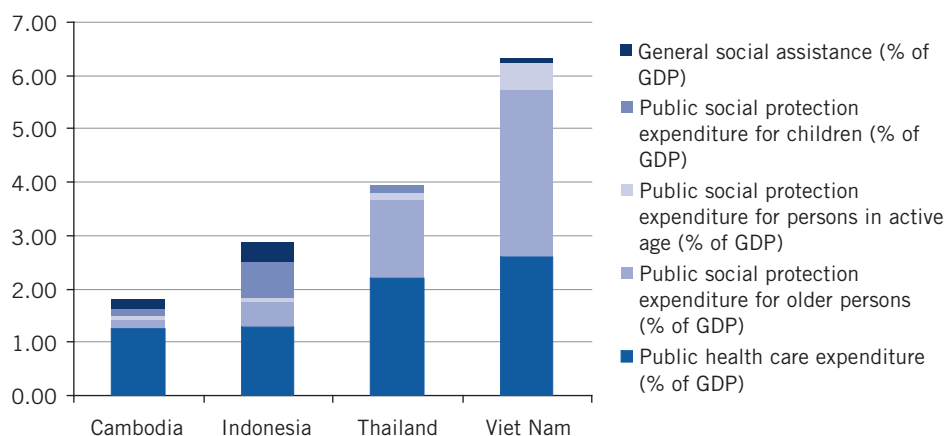
*(Continued on next page)*



**Box 23 (Continued)**

- between 0.4 and 2.4 per cent of GDP by 2020 in Cambodia;
- between 0.74 and 2.45 per cent of GDP by 2020 in Indonesia;
- between 0.50 and 1.21 per cent of GDP by 2020 in Thailand; and
- between 1.98 and 6.06 per cent of GDP by 2020 in Viet Nam.

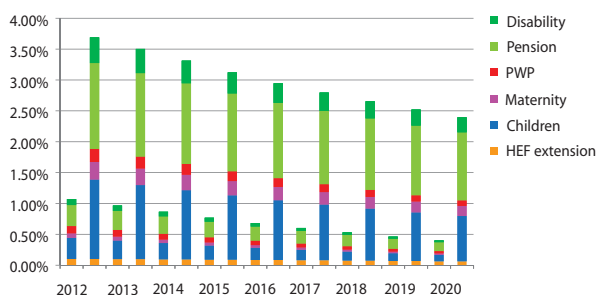
**Figure 5. Public social protection expenditure by SPF guarantee, latest available year (percentage of GDP)**



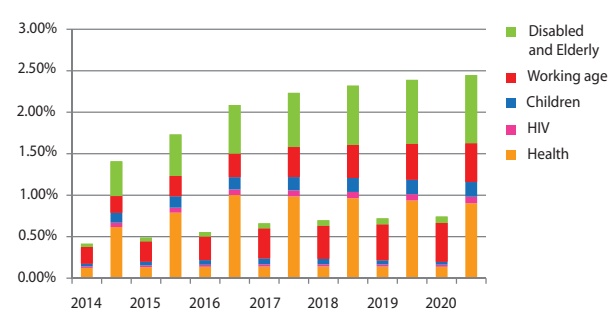
Source: ILO Social Protection Department database (updated in April 2013).

The following figures indicate the low and high combined benefit package cost estimates as a percentage of GDP in the four countries.

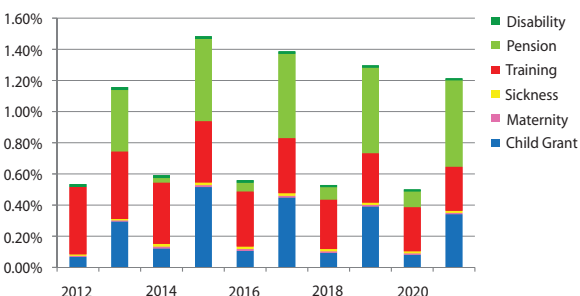
**Figure 6. Cost of low and high combined benefits in Cambodia (percentage of GDP)**



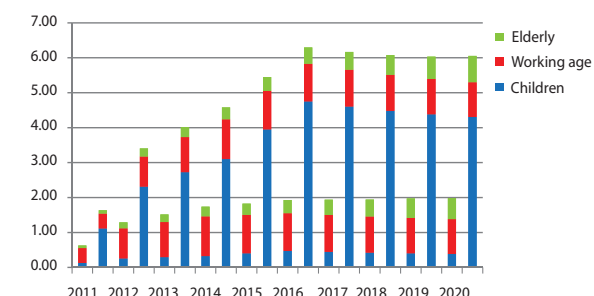
**Figure 7. Cost of low and high combined benefits in Indonesia (percentage of GDP)**



**Figure 8. Cost of low and high combined benefits in Thailand (percentage of GDP)**



**Figure 9. Cost of low and high combined benefits in Viet Nam (percentage of GDP)**



(Continued on next page)

**Box 23** (Continued)

Additionally, some preliminary analysis on the affordability of the proposed recommendations and a fiscal space analysis were carried out for the respective countries. Affordability is assessed by calculating the cost of the new social protection schemes and comparing this cost with GDP. If the estimated cost of implementing a proposed social protection scenario is low – 1 per cent of GDP for instance – it may be argued that the country in question can afford to extend the additional social protection benefits. Depending on policy choices and the social model of the country, these additional expenditures may be fully financed through social contributions (made by workers and employers) or fully or partially financed from government budget. In such cases, it is important to assess whether the government can afford these additional expenditures, i.e. whether there is sufficient fiscal space. One of the recommendations included in the assessment report for Viet Nam, for example, is to gradually increase personal income tax to about 1.3 per cent of GDP and increase value added tax (VAT) by about 1 percentage point, which might be sufficient to generate the 2.3 per cent of GDP estimated to be required for closing the SPF financing gap, while keeping the overall government deficit at a projected level of 3 per cent of GDP.

**Sources:**

J-C. Hennicot: Cambodia: *Financial assessment of the National Social Protection Strategy for the Poor and Vulnerable* (Geneva, ILO, 2012), <http://www.social-protection.org/gimi/gess/RessShowRessource.do?ressourceId=347> [accessed 5 May 2014].

S. Satriana and V. Schmitt: *Social protection assessment based national dialogue: Towards a nationally defined social protection floor in Indonesia* (Jakarta, ILO, 2012), <http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=35128> [accessed 5 May 2014].

V. Schmitt, T. Sakunphanit, and O. Prasitsiriphol: *Social protection assessment based national dialogue: Towards a nationally defined social protection floor in Thailand* (Bangkok, ILO, 2013), <http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=38377> [accessed 5 May 2014].

M. Cichon, et al.: *Analysis of the Viet Nam National Social Protection Strategy (2011–2020) in the context of social protection floors objectives: A rapid assessment* (Geneva, ILO Social Security Department, Extension of Social Security (ESS) Paper No. 32, 2012), <http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=30497> [accessed 5 May 2014].

V. Schmitt and R. Chadwick: “Social Protection Assessment-Based National Dialogue Exercises”, in *International Social Security Review*, Vol. 67, 1/2014, <http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=44477> [accessed 5 May 2014].

►► **Reaching out to all those in need of protection**

Given the current state of social protection, the task at hand for policy-makers is to ensure that these measures reach all the people who need to be ‘protected’. UN agencies can support national governments in ensuring that all parts of the population are included in social protection measures and in assisting governments to design a realistic and progressive plan to extend social protection to all.

However, many of the existing social protection programmes in Asia and the Pacific countries are underpinned by the idea that only poor households should be exempted from paying contributions and that other groups of the population (which inevitably includes vulnerable groups and informal sector workers) should contribute at least in proportion to their capacity to pay. As a consequence, significant numbers of informal sector workers are excluded from most or all protection schemes. They are not poor enough to receive social assistance or welfare benefits, but are not legally covered by social insurance, or, if eligible, not willing to contribute to social security schemes with benefit packages that do not meet their needs, payment schedules that are incompatible with their (often irregular) income flows, and contribution levels they perceive as too high.

Targeting is often necessary, particularly when financial resources are not available to implement universal benefits at the onset. It may also be in accordance with the vision for society that the most vulnerable people or certain age groups need to be protected first. To implement targeted social transfers, sophisticated and costly vulnerability assessment tools and poverty databases must be established. There are at least three ways in which UN agencies can help.

- For social transfers with categorical targeting, such as pensions for the elderly and cash grants for households with children, relevant UN agencies can work with the government to determine the optimum eligibility criteria – age for instance – after considering all pros and cons. For example, children under 2 years of age are usually given the highest priority in child-focused social protection since the 0–2 years of age group is most vulnerable to deprivation that can leave a permanent and damaging impact on individual development. Agencies can also work with the government to progressively widen the eligibility criteria, such as lowering the eligibility age for social pensions.
- For social protection measures targeted at the poor, especially those based on proxy means testing, UN agencies could present alternative targeting means. Proxy means testing measures tend to be extremely exclusionary, especially concerning the poorest. Alternative means include targeting poor areas rather than poor households and considering multi-dimensional aspects of poverty rather than household income alone. Poverty targeting is an area where a coordinated, unified, and rights-based approach by UN country teams could counter the pressure to engage in proxy means testing. Errors of inclusion and exclusion may exist and would need to be addressed to ensure that social protection benefits and coverage meet the needs of the disadvantaged.
- For targeted beneficiaries who are difficult to reach, such as the poorest and most vulnerable and people in remote areas, outreach programmes, awareness-generation campaigns, case management approaches, and the use of community channels can be particularly useful.

Box 24

World Food Programme and the Royal Government of Cambodia working together to strengthen social protection for the poor and vulnerable

In support of the Royal Government of Cambodia’s efforts to tackle food security challenges and strengthen social protection, WFP has played a key role within the UN to assist the Government in the development and implementation of the National Social Protection Strategy for the Poor and Vulnerable.

Through a portfolio of social protection-oriented programmes and its longstanding experience in delivering in-kind and cash transfers in areas such as education, nutrition, productive assets, and livelihood support to 1 million Cambodians every year, WFP is engaging with the Government on all three fronts of the implementation approach suggested by the NSPS-PV:

- **Scaling up existing programmes:** Two such programmes include: 1) the primary scholarship programme implemented in partnership with the Ministry of Education, Youth and Sports; and 2) provision of food or cash scholarships to increasing numbers of primary students from poor and food-insecure families (scaled up from 20,000 to 70,000 to 100,000 children in three consecutive school years).
- **Piloting new interventions to address gaps:** These measures include the Productive Assets and Livelihoods Support pilot done in partnership with the Government and subnational administrations. It is a strengthened version of an employment generation food-for-asset programme (cash-based) with a stronger social protection focus, in line with the new decentralized government structure.
- **Harmonizing and integrating existing and new interventions:** Through specific efforts and an “Integrated Social Protection Pilot” with the Council for Agricultural and Rural Development, WFP aims to better harmonize its programmes with the nascent social protection system, internally and externally.

*(Continued on next page)*

**Box 24** (Continued)

WFP is working closely with other UN agencies and development partners and is directly supporting the Government's cross-cutting social protection agenda:

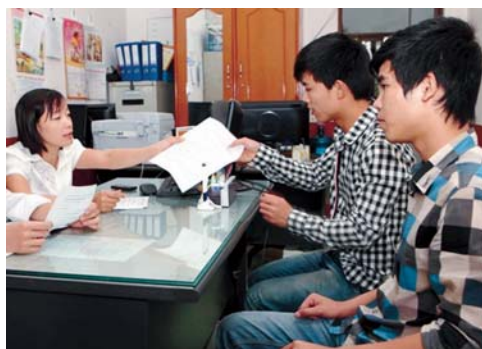
- at the programme and beneficiary levels by strengthening non-contributory social assistance for the poor and vulnerable (maximizing impacts and synergies; mutually reinforcing benefits); and
- at the systems level by contributing to the development of a national social protection system (providing opportunities for harmonization and integration, developing national and subnational capacities, and building systems).

Source: WFP Cambodia.

**Box 25**

**Lowering the eligibility age for social pensions and professionalising social work in Viet Nam**

In Viet Nam, there is social assistance for people above the age of 80 who do not receive a pension and a targeted support for poor elderly people between 60 and 80 who live alone or have no spouse or relative to rely upon. In 2012, the programme covered 1,314,839 pensioners over 80 years of age and 96,635 beneficiaries between the ages of 60 and 80. The non-contributory pensions are financed by the regular social assistance budget under Decrees No. 67 and 13/2010, representing less than 0.2 per cent of GDP in 2010, with the majority of resources being allocated to targeted assistance for the elderly. During the assessment based national dialogue exercise conducted in 2011, the ILO recommended lowering the eligibility age for social pensions to 65 and increasing the level of benefits at least up to the poverty line. In addition to that, the active advocacy work of UNFPA on stronger policies and national programmes for the elderly resulted in the approval of the National Programme of Action on Older Persons in December 2012, which included commitments for increased care for older persons and their integration into the socio-economic development plans at all levels.



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Trained social workers are vital to implementing a case management approach to social protection. In 2010, UNICEF, Viet Nam's Ministry of Labour, Invalids and Social Affairs (MOLISA), and the Atlantic Philanthropies organization started a ten-year long programme to design a legal framework for the development of social work, increase the knowledge and skills of professional social workers, develop social services, and increase public awareness about social work as a profession. The programme aims to train 35,000 social workers and 25,000 Government staff members.

Sources: ILO, UNFPA and UNICEF Viet Nam.

►► **Providing adequate levels of benefits**

Lack of resources and/or insufficient financing resulting in poor availability and quality of public social services and low levels of social protection benefits are significant challenges to achieving social protection for all in Asia and the Pacific. In Cambodia, for example, the monthly survivors' pension for veterans does not even cover the cost of two meals.

Ensuring adequacy of social protection benefits in a national context could be done by setting a benchmark for the benefit levels. The benchmark may be taken as the national poverty line for tax-financed universal schemes and relative benchmarks as laid out in the ILO’s social security Conventions. For example, Convention No. 102 defines a minimum pension replacement rate of 40 per cent of “the total previous earnings” after completing 30 years of contributions or employment, or 20 years of residence.

The entire population should have effective access to essential health care. An example of a minimum benchmark for an essential health-care package could be taken from the MDGs on maternal and child health care. Once the essential health-care package has been made available to the entire population, this package should be progressively enhanced through additional budget allocations for health-care infrastructures and health financing mechanisms (such as equity funds, vouchers, and subsidized health insurance schemes).

UN agencies can play a key role in advising on the adequacy of benefit levels, setting benchmarks, and supporting the design and delivery of essential health-care packages that can be guaranteed to the whole population.

**Box 26**

**Promoting a Maternal, Neonatal and Child Health (MNCH) package in Lao People’s Democratic Republic**

The strategy and planning framework for the integrated package of MNCH services, 2009–15, was prepared by a technical working group of the Ministry of Health with support from the Asian Development Bank (ADB), the Belgian Technical Cooperation, Japan International Cooperation Agency, Lux-Development, UNFPA, UNICEF, the World Bank, the WHO, among others.

The strategy provides for essential evidence-based interventions for antenatal and postnatal care during childbirth and childhood. The programme needs to be scaled up to save lives and improve maternal, neonatal, and child health, as well as nutritional intake.

The MNCH integrated package includes about 40 services and interventions to be provided at different levels of the health-care provider network, including at the community level, outreach services, health centres, district hospitals, and provincial and central hospitals. It can serve as a tool to monitor that the interventions are effectively delivered, prioritize resource allocation, and design health insurance benefit packages and training programmes for health-care staff.

**Figure 10. Structure of the MNCH integrated package in Lao People’s Democratic Republic**

○: Essential services      Δ: Optional services

	Services	Community resources	Outreach services	Health centres	District hospital		Central and provincial hospital
					B	A	
Non-pregnancy reproductive health care	Health information and counselling	○	○	○	○	○	○
	Weekly iron and folate supplement	○	Δ	Δ	Δ	Δ	Δ
	...						
Pregnancy care (...)	Monitoring progress of pregnancy and assessment of maternal and foetal well being		Δ	○	○	○	○
	...						
Intra-partum care	First level intra-partum care (...)			○	○	○	○
	First level plus vacuum extraction, manual removal of placenta (...)				○	○	○
	...						
...	...	...	...	...			...

Source: WHO Lao People’s Democratic Republic.

## » Ensuring supply-side improvements

The availability of health and education services, and their capacity to respond to the increased demand created by health insurance, scholarships, and other programmes, is key to providing effective social protection. The same applies to vocational training services and post-training support, including job placement services, particularly in an unfavourable macroeconomic climate. A further challenge is to ensure the quality of services and their responsiveness to the needs of the poor. For example, in the education sector, it must be ensured that increased school enrolment and attendance are not accompanied by greater dropout and failure rates.

UN agencies can assist governments in sharing lessons learned from the use of conditions as a part of social protection schemes and their applicability. Where and if conditions are to be a part of the design and implementation of schemes, UN agencies can help in advocating that the conditions to be fulfilled for availing benefits are not punitive and take steps to ensure that the poor are able to meet them. UN agencies can also assist governments in addressing supply-side constraints that might prevent people from fulfilling the conditions, such as the absence of clinics or schools in the vicinity.

### Box 27

#### Ensuring attention to supply-side aspects of social protection in the Philippines

The conditional cash transfer programme, Pantawid Pamilyang Pilipino Programme (4Ps) in the Philippines, provides cash grants to the poorest families (almost 2 million beneficiaries in 2011) in the poorest communities, provided they perform certain co-responsibilities in health and education. In order to support the Government in ensuring maximum development impact, UNICEF Philippines has engaged in supply-side assessments. In three cities and seven provinces, existing health and education facilities and services were inventoried and matched with the expected increase in demand from complying with the 4Ps conditions. The identified supply gaps will be presented to the 4Ps Programme Management Office, national line agencies of health and education, and Local Chief Executives for proper attention and support.

UNICEF Philippines has supported the redesign and improvement of the Family Development Session modules. Parent beneficiaries are required to attend bimonthly sessions in order to learn life skills, good parenting, and livelihood opportunities.

**Source:** UNICEF Philippines.

## » Strengthening developmental linkages

A large number of countries are moving from a “safety net” to a “social inclusion” framework and establishing integrated approaches where income security measures are linked with social and employment services such as health, education, training, self-employment, and job counselling. This is expected to help families slowly graduate out of poverty. UN agencies, depending on their mandates and areas of expertise, can support governments in strengthening such developmental linkages.

Integrated approaches, such as access to health care, nutrition, and education for mothers and children, are a valuable mechanism to enhance the capabilities of poor people and help them ultimately move out of poverty. Ensuring that children can access education is important and beneficial, as it helps reduce child labour, which is not only a violation of children’s rights, but also traps them in low-skilled, low-paid jobs when they become adults.

For the working age group, combined packages would include a mix of social protection and measures to increase employability and facilitate return to work. In Malaysia, for instance, the Return to Work (RTW) programme allies compensation for the loss of income in the case of employment injury and access to adapted health care, social care, and rehabilitation. Thailand and Viet Nam have implemented unemployment insurance schemes and look to improve the schemes through better linkages with employment policies and skills development services. In the case of the National Rural Employment Guarantee Scheme, a public works programme (PWP) in India, workers enrolled under NREGS are systematically registered under the subsidized health insurance scheme, RSBY, after 15 days of employment. Access to economic opportunities and jobs in a country is promoted both directly (e.g. providing employment opportunities such as public works programmes) and indirectly (e.g. providing measures to improve employability, support entrepreneurship, and facilitate access to the labour market).

Linking social protection and employment can also be achieved through the design and implementation of sectorial approaches combining access to social and employment services. This is the case for Thailand and Viet Nam in their development of long-term care systems. Such systems will be at the crossroads of health care, social care, and skills development and will contribute to the creation of a new sector in the economy, generating employment opportunities.

Box 28

Conditional cash transfers (CCTs) as a means to reduce stunting in Indonesia

The Government of Indonesia has implemented various social protection schemes over the years, including one of the world's largest CCT programmes, known as Programme Keluarga Harapan (PKH) or Family Hope Programme. The Government, with support from UNICEF, is piloting a measure to enhance the ongoing CCT with a focus on reducing stunting in childhood. This pilot aims to improve the supply of health and nutrition services and strengthen the interface between the supply-side and the demand-side. Three clusters of interventions will be implemented:

- **Coordination:** The PKH pilot aims to accelerate efforts to improve health and nutrition, especially among children. Reduction of stunting is to be advocated as a development priority and a joint responsibility of Health, Social Affairs, Community Empowerment, Planning, and other government agencies. The pilot will aim to establish targets on stunting in the five-year development plans and other relevant strategy documents of the district government. In order to address challenges in implementation, existing multi-sector mechanisms at district, sub-district, and community levels will be revitalized to facilitate coordination, joint monitoring, analysis, and action by government agencies and civil society organizations.
- **Capacity building:** The pilot will train PKH facilitators at the community level, so that they can advocate for higher utilization of services, promote key messages, and facilitate community actions to address health and nutrition issues in their areas. Health workers, including midwives and nutritionists, will be trained in counselling, particularly on maternal nutrition and infant feeding. This is expected to promote individual counselling and improve the quality of antenatal and growth-monitoring services.
- **Communications:** The pilot will develop an overarching communications strategy on nutrition and the role of PKH in reducing stunting. The strategy will include advocacy to decision-makers, programme managers, and service providers, as well as behaviour change activities targeted at communities. This will allow messages related to stunting and requirements to overcome stunting to be consistently disseminated and absorbed by communities.

Source: UNICEF Indonesia.

## » Improving governance and delivery mechanisms

Inadequate governance often results in poor social protection outcomes despite careful design of schemes. According to the ILO, governance is defined as the “sum of all consultative and decision-making processes, institutional arrangements, managerial and administrative actions by which social protection policies are designed, agreed upon, implemented and supervised”.<sup>10</sup> Governance should meet certain requirements of transparency, predictability, and accountability. Poor governance may lead to inefficiencies in resource allocation and operations, such as long delays in processing claims, excessive administrative costs, poor responsiveness to complaints, and leakages. These inefficiencies not only lead to a misallocation or wastage of benefits away from the intended beneficiaries, but can also have a damaging impact on the reputation of social protection programmes, thereby eroding political support for them.

Achieving transparency and good governance requires well-trained managers and governors, as well as sound management tools and procedures. The development of key performance indicators can help track these inefficiencies. The ILO is developing a standard set of indicators that can be used in its technical advisory services. Many good governance principles are included in the ILO’s social security Conventions and Recommendations, for example, the Income Security Recommendation, 1944 (No. 67). These instruments contain several provisions securing the rights of persons covered, including the right to appeal and to non-discriminatory treatment, their participation in decision-making, and provisions on accountability, as well as sound and just financing.

Another way in which UN agencies can improve governance and accountability of social protection programmes is by increasing representation of the persons of concern (workers, employers, beneficiaries of social protection programmes) in the design, operations, monitoring, and evaluation of existing programmes, and raising their awareness by supporting governments in establishing community-based grievance committees and complaint mechanisms.

When the local capacity is weak, service delivery is seriously constrained. Successful implementation of social protection programmes targeting beneficiaries in the informal and rural sectors who are often unorganized, poorly organized, and/or difficult to reach, depends on sound institutional arrangements for collaboration between the central level and decentralized structures, such as community-based organizations and local administrative bodies. Such collaboration – together with strengthened managerial capacities at the subnational level – will ensure that social transfers and services are delivered to the right beneficiaries, information and funding flows smoothly, and the implementation can be monitored and evaluated.

UN agencies can play a role in developing or adapting good governance tools and management information systems; in raising and empowering the persons of concern or their representatives and ensure that they have their say in the design, operations, monitoring, and evaluation of social protection programmes; and in assessing training needs, developing and conducting training programmes, and increasing the capacity of local governments and other decentralized structures.

UN agencies can also support the design and implementation of integrated delivery mechanisms of social protection that would use as “agents” local government offices, community-based entities, or other decentralized structures. The local level can be linked to the central level through common procedures and tools to identify and register beneficiaries, an integrated management information system, and a transparent complaints and appeals mechanisms that would also contribute to the progressive improvement of the system as a whole.

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<sup>10</sup> ILO’s Social Protection Platform, [http://www.social-protection.org/gimi/gess/ShowGlossary.do?GLOSSAIRE\\_LETTRE=g&GLOSSAIRE\\_LANG=EN](http://www.social-protection.org/gimi/gess/ShowGlossary.do?GLOSSAIRE_LETTRE=g&GLOSSAIRE_LANG=EN) [assessed 5 May 2014].



Box 29

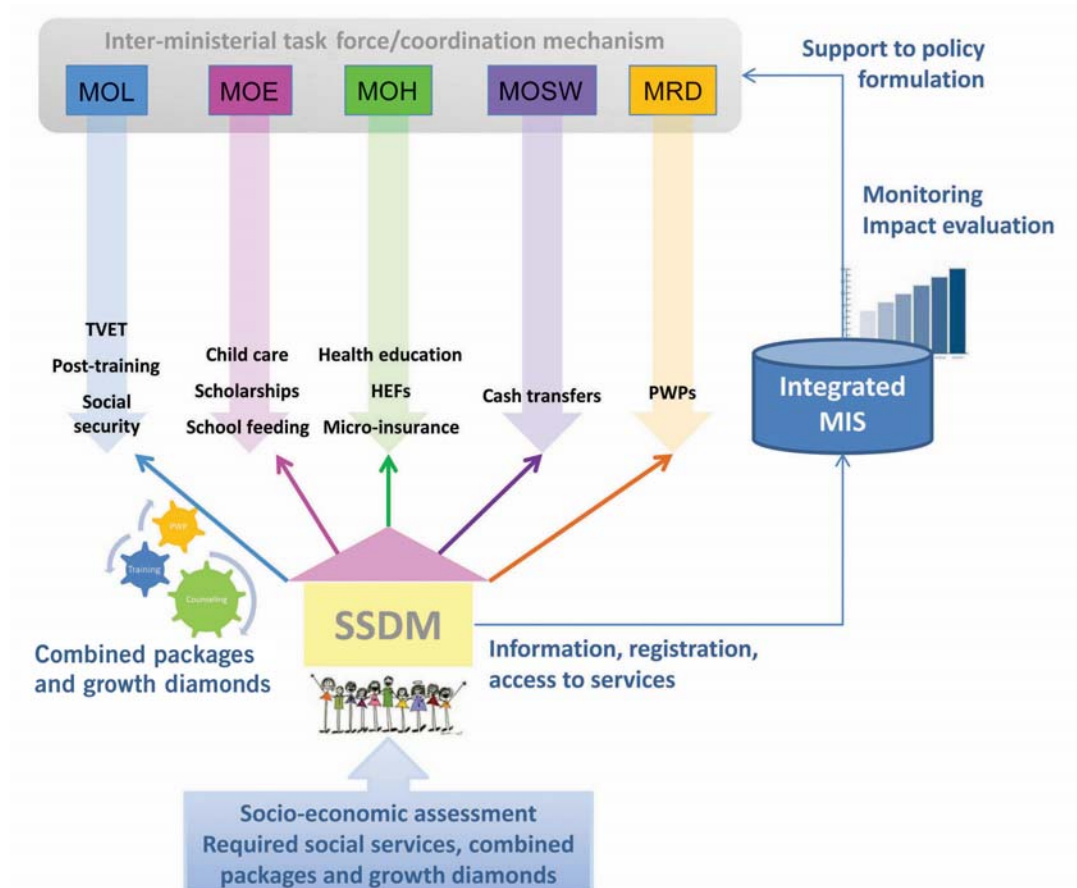
Social service delivery mechanism (SSDM) in Cambodia

The social service delivery mechanism in Cambodia is designed to facilitate access to social protection and employment services (training and post-training) to the rural and poor populations of Cambodia at their doorstep.

SSDM teams offer assistance to potential beneficiaries in accessing social protection and employment services. They assess the vulnerabilities and skills of potential beneficiaries, channel information concerning existing social services, support registration processes, deliver membership cards, facilitate access to benefits in cash or kind, facilitate access to services (health care, employment, training, and so on), and collect contributions, if any. They also represent the interests of the final beneficiaries through a complaint and appeals mechanism and by advocating for increased availability and quality of social services.

The SSDM collects information at the decentralized level on beneficiaries, existing social services, and the utilization of services by the beneficiaries, and enters this information into a management information system. The MIS supports the management of each beneficiary's case, the management of existing social services, and can be used for monitoring and evaluation purposes. Through a common interface, information is accessible to all line ministries and departments at national and subnational levels. In particular, this information can be used by the inter-ministerial task force on social protection and the CARD-Social Protection Coordination Unit (SPCU) to monitor the extension of coverage, assess the impact of existing interventions, and update social policies.

Figure 11. Vertical and horizontal integration through the social service delivery mechanism in Cambodia



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**Box 29** (Continued)

The SSDM not only facilitates access to existing social protection and employment programmes but also channels tailor-made combined packages which best match the needs and constraints of the beneficiaries. Combined packages may include conditions: compulsory affiliation under health equity funds (HEF) and the community-based health insurance (CBHI) schemes for all workers involved in PWPs; compulsory business development plan and job matching services prior to any registration in technical vocational education and training (TVET); compulsory school enrolment and health check-ups for families with children benefiting from the cash transfer. In the long term the SSDM could provide case management for families (personalized plan or contract), and develop coherent approaches to social protection and employment for specific target groups to increase their employability, facilitate productive investments, provide minimum income security (cash transfers), and facilitate access to jobs and markets (broker function).

All the national programmes and all the programmes supported by specific UN agencies will use this single window to reduce costs, increase efficiencies and sustainability, and provide effective access to a combination of services and transfers. The SSDM can therefore become the cement of cross-ministerial and UN coordination on the ground.

**Source:** ILO Country Office for Thailand, Cambodia, and Lao People's Democratic Republic.

Workspace of the SSDM project is available at:

<http://www.social-protection.org/gimi/gess/ShowProjectPage.do?pid=2318> [accessed 5 May 2014].

V. Schmitt et al.: *Feasibility study of the Social Service Delivery Mechanism (SSDM) for the implementation of the National Social Protection Strategy in Cambodia* (Bangkok, ILO, 2013), <http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=42579> [accessed 5 May 2014].

**Box 30**

**Towards a single referral system in Indonesia**

After the adoption of Recommendation No. 202 by the International Labour Conference in June 2012, Indonesia's Ministry of National Development and Planning (BAPPENAS) endorsed the ILO's report, *Social protection assessment based national dialogue: Toward a nationally defined social protection floor in Indonesia*. The report assesses the social protection situation, identifies policy gaps and implementation issues, and draws appropriate policy recommendations for the achievement of a comprehensive social protection floor in Indonesia.

The development of the report was based on in-depth consultations with relevant national and provincial stakeholders of ministerial and technical offices, including Ministry of Manpower and Transmigration, workers' and employers' organizations, NGOs, academia, and UN agencies under the United Nations Partnership Development Framework (UNPDF) Sub-Working Group on Social Protection Floor in Indonesia (led by the ILO).

One of the recommendations was to implement a single window service (SWS) to facilitate access to social protection, improve coordination to prevent overlaps among the existing social protection programmes, and better link social protection programmes with vocational training and post-training services. BAPPENAS has endorsed this recommendation and engaged in the formulation of new policies to establish a "single referral system" which would provide a single delivery point for all existing social protection and poverty alleviation programmes. The Ministry of Manpower and Transmigration is also interested in using the mechanism to expand social security coverage, particularly to informal economy workers.

(Continued on next page)

**Box 30** (Continued)

**Sources:**

ILO: *ILO Works in Indonesia: 2012 Results* (Jakarta, 2013), [http://www.ilo.org/jakarta/whatwedo/publications/WCMS\\_205665/lang-en/index.htm](http://www.ilo.org/jakarta/whatwedo/publications/WCMS_205665/lang-en/index.htm) [accessed 5 May 2014].

S. Satriana and V. Schmitt: *Social protection assessment based national dialogue: Towards a nationally defined social protection floor in Indonesia* (Jakarta, ILO, 2012), <http://www.social-protection.org/gimi/gess/ShowRessource.action?ressource.ressourceId=35128> [accessed 5 May 2014].

R. Muyoanto; V. Schmitt and T. van Langenhove: *Design study of the single referral system for the extension of social protection in Indonesia* (Jakarta, ILO, forthcoming).

**Box 31**

**Strengthening the role of local governments in the implementation of social protection**

The Institute of Philippine Culture at Ateneo de Manila University, which was tapped by the World Bank to conduct the first impact evaluation of the 4Ps Programme, has been commissioned by UNICEF to assess the impact of complementary interventions in one rural and one urban area. The study will document the convergence and sustainability strategies used in these two local governments and will be incorporated into the central Government's overall strategy for working with local government bodies. Meanwhile, UNICEF is also working with the Department of Social Welfare and Development and the Department of Interior and Local Government to strengthen the role of local institutions in sustaining the 4Ps programme and addressing the supply gaps.

**Source:** UNICEF Philippines.

**Box 32**

**Legal empowerment of civil society organizations (CSOs) to improve accountability**

In Thailand, UNDP conducts many legal empowerment activities. These include working with CSOs and informal workers' groups to raise awareness about the social security and social welfare law, encouraging its enforcement, and providing assistance to legislative initiatives of the electorate through the Thai Law Reform Commission.

**Source:** UNDP Thailand.

**Box 33**

**Representation and participation of workers and employers**

In the case of contributory social security schemes, workers and employers are the main contributors and need to be aware and supportive of the introduction of benefits. Failing to involve them at an early stage may lead to a lack of understanding and ownership of the scheme and evasion of social contributions. In Indonesia, the recent reform and introduction of a contributory health insurance scheme led to vast demonstrations and negotiations of the split between workers' and employers' contribution rates. Similarly workers' and employers' representatives need to be involved in the governance of social security schemes in order to monitor the proper use of the scheme's resources.

*(Continued on next page)*

**Box 33** *(Continued)*

Recommendation No. 202 advocates for “tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned”. However, unlike social insurance schemes that are often governed by tripartite boards, the beneficiaries of social assistance or welfare programmes are in many cases not consulted during the design phase and not represented in the decision-making bodies of these schemes. Innovative mechanisms to ensure proper representation need to be designed and established.

Involving final beneficiaries in the design phase may involve wide consultations with the civil society organizations as well as other representative groups (trade unions in the informal sector such as in India). They also need to be involved in the operations and monitoring of the schemes to facilitate enrolments (through identification of potential beneficiaries and information campaigns), the development of a better understanding of the scheme’s design, the monitoring and evaluation of schemes, and the feedback and appeals mechanisms. In Cambodia, participation will be ensured by involving elected commune councils in the supervision of the social service delivery mechanism, as well as various committees representing the interests of the population. Workers’ and employers’ representatives who were so far excluded from these committees will also be included during the implementation stage of the SSDM. In addition, a complaint and appeals mechanism will enable the receipt of feedback from and dialogue with all relevant parties.

**Source:** ILO DWT – Bangkok.

» **Strengthening information systems, monitoring, and evaluation**

Information systems, monitoring, and evaluation of social protection programmes are particularly weak in many countries in the Asia and the Pacific region. Insufficient development of national registry databases and beneficiary identification systems makes the task of reaching out to potential recipients and expanding social protection coverage particularly difficult. When national registration systems are in place, however, the ease of extending non-contributory benefits is greatly improved. It is estimated that in countries such as Thailand – where all nationals have a 13-digit identification card – introducing new, targeted benefits (such as maternity benefits for all pregnant female workers in the informal sector) would only take two to three years.

Systems to identify poverty and vulnerability, as well as related databases, help to identify potential recipients of social protection programmes. They are key instruments in the design and implementation of targeted programmes. In Indonesia, the National Team for the Acceleration of Poverty Reduction (TNP2K) of the Vice President’s Office has developed a central database that covers the poorest quintiles that make up 40 per cent of the population.

Besides the identification of beneficiaries, the sound management of social protection programmes involves constantly updating data on beneficiaries, contributions, benefit amounts, and so on. This is vital to developing indicators to monitor operations of schemes. It is useful to consolidate this information in a central database that can track coverage and public expenditures on social protection, as well as evaluate the impact of social protection programmes through indicators such as access to services, reduction of poverty, and development of human capital. Monitoring and evaluation systems in addition to grievance and feedback mechanisms not only help to improve social protection coverage, but also generate evidence on the impact of social protection measures, which is necessary for continued political support, as well as replication and scaling-up of social protection measures. In this area, UN agencies can provide technical assistance to national governments.

## Box 34

## Identification of poor households through the Identification of the Poor programme (ID Poor) in Cambodia

Over the past few years, Cambodia has developed the ID Poor programme that is used by many social assistance programmes to identify beneficiaries. ID Poor is led by the Ministry of Planning in collaboration with the Department of Local Administration of the Ministry of Interior. The programme has been implemented with funding from the Federal Republic of Germany, the European Union, DFAT, UNICEF, and the Royal Government of Cambodia, with technical assistance from Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ). The overall objective of the ID Poor programme is to officially mandate standardized procedures for the identification of poor households and to implement them throughout the county.

In Cambodia, poverty-oriented development planning and provision of services has not put sufficient focus on targeted assistance to poor people. In cases where household targeting has been implemented, many institutions have developed and applied their own procedures and criteria for identifying beneficiaries. Therefore, the results are not comparable with one another and are not shared with other organizations and institutions.

ID Poor seeks to determine which households are poor and the poverty levels of these households in rural areas. The purpose of identifying poor households is to directly provide services and development assistance to them. Such assistance includes free or discounted medical services through channels such as health equity funds, scholarships and financial support to poor students, rural development and agriculture-related services, allocation of social concession land to the poor, and so on. ID Poor data can also be used for calculating comparative poverty levels of villages, communes, districts, and provinces. Service providers can use this data for targeting poor communes and villages, as well as poor households within those areas. A database of poor households has been developed to support the implementation of ID Poor for use by service providers. The database is designed so that data entry can be done in different locations and consolidated at the national level.

ID Poor is an integral part of the RGC's National Social Protection Strategy for the Poor and Vulnerable 2011–15, which was launched by the Prime Minister in December 2011. The NSPS-PV states that “The Royal Government of Cambodia intends to make ID Poor the primary targeting methodology across all social protection schemes, while still allowing for the use of complementary methodologies where their use is justified.”

**Sources:** GIZ; UNICEF; CARD, Cambodia.



## ANNEX 1

### A sampling of social protection in Asia and the Pacific

This table shows that countries in the Asia and the Pacific region have already implemented several social protection measures, through various mechanisms and with varying government expenditures. However, it is not intended to be an exhaustive, updated compilation of social protection in the region (an endeavour which is beyond the scope of this Issues Brief). The list focuses mainly on developing countries in the region.

**Annex 1, Table 1. A sampling of social protection in Asia and the Pacific**

Country	Selected major social protection schemes	Public social protection expenditures (as % of GDP)	Social protection index (ADB, 2009)*
<b>Bangladesh</b>	Female Secondary School Assistance Programme (cash grant, <i>bool</i> allowances, and examination fee); Vulnerable Group Development Programme (food-based transfer plus development services); Chars Livelihoods Programme	1.4	0.043
<b>Cambodia</b>	National Social Security Fund for private sector employees (NSSF – employment injury insurance and pilot health insurance); National Social Security Fund for Civil Servants (NSSF-C – pension benefits); internal government rules on employer sponsored maternity benefits; vocational training programmes of various types; various social health protection programmes targeting poor people and informal economy workers, such as the health equity funds and the community-based health insurance schemes; various in-kind and cash transfer programmes, including school meals, scholarships and public employment programmes targeting poor and vulnerable persons (largely funded by donor support); Priority Action Programme (cash advance to schools for waiver of fees); commune/ <i>Sangkat</i> fund and district/ <i>Khan</i> fund (decentralized funds administered by local governments).	1.0	0.020
<b>People's Republic of China</b>	Minimum Living Standard Guarantee ( <i>Di bao</i> – cash transfer); New Rural Cooperative Medical Scheme; Urban Residents Basic Medical Insurance Scheme; Voluntary rural pension scheme; Voluntary urban pension scheme; National Project of Compulsory Education in Impoverished Areas; Care for Girls (cash transfers to families with girls).	5.4	0.139
<b>Fiji</b>	Family Assistance Scheme (monthly cash allowance to single mothers and elderly persons).	1.7	0.060
<b>India</b>	National Maternity Benefit Scheme (cash assistance to pregnant women); National Rural Employment Guarantee Scheme; <i>Rashtriya Swasthya Bima Yojana</i> (national health insurance scheme); <i>Swarn Jayanti Shahri Rojgar Yojna</i> (self-employment support to urban unemployed and underemployed).	1.7	0.051
<b>Indonesia</b>	Health Services Programme (primary health care in priority districts); <i>BPJS Kesehatan</i> was established in January 2014 (will be gradually providing social health insurance to the entire Indonesian population through contributory and non-contributory schemes); it replaces <i>PT</i>	1.2	0.044

Annex 1, Table 1. A sampling of social protection in Asia and the Pacific (continued)

Country	Selected major social protection schemes	Public social protection expenditures (as % of GDP)	Social protection index (ADB, 2009)*
<b>Indonesia</b> (continued)	<i>Askes</i> (social health insurance, health insurance coverage for public sector employees and retired military personnel), <i>PT Jamsostek</i> (social insurance fund for private sector), <i>Jamkesmas</i> (healthcare for the poor) and <i>Jamkesda</i> (healthcare for the poor at the provincial level) and <i>Jampersal</i> (free deliveries) programmes. <i>BPJS Ketenagakerjaan</i> , will provide old age pensions, old age lump sums, survivors' benefits and employment injury benefits to formal and informal sector workers by mid-2015. It replaces <i>PT Jamsostek</i> , and will progressively be integrated with <i>PT Taspen</i> (pension fund for public sector employees) and <i>PT Asabri</i> (pension fund for the armed forces and police). <i>Bantuan Operasional Sekolah</i> (school operational assistance), scholarships for the poor, Children's Social Welfare Programme (PKSA) for children with social problems, PKH (conditional cash transfer); <i>Raskin</i> (rice subsidies); <i>Nasional Pemberdayaan Masyarakat</i> (PNPM or community empowerment programme).		
<b>Lao People's Democratic Republic</b>	Access to Basic Education Programme in Laos (ABEL); Social Security Organisation (SSO) for private and State enterprise employees; State Authority for Social Security (SASS) for civil servants; community-based health insurance; health equity funds.	0.9	0.026
<b>Malaysia</b>	Workmen's Compensation Act provides work injury, death and invalidity benefits; Employment Act provides retrenchment benefits (that may be progressively replaced by the introduction of an unemployment insurance scheme), maternity leave and allowance, paid sick leave; invalidity pension and return to work measures; job placement programme (database of vacancies for retrenched workers); Employee Provident Fund (lump sum upon retirement); Civil Service Pension.	3.7	0.155
<b>Maldives</b>	Social insurance programmes such as Maldives Retirement Pension Scheme; <i>Asandha</i> (universal health insurance); disability benefits; redundancy and early retirement benefits; social assistance programmes such as Cash Assistance for the Absolute Poor; Welfare Assistance for Medical Services within Maldives and abroad (introduction of <i>Madhana</i> and <i>Asandha</i> ); Old-age Basic Pension for Citizens 65+; Institutional Care and Educational Assistance for children from low-income families; Disaster Relief Assistance; assistance for vulnerable groups like the disabled, mentally ill, single parents, orphans; skills development and training.	3.0	0.073
<b>Mongolia</b>	Sustainable Primary Health Care in Rural Areas (revolving drug funds); Social Health Insurance Fund; Child Money Programme.	9.6	0.206



Annex 1, Table 1. A sampling of social protection in Asia and the Pacific (continued)

Country	Selected major social protection schemes	Public social protection expenditures (as % of GDP)	Social protection index (ADB, 2009)*
<b>Nepal</b>	Stipends for backward communities and female students (scholarships and incentive packages for primary and secondary education); old-age allowance.	2.1	0.068
<b>Papua New Guinea</b>	Vernacular Language Preschool Programme (for ethnic minority children).	0.1	0.005
<b>Pakistan</b>	Benazir Income Support Programme provides cash transfers (partly conditional on school attendance), vocational training, micro credit, health and life insurance.	1.3	0.047
<b>Philippines</b>	Social Security System (SSS); Government Service Insurance System (GSIS); Employers Compensation; PhilHealth (national health insurance system); Pantawid Pamilyang Pilipino Programme or 4Ps (conditional cash transfer); Kalahi (community grants, human development services); Food-for-School Programme; Education for All Programme (compulsory and universal basic education); social welfare services provided by the local government units (LGU); Welfare Fund for Overseas Workers; rice price subsidy programme; emergency infrastructure and socio-civic projects.	2.5	0.085
<b>Sri Lanka</b>	Public Servants Pension Scheme; Public Servants Provident Fund; Samurdhi Programme (cash transfer, savings and credit, workfare); Employee Provident Fund; Employee Trust Fund; Widows and Orphans Pension scheme; pensions and social security benefits for certain groups like self-employed persons, fishermen, farmers; maternity benefits under employer liability; severance pay for the formal sector; universal and free healthcare; free education; workmen's compensation; cash transfers for the disabled.	3.2	0.121
<b>Thailand</b>	Compulsory contributory Social Security Scheme for healthcare for formal sector workers (SSS); Non-contributory Civil Servants Medical Benefit Scheme (CSMBS); Universal Coverage Scheme for the rest of the population; health volunteers, homecare and older persons' volunteer care-giver programme; Migrant Health Insurance; child allowance for formal sector workers; free education for all including pre-primary education; reimbursement of education fees for children of civil servants (3–25 years); free school lunch in primary schools; grant for supplementary food like milk; Social Security Fund (sickness, invalidity, unemployment, death benefits); voluntary insurance for formal sector workers who are now self-employed (sickness, maternity invalidity, death, child allowance and old-age pension); subsidized voluntary insurance for informal economy workers (injury, sickness, maternity, invalidity, death benefits); Workmen's Compensation Fund (WCF); private insurance scheme for migrants; vocational training; One Million Baht Village Revolving Fund (loans for community projects and individual families);	3.6	0.119

**Annex 1, Table 1. A sampling of social protection in Asia and the Pacific** (continued)

Country	Selected major social protection schemes	Public social protection expenditures (as % of GDP)	Social protection index (ADB, 2009)*
<b>Thailand</b> (continued)	universal non-contributory allowances for elderly and disabled persons and people with HIV-AIDS; old-age pensions for formal sector workers; Government Pension Scheme for civil servants; Provident Funds for State-owned enterprises.		
<b>Viet Nam</b>	The social protection system in Viet Nam comprises four pillars: employment, minimum income insurance, and poverty reduction; social insurance; social assistance; and basic social services. Furthermore, it includes compulsory and voluntary social insurance, as well as unemployment insurance; voluntary and compulsory health insurance; targeted social assistance for orphaned children; tuition fee exemption or reduction for poor households; food loans for students from poor households; support for food and study materials for minority children; scholarships for poor students; unemployment insurance for formal sector workers; maternity protection for the formal sector; social assistance for the disabled and single parents; housing support for the poor; Programme 135 (local infrastructure projects in ethnic minority areas); food support for minorities in Central Highlands; benefits to people with national merit; social insurance like old-age pension scheme; targeted social assistance for the elderly.	4.7	0.137

\* The ADB calculations of public social protection expenditure (as a percentage of GDP) and social protection index consider social insurance (pensions, health insurance, unemployment benefits, other social insurance such as maternity and disability benefits), social assistance (old age non-contributory pensions, child protection programmes, disaster assistance and relief and others), and labour market programmes. Although not perfect, it is the only existing measure that can be used to compare countries in the region. The average SPI value for Asia is 0.110, based on data from 35 countries. This indicates that 11 per cent of poverty-line expenditures are on social protection. SPI values in Asia range from 0.005 in Papua New Guinea to 0.416 in Japan (higher value indicating more spending on social protection).

**ANNEX 2**
**Statistical annex**
**Annex 2, Table 1. Scope of legal social security provision in Asia and the Pacific**

	Number of policy areas covered by at least one programme	Sickness (cash)	Maternity (cash)	Old age	Employment injury	Invalidity	Survivors	Family allowances	Unemployment
<b>Asia</b>									
Afghanistan	...	...	▲	...	...	...	...	...	None
Australia	8	●	●	●	●	●	●	●	●
Bangladesh	4	●	●	●	●	None	None	None	▲
Brunei Darussalam	4	△	▲	●	●	●	●	None	None
Cambodia	...	...	▲	...	...	...	...	...	▲
China	8	●	●	●	●	●	●	●	●
India	7	●	●	●	●	●	●	None	●
Indonesia	4	△	▲	●	●	●	●	None	▲
Iran, Islamic Rep. of	8	●	●	●	●	●	●	●	●
Japan	8	●	●	●	●	●	●	●	●
Korea, Republic of	5	△	▲	●	●	●	●	None	●
Lao PDR	6	●	●	●	●	●	●	None	None
Malaysia	4	△	▲	●	●	●	●	None	▲
Maldives	...	△	...	●	...	●	●	...	None
Mongolia	8	●	●	●	●	●	●	●	●
Myanmar	3	●	●	▲	●	▲	▲	Not yet	Not yet
Nepal	4	▲	▲	●	●	●	●	None	▲
New Zealand	8	●	●	●	●	●	●	●	●
Pakistan	6	●	●	●	●	●	●	None	▲
Papua New Guinea	4	▲	None	●	●	●	●	None	None
Philippines	6	●	●	●	●	●	●	None	▲
Singapore	7	●	●	●	●	●	●	●	None
Sri Lanka	5	△	▲	●	●	●	●	●	▲
Thailand	8	●	●	●	●	●	●	●	●
Timor-Leste	...	...	▲	●	...	...	...	None	None
Viet Nam	7	●	●	●	●	●	●	None	●
<b>Pacific Island countries</b>									
Fiji	5	None	▲	●	●	●	●	●	None
Kiribati	4	None	▲	●	●	●	●	None	None
Marshall Islands	3	△	△	●	None	●	●	None	None
Palau Islands	3	None	None	●	None	●	●	None	None
Samoa	...	...	...	●	●	●	●	...	None
Solomon Islands	5	None	None	●	●	●	●	None	▲
Tuvalu	...	...	...	●	●	●	●	...	None
Vanuatu	3	▲	▲	●	None	●	●	None	▲

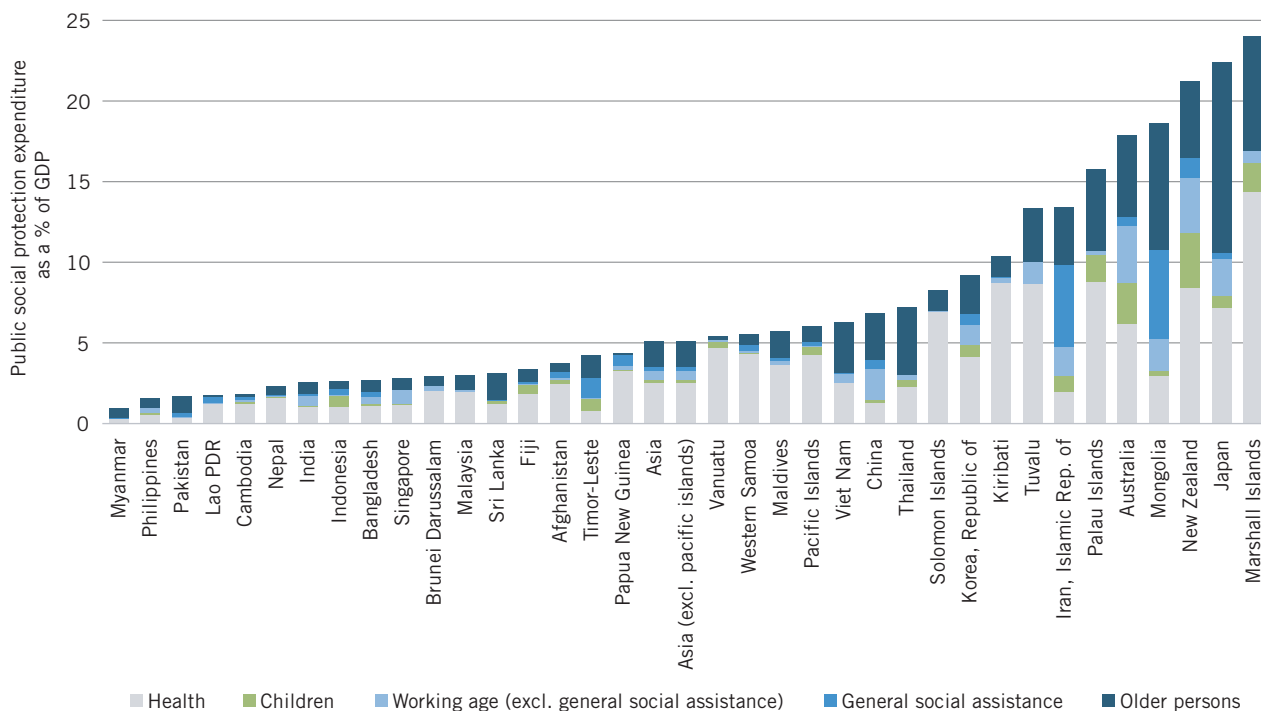
**Source:** SSA/ISSA. 2012. *Social Security Programs throughout the World* (Washington, DC and Geneva): Asia and the Pacific, 2012. Completed with ILO Natlex and national legislation.

**Symbols:**

- ... Information not available
- One statutory programme at least
- ▲ Limited provision (e.g. labour code only)
- △ Benefit in kind only (e.g. medical care in the case of sickness and maternity benefits)

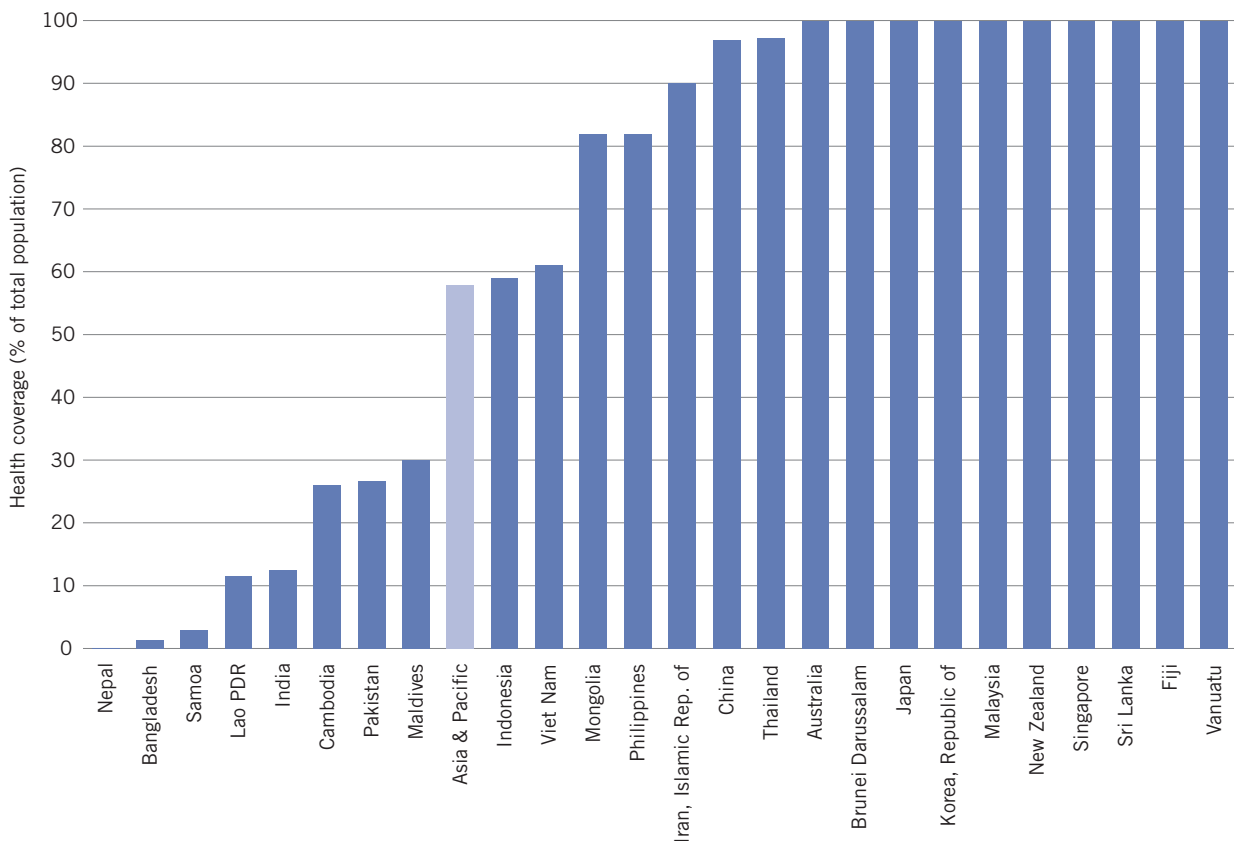
**Note:** Eight policy areas (or branches) are taken into consideration: sickness, maternity, old age, employment injury, invalidity, survivors, family allowances, and unemployment. The number of policy areas covered by at least one programme usually range from 3 to 8. This synthetic table provides an overview of the scope of legal social security provision.

**Annex 2, Figure 1. Public social protection expenditure as a percentage of GDP and by guarantee in Asia and the Pacific**



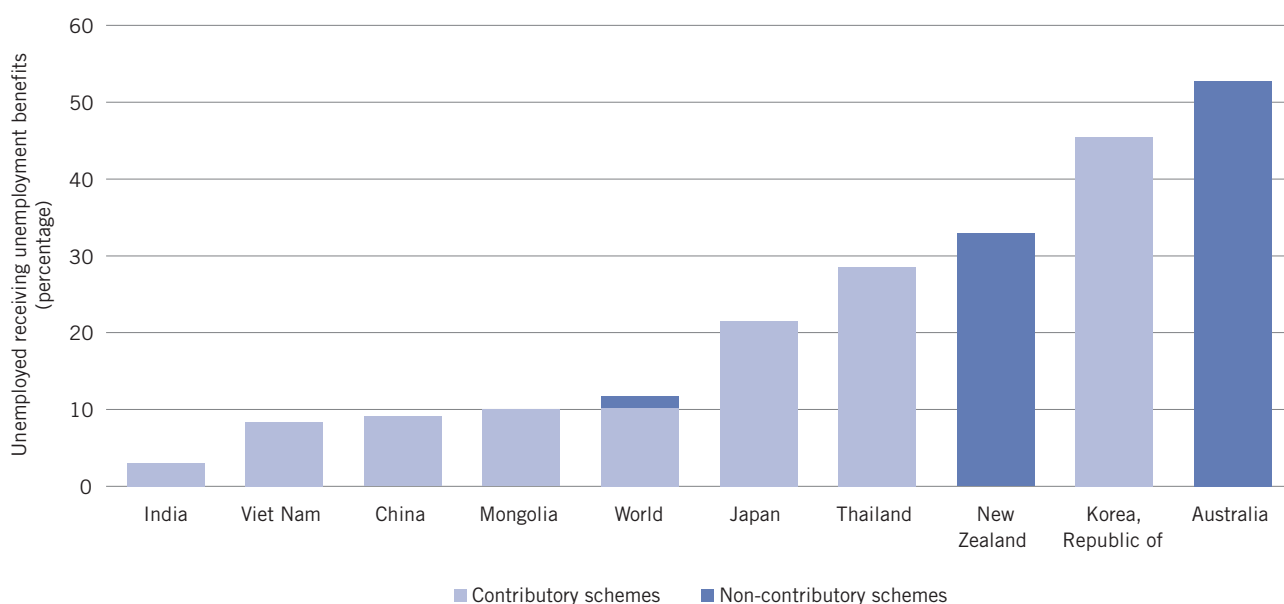
Source: ILO Social Protection Department database (updated in April 2014).

**Annex 2, Figure 2. Health coverage – Percentage of the population covered (members of health insurance or free access to health care services provided by the State)**



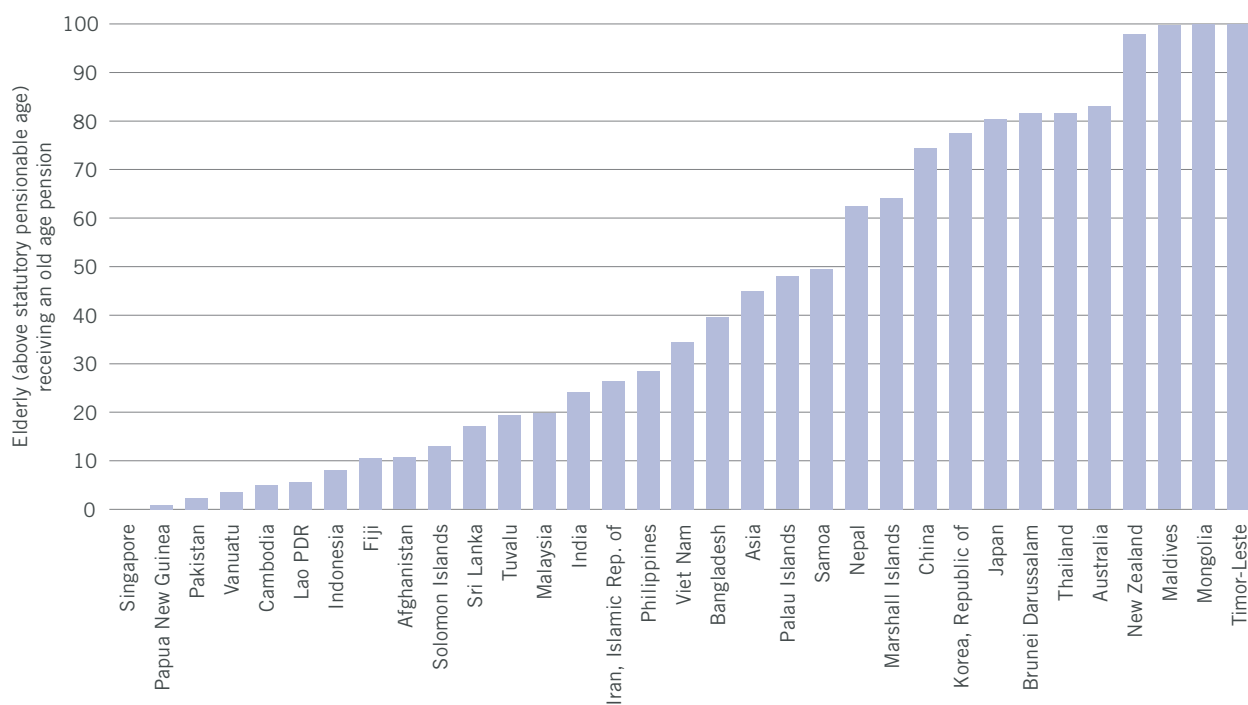
Source: ILO Social Protection Department database (updated in April 2014).

Annex 2, Figure 3. Unemployment effective coverage – Unemployed who actually receive benefits (percentage)



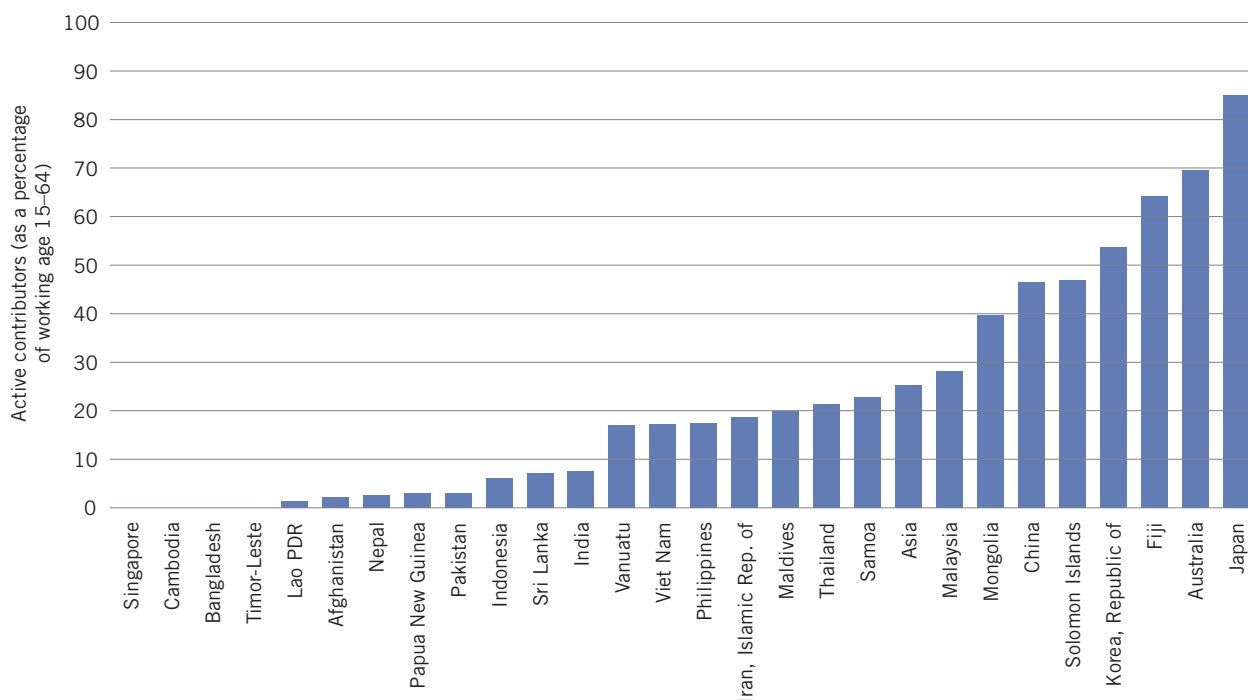
Source: ILO Social Protection Department database (updated in April 2014).

Annex 2, Figure 4. Old age effective coverage – Elderly (above statutory pensionable age) receiving an old age pension



Source: ILO Social Protection Department database (updated in April 2014).

Annex 2, Figure 5. Old age effective coverage – Active contributors (percentage of working age, 15–64)



Source: ILO Social Protection Department database (updated in April 2014).

Annex 2, Table 2. Non-contributory pension schemes in Asia: Main features

	Age of eligibility	Citizenship	Residency	Income test	Asset test	Pension-tested
Australia	65 (m) 64.5 (w)	—	●	●	●	●
Bangladesh	65 (m) 62 (w)	...	...	●	●	●
Brunei Darussalam	60	●	●	—	—	—
Fiji	70	...	...	—	—	●
India	60	...	...	●	...	●
Indonesia	60	...	●	●	●	●
Japan	65	...	...	●	...	...
Kiribati	60	...	...	—	—	—
Korea, Republic of	65	...	...	●	—	●
Malaysia	60	...	...	●	...	●
Maldives	65	●	●	—	—	●
Mongolia	60 (m) 55 (w)	...	...	●	●	●
Nepal	70	●	...	—	—	●
New Zealand	65	●	●	—	—	—
Philippines	77	—	●	●	...	●
Samoa	65	●	●	—	—	—
Thailand	60	●	...	●	...	●
Timor-Leste	60	●	●	—	—	●
Tuvalu		...	...	●	...	●
Viet Nam [80 years old and over]	80	...	...	—	...	●
Viet Nam [60–79 years old]	60	...	...	●	...	●

Source: ILO Social Protection Department database (updated in April 2014).

Symbols:

- ... Information not available
- Yes
- No

## ANNEX 3

## Social protection resources available to UNCTs

## 1. Social protection frameworks and strategies

## Development partners

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## 2. Manuals, tools and workspaces

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## 4. Selected literature by topic

### Social protection floors

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## 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 101<sup>st</sup> 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 100<sup>th</sup> 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

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

Unite and deliver effective support for countries



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 101<sup>st</sup> 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



*Social protection floors are nationally defined sets of basic social security guarantees aimed at preventing or alleviating poverty, vulnerability and social exclusion. The design and establishment of social protection floors is a new area of work for many UN country teams. This social protection issues brief provides UN country teams and the United Nations Development Group Asia-Pacific with a brief overview of social protection in the region, potential entry points for UNCTs in the development of national social protection strategies and coordinated implementation mechanisms, available resources and concrete areas for joint action.*



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