COORDINATION

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CONTENTS

LIST OF ABBREVIATIONS

ABND	Assessment-based National Dialogue
AIDS	Acquired Immunodeficiency Syndrome
CBOs	Community-Based Organizations
CLICS	Community-Based LEAP Implementation Committees
CSG	Child Support Grant
CSO	Civil Society Organisations
ENBSSS	National Basic Social Security Strategy
FAO	Food and Agriculture Organization
FBOs	Faith-Based Organizations
HIV	Human Immunodeficiency Virus
ILO	International Labour Organisation
IMIS	Institute for the Management of Information Systems
ICT	Information and Communication Technology
LEAP	Livelihood Empowerment Against Poverty
M&E	Monitoring and Evaluation
MCDMCH	Ministry of Community Development, Mother and Child Health
MESW	Ministry of Employment and Social Welfare
MIS	Management Information System
NGO	Non-Governmental Organisation
NHIA	National Health Insurance Authority
NHIS	National Health Insurance Scheme
NSPC	National Social Protection Council
NSPP	National Social Protection Policy
NSPS	National Social Protection Strategy
OPD	Organisation of Persons with Disabilities
OVC	Orphans and Vulnerable Children
PSWP	Productive Social Welfare Programme
SAPS	South African Police services
SASSA	South African Social Security Agency
SP	Social Protection
SPMIS	Social Protection Management Information System
SPF	Social Protection Floor
SPLTiT	Social Protection and Livelihood Technical Team
SSN	Social Safety Net
SWS	Single Window Service
TASAF	Tanzania Social Action Fund
TOR	Terms of Reference
TWG	Technical Working Group
UNICEF	United Nations Children's Fund
V&E	Vulnerability and Exclusion

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INTRODUCTION: CHALLENGES AND BARRIERS TO COORDINATION OF SOCIAL PROTECTION

Due to the multi-dimensional nature of the vulnerability, the design and delivery of social protection are generally spread across various ministries, including the ministries of labour and social security/welfare, health, education, agriculture, public works, etc. Social protection is traditionally delivered by several institutions and stakeholders focusing on certain population groups (e.g. workers of the formal sector), delivering specific services (e.g. health care), or certain types of transfers (e.g. family allowances).

The delivery of social protection also generally involves different line ministries and public organizations, including decentralized structures and local governments. Development partners (notably, international organizations and civil society organizations) can also play an important role in supporting governments in developing, implementing, and delivering social protection programmes, especially in developing countries.

The design and implementation of a social protection system will require coordination among all the different organizations involved in providing social protection services and transfers. However, most social protection programmes tend to be designed and implemented in silos with little, if any, linkages and complementarities between and among them. This has contributed to the fragmentation of policies, programmes, and overlap.

1.1 OBJECTIVES

Having completed this section, the participant will have:

- A good understanding of the barriers and challenges to effective social protection coordination
- Some initial insight into how to address barriers and challenges to social protection coordination
- An understanding of the advantages and constraints of coordination

1.2 FACTORS CONTRIBUTING TO POOR COORDINATION AND THE FRAGMENTATION OF SOCIAL PROTECTION[1]

Lack of a national framework or strategy for social protection

Social protection programmes often respond to different normative references, legislative frameworks, and regulations without the benefit of being encompassed by a national framework or strategy (i.e. a common goal, and agreed-upon priorities). This increases complexity and inefficiency while undermining coherence and institutional legitimacy.

Limited understanding of the most appropriate options to operationalize systems

This occurs especially in contexts where individual social protection programmes have been established for long periods. People who are used to working in silos may be unwilling to move away from existing patterns.

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1   Rawlings, L, Murthy, S. and Winder, N. 2013. Common Ground: UNICEF and World Bank Approaches to Building Social Protection Systems. January 2013. UNICEF and The World Bank.

Limited awareness and a shortage of shared information

This refers to a genuine lack of awareness that another department is interested in one's area of work or is undertaking initiatives similar to one's own. This may be due to a lack of skills or to more profound reasons. Given the complexity of many policy areas, there are potential overlaps among policy areas but many of these are not obvious. However, this lack of understanding of overlapping objectives or goals may reduce efficiency in achieving desired outcomes. For example, sustainable poverty reduction can only be achieved after addressing gender inequality, a major driver of poverty. Addressing women's and girls' multidimensional vulnerabilities and gender-specific risks also requires multi-sectoral policies and integrated programmes. Similarly, investment in disability-inclusive planning – such as inclusive education and health services, accessible infrastructure and communication – is required to maximise the outcomes of social protection such as reducing poverty and increasing labour force participation and productivity.

Lack of coordination and dialogue between national efforts and non-state and informal systems

Many non-state actors and/or informal, community-based groups provide social protection services that are spread across different communities, including women and girls, people with disability, and other vulnerable groups, and benefit a broad range of actors. However, these are often not well coordinated with national institutionalized policies and programmes.

Weak vertical coordination between central and local levels

Social protection objectives set at the national level and their decentralized implementation are often not linked. However local governments often have an important role in the field of social protection, both through local development policies, and the implementation of national policies. This creates confusion between lines of responsibility as well as between accountability at the central and local levels. In addition, some governments have added to their coordination burdens by disaggregating ministries into autonomous agencies.

Weak horizontal coordination among multiple actors involved in managing (and financing) a wide range of policies and programmes

Programmes are often managed by different agencies or by different departments within the same agency with different political/ management accountabilities. Moreover, depending on the country context, programmes may be largely donor- and/or NGO- driven, translating into a wide array of programmes that often have contradictory or overlapping objectives, operate in silos, and do not follow national strategies or priorities but reflect particular donor interests and approaches.[2]

Under-funding and limited organizational capacity of the lead agencies responsible for social protection[3]

This often results in limited policy and planning capabilities as well as human-resource constraints for undertaking the ministry's core functions at the national and decentralized levels. Moreover, coordination is often viewed as a real cost to an agency or organization rather than a potential benefit. The benefits of coordination are uncertain.

Implementation according to different timeframes and planning cycles

Time is another barrier to coordination. Coordinating programmes at single points in time is the most common format of cooperation among organizations but this poses a problem because, to be effective, organizations and programmes must work together across broader periods.

2   Rawlings, L, Murthy, S. and Winder, N. 2013. Common Ground: UNICEF and World Bank Approaches to Building Social Protection Systems. January 2013. UNICEF and The World Bank.
3   The Presidency: Department of Performance Monitoring and Evaluation (2013) Impact and implementation Evaluation of Government Coordination Systems – International Literature Review, DPME: Pretoria.

Limited or non-existing links between contributory and non-contributory programmes

In some contexts, alongside the traditional contributory systems, reforms have been put in place to expand the coverage of social protection to the poorest sectors of the population, or other vulnerable groups, including women and girls, people with disability, older persons, ethnic minorities and others. However, this has created two-tier systems (social insurance and social assistance) which address different groups or contingencies but are not necessarily well coordinated across different instruments, or across the life course as individuals transition into different profiles of need (eg, childhood, working age and reproductive years, old age, etc.).

The use of different administrative systems such as selection and identification, delivery, registry and/or monitoring, and evaluation systems for each programme

This results in there being little or no coordination across programmes, increasing the likelihood of exclusion errors, and duplication while undermining programme managers' ability to communicate across programmes and manage their common processes. For example, people with disability often need to apply separately for different disability-targeted benefits (e.g. cash transfer, education, employment or health benefits), increasing the time and financial burden on applicants.

Complexities related to lines of responsibility

For administrative accountability to function effectively there must be clear lines of responsibility and identifiable purposes for which public funds are spent. Coordination can cloud some of these authoritative relationships and make it more difficult to trace the sources of legal power and the uses of public money (e.g. in the case of pooled funds).

Poorly coordinated performance systems

There can be performance systems that work across departments and programmes and even government-wide systems. Since no organization owns these indicators or can be directly responsible for the outcomes reflected by the indicator, none of them is individually accountable for outcomes, creating a clear gap in accountability. The level of commitment of any individual programme manager to achieving cross-cutting goals is likely to be less than it is for the individual programme goals for which he/she and their organization is responsible.

Budget protection

Departments or ministries may seek to protect their budgets. Areas of joint work where no stable agreement on cost-sharing has been achieved open the possibility that one organization unwillingly subsidizes another. When this area is not deemed to be part of the core organization or its turf, and where the funding brings no greater influence over how the service is developed, the arrangement is likely to be unattractive to one or all organizations involved.

Coordination is more important in a time of financial scarcity given that it is a way of eliminating redundant and inconsistent activities. Yet, as public funds become tight, there is a tendency for organizations to focus on their core functions and activities and attempt to defend themselves against perceived external threats. For example, they may not be anxious to cooperate with other organizations providing similar or even complementary services since these may fall into the category of "threat".

Issues of 'turf'

Turf refers to the desire to maintain or extend the range of responsibilities of the department or ministry. Some experts argue that this is the most widely cited reason preventing departments or ministries from working together.

Bureaucratic politics

Different departments or ministries within the same organization often view the same issue from different perspectives because their departments have different objectives and ways of doing things, or because they have been socialized into thinking and acting in different ways.

1.3 WHAT ARE THE GENERAL ADVANTAGES AND DISADVANTAGES OF COORDINATION?[4]

- Any form of working together has costs as well as benefits.

- Agencies need to weigh up the costs and benefits of working alone as opposed to coordinating their work, taking into consideration the best interest of the served population.

- The agencies involved must all agree that undertaking activities jointly is likely to be more effective in achieving the outcome than doing so separately and individually.

BENEFITS/ADVANTAGES	COSTS/DISADVANTAGES
- Provides potentially better results for the population (e.g. universal coverage, sustained poverty reduction, inclusive labour force participation, etc.). - Helps convey the 'big picture' or strategic goals (e.g. sustainable development, gender equality, disability inclusion etc.), which are not always captured by individual agencies' or ministries' objectives. - Helps realize synergies and maximize the cost-effectiveness of policy and/or service delivery. - Generates economies of scale (e.g. sharing of infrastructure, facilities, data and information, and property, among others). - Sets a precedent for the way a government operates that can be used in other areas beyond social protection. - Promotes the inclusion of civil society organisations representing vulnerable groups including women and girls, people with disability, and others. - Improves client focus and thereby service quality, user-friendliness, and inclusivity of services. - Assists with prioritization, resolution of potential conflicts, and trade-offs in decision-making. - Improves working relations with other agencies and ministries that are likely to be critical to future successes, and the achievement of crosscutting objectives (e.g. formalization). - Contributes to the empowerment of local administrations, and therefore to the success of decentralization processes.	- Creates an additional layer responsible for coordination that may generate some confusion in lines of accountability. - Results in longer decision-making processes. - Leads to greater difficulty in measuring effectiveness and impacts because of the need to develop and maintain more sophisticated performance measurement systems. - Causes direct and indirect costs related to management and staff members who spend time establishing and sustaining joint working arrangements. - Leads towards consensus and the "path of least resistance" at the expense of making tougher decisions about trade-offs for improvement. - May require capacity development plans (e.g. training on disability, and gender inclusiveness), practical guidelines, and coordination protocols notably at the local level.

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4   State Services Commission, (2008),"Factors for Successful Coordination", New Zealand Government

1.4 SO WHY COORDINATE SOCIAL PROTECTION?

Coordination is a necessity in the establishment of social protection systems for the following reasons:

- Ensuring the translation of the right to inclusive social protection into reality on the ground (vertical coordination) for all vulnerable groups of relevance to a specific country context.

- Ensuring the efficiency of the system through the avoidance of duplication and synergies across various components of the system (social transfers should complement each other following vertical and horizontal dimensions of social protection extension to ensure universal coverage and benefit adequacy).

- Ensuring the effectiveness of the social protection system by addressing the multi-dimensional nature of poverty, as well as drivers such as gender inequality, systemic exclusion of people with disability, discrimination or exclusion of other vulnerable groups, ethnic minorities, etc.

Coordination is also necessary to better integrate social protection systems in the context of the broader social policy and development agenda, as well as to improve public sector effectiveness:

- When properly coordinated, social protection can catalyze expanding access to services, financial inclusion, and productive inclusion (including the labour market and other activities that support the generation of income and livelihood stability), and thus contribute to enhanced, equitable sector outcomes.

- Well-coordinated social protection systems strengthen resilience to poverty and shocks or emergencies and enhance economic autonomy.

- Policies and services can become tailored to particular communities or client groups (e.g. people with disability, women and girls) so enhanced coordination across agencies can re-orient agencies around client groups and avoid the duplication of services.

- By pooling the best of our resources we can provide better solutions and more inclusive development; diversity of thinking and skills has been shown to produce better results and better quality services.

Ultimately, coordination within a social protection system and other public policy areas is a necessity, not only to ensure the adequacy and consistency of the system but also to guarantee its financial sustainability and its efficiency.

> When the right agencies coordinate over a complex issue, they can develop targeted solutions based on a better understanding of the full scope of the issue, resulting in more effective interventions.'

> Put simply, coordination is often seen as necessary to reduce the gap between the government's stated intentions and the reality experienced by citizens. Several studies on whole-of-government approaches conclude that a gap between talk and action often occurs because of significant barriers to coordination (Gregory. 2006)

2

THE NEED FOR COORDINATION IN THE FIELD OF SOCIAL PROTECTION

2.1 OBJECTIVES

A country's social protection strategy - and the definition, implementation and operation of its social protection system - is by definition multi-sectoral and involves the different layers of the administration which calls for coordination at the policy, programme and administrative levels, as well as for vertical coordination across the different layers of the administration.

Having completed this section, the participant will have:

- A good working definition of coordination for social protection
- Knowledge of how coordination and integration underpin the Social Protection Floor approach
- A good conceptual understanding of how coordination occurs as a continuum of joint activities

2.2 DEFINITION OF SOCIAL PROTECTION COORDINATION

In the social protection (social policy) context, coordination refers to different stakeholders in policy, programming and delivery processes working together (conducting joint activities) to reduce vulnerability and alleviate poverty.

It can be defined as the alignment and harmonization of all stakeholder activities (at the programme and administration level) coherently and holistically to reach identified and shared objectives (at the policy level). A vertical link (vertical coordination) is also required between the policy and the operational levels.

2.3 THE SOCIAL PROTECTION FLOOR PROPOSES A HOLISTIC APPROACH TO SOCIAL PROTECTION

The Social Protection Floor (SPF) approach, developed by the International Labour Organization (ILO) offers an integrated set of social policies intending to promote a comprehensive, coherent and coordinated approach to social protection (SP) to ensure that recipients are assisted throughout their lives.

The SPF is an approach underpinned by the principle of social justice that:

- Guarantees universal access to basic health services along with any other needs as defined by national priorities
- Guarantees access to basic income security in the form of social transfers for children, the elderly, and people with disability, as well as income-support benefits for the unemployed and working poor.

The Social Protection Floor concept is based on a holistic and coherent approach to social protection (system approach). The concept holds particular promise for women, people with disability and other groups who are over-represented among those excluded from social protection programmes, and contributory social security schemes (Staab 2015). However, long-term solutions to poverty reduction and related goals of social protection must be accompanied by policies that enable women, people with disability, and other vulnerable groups access to decent work. The concept of a Social Protection Floor promotes horizontal coordination (i.e. across sectors) and a systemic approach to the development of comprehensive social protection.

2.3.1   Coordination within the social-protection system in the SPF approach

- The horizontal dimension of the Social Protection Floor, i.e. universal coverage, results from the coordination of existing schemes and programmes and the development of a strategy to fill the gaps. Therefore, good coordination between the various organizations in charge of providing transfers and services is required for the design and implementation of a Social Protection Floor. Horizontal coordination requires good communication of programme objectives and components, including complementarities. A failure to communicate these may result in decisions being made at the implementing sub-national level which may have unintended consequences. For example, in Zimbabwe, when the Harmonized Social Cash Transfer (HSCT) was first implemented, staff at the district level removed HSCT households from another social assistance programme, the Basic Education Assistance Module (BEAM) for schooling. This indicated a gap in understanding that the intent of the "harmonized" programme was to integrate it with other complementary support, and subsequently, this led to fewer impacts of the cash transfer on school enrolment than it had been seen in similar programmes in other countries. In Kenya, people with disability who have a disability identification card were often unaware of the full range of social protection benefits available to them, as each required a separate application with different agencies and information about each was often not provided during enrolment. Thus, horizontal coordination requires improved communication across programmes as well as simplification of application procedures where feasible.

- The realization of the vertical dimension also requires coordination mechanisms to be installed. Indeed, it is expected that the different stakeholders will complement each other to provide better quality in social protection provision – e.g. more adequate and comprehensive benefits packages - taking into account and progressing toward minimum international standards. Vertical coordination also requires good communication between national and sub-national levels of staff regarding the motivation behind certain design elements, particularly those which address gendered and disability-related vulnerabilities. Lack of this communication may fail to implement key programme components as intended. For example, in Ethiopia's Productive Safety Net Programme (PSNP), in one of the programme's gender-sensitive design elements, households with women who become pregnant are moved to Temporary Direct Support (TDS) and their households are meant to be exempt from participation in the public works programme for 12 months. Implementation of protocols to transition eligible women to the TDS programme requires effective coordination of several frontline agencies, working in different sectors, including Social Workers, Health Extension Workers and Development Agents. However, the roles and responsibilities of these actors often overlap, and clear procedures are needed to identify, assess eligibility, and refer clients to TDS. A lack of clear procedures in the past has led to significant gaps in TDS enrolment, as well as delays in the transition of households with pregnant women into TDS, and this can have negative effects on women's and children's health and survival outcomes. Moreover, implementers often require that another household member participates in public works as a substitute, but this runs counter to the programme's design intent.

Two key guiding principles of Recommendation No. 202 relate to coordination:

- Moving away from the usual segmented approach of social protection (social assistance versus social insurance), and to better support people across their life cycles and provide them with accurate support, it is essential to coordinate between contributory and non-contributory schemes and to envision the portability of entitlements, thus leaving no one on the sidelines.

- Social protection floors should be integrated into national development plans and the specific means of implementing them – including coordination modalities - are flexible and left to the country itself.[5] The design and implementation of SPFs should be organized according to domestic working patterns that enforce coordination and collaboration among all the multiple stakeholders.

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5   Social Protection Floor: For a Fair and Inclusive Globalisation. Report of the Advisory Group Chaired by M. Bachelet.2011. Geneva: ILO

Box 1: Aspects of the Social Protection Floors Recommendation, 2012 (No. 202) which refer to coordination

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

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

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

Source: ILO Recommendation 202

2.3.2   Coordination between the social-protection system and other areas of public policy in the SPF approach

Figure 1 SPF: integrated social policies to protect and empower people across their life cycles
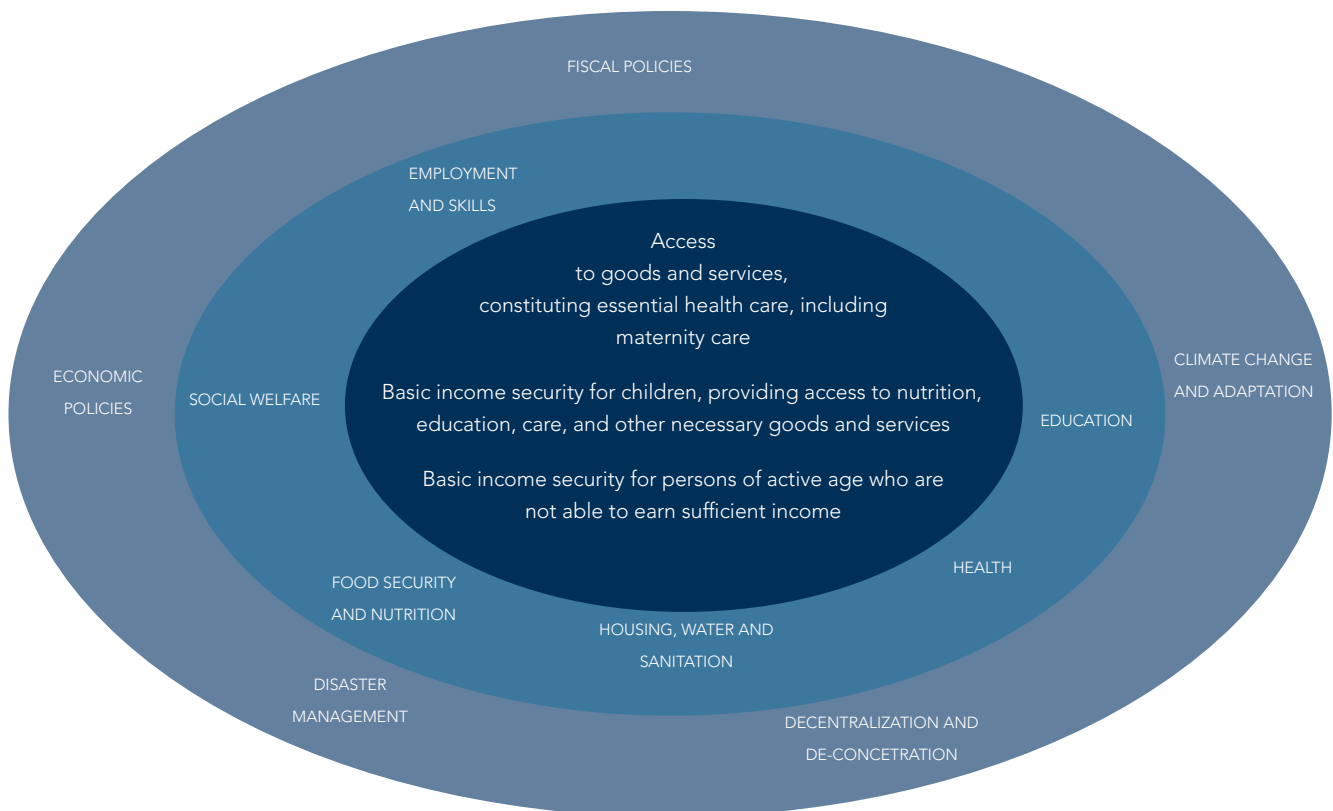
Source: Adapted from:
"A Fair Globalization: Creating Opportunities for All", February 2004, ILO

The SPF approach recognizes that social protection cannot function as an isolated and stand-alone field[6]:

- It is interrelated with a range of social policy domains: health, food security, education, formalization, and employment policies.

- It is also firmly linked to economic development policies through its positive impact on local economies, household productivity, and labour market participation (including among women and increasing their access to productive assets, as well as facilitating social and economic participation among people with disability), which in turn result in more sustainable and equitable growth. In Ethiopia, for example, female recipients of the PSNP are preferentially targeted through gender quotas to enrol in complementary livelihood programmes to improve their business skills and income-generation outcomes.

- Social protection can also improve human capital development. For example, it can ensure that children –including children with disability - receive the investments they need in health and education to maximize their capabilities and reach their full productive potential as adults. However, to fully maximize the productive impacts of social protection, investments must be simultaneously made in inclusive education, health and linkages to complementary services, which can further address barriers to productive participation.

- Acknowledging the role of private households and particularly women in providing care, social protection policies should also be coordinated with gender equality and women empowerment strategies. These strategies include acknowledging and addressing women's disproportionate engagement in unpaid care and the informal sector (which subsequently reduces their access to and amounts paid from pensions) and creating linkages to complementary services to address these disadvantages. Complementary services can include literacy training, vocational training, agricultural inputs, efforts to increase women's financial inclusion, childcare, legal aid, and support for survivors of intimate partner violence (Staab 2015). To achieve this coordination, gender budgeting is needed across programmes and agencies.

- Social protection policies should also be coordinated with broader disability-inclusive planning, such as in inclusive education, health and employment services, rehabilitation, supportive living, long-term care and accessible infrastructure and communication systems. As governments implement and expand social protection floors, it is important to ensure these floors are inclusive of people with disability. For example, guarantees for basic education must include inclusive education and essential healthcare must be disability-inclusive and address disability-related health needs (e.g. rehabilitation). To achieve this coordination, UNCRPD-compliant budgeting is needed across programmes and agencies.

- Social protection policies can be linked to disaster risk management and climate change adaptation, which shares common objectives. People living in poverty, women and children, people with disability, and other groups are often the most vulnerable to the effects of climate change and covariate shocks, but at the same time, have the fewest resources to cope with adverse climate events. Shock responsiveness can be embedded across all dimensions of a social protection framework, but this requires efforts at many levels.

- To ensure the sustainability of SPFs, it is critical to ensure the coherence between social protection policies and the national financial, fiscal, and economic contexts. To that extent, ministries of finance, as well as budget and planning offices and international financial institutions are key stakeholders in the coordination effort.

- Social protection benefits should be delivered close to where people live and work, and efforts should be made to ensure they are accessible to people with disability, women, and other groups that may face barriers to accessing payments. This impacts the administrative structures of a country. Thus, it is important to ensure that social protection policies are consistent with decentralization and deconcentrating policies and reforms.

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6   Article 10 of Recommendation No. 202

2.3.2.1 Consistency between social protection and decentralisation policies

An increasing number of African countries are gradually devolving decisions around programming and resource allocation to sub-national levels. On the one hand, devolution can create opportunities for collaboration across sectors by ensuring that coherent policy and programming responses are closely adapted to local needs and specific contexts, but it can also create challenges. De-concentration of administration appears to allow some coordination between various sectors, particularly where district-level coordination meetings occur, allowing sharing of knowledge between sectors. With some devolution of power, useful adjustments of programmes to local conditions can be made. On the other hand, until adequate capacities are in place at local levels the initial steps of devolution (e.g. new laws, rules, and organizational structures) are unlikely to make much difference. Devolution without adequate capacity building may also lead to inconsistent and inequitable approaches to implementation. For example, determinations of disability for disability-targeted programmes can become inconsistent across administrative areas if programme staff are not adequately trained on disability.   Moreover, where powers for social protection programmes are held at different levels, devolution can make collaboration across the sectors even more complicated. For example, in Kenya and Peru (Slater et al., 2016c; Espinoza et al., 2016) agricultural powers are devolved to counties, whereas social protection is centralized.[7]

2.4 THE CONTINUUM OF RELATIONSHIPS

'There is no universal approach to how these actors should work together since this depends on several factors including institutional capacities, issues to be addressed, size of the population to be reached, etc.'

The relationship between two or more actors is situated along a continuum of intensity and depends on the following:

- What outcomes are the stakeholders trying to achieve?

- What is being shared?

- What are the accountability risks or resource implications?

Coordination can range from the less complex or 'looser' arrangements – where two sectors may simply share knowledge and objectives whilst planning policies and programmes separately – to a more complex and integrated arrangement where objectives, activities and resources (human, financial and IT) are shared.

Some examples include:

- Sharing information, knowledge and expertise on developing policies and strategies, programme or service design or delivery, evaluation and adjustment of programmes, and services

- Sharing resources without sharing work or personnel where the pooling of resources is used to gain access to a greater set of resources or funds for programme or service delivery

- Joint decision-making and collaboration concerning planning, implementation and review of programmes

Coordination can be seen as part of a continuum of relationships which require gradually increasing levels of trust and the sharing of resources, risks and rewards. The continuum may start with networking (no sharing of resources), then move to coordination (minimal sharing of resources), to cooperation (some sharing of risks and rewards), to collaboration (sharing of risks, responsibilities and rewards) and finally to integration in the form of merging programmes and structures into one.[8] This is captured in the table overleaf[9]

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7   Food and Agriculture Organisation (FAO) of the United Nations (2016), "Strengthening coherence between agriculture and social protection to combat poverty and hunger in Africa: Framework for analysis and action"

8   The Presidency: Department of Performance Monitoring and Evaluation (2013) Impact and implementation Evaluation of Government Coordination Systems – International Literature Review, DPME: Pretoria.

9   State Government Victoria (2007) Victorian approaches to joined up government, State Government of Victoria State Services Authority: Melbourne

There are also different types of approaches to strengthening programme coordination which are explored further in section 5 of this module.

Table 2. Continuum of relationships

NETWORKING	COORDINATING	COOPERATING	COLLABORATING	INTEGRATING
Exchange of information for mutual benefit	Exchange of information for mutual benefit	Exchanging information	Exchange information	Integrated sharing of information (e.g. one database of recipients)
Informal relationship	Formal relationship	Formal relationship	Formal relationship	Formal relationships reflect the diversity of skills and thinking
Minimal time and trust	Requires moderate time and trust	Substantial time and trust required	Extensive time and trust required	Extensive time and trust required
No sharing of resources	Minimal sharing of resources	Sharing resources to achieve a common purpose	Sharing resources and enabling the enhancement capacity of another to achieve a common purpose	Merging of resources (human, financial, IT facilities, property etc)
Limited alteration of activities	Alter activities	Alter activities and some sharing of risks and rewards	Alter activities and share risks, responsibilities and rewards	Integrated(joint) planning and delivery of programmes/ agencies/ structures

Source: Adapted from: "A Fair Globalization: Creating Opportunities for All", February 2004, ILO

Note

- With the shift towards integration, the coordination mechanism will become more complex as it will be institutionalized to make sure the social protection services across various ministries are fully merged.

- Integration is more than a mere sharing of responsibilities or mandated authority. It usually involves shared management and ministers from relevant agencies to be collectively accountable for the results of the arrangement.

- A truly integrated approach at the right-most end of the continuum requires common goals, recognised interdependencies, high levels of commitment, and shared responsibilities and rewards.

2.5 TAKE-AWAY LESSONS

- Vulnerability is multi-dimensional in nature and therefore needs to be tackled on many fronts through a well-coordinated, multi-sectoral response.

- The concepts of coordination and integration are core principles which underpin the Social Protection Floor. This approach specifies the need for an integrated set of policies and programmes aimed at protecting and empowering citizens throughout their life cycles.

- Joint activity can be viewed along a continuum of relationships ranging from networking through to coordination, cooperation, collaboration, and integration.

3

INTRODUCTION TO LEVELS OF SOCIAL PROTECTION COORDINATION

To be truly effective horizontal coordination needs to take place at three different levels: policy level, programme level, and administration level. In addition, a mechanism to ensure vertical coordination across these different levels has to be part of the coordination efforts. This will ensure a holistic approach from planning to implementation.

It will also ensure that the institutions and mechanisms necessary to effectively address multiple vulnerabilities will be put in place in an integrated and holistic way.

3.1   OBJECTIVES

Having completed this section, the participant will have:

- Knowledge of the need for horizontal coordination at different levels of the social protection system including the policy level, programmatic level, and administrative level, and knowledge of the actors at each level of the system.

- Knowledge of the need for vertical coordination mechanisms.

3.2   CONCEPT MODEL FOR SOCIAL PROTECTION COORDINATION

Box 2: Coordination along vertical and horizontal structures:

Horizontal coordination takes place across ministries where SP policies are operationalised by activities across sectors.

Vertical coordination takes place along the hierarchy of structures or different structural levels; for example, national, sub-national / district / provincial / regional, and local / municipal / community levels.

Source: Authors

How the different levels of coordination work together to strengthen the overall social protection system is depicted in the following diagram, in the shape of a house.

- The social protection system is comprised of a set of components which can operate separately but are interlinked and complement each other as a system to achieve the overall goal of preventing and alleviating poverty, vulnerability and social exclusion. Together, they ensure universal access to basic health care, and income security for all (child transfers, social protection during working age, and pensions).

- The foundation for the system is provided by integrated national social protection legislation, policies and strategies together with an adequate budget dedicated to social protection and financed by national resources (taxes and contributions). This is where horizontal coordination at the policy level is critical because it seeks to ensure overall policy coherence across government (different line ministries being responsible for different components of the system).

- Horizontal coordination at the programme and administrative levels cuts across these pillars and facilitates the alignment, integration and harmonization of programmes and the sub-systems that support them.

- Vertical coordination ensures the overall consistency between the foundations and the delivery of social protection programmes. It should include bottom-up and top-down flows of information and resources.

Figure 2: Different levels of coordination of the Social Protection System
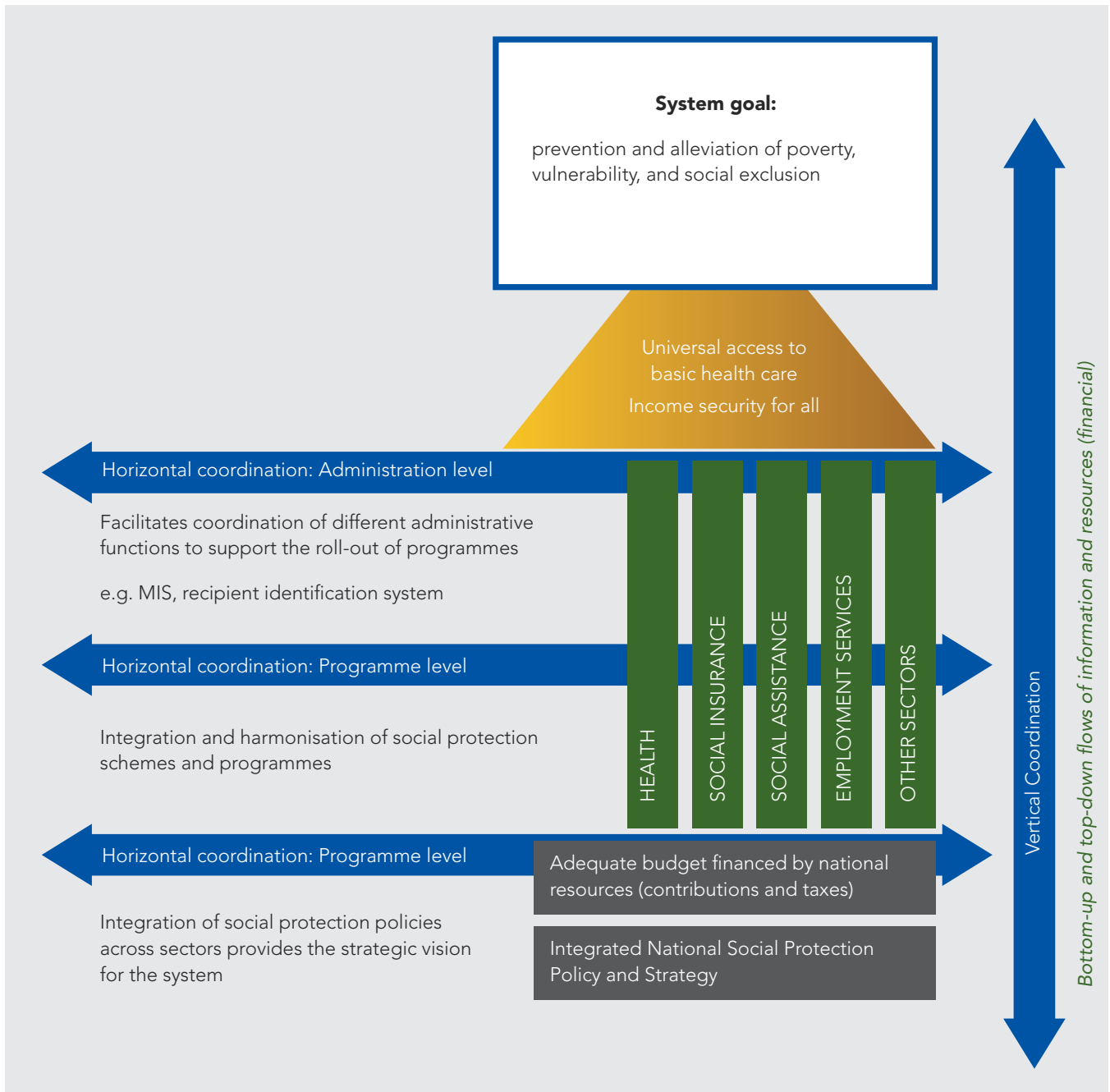
Source: Authors

3.3 HORIZONTAL COORDINATION AT THE POLICY LEVEL

Aim: Ensuring overall policy coherence across government bodies.

The policy level is the highest level of engagement, where the objectives and functions of the social protection system are defined in the context of national goals and parameters.

- It includes the overall strategic vision to improve integration and coordination across programmes and functions.
- Policy and legal frameworks are developed to establish guiding principles to support social protection and intersectoral coordination.
- The choices about programmes and their mandates are made at this level.
- It assists in mapping out the financial and institutional arrangements that need to be put in place to facilitate coordination between different ministries and sectors.
- It provides a high-level commitment and guidance on mainstreaming inclusive principles and objectives into policy frameworks.

3.4 HORIZONTAL COORDINATION AT THE PROGRAMME/INSTITUTIONAL LEVEL

Aim: improving the design of existing programmes and promoting harmonization across the portfolio of programmes.

At the programme/institutional level, efforts can be made in the design of programmes to make them better coordinated and linked to other programmes and sectors.

- Issues relating to the integration and harmonization[10] of similar social protection schemes and programmes are addressed at this level.
- The focus is on identifying and maximizing synergies and strengthening linkages between programmes in different sectors. For example, linking social assistance recipients to active labour market programmes (such as public works or vocational training), literacy training, agricultural inputs, efforts to increase women's financial inclusion, childcare, disability-related services (e.g. personal assistance, rehabilitation, assistive devices, inclusive education resources) legal aid, and support for survivors of gender-based violence; or linking social assistance and social insurance schemes for workers in the informal economy.
- If a programme functions as part of a coherent system and network of responses, it is more likely to have a greater impact on welfare.[11]
- When social protection programmes are aligned with poverty reduction as well as social inclusion strategies, this results in more multi-sectoral coordination which enables countries to provide solutions in a more holistic and development-oriented manner, including for vulnerable groups, such as women and girls, people with disability, older persons, ethnic minorities, and others .[12]

3.5 HORIZONTAL COORDINATION AT THE ADMINISTRATIVE LEVEL[13]

Aim: improve efficiency in delivery, enhance the quality of service from the perspective of users, and reduce duplications and transaction costs.

This level includes the coordination of systems that support the roll-out of one or more programmes. The focus is on the 'nuts and bolts that facilitate the core business processes of social protection programmes.

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10 Integration might entail the closing down of some programmes and the transferring of recipients to new or consolidated programmes, whereas harmonisation implies improving coordination across programmes (Robalino, Rawlings and Walker 2012: 17).

11 Rawlings et al 2013

12 Rawlings et al 2013

13 Rawlings et al 2013

Different functions of social protection programmes can be part of a coordination effort (including in accessible formats for people with disability) at the administrative level:

- Provision of information to recipients and outreach (i.e. communication) to people with disability
- Identification and registry systems and selection criteria
- Enrolment of recipients
- Collection of contributions
- Payment and benefit distribution systems
- Grievance and redress mechanisms
- Monitoring and evaluation

The most relevant international experiences regarding the set-up for coordination at the administrative level can roughly be summarized as:

- **Integration of social protection back offices:** The use of an integrated management information system (IMIS) as a platform for interconnecting different programme MISs and creating areas for potential integration between programmes.

- **Integration of social protection front offices:** The use of a single entry point for recipients to access the social protection systems ("single counter administration", "single window services", "one-stop shops", etc.)

- The depth of integration varies. An IMIS can be limited to the selection of recipients, while in some other cases it would cover functions such as monitoring and evaluation (e.g. Turkey). Similarly, the single entry point is used to deliver information in some cases while it performs registration and the delivery of cash in other countries (e.g. Mongolia). Some countries (e.g. Mauritius) have combined IMIS with single entry points. This is explored further in section 6 of this module.

3.6 VERTICAL COORDINATION

Aim: ensure consistency, responsiveness to local context and accountability in programme implementation

- Coordination is considered to be 'vertical' when it takes place between the different levels of government (federal, national, provincial/regional, district, and commune/village) to guarantee the implementation of the defined policies, the financial sustainability of the social protection system, and the decentralized delivery of social transfers to recipients.

- Vertical coordination is based on the recognition that each layer of the social protection system depends on the other layers to perform its duties. For instance, the operational layer needs to respect the parameters of the schemes defined at a higher level. Reversely, the planning layer requires certain types of information from the field to be accurately completed.

Objectives of vertical coordination are to:

- Ensure consistency with policy vision and programme design during the implementation
- Improve the efficiency of the administration through the principle of subsidiarity by empowering local administrations and other structures at the local level
- Improve the level of information, accountability, and ownership at all levels

3.7 TAKE-AWAY LESSONS

- In order to be truly effective, coordination of the Social Protection system needs to take place at the policy level, programme level and administration level.

- Vertical coordination is also required to ensure the consistency between the policy and the operational levels.

- This will ensure overall policy coherence across government; improve the design of existing programmes; and lead to harmonization across the portfolio of programmes and the sub-systems which support them.

4

COORDINATION AT THE POLICY LEVEL

The understanding and subscription of all stakeholders to the vision of social protection and the implementation path promoted are essential to ensure the effective development and implementation of the social protection system. Nationally defined Social Protection Frameworks (SPFs) should be developed through a strong and inclusive coordination effort at the policy level to reach a common understanding of national goals, priorities, and development strategies. The major objectives of the coordination effort at the policy level are to define the national SPF and create a road map for its implementation.

4.1 OBJECTIVES

Having completed this section, the participant will have:

* An understanding and appreciation of some of the components of good coordination at the policy level

4.2 DIMENSIONS, OBJECTIVES AND INSTRUMENTS FOR POLICY LEVEL COORDINATION

The policy level is the highest level of engagement, where the objectives and functions of the social protection system are defined in the context of national goals and parameters.

This chapter explains the key enablers and components of coordination at the policy level.

Table 3: Coordination at the policy level, in summary

DIMENSIONS OF POLICY LEVEL COORDINATION	OBJECTIVES	MAIN INSTRUMENTS
• Coordination among different departments and agencies operating within a single ministry • Coordination among different line ministries involved in social protection (including the Ministry of Finance) • Coordination among the government and relevant stakeholders (social partners, civil society including OPDs, and development partners)	• Develop a shared vision of the SPF in a country, consistent with related policies and aligned with the specific culture and history of the country, informed by gender, disability and other relevant assessments to understand how gender inequality, discrimination of disability and other forms of exclusion (for example against people with disability, ethnic minorities, etc.) drive poverty and hinder development • Define the roles and responsibilities of the different stakeholders in a way that complements each other • Install the entity and indicators (including indicators that are gender-responsive and disability-inclusive) required to monitor the implementation of the SPF	• Set up social protection teams • Use national dialogue to assess the social protection situation and formulate recommendations to achieve a nationally defined SPF • Define a realistic national social protection strategy with clear, shared priorities, including improved gender equality and inclusion of women and girls, people with disability, older persons, ethnic minorities, and others • Install a board, council or committee to monitor implementation of the road map, which includes members of social protection target groups (e.g. people with disability, and women), as well as civil society organisations representing the interests of these groups. • Install a common monitoring and evaluation system for the SPF • Create financial support for coordination by using joint government and joint donor funding mechanisms (basket funding); Sector Wide approaches to financing; and designing national social protection funds.

Source: Authors

The sections below provide insight into some additional instruments to achieve policy coordination: stakeholder analysis, establishing a technical working group, developing a social protection policy and establishing institutional arrangements for policy coordination

4.3 CONDUCTING A STAKEHOLDER ANALYSIS TO IDENTIFY THOSE WHO SHOULD BE INVOLVED IN THE COORDINATION EFFORT AT THE POLICY LEVEL

Box 3: What is a stakeholder?

A stakeholder is a group or individual who can affect or be affected by the achievement of a particular outcome.

Source: "Factors for Successful Coordination", State Services Commission, February 2008, New Zealand Government

An initial step in improving policy coordination is to establish who the relevant stakeholders are concerning social protection to include them in the process of policy development or review. The following list includes some of the typical main stakeholders in social protection:

- Government staff involved in i) managing the design and implementation of social protection policies and programmes (e.g. ministries of welfare, agriculture, labour); ii) financing interventions (e.g. ministries of finance, parliamentary committees); and iii) supporting cross-sectoral coordination (e.g. ministries of planning, national and decentralised steering committees, sector working groups);

- Development partners that financially and/or technically support government-run social protection policies and programmes; and

- Civil society organisations including research organisations, non-state service providers, organisations of Persons with Disabilities (OPDs) and community-based organisations engaged in advocating and providing social protection services, for vulnerable groups such as women and girls, people with disability, older persons, ethnic minorities, and others.[14]

Some points for consideration in the stakeholder analysis:

- Early engagement with stakeholders can be both a benefit and a risk. It takes time to build shared trust and understanding; therefore, it is important to start early to build a general sense of ownership and willingness to work together.

- At the same time, expanding a network too early can make consensus harder to build. As such, the initiators of a joint activity need to think carefully about who to engage and when. However, it is important to conduct gender, disability and other vulnerability analyses early on, and to consider programme objectives, design, and implementation elements which can address drivers of poverty and exclusion such as gender inequality, disability exclusion etc. early in programme development. Failure to do so early in the process may lead to these considerations not being fully integrated later on.

- It is important to identify who the champions of social protection are. Champions are most likely to be present in the Ministries of Social Development/Welfare/Community Development/Social Welfare. Additionally, there may be champions in other government institutions, such as a Council for Children and Youth or a similar body.

- Senior leader investment of time and energy in supporting and modelling coordinated activity is a key factor for successful coordination. A senior-level champion can raise the profile of the initiative and motivate the team in the coordinating structure.

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14 FAO, 2016

- Civil society's role is often that of a watchdog. As such, its vigorous advocacy for the poor sometimes creates tension with the government. Some civil society organizations interact closely with the government while others take a more adversarial approach. Both strategies can affect how government addresses the need for social protection. For example, organisations of people with disability (OPDs) often play leading roles in representing their members' concerns and advocating for changes to social protection policies that support greater access or impact for people with disability. OPDs can also work with governments in the development and implementation of social protection, for instance, in Nepal, OPD members have been involved in training staff on disability and are included in disability assessment panels that make enrolment decisions for disability-targeted social protection programmes. In Ghana, OPDs are supposed to be involved in the disbursement and management of the Disability Fund (budget allocations for disability-related services and programmes, including social protection), although there are concerns from OPD members that this involvement is tokenistic and that they remain excluded from decision-making processes (Opoku & Nketsia 2021).

- The organized business community can exert an important influence on policymakers, notably by requesting strong government accountability for public service and public finance and expressing concern for value for money. Some businesses also engage directly in public-private partnerships or stand indirectly to gain from social protection services in the immediate term (food industries, telecommunications, banking /financial intermediaries, health sector, etc.). Opening the political process to give these stakeholders a voice can help reinforce the notion that investment in social protection is good for business.

Table 4: Stakeholder Analysis – Example Questions

QUESTION	ANSWER
Who are the champions and allies that will push to make social protection a central issue?	
What are their specific interests and objectives?	
Is the focus of social protection income, poverty, or human capital development?	
Are there particular priority groups (e.g.people with a disability, women and girls)?	
What existing programmes reflect policy priorities?	
What are the gaps in these programmes (including for specific target groups, such as people with disability and women and girls)?	
Who are the adversaries of social protection?	
What are their concerns?	
Does social protection spending compete with their priorities or are there other factors driving their positions?	
Are there non-government allies?	
What are the risks of involving civil society?	
Does the government have a cooperative or confrontational relationship with civil society?	

Source: Authors

4.4 IMPROVING COORDINATION THROUGH SOCIAL PROTECTION POLICY DEVELOPMENT OR REVIEW

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

The development/review of a social protection policy can be instrumental in establishing grounds for effective coordination at the policy level. As specific policy entry points differ across countries, actors should identify which processes and frameworks are most relevant and feasible for engagement within their contexts.

4.4.1 Setting up a social protection working group for social protection policy development or review

To ensure that the social protection policy is developed and reviewed in an integrated and comprehensive manner, preventing the various stakeholders from working in silos, a coordinating advisory structure could be established. This could be in the form of an inter-ministerial / inter-agency team or working group to provide a platform to share information and knowledge among social protection practitioners. The creation of such a team could also strengthen the impact of policy and technical advisory services provided to governments since this guidance would be collegially discussed.

Key issues to consider when setting up such a team or working group includes:

- **Leadership, mandate and accountability:** The team or working group should be led by a ministry with sufficient leadership capacity. The structure should also have a clear mandate to undertake the review process and it should be clear who this coordinating structure is reporting to as well as the scope of its decision-making power.

- **Membership:** The team or working group needs to be representative of various government institutions involved in the field of social protection, as well as representatives of other stakeholders, business and the labour movement, developments partners, and relevant civil society organizations, including those working on issues related to gender inequality, the inclusion of people with disability, and other vulnerable groups. Direct representation from individuals from target groups (e.g. people with disability, women and girls) should also be mandated. If a range of donors are supporting the social protection policy development or review it is useful to coordinate the engagement with them.

- **Roles and responsibilities:** Each of the coordinating structure members should have clearly defined roles and responsibilities which could be spelt out in a Terms of Reference or a Memorandum of Understanding. The appointed government officials attending the meetings should be senior-level and should attend all meetings. It can be useful to develop a yearly meeting plan at the first meeting to increase the chance of full attendance thereafter.

4.4.1.1 Developing or reviewing social protection legal framework, policy and strategy, operational plan and monitoring and evaluation framework

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

- The preparation of such a policy and strategy also forces a country to ensure the coherence of social protection development policies with other national policies, notably concerning available funding (fiscal space allocation). These strategies should be based on pertinent context-specific targets (including some that are gender-responsive and inclusive of people with disability, ethnic minorities, the elderly, or other marginalized groups), clear and well-established theories of change, and sound results-based management approaches which ensure the capacity to plan the right interventions where and in the way that they need to be.

Key components of the social protection framework should be:

- **Policy document**

  As social protection covers several different sectors, a national social protection policy needs to be comprehensive, responsive to vulnerabilities, and inclusive. A social protection policy needs to be aligned with the country's national development plan and policies for specific target groups (e.g. national disability legislation, UNCRPD). Coordination should be recognised as a guiding principle of the policy and it should contain details of the institutional arrangements required for both horizontal and vertical coordination of social protection.

- **Detailed operational plan.**

  Once a national social protection policy and strategy has been developed, it needs to be operationalized through an operational plan. This plan will determine (i) the specific programmes and activities that need to be undertaken; (ii) the ministries/departments responsible for completing these programmes and activities; and (iii) the resources (both people and financial) to complete each of the programmes/activities.

- **Costing**

  Costing of the operational plan should be undertaken as the development of the policy should be based on the consideration of available financial resources and allocation of the required resources. Budgeting should include resources for gender equity considerations and disability inclusion in line with UNCRPD commitments (e.g. accessible communication, and infrastructure).

- **Legal framework**

  The various policies, strategies and plans can be consolidated into a comprehensive legal framework for social protection. Such a framework can reinforce a common vision of social protection and establish the basis for coordination between the key partner ministries. For example, the Government of Mozambique has developed a legal framework for social protection which includes the following components: (See also ▤MODULE LEG)

1. The Basic Social Protection Law is composed of three pillars: basic social protection; mandatory social security, and complementary social security;

2. The Regulation for the Basic Social Protection Subsystem,

3. The Regulation for the Coordination of the Mandatory Social Security System; and

4. The National Strategy for Basic Social Security.[15]

These components are consolidated into one document entitled the Legal Framework for Basic Social Security (2012). Similarly, the Government of Zambia is in the process of developing a comprehensive SP legal framework which is made up of the following elements:

1. The National Social Protection Policy (2014);

2. The Draft NSP Bill brings together three elements - basic social protection, mandatory social protection and complementary social protection, as well as the social protection institutions that coordinate and implement them. The Draft Bill proposes a set of institutional arrangements for the establishment of a national social protection system including the National Social Protection Council; the Basic Social Protection Coordination Unit; the National Social Security Agency.

3. The Social Protection Coordination Strategy provides a common framework and shared vision for the coordination of social protection at three different levels: policy level, programme or implementation level, and administrative level. The overall purpose is to ensure better levels of harmonization and coordination of social protection programmes and services as a means of ensuring a multi-sectoral approach and the strengthening of inter-ministerial cooperation.

- **Monitoring and evaluation framework and system**

The strategy should be based on pertinent context-specific targets (including some that are gender-responsive and inclusive of people with disability, ethnic minorities, the elderly, or other marginalized groups), clear and well-established theories of change, and sound results-based management approaches which ensure the capacity to plan the right interventions where and in the ways that they need to be.

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15 Republic Of Mozambique, Ministry of Women and Social Action, "Legal Framework For Basic Social Security In Mozambique", Maputo 2012

The monitoring and evaluation (M&E) framework and system is an important tool for the effective coordination of social protection management and service delivery. It should contain a set of core indicators to measure the outcomes and impact of coordination and integration of social protection services at all levels of government. (see ▤ M O D U L E M&E).

These outcomes should be tracked using an equity lens, disaggregating data by gender, disability status, ethnicity and other known vulnerabilities to ensure the programme is equitably reaching all recipients and leading to positive impacts.

Regular evaluations should be conducted to assess the level of coordination of services and programmes at the national, provincial, district, and local levels. These evaluations should also consider how the level of coordination affects access and programme impact for different target groups, including people with disability, and women and girls.

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

Box 4: Example: Using a national dialogue to assess the current situation, define the social protection floor, and identify shared priorities

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

Figure 3: The three steps of the ABND

Step 1: Building the assessment matrix

| 1. What is the social protection situation? | 2. How far are we from the achievement of SPF? | 3. What should be done to complete the SPF? |

Step 2: Costing policy options

| 4. How much would it cost today and in the future? | 5. Can the Government afford it? Do we need to increase the fiscal space? |

Step 2: Costing policy options

| 6. How to ensure that the recommendations are endorsed | 7. How to advocate for the SPF as a whole or specific recommendations? |

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

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

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

The case study below illustrates the importance of following a participatory, multi-stakeholder process to develop a comprehensive national social protection policy in Zambia.

Box 5: Case study: Developing a National Social Protection Policy (NSPP) in Zambia

Executive summary:

This case study demonstrates how the Government of Zambia followed a participatory, multi-stakeholder process to develop a comprehensive NSPP.

Background information:

The Government of Zambia recognized that the development of a National Social Protection Policy (NSPP) was a critical step towards addressing challenges with coordination, as it would provide the overarching policy framework for an effective and sustainable response to poverty, vulnerability, and deprivation. The process of formulating the NSPP started in 2012 with the establishment of an inter-ministerial Technical Working Group (TWG).

The problem:

The social protection sector in Zambia was experiencing the absence of coordination and integration mechanisms for the development and delivery of SP services, which led to programme overlaps and fragmentation in the sector. Studies also indicated that many of the programmes being implemented were failing to reach or address the needs of the extremely poor and vulnerable. Thus a significant amount of public spending on SP was not contributing to poverty reduction amongst those who need it most.

Role players and their contributions:

The TWG was led by the Ministry of Community Development, Mother and Child Health (MCDMCH) which was the lead line ministry for national social protection policy formulation. Consequently, while the NSPP had policy measures for which the MCDMCH was singularly accountable, it would also contain indicative policy measures whose implementation mandates fell within the responsibility of other line ministries, departments and related stakeholders in the private sector, and civil society. Other key representatives on the TWG included: Labour and Social Security, Health, Education, Finance, Agriculture, Gender & Child Development, Civil Society Organisations, and Cooperating Partners. The TWG managed the process of consultation, designing, and drafting the National Social Protection Policy, to submit it to the Cabinet Office by the third quarter of 2013.

The solution:

The NSPP was expected to inform and guide the development of sector social protection policies and related interventions. The Government also envisaged that once developed, the NSPP would result in a framework for the rational monitoring and evaluation of social protection policies and programmes across sectors and institutions in the country.

Results/Outcome:

The TWG held a series of multi-sectoral meetings that resulted in a proposed skeleton framework for the NSPP. This tentative structure comprised the following pillars, which reflect a broad conceptualization of social protection and the critical significance of establishing a framework that lays a foundation for coherence and strong linkages between measures that address poverty, deprivation, vulnerability, and risk.

- Social assistance: non-contributory transfers (cash and in-kind), fee waivers, and subsidies to reduce poverty and vulnerability

- Social security: contributory insurance schemes (for pensions; [social] health insurance), labour market programmes, and schemes for the protection of workers – including maternity protection

- Livelihood and empowerment: micro-finance services, agricultural input supplies, women's empowerment programmes, functional literacy programmes

Box 5: Continued

- Protection from violence, abuse, and exploitation: legal protection for vulnerable groups, child protection systems, anti-human trafficking programmes, and anti-gender-based violence programmes
- For each of the four pillars above, existing policies, programmes, and legal provisions were identified. The TWG then completed an analysis of gaps and challenges that would underpin the formulation of policy statements for each of the pillars and their building blocks.

Discussion/ analysis:

The development of a NSPP is a positive step in terms of ensuring policy coordination at a national level. It provides a common framework for SP and is generally perceived as an 'umbrella' framework, which will lay the foundation for improved coordination and coherence of a country's SP system as a whole.

Transferability – Learning potential:

A key learning from this case study is that it is critical to pay attention to both the process and the product when developing a country's NSPP. Setting up a multi-stakeholder, inter-ministerial TWG to lead the process allows for the development of a common goal and agreed upon priorities across the various sectors.

Source: Authors

The Basic Social Security Strategy in Mozambique illustrates how four policy areas are harmonized to improve access to a 'package' of services for recipients.

Box 6: Example: Mozambique's National Basic Social Security Strategy (2016-2024)[16]

Mozambique's National Basic Social Security Strategy (ENSSB) 2016-2024 was based on targets set in the National Development Strategy 2015-2035, Agenda 2063 of the African Union, and the Sustainable Development Goals approved by the United Nations. This strategy intends to continue the actions carried out since the passing of the Social Protection Law in 2007, to build an effective and efficient basic social security system, and present a comprehensive approach for the social protection of the poorest groups of the Mozambican population.

The Strategy seeks to attain four fundamental objectives:

1. To strengthen the level of consumption and the resilience of the strata of the population living in situations of poverty and vulnerability;
2. To contribute to the development of human capital through improvements in nutrition, and in access to the basic health and education services by the strata of the population living in situations of poverty and vulnerability;
3. To prevent and mitigate the risks of violence, abuse, exploitation, discrimination, and social exclusion through the social welfare services;
4. To develop the institutional capacity to implement and coordinate the basic social security sub-system.

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16 Republic of Mozambique, "National Basic Social Security Strategy (2016-2024), Maputo, February 2016"

Box 6: Continued

It is thus operationalized through four axes of intervention which are aligned with these objectives:

Axis 1 – Strengthen consumption, autonomy and resilience: Makes operational the first objective of the strategy and covers actions which seek to strengthen, in the basic social security system, the functions of compensation for old age and functional incapacity, the reduction of poverty and social inequality and promotion of the autonomy and resilience of the poor and vulnerable strata of the population. It is envisaged that modifications will be introduced into the Basic Social Allowance Programme to establish allowances for elderly people and those who are functionally incapacitated. Through this Axis, the current Productive Social Welfare Programme (PASP) will be expanded and its role strengthened in promoting the autonomy and graduation of its recipients living in poverty. A further aspect included in this Axis is the strengthening of basic social security in response to shocks.

Axis 2 – Improvements in nutrition and access to health and education services: Focuses on actions that promote the development of human capital, through improving nutrition and access to health and education services (objective 2). This axis includes three components, namely the creation of child allowances, health social welfare and school social welfare, seeking to reduce the high levels of chronic malnutrition in children, expand the waiting houses for pregnant women, improve school meals and encourage access to the most vulnerable children to primary education.

Axis 3 – Prevention of and response to social risks: Concerns in the Social Welfare Services seek to prevent and respond to the social risks which mainly affect children, women, the elderly, the disabled, and people affected by HIV and AIDS (objective 3). This axis thus focuses on risks such as violence, abuse, exploitation, discrimination, exclusion, gender-based violence, negligence and abuse of children, isolation and marginalisation of elderly people and people with disability, and disinheritance, responded to by a system of social welfare services which ensure the provision of basic prevention and protection services to households and individuals, and the provision of more specialised services at the community level and through accommodation centres, when necessary.

Axis 4 – Institutional development: This is centred on the institutional development actions (objective 4) required to strengthen the capacity to implement the first three axes at all levels (central, provincial and in the districts). This axis includes four components which will guarantee the creation of the necessary capacity to expand the coverage and improve the quality of services, namely: (i) institutional reforms (ii) strengthening the systems for the operational management of the programmes, (iii) strengthening the human resources and (iv) coordination of the implementation of the Strategy.

The Strategy also specifies that an operational plan will be drawn up and implemented for the more detailed programming of the actions defined in the strategy including a calendar of the actions during the lifespan of the Strategy.

Source: Republic of Mozambique, "National Basic Social Security Strategy (2016-2024), Maputo, February 2016"

4.4.2   Strengthen coordination in financing for social protection

Coordination in financing can be strengthened through Cross-sectoral investment frameworks: these are key to turning policy statements into action and allowing different sectors to agree jointly on investment priorities and key features (e.g. target groups, geographic location, type of intervention) and to coordinate social protection financing within government and amongst donors. Instruments such as social protection sector financing and social budgets align government and donor financing with national priorities. Pooling funds into basket funding: when funding for different components of a social protection programme is channelled into one fund, thus simplifying harmonisation of planning and delivery of activities.[17]

4.5   INSTITUTIONAL STRUCTURES FOR POLICY COORDINATION

Ultimately, the shared vision of social protection would be embodied in one entity which could be a National Social Protection Board or National Social Protection Council. This entity should be responsible for the provision of policy guidance and coherence; making decisions and recommendations around the design and financing of social protection programming and services, and overseeing the coordination of social protection at the policy level. It should be held accountable for the successful and efficient implementation of the Social Protection system and should report to the Head of government and the Cabinet.

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

Figure 4: Example of the organizational set-up for coordination at the policy level
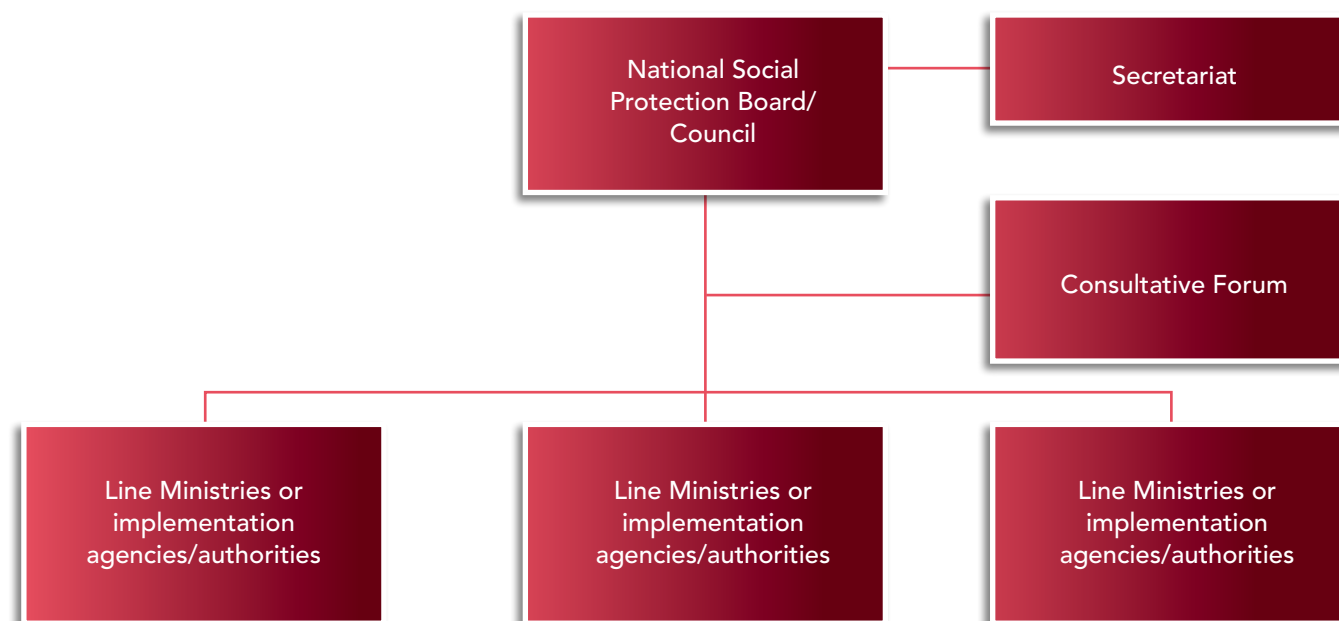
In the organizational structure depicted above, the National Social Protection Board/Council would be responsible for the development of a national social protection strategy and the review of each line ministry's policy before submission to the prime minister's cabinet or president's office. The Board/Council would also consolidate national statistical and administrative data on the extension of social protection and produce or update national coverage indicators as well as the performance of key social protection schemes/programmes, as it oversees the implementation of the national social protection strategy.

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17 FAO, 2016

Box 7: Coordination of contributory and non-contributory social protection:

A broader consideration of social protection beyond the non-contributory component is needed when designing institutional arrangements. The different "components" of social protection systems - contributory non-contributory - have different stakeholder groups and interest groups and often respond to different ministry agendas. This makes it both difficult and critically important to develop a functional institutional structure that includes both of these components.

Source: Authors

4.5.1 Key success factors for social protection board/council

Key features of the Social Protection Board/Council that is critical for its effectiveness:

- The Board/Council must have a clear mandate, ideally established by an act of parliament.

- The Board/Council should be led by a senior official with the capacity and legitimacy to lead the coordination and to report to the president's or vice-president's office or cabinet of the prime minister.

- To ensure attendance, it is crucial that a budget is provided and that coordination efforts are reflected in individual organization performance appraisals.

- It would be composed of representatives from the different ministries involved in the social protection field, as well as workers' and employers' representatives, civil society organization representatives (e.g. OPD members), and development partners' representatives.

- The number of members should be as limited as possible to ensure the effectiveness of the Board/Council in making decisions and orienting the social protection development in the country (e.g. one representative for all development partners should be sufficient, providing these actors have developed an internal coordination meeting ahead of the Board/ Council meetings).

- The Board/Council should engage regularly with stakeholders through a Consultative Forum to advise the decision-making of the Council on the integration and harmonisation of social protection programmes and services and the allocation of resources across line ministries. This forum should include diverse representation, including social protection target groups such as people with disability and women and girls.

- The Secretariat of the Board/Council should prepare the board meetings and agendas, and the questions to be discussed.[18]

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

4.6 CHECKLIST

Table 5: 'Checklist for coordination at the policy level'

COMPONENTS OF GOOD COORDINATION AT THE POLICY LEVEL	TICK √
Has stakeholder analysis been undertaken to determine who should be involved in policy coordination efforts at the policy level? Is the stakeholder analysis inclusive of different groups(e.g. of different sectors, inclusion of people with disability, women etc.)?	
Is there a comprehensive national social protection policy in place? Does it explicitly incorporate inclusive principles and objectives, including gender-responsive and disability-inclusive commitments?	
Is there a social protection strategy in place? Is there an alignment between policy and strategic objectives?	
Does the social protection strategy have an operational plan?	
Has a costing of the social protection strategy and operational plan been undertaken? Has disability and/or gender-specific components been considered in costing (e.g. inputs for accessible, inclusive design)?	
Is there a monitoring and evaluation system for monitoring the implementation of the SP strategy, including for different target groups (e.g. women and girls and people with disability)?	
Does the M&E framework contain a set of core indicators to measure the outcomes and impact of coordination and integration of social protection services at all levels of government, including for different target groups (e.g. people with disability, women, ethnic minorities)?	
Is there a social protection working group established to lead the development and review of the social protection policy? Does it include gender, and/or disability-inclusive focal points?	
Do donors coordinate their policy development/review of social protection efforts?	
Is there a high-level entity such as an SP Board/Council in place to provide policy guidance and coherence; make decisions and recommendations around social protection programming and services, and oversee the coordination of social protection at the policy level? Are specific safeguards in place to ensure inclusive objectives are properly mainstreamed in these processes?	
Does the SP Board/Council have a clear mandate, ideally established by an act of parliament?	
Is the SP Board/Council composed of representatives from the different ministries involved in the social protection field, as well as workers' and employers' representatives, civil society organization representatives, and development partners' representatives?	
Does the SP Board/Council have an adequate budget to ensure attendance?	
Does the Board/Council engage regularly with stakeholders through a Consultative Forum to advise the decision-making? Is the forum representative of different affected groups (e.g. of different sectors, targets of social protection, such as people with disability, women etc.)?	
Is the Board/Council led by a senior official with the capacity and legitimacy to lead the coordination, and to report to the president's or vice-president's office or cabinet of the prime minister?	
Does the Board/Council have a Secretariat to prepare the board meetings and agendas, and the questions to be discussed? Is the Secretariat well-resourced (e.g. staff and budgets) to carry out its coordination role?	

4.7   TAKE-AWAY LESSONS

- A stakeholder analysis is important in determining what actors should be involved in discussions on social protection coordination. Care should be taken to ensure that ministries, development partners, and non-governmental organizations working with women and girls, people with disability, older persons, ethnic minorities, and others are represented among these actors.

- Establishing a national technical working group for policy development or review can be a useful step in promoting coordination.

- A Social Protection Policy should be operationalized by a strategic and operational plan which should be costed and an M&E framework and system which contains indicators for monitoring coordination at all levels of government. To ensure inclusivity and responsiveness, outcomes should be tracked using an equity lens, disaggregating data by gender, disability status, ethnicity, and other known vulnerabilities to ensure the programme is successful.

5

COORDINATION AT THE PROGRAMME LEVEL

This chapter focuses on the key enablers of coordination at the programme level. The focus on programme-level coordination is on the harmonization or integration of similar programmes and exploiting the interactions/synergies with relevant programmes within and across social protection functions. A key element of an integrated social system is its ability to identify and maximize synergies between programmes in the social protection space and different sectors (e.g. health, education, and child protection), and thus enhance long-term, human development outcomes. If a programme functions as part of a coherent system and network of responses, there is a stronger likelihood of enhancing individual programme objectives in terms of welfare gains.[19] Well-coordinated social protection programmes can also go beyond a narrow focus on economic security to facilitate women's, people with disability, and other vulnerable groups' empowerment, voice and agency, for more transformative effects and sustained poverty reduction (Bastagli et al, 2016; Peterman et al., 2019). This chapter deals with institutional structures, integrated programme planning and programming approaches that can support coherence, while coordination at the administrative level (next chapter) focuses on the 'nuts and bolts tools that facilitate the core business processes of social protection programmes.

5.1   OBJECTIVES

Having completed this section, the participant will have:

- An understanding and appreciation of some of the predictors of good coordination at the programme level
- Knowledge and understanding of the process for developing good coordination, including practical application of planning for good coordination.

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19   The World Bank and UNICEF (2013) Common Ground: UNICEF and World Bank Approaches to Building Social Protection Systems.

5.2 DIMENSIONS, OBJECTIVES AND INSTRUMENTS FOR PROGRAMME LEVEL COORDINATION

Table 6: Dimensions, Objectives and Instruments for Programme Level Coordination

DIMENSIONS OF PROGRAMME LEVEL COORDINATION	OBJECTIVES	MAIN INSTRUMENTS
• Coordination among different departments and agencies operating within a single ministry. • Coordination among different line ministries involved in social protection. • Coordination among the government and relevant stakeholders (social partners, civil society including OPDs, and development partners).	• Develop an integrated social protection programme plan with clear outcomes, including for different target groups (e.g. women, and people with disability). • Define the roles and • responsibilities of the different stakeholders in a way that complements each other. • Install the entity and indicators required to monitor and evaluate the implementation of the integrated social protection plan, including assessment of the extent to which efforts are disability- and gender-sensitive.	• Set up a social protection coordination unit/agency at the national level. • Select the relevant programming approach suitable for the country, informed by gender, disability, and other vulnerability assessments to address drivers of poverty and its multidimensional impacts. • Develop an integrated programme plan with clear outcomes for social protection in line with the SPF and national priorities. • Ensure the needs of recipients, including women and girls, people with disability, older persons, ethnic minorities and others, are included in the programme plan • Install a common monitoring and evaluation system (with outcomes tracked using an equity lens, disaggregating data by gender, disability status, ethnicity, and other known vulnerabilities) for the implementation of the plan.

Source: Authors

5.3 INSTITUTIONAL STRUCTURES FOR PROGRAMME COORDINATION AT NATIONAL LEVEL

Social protection programmes can range from social assistance like cash grants; social security and social health insurance, which are contributory programmes; livelihood and empowerment which enhance access for vulnerable people to productive resources, skills, employment and livelihood opportunities; and protection which protects the vulnerable population from abuse, violence, and discrimination. As a result of social protection programmes often being implemented by various ministries and institutions, a coordination structure must be in place at the national level to lead integrated social protection programme planning, budgeting, harmonisation of programmes as well as integrated and coherent implementation.

This could take the form of different modalities like a National Social Protection Unit as suggested in the Social Protection Bill in Zambia or full integration where an agency is established that integrates programmes under one implementation structure like the model of SASSA in South Africa. "For in-depth analysis of alternative institutional coordination approaches, you can also consult the MODULE GOV."

While the National Social Protection Board /National Social Protection Council (see Chapter 4) is responsible for policy guidance and coherence; for overseeing the coordination of social protection at the policy level and for making top-line decisions and recommendations around the design and financing of social protection programming and services, the suggested National Social Protection Unit below would lead integrated social protection programme planning, budgeting, harmonisation of programmes as well as integrated and coherent implementation.

Figure 5. Example of the organizational set-up for coordination at the programme level - National Social Protection Coordination Unit
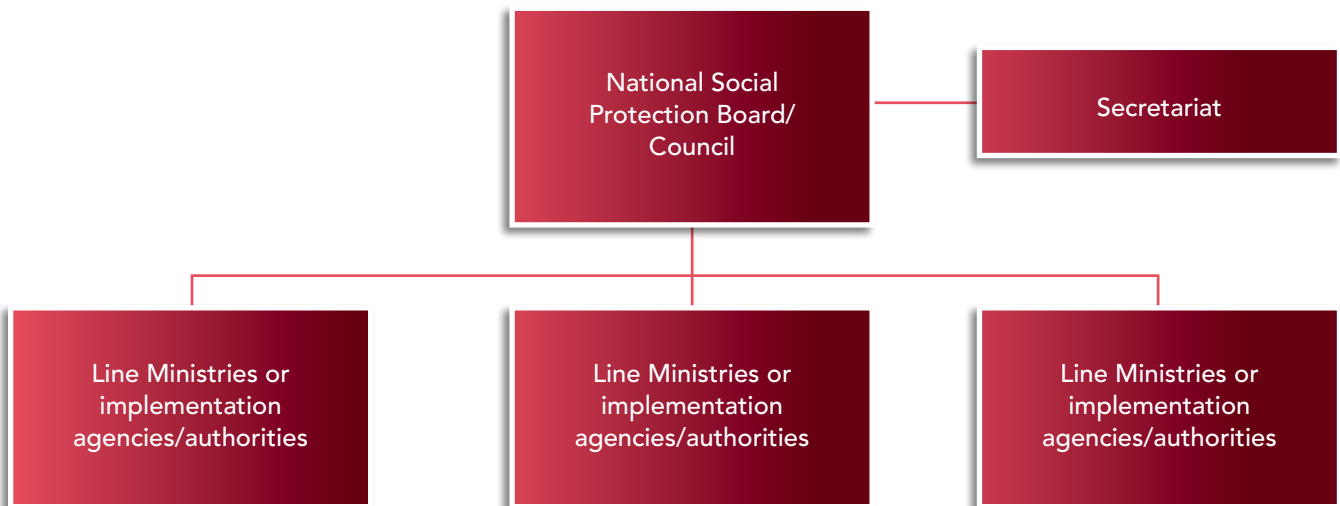
Source: Authors

The Zambian Basic Social Protection Coordination Unit described below provides an example of how high-level structures are envisaged to lead coordinated planning, budgeting, and implementation.

Box 8: Example: The establishment of coordinating structures to lead Social Protection planning and budgeting in Zambia

The government of Zambia is in the process of creating a new institutional framework for basic social protection coordination which is outlined in the National Social Protection Bill. The National Social Protection Bill is aiming at bringing all legislation about social protection into one act. The Basic Social Protection Coordination Unit is the key structure for programme coordination and is a department in the Cabinet Office. In the proposed bill, the Unit is responsible for leading integrated protection planning, budgeting, and implementation and its core functions are amongst others to:

1. Oversee and coordinate the design and development of integrated cost-effective, effective, predictable, and sustainable basic social protection programmes with implementation guidelines in collaboration with implementing ministries and institutions;

2. Compile funding needs of different basic social protection implementing ministries and institutions and recommend budget allocation;

3. Mobilise resources for implementing ministries and institutions to fund basic social protection programmes and initiatives;

4. Develop, maintain and operate an integrated nationwide electronic information management and registry system for all basic social protection programmes;

5. Establish and oversee the implementation of a comprehensive sector-wide integrated monitoring and evaluation framework for basic social protection programming;

6. Oversee and undertake research, evaluation and other analytical studies as necessary on the efficiency and impact of social protection;

7. Strengthen participation and coordination of the private sector, faith-based and non-governmental organisations, and cooperating partners in the provision of basic social protection services;

8. Develop and coordinate the implementation of a communication strategy on basic social protection;

9. Establish and manage an effective and transparent complaint and appeal procedures for basic social protection recipients and applicants;

10. Set and monitor the application of service standards for the provision of basic social protection services;

11. Develop a directory of basic social protection providers

12. Coordinate with the National Social Security Agency (an agency responsible for supervision and implementation of contributory social protection) for purposes of achieving complementarity between contributory and non-contributory social protection.

The Basic Social Protection Coordination Unit is accountable to the National Social Protection Council (a council consisting of ministers from the relevant ministries responsible for policy coordination) and will submit reports to them via a secretariat on a quarterly basis.

Source: Government of Zambia (2016), Draft Social Protection Coordination Strategy and Draft Social Protection Bill.

The South African Social Security Agency (SASSA) is an example of full integration where an agency is established and integrates programmes under one implementation structure. SASSA aims to integrate and consolidate grant administration. SASSA's services are decentralised with national, provincial, district, and local offices but guided by uniform norms and standards.

Figure 5. Example of the organizational set-up for coordination at the programme level - National Social Protection Coordination Unit
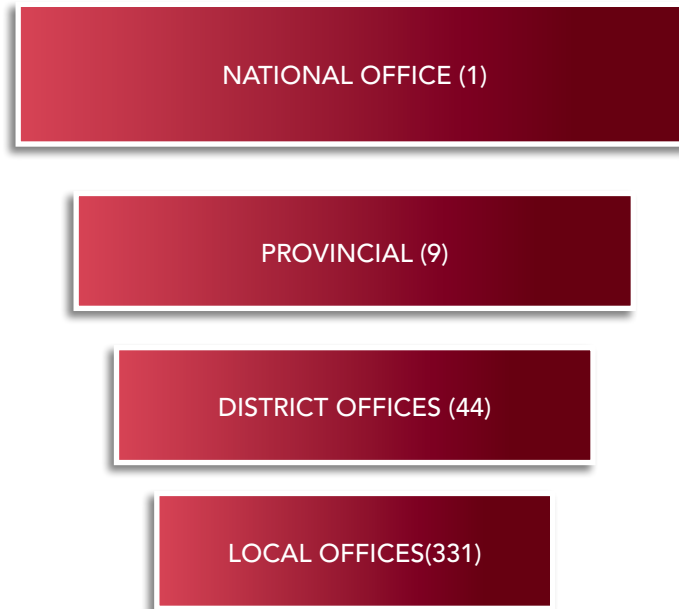
Source: Authors

5.3.1 Key success factors for national programme coordinating structure

The following critical factors should be considered when formalizing this type of high-level structure to support its successful functioning:

- The structure needs to be representative of all relevant ministries, civil society (including OPDs and women's organisations), labour, and business.

- The structure is led by a strong technical ministry with the capacity to lead coordination or by a neutral ministry like the Ministry of Finance. It could be considered to have the unit as a department in the Cabinet Office.

- The coordination structure has clear decision-making power and is designed in a participatory manner to ensure adequate involvement by all stakeholders.

- There are guidelines or an operational manual in place to guide cooperation between partners.

- The structure is supported by a secretariat that provides support with administrative issues and in running day-to-day functions.

- There is an agreed, yearly meeting plan for the structure and regular attendance of committee members.

- There is a clear Memorandum of Understanding which includes clearly defined roles and responsibilities and there are clear lines of accountability for all members.

5.3.2 Integrated programme planning for social protection

Box 9: Including recipients' needs in planning

The needs of recipients should be included in these planning processes. Social protection interventions target the most vulnerable groups, such as widows, orphans, the elderly, children, people with a disability, single parents, the ultrapoor, displaced people, and minorities. These groups are often diverse, weak, marginalized, and usually not organised. As a result, these recipient groups are unlikely to voice their concerns, demand safety net services, or forward complaints about inadequate services. Instead, they may be overtaken by more powerful, yet less needy groups, advocating for their own interests.

There is a need to support recipient groups in organising themselves and taking up collective action processes. Helping recipient groups articulate how addressing their needs can help policymakers better achieve the aims of social protection can increase effectiveness of these collective action processes. For example, addressing gender inequalities and barriers to formal employment for women and people with a disability can lead to more sustained poverty reduction. At the same time, adequate voice mechanisms need to be put in place. This implies that service providers are willing and able to listen to recipients and take on their concerns. Likewise, recipients need to be empowered and informed as to how to use these voice mechanisms.

Source: Authors

The majority of studies on coordinated initiatives stress the importance of working towards clearly defined and mutually agreed joint outcomes. If objectives are unclear or not shared, participants may work towards different, incompatible goals and fail to achieve desired outcomes.

To overcome this risk, all participants need to have a clear understanding of both the goals and agreed timeframes towards which they are working. It is thus important that an integrated planning system for social protection be established, starting with the development of clearly defined and agreed joint outcomes. This could be fulfilled by the development of an integrated framework for social protection programmes.

To give explicit detail on the operationalization of the policy, improve coordination, and reduce the fragmentation of social support programmes across national counterparts as well as, optimize the allocations for social protection interventions, an integrated framework for social protection programmes should be developed. The aims of the integrated framework for social protection programmes are:

A clear definition of programme targets, the programmes that will be expanded and their roll-out plan, but also the programmes that will be phased out, introduced, integrated or merged, and the key linkages between social protection programmes and interventions in other policy areas, including, for example, labour market programmes (such as public works or vocational training), agricultural support, efforts to increase women's financial inclusion, childcare, legal aid, disability-related services (e.g. community-based rehabilitation, assistive devices, personal assistance), and support for survivors of gender-based violence;

- Rationalizing the provision of Social Protection and reducing fragmentation, leading to an increase in the impact of government intervention;

- Ensuring that programme delivery is anchored on a coherent system structure interlinked from the policy, administrative, and implementation levels;

- Providing an improved framework as a resource mobilization for social protection.

The ABND referred to above in section 4.3.2 could be used as the methodology as it provides a framework to plan the progressive implementation of nationally defined Social Protection Floors that ensures a holistic vision of the social protection system.

### 5.3.3   Integrated monitoring and evaluation system

A Monitoring and Evaluation (M&E) system is another tool for the effective coordination of social protection management and service delivery. This M&E framework and system would contain a set of core indicators (tracked using an equity lens, disaggregating data by gender, disability status, ethnicity, and other known vulnerabilities) that would be used to measure the outcomes and impact of coordination and integration of social protection services at all levels of government. Regular evaluations should be conducted to assess the level of coordination of services and programmes at the national, provincial, district, and local levels. (also see ▤MODULE M&E).

5.4   WHAT LEVEL OF PROGRAMME INTEGRATION? LINKAGES AND HARMONIZATION BETWEEN PROGRAMMES OF DIFFERENT SECTORS

To ensure that programmes address the different needs of recipients across their life cycles, there need to be strong linkages between programmes of different sectors, for example, cash transfers and interventions related to nutrition, agriculture, health, labour market programmes (such as public works or vocational training), literacy training, efforts to increase women's financial inclusion, childcare, legal aid, disability-related services (e.g. rehabilitation, assistive devices, personal assistance, inclusive education), and support for survivors of gender-based violence. These linkages may simultaneously require supply-side strengthening of the provision of these services. An initial step could be to first determine the degree of integration or coordination that needs to take place. Below is a categorisation of possible degrees of integration or approaches that could be applied and the pros and cons of each approach.

5.4.1   Categorisation and approaches to strengthening coordinated programmes[20]

Design or adapt standalone interventions

Design or adapt stand-alone interventions
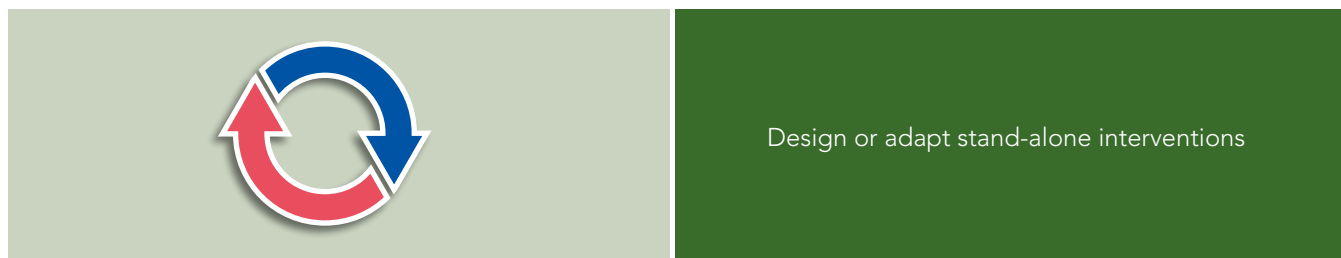
This is where free-standing programmes can be designed or adapted to maximise coordination between two sets of objectives. For example, agricultural programmes can be designed to incorporate social protection into their designs; and social protection interventions can be designed to be coordinated with agricultural livelihoods programmes. Such programming approaches can be effectively used to promote specific outcomes among particular groups of recipients. For example, cash top-ups or food rations targeted at girls within recipient households can be used to promote gender-responsive educational outcomes by addressing financial barriers to school attendance (including costs for tuition, boarding, books, or uniforms) as well as hunger, which can reduce learning or create incentives for girls to drop out of school in favour of income-generating activities.

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20 This section draws extensively on Food and Agriculture Organisation of the United Nations (2016), "Strengthening coherence between agriculture and social protection to combat poverty and hunger in Africa: Framework for analysis and action"

Table 7: Pros and Cons of Designing and Adapting Standalone Interventions

PROS	CONS
• Easier to administer and monitor than joint programmes delivered by different agencies. • The majority of countries already have national social protection programmes in place that can be easily adapted to exploit synergies. • An implementation may cost less than interventions that combine several instruments/schemes in one package.	• Difficult for single interventions to have sustainable impacts on the productive capacities of households, who often require layered and diversified support to transform their livelihood choices and strategies. • Possible danger of overloading schemes with too many objectives that diverge from core priorities.

Source: FAO (2016)

Combine multiple interventions into one programme

	Simulteneously
	Sequenced over time
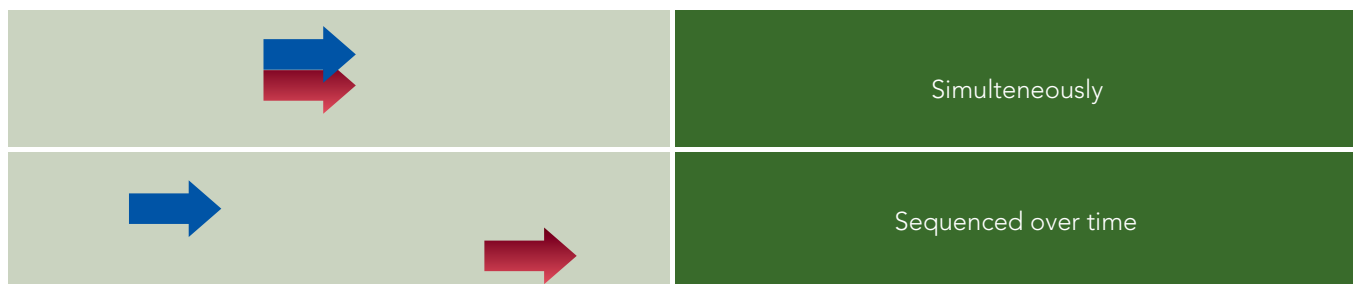
Two sets of interventions can be combined into one programme so that targeted households participate in both interventions. The single programme is implemented by a single agency. Different components/programmes can be provided to the same household simultaneously (e.g. including public works and agricultural support components in a food security programme; providing access to health insurance schemes to cash transfer recipients) or sequenced over time depending on what the household needs. For example, programmes can be expanded and bundled with messaging and awareness-raising activities to address specific gender, and social development outcomes. In Ethiopia's PSNP, for example, a standard public works component is combined with structured Behavioural and Change Communication sessions to enhance recipients' knowledge (mainly women of reproductive age) about adequate maternal and child health and feeding practices, and improve household care practices, including promotion of a more egalitarian division of care obligations.

When interventions are sequenced over time, as a household's welfare status improves, the package of interventions could expand from social transfers to include a broader menu of complementary interventions. There must be a clear shared vision across different components of the programme regarding how interventions can transition households across different welfare thresholds and interventions. The choice of appropriate integrated (complementary) design and implementation features will depend on programme objectives, as well as contextual factors including institutional capacity, counterpart engagement, and available resources (Botea et al. 2021).

Table 8: Pros and Cons of Combining Multiple Interventions into one Programme

PROS	CONS
• Can address diverse sets of constraints faced by recipients and adapt to changing needs of recipients through time. • Can be used to target the specific needs of individuals within households (e.g. linking women in very poor households to complementary livelihood activities). • Can address potential duplications of programmes by harmonizing programme delivery, resulting in more inclusive coverage and efficient use of financial and human resources.	• Coordination mechanisms to ensure joint planning and design of integrated approaches are typically weak, particularly across sectors; mechanisms to allow systematic and well-timed transition of recipients across programmes are also often lacking. • Implementation depends on the availability of complementary schemes in the same location and logistical capacity, including at local levels, to coordinate activities within and/or across programmes. • Start-up costs of integrated programmes can be high (budget, resources, time), although additional impact value as compared with single schemes can outweigh this. Interventions typically require a sustained political commitment to recover the initial investments the programme requires to be sustained for a sufficient period.

Source: FAO (2016)

Table 9: Coordinate and align multiple programmes and policies

Aligning and harmonising existing programmes
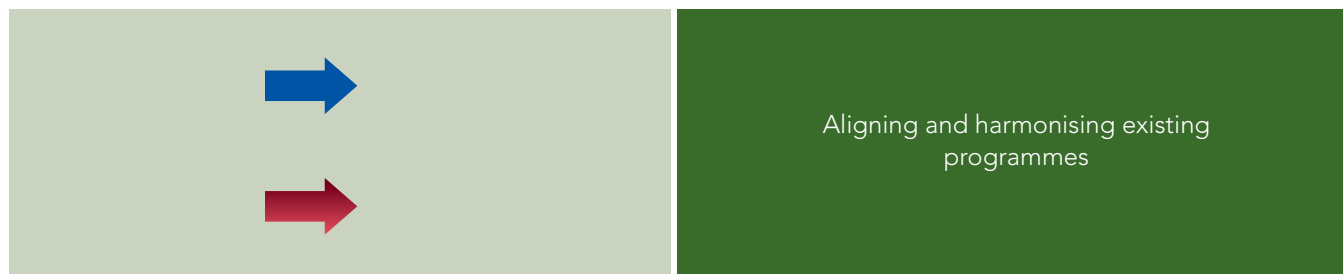
Synergies between many different social protection interventions can be established even when these interventions are not delivered in the same locations or targeted to the same recipients. It could involve interventions being coordinated to reach the same households but through two independent programmes. For example, in Lesotho, agricultural livelihood and cash transfer interventions are being coordinated to reach the same households, but through two independent programmes and implemented by some agencies. The Government of Lesotho delivers the Child Grant Programme and FAO, and partners with non-governmental organizations to complement this with support for kitchen gardening, which includes the provision of seeds and training. Alignment involves ensuring that interventions are consistent and that, as much as possible, conflicts are addressed or avoided. Potential conflict can also come in the form of backlash from certain community members. For example, the integration of some interventions to address gender inequalities, such as family planning, civil registration for women, or access to banking services may challenge gender norms. To reduce adverse consequences, efforts should be made to engage men and local leaders to build support for women's access to these complementary services (Botea et al. 2021).

In locations where cash transfers are implemented, agricultural livelihood interventions can be delivered to smallholders who are not targeted by the cash transfer programme, to take advantage of the increase in local consumer demand. Examples include the ongoing efforts in several African countries to link school feeding and public procurement programmes. These programmes intend to promote smallholder agricultural growth by providing producers with guaranteed market and production support while simultaneously contributing to better education, health, and nutrition outcomes among vulnerable children.

In contexts where many independent programmes exist in the same location and are well-functioning, the challenge is to improve their harmonisation and coverage. It could involve coordinating a continuum of interventions to expand coverage. As not everyone in the community requires the same type of support, a well-coordinated continuum of interventions can be established to cater to distinct groups within vulnerable populations.

Another example of harmonization of programmes and objectives includes public works programmes which build gender-smart infrastructure, including those which can reduce women's time poverty or reduce their risks of gender-based violence (Botea et al. 2021). Some examples of these include constructing safe sanitary facilities and water collection points closer to where women and girls live or engaging public works participants in the provision of childcare services. Similarly, countries such as Vietnam and Ghana offer free or subsidized health insurance to cash transfer recipients – including in programmes that have disability-targeting such as LEAP in Ghana and the Disability Allowance in Vietnam.

Box 9. Integrated Programming in Burkina Faso's Youth Employment and Skills Development in Rural Areas

Burkina Faso's Youth Employment and Skills Development in Rural Areas programme is implemented by the Ministry of Youth, Vocational Training, and Professional Integration together with the Ministry of Youth for the Promotion of Entrepreneurship and Employment. It aims to create favourable conditions for more inclusive economic growth to reduce youth unemployment and underemployment. An unintended consequence of the public works component was that young mothers working at construction sites were bringing their children and leaving them near dangerous work areas because they could not find childcare services. This led to the development of mobile creches (mobile daycare groups) that followed women as they moved from one site to another. The creches not only provide childcare services so mothers could work, but they also provided a platform to simultaneously reach these vulnerable children with health services such as vaccinations.

Source: Botea et al. 2021; African Development Bank Group. Burkina Faso - Support Project for Youth Employment and Skills Development in Rural Areas (PADEJ-MR). Visit AFDB

Box 10. Integrated programming to support the participation of people with disability

People with disability face a heightened risk of both income and multidimensional poverty. Social protection systems in many countries are exploring ways of targeting the diverse drivers of poverty amongst people with disability by providing not just cash transfers but a range of social protection benefits.

Health: People with disability often face catastrophic health costs and unmet needs for health services. Health costs are highly variable amongst people with disability, and so cash transfers are often inadequate to cover the full range of required costs. Countries such as Ghana, Vietnam, Kenya, and Nigeria offer additional health-related social protection benefits for people with disability. For example, people with disability can apply for assistive devices through the National Development Fund for Persons with Disabilities, while in Ghana, Vietnam, and Nigeria people with disability can receive subsidies on premiums for national health insurance programmes. While these health programmes are important, they often do not adequately cover many needed disability-related specialist services (e.g. rehabilitation, assistive devices).

Box 10. Continues

Employment: People with disability are more likely to be excluded from the labour market, and when they do work, they are more likely to be in the informal sector and low-paying, unstable jobs. To improve access to decent work, countries like Bangladesh, Kenya, and Brazil have implemented employment-related social protection benefits, such as quota schemes, job matching, incentives to employers to hire people with disability, and disability-inclusive vocational training programmes. For example, in Kenya, people with disability can access a 5% quota in public and private sector jobs for disabled people, job matching services run by the National Council of People with disability, and are exempt from income taxes (up to an annual income of 150,000 KES) if they work in the formal sector.

Education: Children with disabilities are often excluded from education, which can have long-term impacts on their ability to escape poverty. Countries such as Vietnam, Nepal, and Kenya have implemented education-related social protection for children with disabilities, such as educational scholarships. For example, Nepal provides scholarships for children with disabilities, including boarding fees which are commonly required to attend the country's limited number of schools that provide inclusive education.

Social participation: People with disability may require additional services to support their full participation, such as personal assistance or accessible, affordable transportation. Countries such as Nepal and Vietnam offer discounts on public transportation. However, these services are not always accessible or available to people with disability, particularly in remote settings. In South Africa, the Dial-a-Ride programme offers subsidised, accessible transportation, although it only runs in certain areas. In Mauritius, people with disability receiving the Disability Allowance are eligible for an additional allowance if they require high levels of personal assistance.

A common challenge in many settings is the lack of coordination between these disability-targeted benefits. For example, people with disability may not be aware of the full package of benefits they are eligible for, as they are often not provided with adequate information after they have received their disability certification. Similarly, different programmes often have different application processes, which carry time and monetary costs for applicants. Additionally, people with disability generally must have undergone a certification of disability to receive any social protection benefits, a process which can be financially and logistically burdensome for potential applicants and exclude some people with disability (see Module S&I).

Table 10: Pros and Cons of Coordinating and Aligning Multiple Programmes and Policies

PROS	CONS
• Effective in contexts where policy goals and target groups are diverse and can exploit economies of scale in terms of large-scale policy coverage. For example, a farm input subsidy programme can be targeted to more commercial farmers and social cash transfers to small family farmers. • May be relatively cheaper than integrated livelihood programmes.	• Can be administratively quite complex to design and implement effectively. • Requires effective and synchronized planning and delivery systems to harmonize the timing of programmes and targeting of recipients, and a robust monitoring and evaluation system. • Costs in time and resources can be substantial.

Source: FAO (2016)

Box 11: The 'cash plus' concept

This is where programmes are linking cash transfers to complementary inputs that will further strengthen and expand such positive outcomes. These 'cash plus' can also be categorised according to how identical the objectives are. For example, you can have:

1. Articulation of two existing programmes, each with slightly different objectives (Coordinate and align multiple programmes).
2. Integrated package of cash and other services within the same programme, usually with very close (or identical) objectives (combine multiple interventions);
3. Adding a specific 'new' service to existing cash transfer (usually with slightly different objective).

See a new and practical take on this within a UNICEF Innocenti Working paper titled "How to Make Cash Plus Work: Linking Cash Transfers to Services and Sectors" - available for download here https://www.unicef-irc.org/publications/915/.

Source: Authors

In conclusion, it is important to be mindful of the degree of integration or coordination that needs to take place. An example of a cash-plus programme which coordinates and aligns multiple programmes is the LEAP programme in Ghana which leveraged two existent social protection programmes to collectively perform a social protection function. In Ghana, the LEAP programme supports integration and horizontal coordination across programmes. The case study below provides examples of some tools and activities that can be used to facilitate good coordination. Box 13 outlines some key actions when considering the ways different programmes can be linked for gender or disability-inclusive outcomes, and the type of complementary support they can be linked to.

Box 12: Case study: Integration and horizontal coordination of services at the programme level in Ghana

Executive summary:

This case study demonstrates how the Government of Ghana worked towards improving the coordination of social protection interventions, as well as fostering higher levels of inter-ministerial cooperation. It did this by coupling the LEAP Programme with a long-term cash grant system with emergency relief and Health Insurance, as well as its emphasis on the 'graduation' of its recipients to other social protection interventions aimed at transformation, recipient empowerment, and self-support.

Background information/context:

In 2007, a comprehensive National Social Protection Strategy (NSPS) was developed via a consultative and participatory process including key stakeholders from government ministries, departments, and agencies (MDAs), civil society organisations (CSOs), and development partners. The development of the strategy heralded a shift from a " piecemeal approach towards a harmonised, integrated, sustainable, and forward-looking national framework." In 2008, the Government of Ghana introduced a trial phase of the Livelihood Empowerment Against Poverty or LEAP Programme, as a cross-sectoral, flagship programme of the NSPS.

The problem/event:

Ghana recognised that growth and mainstream development interventions may not be enough on their own to pull the extreme poor out of poverty and to protect vulnerable groups from shocks such as natural disasters, or global food, and fuel price rises. Ghana, therefore, developed a National Social Protection Strategy (NSPS) that attempts to provide a more targeted set of interventions for the chronically poor and suggests setting up new safety nets that can be used to cushion the most vulnerable groups from environmental and economic shocks. The LEAP programme is one such programme.

Box 12. Continued

Role players and their contributions:

Implementation of the LEAP Programme is coordinated by a Social Protection Unit located in the Ministry of Employment and Social Welfare (MESW). A National Steering Committee, comprised of several government departments and agencies, together with CSOs, NGOs, and development partners, has been created to provide policy and management direction; while a National level Vulnerability and Exclusion (V&E) Sector Group, including government and donor stakeholder technical advisors, has been established to provide technical support for programme implementation.

The solution:

Inspired by best practice models from southern Africa and Latin America, the objective of the LEAP is to reduce poverty by increasing consumption and promoting access to services and opportunities among extremely poor and vulnerable households. The programme provides both conditional and unconditional cash transfers every two months, via the country's post offices; coupled with Social Health Insurance to extremely poor households with no alternative means of meeting their subsistence needs. The programme's targeted recipients include: The elderly / those aged 65 years and above, People with severe disabilities, Caregivers of orphans and vulnerable children (OVC), and extremely poor households with a pregnant woman or child under the age of 12 months.

In mid-2016, the LEAP programme, in collaboration with the National Health Insurance Authority (NHIA) conducted a nationwide exercise to register LEAP recipients onto the National Health Insurance Scheme (NHIS). The NHIS registration is an automatic complementary service for all LEAP recipients under an MOU signed between the Ministry and the NHIA. The objective of the NHIS registration is to increase access to healthcare services among LEAP recipients.

Cross-agency coordination is facilitated through a Social Protection and Livelihood Technical Team (SPLiT), which included both state and non-state actors. The SPLiT serves as a platform for the coordination and harmonization of social protection activities. It aims to facilitate the linking of LEAP recipients to other social protection interventions to ensure their graduation from the programme and move towards self-empowerment and self-sustainment. Amongst these are initiatives led by the Ministries of Health, Education, and Agriculture.

Some of the tools and activities used to facilitate good coordination of the LEAP Programme include:

1. The formulation of a Manual of Operations, with details on the operationalization and implementation of the LEAP Programme;
2. The establishment and capacity building of district and community-based LEAP implementation committees (CLICS). These committees were comprised of traditional leaders, district assembly members, representatives from schools and medical facilities, and religious and community leaders.
3. The generation of a single registry/database, which contains information on all recipients as well as improves coordination and monitoring of social protection programmes, has provided a basis for the development of a centralized information management system.
4. The proposed development of a common targeting mechanism for improved recipient identification and registration.
5. The inclusion of an Emergency LEAP programme in response to drought or floods and the subsequent creation of severe food shortages.

The outcome:

An impact evaluation of the LEAP programme in 2013 highlighted the lack of synergies with other social programmes, including programmes for sustainable livelihoods. It also emphasised that greater support for social programmes at the community level had the potential to considerably improve LEAP's impacts. Despite these challenges, it was found that through the close collaboration between the NHIA and the LEAP programme, LEAP recipients can access free health care. This has led to a considerable reduction in healthcare expenditure for LEAP households thereby enabling LEAP households to use the cash grant on other productive activities. It has also led to increased healthcare utilisation of these households.

Box 12. Continued

Subsequently, an impact evaluation (conducted 2015-2017) of LEAP 1000 (a pilot started in 2015 to extend LEAP benefits to extremely poor households with a pregnant woman or child under the age of 12 months), found that efforts to integrate LEAP and NHIS were partially successful. LEAP 1000 increased enrolment in NHIS by 14 to 15 percentage points. Among eligible LEAP households who did not enrol in NHIS, barriers identified included perceived high costs of premiums (despite eligibility for a premium fee waiver), not realizing the card expires and needs to be renewed annually, and long travel times to review the NHIS enrolment (Palermo et al. 2019). The authors of that study concluded that communication should be improved with programme participants and implementers to maximize the potential for integration. Additionally, the NHIS only provides limited coverage of disability-related health services, likely limiting its impact on people with disability.

Discussion/analysis:

Whilst the LEAP Programme is still in its infancy, many of its proposed structures and mechanisms provide a sound basis for future programme development, particularly the linkages between the LEAP and the NHIS. The Government of Ghana has also been praised for its 'laudable efforts' to learn from best practice models from other developing and low-income countries. However, despite these efforts, the evaluation has revealed that poor coordination with other social programmes persists. With regards to coordination between the NHIS and LEAP, it was found that an MOU does not solve operational challenges; instead, there needs to be a focus on local-level implementation and coordination.

Transferability – learning potential:

This case study offers an outline of possible coordination structures and instruments which could be adapted and utilised for improved vertical and horizontal coordination within and between government ministries, departments, and agencies. Of particular note is the formulation of an emergency programme and health care which is coupled with the long-term cash grant intervention, as well as the establishment of a specific coordination body; namely the SPLiT, at the national level to facilitate cross-sectoral movement and empowerment of programme recipients. The importance of conducting regular impact evaluations. This is further highlighted to uncover issues related to poor coordination and the generation of evidence for future programming.

Source: Authors

Box 13: Key considerations in designing integrated programmes with an inclusive lens

Use the gender, and disability-sensitive poverty and vulnerability analysis to assess different pathways to sustainable poverty reduction and gender equality and inform the selection of complementary interventions and modalities through which linkages to these pathways can be promoted.

Map the availability and quality of complementary programmes and services, and the degree of their gender, and disability-sensitivity; and explore the scope for embedding components of these complementary programmes and services into the core programmes.

Ensure that a functional unified/single registry is in place to link recipients to external programmes and services. To support the gender-responsive and disability-inclusive coordination of linked programmes, ensure that disaggregated data by sex, age, disability status and other indcators of relevance is collected and used in the planning.

Use case management to follow up access to programmes and help problem-solve when access has been blocked or hindered in some way. Case management is especially important for persons facing stigma and discrimination or mobility challenges.

Source: Adapted from FAO Technical Guide No.2, 2018

Box 13: Key considerations in designing integrated programmes with an inclusive lens

Monitor access of the recipients to complementary programmes, the coordination across the linked programmes, and the impacts they have on intended recipients. Ensure that participation in multiple programmes does not overburden women in terms of their time and/or finances, or create resistance from male household members or non-recipients due to a perceived exclusion from benefits.

Provide access to appropriate child care arrangements to free women's time for training and other self-improvement activities. Provide access to necessary devices for people with disability to participate and take advantage of complementary services and benefits.

Work with the community and service providers to address barriers to equal access to complementary services among women and people with disability. Ensure that complementary measures are designed in a culturally-sensitive way, and also with specific needs of these groups.

Source: Adapted from FAO Technical Guide No.2, 2018

Table 11: Checklist Programme Level

COMPONENTS OF GOOD COORDINATION AT THE INSTITUTIONAL AND PROGRAMME LEVEL	TICK √
Is there a coordinating structure at the national level that leads integrated social protection programme planning, budgeting, harmonisation of programmes as well as integrated, and coherent implementation?	
Has full integration taken place where an agency is established that integrates programmes under one implementation structure?	
Has the coordinating structure undertaken integrated programme planning with clear outcomes for the social protection programming, including for specific target groups (e.g. people with disability, women and girls)?	
Has recipient needs been included in programme planning, including needs of specific target groups (e.g. people with disability, women and girls)?	
Has an integrated M&E framework for social protection programmes been developed?	
Has the level of integration been determined? (I.e. is it designing or adapting standalone interventions? Or combining multiple interventions into one programme? Or coordinate and align multiple programmes?	

Source: Authors

5.6   TAKE-AWAY LESSONS

- A high-level national coordination structure/committee between different agencies in government and/or between different sectors/ministries are often key to the success of coordination efforts.

- Several factors can render this group more effective: leadership by a strong ministry; operational guidelines; the presence of representatives from all stakeholder groups; MoUs or ToRs detailing the responsibilities of each member; a secretariat; and a yearly meeting plan.

- An integrated planning system for social protection must be established, starting with the development of clearly defined and agreed joint outcomes. The importance of the process of arriving at joint outcomes should not be underestimated.

- Special care needs to be taken to give a voice and empower recipient groups, including women and girls, people with disability, older persons, ethnic minorities and others, who might otherwise lack the collective action mechanisms to organize themselves and advocate for their needs.

- It is important to develop an M&E system for social protection programmes to track the impact of the programme. These outcomes should be tracked using an equity lens, disaggregating data by gender, disability status, ethnicity and other known vulnerabilities to ensure the programme is equitably reaching all recipients and leading to positive impacts. An M&E system furthermore serves as another tool for effective coordination of social protection management and service delivery.

- For the initiation of the harmonisation of programmes, it can often be useful to first determine the degree of integration or coordination that needs to take place and the advantages or disadvantages of each of these categorisations.

6

COORDINATION AT THE ADMINISTRATION/ OPERATIONAL LEVEL

The separation of roles and responsibilities existing in the design of social protection policy and programmes is often replicated within each layer of the subnational administration, including at the community level, where social protection delivery takes place, resulting in a lack of coordination in the administration and implementation of social protection schemes both centrally and at the local level.

This chapter explains the key enablers and components of coordination at the administration/ operational level. The aim of coordination of social protection at the administrative level is to build basic sub-systems to support one or more programmes. The administrative level focuses on developing the 'nuts-and-bolts tools' that facilitate the core business processes of social protection programmes[21]. This type of coordination can take different forms, such as integrated services, one-stop services/single windows, mechanisms for the identification of recipients, joint databases, referral mechanisms, clear roles and responsibilities for members of coordinating structures, and the implementation of specific joint services such as outreach services.

6.1 OBJECTIVES

Having completed this section, the participant will have an understanding and appreciation of some of the predictors of good coordination at the administration/operational level.

6.2 DIMENSIONS, OBJECTIVES AND INSTRUMENTS FOR ADMINISTRATIVE LEVEL COORDINATION

Coordination at the operational level consists of the integration of the following administrative functions: provision of information; identification, selection and registration of recipients; provision of identification documents; a collection of contributions; payment or benefit delivery mechanisms; provider contracting; and complaint and grievance systems. Depending on the country's context, existing coordination efforts will cover only some of these functions.

Coordination at the local level can be completed through an integration happening at the contact point with residents, through the installation of shared front offices. Effective coordination could also be accomplished through the development of more systemic approaches for back office administrative systems and processes (e.g. use of an integrated approach to data and information management, through a social registry, integrated recipient registry, or a combination of the two - (see MODULE MIS).

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21   The World Bank and UNICEF (2013) Common Ground: UNICEF and World Bank Approaches to Building Social Protection Systems.

Table 12: Dimensions, Objectives and Instruments for Administrative Level Coordination

DIMENSIONS OF ADMINISTRATIVE LEVEL COORDINATION	OBJECTIVES	MAIN INSTRUMENTS

• Coordination between different local administration departments
 	
• Coordination between the local administration and deconcentrated services (divisions and agencies)
 	
• Coordination between the local administration and relevant stakeholders working at the operational level (social partners, civil society organizations, development partners) as well as households and women.
	• Improve efficiency in service delivery
	
	• Reduce duplication and transaction costs by improving the efficient use of the available resources (especially in the context of limited fiscal space and poor budget delegation)
	
	• Simplify the social protection system for the population (to avoid multiple entry points for people to access programmes) and thus enhance the quality of service from the perspective of users.
		• Front and back office integration of services
		
		• Back office: Integrated approaches to information management
		
		• Front office:
		
		• Referral and case management systems
		
		  • One-stop shops
		
		  • Single-window services
		
		  • Integrated grievance and appeal systems.

Source: Authors

6.3 TOOLS FOR IMPROVING COORDINATION OF SOCIAL PROTECTION AT THE ADMINISTRATIVE LEVEL: FRONT AND BACK OFFICE SERVICES

Social protection services at the administrative level are usually provided through the front and back office services. Activities which afford interaction with the client belong to the front office, while tasks that officials or service providers can carry out without direct contact with the client are back-office activities. The following reflects the most common activities of each level.[22]

Table 13: Front and Back Office Activities

FRONT OFFICE ACTIVITIES	BACK OFFICE ACTIVITIES
• Information and advice	• Asking for information from responsible entities of different programmes
• Support of registration process (provision of registration forms, support to complete forms, submission of the registration form, etc.)	• Data entry (where needed) and checking documents for validity, correctness, and completeness. In some cases the determination of eligibility.
• Validation/finalisation of eligibility determination and support to the enrolment process (additional data collection).	• Additional data entry and data management, and transferring of data to other entities where relevant
• Notification and hand-out of identification documents/ tokens (e.g. smart cards)	• Follow-up and communication with responsible entities, further processing and data management
• Receive complaints and appeals and communicate results.	• Follow up on complaints and appeals with responsible entities for the respective programme.

Source: Authors

22 Ebken, C.(2014) "Single window Services in Social protection: rationale and design Features in Developing Country Contexts".

Administrative integration across programmes could happen at the level of the front or back offices or both. The back and front offices do not necessarily have to be in the same place. Service integration between the back and front office can produce positive outcomes for the client as it can create the conditions for services to provide a comprehensive person-centred approach and respond more quickly and effectively to clients' needs. Services integration between front and back offices can avoid the duplication of tasks and share back-office tasks, such as human resources and technology solutions.

In this section we briefly touch upon some of the main (overlapping and complementary) options for coordinating front and back office operations - as these have been discussed extensively in other modules:

Shared registration of potential recipients – many countries have been doing this by developing Social Registries, centralising data collection across programmes and significantly reducing duplication of efforts. Other efforts have included integrated MIS/Recipient registers and/or specific interoperability with available disability registries. All of these initiatives need to be designed with explicit inclusion objectives in mind to ensure women and people with disability have equitable access to programmes and are enrolled in the right programmes and referred to complementary interventions. For more details see ▤MODULE MIS.

Shared systems for selecting recipients – not all programmes share the same eligibility criteria, yet several countries have chosen to develop a national approach to ranking or classifying households or individuals (integrated into their Social Registry) that can then be used and adapted by individual programmes to select their recipients. For more details see ▤MODULE MIS.

Shared M&E of recipients across programmes – countries that have developed Integrated Recipient Registries have an overview of who is receiving what across different programmes, a tool with great potential for joint planning and M&E, as well as inclusive and equitable coverage across programmes. This is the case in Kenya, as discussed in ▤MODULE MIS.

Shared and interoperable information systems – many countries have been pursuing integration via software applications that enable the flow and management of information within the Social Protection sector and sometimes beyond to other sectors, through web-service (or ad-hoc) data sharing and interoperability. For more details see ▤ MODULE MIS.

Shared systems for programme delivery and administration – this includes ensuring that several programmes coordinate and adopt the same approach to processing payments, managing complaints and appeals, and ensuring referrals and case management. As increasing demands are made on case management, resources should be increased to support social workers in referring programme participants to other available services, including health and education, or other services that address vulnerabilities related to gender, disability, or others. In addition to referrals to these services, follow-up should be performed to ensure that services were accessed. For more details see ▤MODULE ADM and the section below on the concept of 'One-Stop Shops' and 'Single Window Service'.

Box 14: Example: Single Window Service as an advanced model of Administrative Integration

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

The SWS can provides coherent framework for the implementation of national social protection strategies in an integrated, effective, and efficient way by establishing a management system and a reporting mechanism that links the central government to provinces, districts, communes, and villages.

Source: Authors

Box 15: Alternatives to Single Window Services on how to reach people with integrated services

A web-based internet portal where the clients can download application forms, make appointments, registration, make payment, or check the status of an application online. These web portals must be accessible to people with different impairments (e.g. screen reader compatible, audio options, easy to read formats);

Call-centres are also an option for citizens who have telephone landlines and mobile phones. This is useful to provide citizens with upfront information about processes and necessary application documents or to check the status of applications from home. Alternatives or adaptations may be needed for people with hearing impairments;

Short Message Services may also be used as a channel to interact with clients about application process or job offers.

Self-service kiosks can also be used as an automated channel to interact with clients and can be used for payment functions.

Source: Authors

The creation of one-stop shops can be efficient to ensure continuous provision of services without increasing public expenditures (for example officers can replace each other to provide basic services).

In the African context, there are serious challenges with decentralizing front-office capacity in rural areas. Government lacks resources at the local level and each ministry provides an implementation of social protection programmes in a silo and with no cooperation with other relevant ministries. As a result of the lack of capacity of government to offer decentralised services, potential recipients face barriers like high transportation costs. These barriers may be particularly high for people with disability (e.g. due to lack of accessible public transportation, and need for assistance). Women also face mobility constraints due to time restrictions, work burdens or autonomy to leave their home and visit public spaces and engage with authorities. Coupled with insufficient awareness amongst community members of procedures and eligibility criteria for social protection programmes and a lack of reliable communication channels this can result in low uptake of services.

One possibility to reach clients in smaller villages and more rural settings is through mobile units either through agents or by using specially outfitted trucks and buses. This proves particularly useful for serving populations living in isolated or peripheral areas and for allowing poor and vulnerable groups – often the main target group of Single Window Services in social protection – easier access to services. For example, in Nepal, mobile outreach camps are used to conduct disability assessments in remote areas of the country and enrol people with disability in disability-targeted social protection programmes.

A mobile one-stop shop using specially outfitted vehicles has been successfully implemented in South Africa.

Box 16: Case study: The Integrated Community Registration Outreach Programme (ICROP) – reaching out to the rural poor through Mobile Service Units – South Africa

Executive summary:

This case study demonstrates how a shared mobile delivery mechanism can increase the outreach of existing social protection programmes in remote places while reducing administrative costs.

Background information / Context:

ICROP is an outreach programme delivering social services through fully equipped mobile one-stop service units, or vehicles equipped with modern technology, facilities, and personnel. Its objective is to promote development, poverty reduction, and social inclusion for isolated people.

The Problem / the event

Despite the existence of social protection programmes in South Africa, between 2001 and 2007 there were no major improvements in poverty and deprivation indexes. An evaluation of social interventions showed the need to expand and improve the delivery of social services and transfers.

Concerned with these findings, South Africa Social Security Agency (SASSA) decided to launch ICROP in 2007 to institutionalize and expand the existing successful Child Support Grant (CSG) outreach programme. Since the President's launch of the 'war on poverty' in 2008, ICROP has evolved into a government-wide programme that takes all services in an integrated manner to the most excluded people. Role players and their contributions.

The lead agency for social protection programme implementation is SASSA, which falls under the Department of Social Development. The district managers of SASSA are the project coordinators responsible for implementing the programme in their districts. They work closely with local structures in the following integrated manner:

- Ward Councillors identify specific areas of need within the communities,

- CBOs, FBOs, and traditional leaders assist with the mobilization of communities,

- Local government (municipalities) ensures that the infrastructure is suitable for the programme (e.g. access roads, community halls, etc.).

- There is also ongoing coordination with key government departments to provide a truly integrated service delivery approach.

- The Department of Health assists recipients in obtaining legitimate identity documents without which they would not be able to apply for social grants.

- The Department of Education assists with the completion of school extracts for children.

- The Department of Justice assists with the issuing of court orders to foster care clients.

- The Department of Health assists with the Road to Health card, the assessment of clients, health promotion, and HIV/AIDS testing and counselling.

- SAPS (SA Police services) provided support in the signing of affidavits, the certification of documents, and the provision of security at the mobile service points.[23]

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23 Taieb, D, Schmitt, V, (2012) "Good practices on Single Window Services Research on existing Single Window Services around the world (India, Chile, Brazil, South Africa, Pakistan) and key lessons to be learned for Cambodia", International Labour Organization.

Box 16: Case study: Continued

The solution:

The purpose of the ICROP programme is to reach the most socially excluded, isolated people and communities, providing them access to social assistance and social services to help reduce poverty, social exclusion, and isolation. A key objective of ICROP is to bring all government services under one roof. This is done by offering a mobile service that utilizes customized vehicles with the necessary onboard information and communication technology. The vehicles move from village to village and, with a dedicated team of six members, provide assistance and guidance on registration for grants, link the child support grant to schooling and ECD, and promote access to health services.[24]

Through fully equipped and well-staffed mobile units and other outreach services, ICROP:

1. Facilitates recipient enrolment and registration processes, as well as issues smart cards that give access to benefits under seven welfare programmes;

2. Identifies recipients through biometric (fingerprint and voice) recognition since 2013;

3. Updates a web-based recipient database in real-time or within 7-21 working days, depending on connectivity;

4. Raises awareness and provides information on existing benefits and services;

5. Provides access to pay points where smart cards can be used at a minimal cost and with reduced waiting periods. (Note that ICROP does not pay the grants; the grant payment system is outsourced to a private company and the benefits can be retrieved at accredited merchants, ATMs, banks, or pay points);

6. Facilitates access to the appeals process, including applications for representation to appeal against the decision to terminate benefits; and

7. Conducts home visits by medical staff and social workers to ensure that individuals unable to go to the hospital or leave their homes—due to disability or sickness—have access to services and benefits.

Results/ Outcome:

In 2011, about 45 per cent of the country's total population was concentrated in rural areas, of which 20 per cent lived in deep rural areas. A recent study indicates that in rural areas targeted by the ICROP programme, the proportion of the population effectively covered by existing social protection programmes was high compared to the estimated target population31. Between 2007 and 2013, ICROP served over 730 wards and completed more than 320,000 applications for children to access the Child Support Grant. The ultimate aim of ICROP is to contribute to poverty reduction. Since the introduction of ICROP in 2007, the poverty headcount ratio decreased from 57.2 per cent in 2006 to 45.5 per cent in 2011[25]. ICROP also aims to make recipients financially independent by providing opportunities for skills development, employment, and entrepreneurship through small public employment initiatives. For example, SASSA's Social Relief of Distress programme awards food purchased from local garden producers and school uniforms purchased from local cooperatives to destitute individuals within the community. Hence, the initiative not only benefits children and families but also enhances local economic development within poor communities.

Discussion / Analysis:

*   ICROP has significantly improved the access of rural populations and people with disability to existing grants. However, a few challenges remain:

*   The programme was designed without considering physical impediments. For example, in some cases, the vehicles are too large to reach communities. It is important to assess how to best reach out to these communities.

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24 "What is ICROP?" - Information flyer produced by SASSA.

25 World Bank. 2015. South Africa. Available at: worldbank.org [2 Mar. 2015].

Box 16: Case study: Continued

- ICROP's initiative to increase recipients' economic independence aimed to provide financial opportunities to more than 8 million people. Due to its large scale, the initiative faced many challenges. The programme has since been refocused on smaller-scale projects that promote linkages between social grants and employment or skills development initiatives.

- SASSA needs to adapt its strategies to enhance its service delivery to the poor living in affluent provinces and urban areas. The number of potential recipients in this demographic who do not have effective access to existing social grants has increased in recent years. Although services may be available in these areas, they are often insufficient and understaffed.

- An institutionalized mechanism for service delivery audits, public consultations, and collection of feedback needs to be designed and established to assess satisfaction and help improve the delivery system.

- Several reforms are being initiated as part of the extension of a national social protection floor, which may lead to the establishment of new schemes. ICROP needs to be ready to support the effective delivery of these potential new services and transfers.

Transferability – Learning potential:

The One-Stop Shops in Lesotho have the potential of providing good learnings for One-Stop Shops in rural and poor communities in Africa where power is currently being devolved to local structures. However, the One-Stops Shops in Lesotho have yet to be evaluated before learnings can be extracted.

Source: UNICEF, World Vision and GIZ (2014) Assessing the Status Quo of Service Delivery in Selected Villages in Lesotho".

Box 17: Case study: Piloting Community Council Offices as One-Stop Shops to improve service access and delivery in Lesotho

Executive summary:

The One-Stop Shop and its service days are part of the Government of Lesotho and their donor partners' efforts to support an integrated social protection system and maximize its impact on sustainable poverty reduction. The service days, organized periodically, bring hard-to-reach services and service providers to the community's doorstep. Outside of the service days, referrals for these hard-to-reach services will be provided at the One Stop Shops, to strengthen the referrals network linking local service providers to community members.

Background information / Context:

United Nations Children's Fund and the German Development Cooperation have partnered with the Government of Lesotho to pilot a One-Stop Shop in four community councils. In line with the national Decentralisation Policy adopted in February 2014 and the National Social Protection Strategy launched in February 2015, the One-Stop Shop aims to increase service delivery at the Community Council level by:

1. Consolidating access to multiple public sector services at a single location through one or more service delivery channels;

2. Transparently present information about service delivery standards, fees, processes, and timetables at the point of service delivery;

3. Improve referrals between services for recipients and the wider community.

Box 17: Continued

The Problem / the event:

Most social protection services are provided in the capital Maseru leaving the rural population to travel to the capital to access the services. A research[26] conducted before the launch of the pilot One-Stop Shops revealed that transport costs, insufficient awareness amongst community members of procedures and eligibility, criteria for social protection programmes and lack of reliable communication channels were all barriers to accessing services.

Role players and their contributions:

As the owner of Community Council Offices, the Ministry of Local Government and Chieftainship (MOLG) is the lead Ministry and eventual administrator of the One-Stop Shop. While external ministry staff are fully responsible for delivering their respective services, the Community Council staff are responsible for the overall management of the One Stop Shop. Various NGOs also play a role as service providers.

The solution:

The services provided will depend on each Community Council Office but will include social protection and other programmes like child protection and HIV and AIDS treatment and prevention programmes. For the selected range of services, the pilot will seek to establish the appropriate referral mechanism according to the level of integration of work required at the community council office:

1. Simple engagement: Information about eligibility criteria, procedures, and costs (knowledge of the officers, announcement boards, leaflets).

2. Moderate engagement: Registration/application forms available.

3. High engagement: Case management.

4. Full engagement: Full processing of service on-site on a permanent or periodical basis.

The need to bring the final services closest to people remains even when full decentralization is not affordable or cost-effective. For this instance, the One-Stop Shops implement Service Days whereby several service providers are invited to provide their services for one day at the community council or other appropriate locations in the community. This is an opportunity for different actors to extend their outreach services to a critical mass, as well as for citizens to access several providers on the same day.[27]

Results/ Outcome:

The four piloted One-Stop Shops were launched in late 2015 to increase citizens' access to a range of different services and to improve referral mechanisms at the community council level. The One-Stop Shop is also a way to provide complementary bottom-up activity to support and strengthen the devolution process which will take place from the central to the district level and can give practical feedback on how the devolved functions, in the long run, can reach the citizens through the Community Council offices. Hence, the One-Stop Shop could be a building block in terms of giving community councils practical experience in the coordination of service delivery as a counterpart of the devolution process top-down from the central government.

Once in full swing, the One-Stop Shop aims to be a reliable information hub on what services are available to the community and how they can be accessed. For this, UNICEF is developing a Community Education Package that will tackle child protection, education, health, social protection, and agriculture. Moreover, One-Stop Shops will have a social worker on hand and be fully equipped to provide civil registration services like issuing birth certificates and national IDs, which are the key to opening doors to other services.

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26 UNICEF, World Vision and GIZ (2014) Assessing the Status Quo of Service Delivery in Selected Villages in Lesotho".
27 UNICEF(2015) "Concept Note"

Box 17: Continued

Discussion / Analysis:

While the permanent structures are still being established, all four Community Councils have successfully implemented the Service Days generally with increasing good participation of service providers and clients. The Government of Lesotho wants to expand the One-Stop Shop to all communities; however, it is recommended to first ensure that the permanent structures are well established and that the four pilot One-Stop Shops are evaluated before the expansion takes place.

Transferability – Learning potential:

The One-Stop Shops in Lesotho have the potential of providing good learnings for One-Stop Shops in rural and poor communities in Africa where power is currently being devolved to local structures. However, the One-Stops Shops in Lesotho have yet to be evaluated before learnings can be extracted.

6.4 CHECKLIST

Table 14: Checklist Administration Level

COMPONENTS FOR GOOD COORDINATION AT MANAGEMENT AND SERVICE DELIVERY LEVEL	TICK √
Is there a community structure where relevant ministries, civil society, traditional leaders, labour, and business identifies poor and vulnerable communities/people together? How can these efforts be adjusted or expanded to ensure that coordination efforts address barriers faced by women/girls, people with disability, and other vulnerable groups?	
Is there an integrated recipient database system, registry of recipients, or disability registry?	
Are there coordinating structures that screen and approve social assistance applications?	
Is there a coordinating structure that distributes the cash transfers?	
Is there coordination of different types of social protection programmes such as:	
Social assistance	
Social insurance	
Employment services	
Livelihood services	
Is there coordination between the social assistance programmes and nutrition, agriculture support, microcredit, and savings programmes? (Graduation)	
Are there terms of reference, annual work plans, and guidelines to define the work of the coordinating structure?	
For the delivery of social protection programmes, is there a coordinating structure that ensures that recipients' needs are addressed in a holistic, systematic, and sustainable manner? Does this structure consider differences in needs amongst recipients (e.g. by disability status, gender)?	
Is there coordination of all components of social protection through a single-window service?	
Has awareness been created among potential recipients of the various social protection programmes and how they can access them? Is information about programmes provided in accessible formats?	

Source: Authors

6.5 TAKE-AWAY LESSONS

- Several tools are available to social protection managers to further harmonize social protection programmes. These include: the joint identification and selection of poor and vulnerable communities/people; centralized recipient databases or registries; coordinating structures for the administration and distribution of cash transfers; single-window services; integrated grievance mechanisms; referral systems and Management Information Systems.

7

VERTICAL COORDINATION

The delegation of responsibilities and activities from the central level to the local level is central to any social protection organization or scheme. The delivery of social transfers has to take place close to the people, including those in rural and remote areas, to ensure accessibility for the most vulnerable groups in society. Other functions, like the identification of vulnerable groups or the adjustment of benefits to local needs and constraints, also require the involvement of subnational layers of the administration.

Ultimately, the social protection system needs to be consistent with deconcentration and decentralization policies, as well as with local administrative capacities.

This chapter focuses on the key enablers of vertical coordination. Case studies are used throughout to illustrate how some countries have managed to strengthen social protection coordination at this level.

7.1 OBJECTIVES

Having completed this section, the participant will have:

* An understanding and appreciation of some of the predictors of good vertical coordination
* Knowledge and understanding of the process for developing good vertical coordination

7.2 DIMENSIONS, OBJECTIVES AND INSTRUMENTS FOR VERTICAL COORDINATION

This dimension of coordination reconciles the policy level with the administrative level. Vertical coordination should include top-down (guidance, monitoring, and budget allocation) and bottom-up (feedback and reporting) mechanisms, to ensure the efficient flow of information and funds between the central and operational levels.

Table 15: Vertical coordination, in summary

DIMENSIONS OF VERTICAL COORDINATION	OBJECTIVES	MAIN INSTRUMENTS
• Coordination of the central level of an organization (headquarters) with its local facilities	• Ensure respect for policy decisions during the implementation • Improve the efficiency of the • administration through the principle of subsidiarity byempowering local administrations and other structures at the local level • Improve the flow of information • at all levels • Improve transparency and traceability of information inthe social protection system • Create ownership at lower levels • Facilitate with ease the sound and timely allocation of resources	• Delegate responsibilities to local authorities with clear definitions ofthe roles and responsibilities between the different layers of the subnational administration • Install an efficient chain of coordination structures and set of procedures to organize flows of information and finances in two directions (top-down and bottom-up) and ensure these structures have a sufficient mandate to coordinate. • Install an incentive system for coordination at the local administration level • Design and implement guidelines/operational manual, reporting mechanisms and tools for vertical coordination • Build capacity for coordination at alllevels (national to community level).

Source: Authors

7.1 VERTICAL FLOWS OF INFORMATION ACROSS THE ADMINISTRATIVE LEVELS

Vertical coordination consists of ensuring a flow of information both downwards and upwards.

Figure 7: Vertical flows of information across the administrative levels

Top-down information flow to provide policy and operational guidance

National/Central level:

- Defines and informs parameters and operational guidelines
- Planning and budget decision-making informed by local-level planning
- Feedback on the outcome of appeals and grievances

Sub-national level :

- Identification and enrolment of recipients
- Local-level planning and budget allocation
- Adjust benefits to local needs
- SP service delivery
- Reporting on programme implementation
- Submission of recipient complaints and grievances

Bottom-up information flow to inform national /central planning and budgeting allocations

Source: Authors

- The central level usually defines and informs the local level on scheme parameters and operational guidelines, while the local level enrols the recipients, controls the conditional actions, if any, and, in some cases, delivers the benefits.

- Vertical coordination is particularly important for planning and budget allocation. To properly plan and allocate the available budget, the central level must retrieve information available at the operational level (for instance, the number of identified recipients).

- Conversely, the local level needs the right information on details of schemes and eligibility criteria to contribute to the planning and budget allocation process. Having an accurate understanding of programme design objectives at the local level is also important to ensure that the programme is implemented as planned. A failure to do so could mean inadvertently reducing effectiveness for vulnerable groups including women and girls, people with disability, ethnic minorities, the elderly, or other marginalized groups (see Box 18).

- Vertical coordination also contributes to a well-functioning appeal and grievance mechanism. To ensure accessibility, it should be possible for recipients and residents to submit complaints at the local level of the administration. It is therefore important to ensure an efficient upward flow of information that will lead to the resolution of cases at the appropriate level of the organization. It is equally important to install the downward flow of information that will provide the recipients with appropriate answers.

Box 18: Importance of vertical coordination for implementation of gender-responsive social protection in Ethiopia's Productive Social Safety Net

Ethiopia's Productive Safety Net Programme (PSNP) has several gender-responsive design components. These include the following:

- The programme implements a gender-sensitive approach in the type of community assets created through public works, including creating water points, and fuel wood sources to reduce girls' and women's time poverty, cultivation of private holdings of female-headed households.

- Households with women who become pregnant are moved to Temporary Direct Support and their households are exempt from participation in the public works programme for a period of 12 months.

- Provisions to promote women's involvement in community decisions about the programme via representation of the government's Women's Bureau in committee structures at the state and woreda level.

- Recognizing women's care responsibilities, the PSNP provides creches (daycares) for the care of young children while mothers are engaged in public works.

In practice, there have been implementation gaps which reduce the PSNP's ability to achieve it's gender-responsive objectives. For example, while households with a pregnant woman are supposed to be exempt from public works participation for 12 months, this provision is rarely implemented in practice, as intended. Operational bottlenecks, lack of clarity around transition protocols and weak monitoring, and enforcment safeguards, as well as staff's resistance to transfer women to TDS owing to discriminatory gender and social norms hinder effective implementation of this programme component. Further, creches are rarely implemented in practice. Together these might lead to re-allocation of care and work responsibilities within the household, with adverse effects on children (for example, if they have to drop out of school to fulfill work or care requirements) or other women in the household (if they have to reduce their productive activities).

In addition to the implementation gaps in gender-responsive design components, some have criticized the PSNP for not doing more to promote women's strategic gender interests, including tackling unequal gender relations within different types of households and the community. Further, the PSNP assumes that households have adequate adult labour to participate, but this is not always the case in female-headed households. Finally, the focus on building tangible infrastructure does little to ensure that community assets meet women's and men's needs equally. For example, other assets (e.g. construction of health clinics located closer to the community) might increase women's ability to more productively engage in agriculture and other forms of work.

Source: Authors, and Holmes and Jones (2013)

7.4 IMPROVING VERTICAL COORDINATION

The following components are key to guaranteeing proper vertical coordination in a country:

- A consistent framework for the delegation of responsibilities to lower levels of the administration;

- The installation of a chain of coordinating structures linking the different layers of the administration to build ownership and ensure well-informed decisions;

- Build mandate and capacity of coordination structures to coordinate effectively;

- The installation of efficient and common reporting tools to exchange information and plan budgets through the use of a manual of operations.

7.4.1 Clarifying the roles and responsibilities of the different administrative layers[28]

- According to the principle of subsidiarity, matters ought to be handled by the smallest, lowest, or least centralized competent authority. The delegation of responsibilities to lower levels of the administration has to be consistent with the country's policy and administrative structure, and has to be aligned with the decentralization of the related capacities and budget.

- Decentralization is associated with the objectives of effective and efficient delivery of public services, democratic decision-making, popular participation in government, and accountability of public institutions to citizens.

It is generally accepted that the decentralization of certain functions of the social protection system should lead to better services for residents. The process of decentralization can substantially improve the efficiency, transparency, accountability, and responsiveness of service provision compared to centralized systems. For example, the idea of subsidiarity is particularly appropriate for the grievance mechanism since basic issues could be handled at local levels of the administration.

However social protection systems, as most public service delivery systems, generally require a certain degree of uniformity and standardization in the way in which services are defined and delivered. It is therefore generally a necessity that key parameters and procedures of social protection schemes are established centrally. What is critical is defining the roles and responsibilities of stakeholders at different levels (see example below).

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28 UNDP; UNCDF. 2013. Strengthening the governance of social protection: The role of local government – Regional Analysis (Bangkok). Available at: UNDP

Box 19: Example: The clear definition of roles and responsibilities for safety net implementation in Tanzania

The Tanzania Social Action Fund (TASAF) implements decentralized public works programmes. Its operational manuals describe detailed roles and responsibilities for each participating agency at the national, local, and village levels.

At the national level:

- The national steering committee provides overall policy guidance, endorses community subprojects verified by sector experts, and discusses progress reports;

- The sector expert team ensures that supported subprojects conform to sector norms and standards; and

- The management unit is responsible for day-to-day activities.

- At the local level,

- The local government authority manages the project, approves, and oversees subprojects, and its finance committee is responsible for approving community subprojects; and

- The council management team is responsible for reviewing subproject interest forms, targeting communities for participatory appraisal, providing technical support, monitoring subprojects during implementation, and overseeing programme operation and maintenance.

- At the community level,

- The village assembly is responsible for endorsing recipient expressions of interest, electing a community management committee, and receiving and discussing subproject progress reports;

- The village council is responsible for ratifying the community management committee elected by the village assembly and for supervising subprojects; and

- The community management committee is responsible for implementing subprojects following guidance from the community subproject management handbook.

Source: Safety Nets How To: Institutional Aspects", The World Bank, Social Protection and Labour, Visit the Worldbank. org accessed 21 November 2014

7.4.2   Streamlining vertical coordination structures

To facilitate vertical coordination, the national coordination structure should be mirrored through to the provincial, district and local levels.

The institutional arrangements selected to facilitate vertical coordination will largely depend on how social protection programmes are currently implemented. For example, social protection programmes may be implemented in a centralized (e.g. via a national agency) or decentralized manner (see █MODULE GOV). Determining appropriate institutional arrangements is often an evolving process based on lessons learned, changing programme needs, stakeholder participation, and government leadership.

It may be necessary to harmonise already existing programmes based on coordination mechanisms as there is often a proliferation of coordination mechanisms resulting in fragmentation of actions. This could be addressed by streamlining district or community-level structures to improve programme coordination.

The Kenyan case study below provides an example of institutional arrangements designed to facilitate vertical coordination.

Box 20: Case study: The institutional framework for coordination of social protection interventions in Kenya

Executive summary:

This case study demonstrates the institutional arrangements that have been put in place to facilitate the vertical coordination of SP in Kenya.

Background information/context:

In 2012 the Kenyan government adopted a Social Protection Policy which included an institutional framework for coordination of social protection interventions from the national through to the county level (the latter of which has the bulk of service delivery responsibility).

The problem:

Social protection interventions in Kenya are managed by several different line ministries, including the Ministry of Gender, Children, and Social Development, the Ministry of Labour, the Ministry of Public Health and Sanitation, the Ministry of Medical Services, the Ministry of Special Programmes, the Ministry of Agriculture, and the Ministry of Education. This has led to fragmentation and a lack of coordination and synergy in the social protection system.

The role players and their contributions:

The National Social Protection Steering Committee was formed (2007) under the chair of the Permanent Secretary, Ministry of Gender, Children & Social Development. The country, through the Ministry of Gender, Children and Social Development, facilitated the formulation of The National Social Protection Policy document that was approved by the cabinet in 2011.

The solution:

In response to the need for a more coordinated approach to social protection, the Government established a National Social Protection Council (NSPC) to coordinate and oversee the development, implementation, and integration of social protection strategies, programmes, and resources. This agency will have offices at both the national and county levels

The diagram below provides a broad overview of the national and county-level coordination mechanisms designed to oversee the development, implementation and integration of social protection strategies, programmes and resourcing.

The policy provides clear roles and functions of each of these structures.
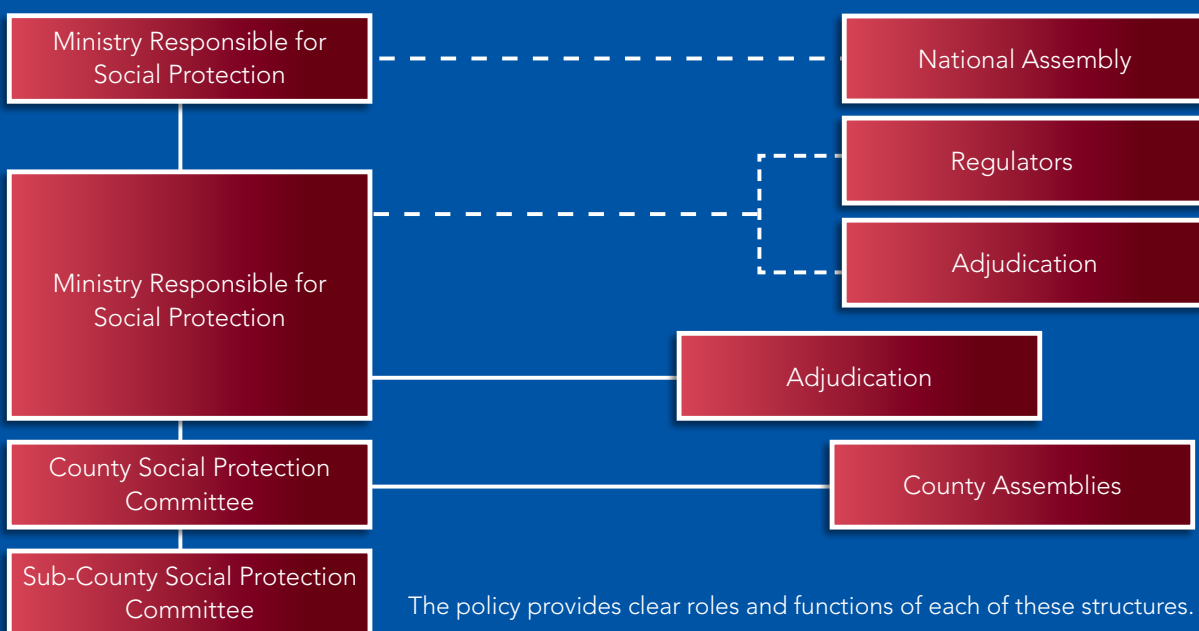
Box 20: Continued

The National Social Protection Council: This is a multi-sectoral body which facilitates oversight of the implementation of the SP Policy. It is made up of Permanent Secretaries of the ministries of Social Protection, Finance, Health, Labour, and representatives of the Attorney General, the private sector, and civil society.

National Social Protection Secretariat: The main role of this structure is to implement Council decisions and to carry out day-to-day functions. It, therefore, provides technical support and coordinates the implementation of agenda items on social protection.

County and sub-county Social Protection Committees: These structures are responsible for community-based initiatives. They are all answerable to the National Council. Their main roles will be to:

- Promote oversight and monitoring of social protection interventions in their jurisdiction;

- Promote coordination and harmonization of programmes within the county to avoid overlap;

- Ensure that sector policies and guidelines are implemented in the county; and

- Maintain a registry of programmes and recipients in the county in coordination with the national-level single registry (integration of MIS between the counties and national level). Disputes are resolved or referred to the National SP Council by county committees.

Regulation and Adjudication: Independent regulators regulate, set standards for, and supervise compliance with social protection and health insurance schemes. One or more adjudication institutions provide an independent appeal function for the resolution of social protection disputes. Appeal institution(s) become accessible once the internal complaint mechanism of a particular social security, health insurance or social assistance institution has been exhausted.

Discussion/analysis:

The establishment of a high-level SP Council to oversee and implement the SP policy is important for ensuring leadership and political will for intersectoral coordination. The establishment of sub-national structures with clear mandates, roles and responsibilities ensures strong linkages and flow of information within the system both from the bottom up and from the top down.

Transferability – learning potential:

The institutional arrangements in Kenya provide a good 'prototype' for other countries but it is essential that determining appropriate institutional arrangements is an evolving process which should be based on lessons learned, changing programme needs, stakeholder participation, and government leadership.

Source: Authors

7.4.3 Ensuring that coordination mechanisms have the necessary mandates and capacity to coordinate

This includes a combination of political leverage, power to coordinate and adequate technical and functional capacity and incentive systems in place to effectively nudge actors towards multi-sectoral collaboration.

To operate effectively and efficiently, the staff on these structures across all levels (national through to community level) require orientation and capacity building on social protection coordination and different ways in which to achieve coordination (e.g. adapting single interventions, combining interventions into a single programme, coordinating and aligning policies and programmes) (for details, see section 5). For example, staff will require training on disability and how to provide accommodations to people with different types of impairments. This training on coordination should also include information on how specific design components help meet overall programme objectives, to ensure that they are implemented as planned, including, for example, gender-responsive design components (e.g., exemption from public works during pregnancy, harmonization of programmes across sectors, etc.).

7.4.4 Developing guidance/operational manuals to guide vertical coordination of social protection

It can be useful to have a manual of operations to guide vertical and horizontal coordination. This manual should:

- Describe in detail the various structures, functions, and capacities of the coordination structures at the different levels of the system (from national through to community level) - an organogram can be used to depict these structures and the development of a national coordination strategy could also assist here.

- Specify and delineate the roles and responsibilities of all actors at all levels of the system

- Provide guidelines on the two-way flow of information between the national to community level which should be both top-down and bottom-up, this would include guidance on the communication flows around planning and budget allocations, appeals, and grievance mechanisms.

- Provide guidelines on how different stakeholders coordinate at different levels in implementing the social protection programme, and how it is linked with other types of social protection programmes.

7.4.5 Creating incentives for coordination

Incremental financing, provided on the condition of achieving targets for coordination can be used by ministries of Finance to create incentives for working together.

Table 16: Checklist Vertical Coordination

COMPONENTS OF GOOD VERTICAL COORDINATION	TICK √
Is there an institutional framework in place to facilitate vertical coordination across the layers of the administrative system?	
Are the roles and responsibilities of the different layers of the administration clear concerning social protections?	
Is there a structure that leads the coordination of social protection planning, budgeting, programming, and monitoring of its implementation?	
Is this coordinating structure representative of all relevant ministries, civil society (including OPDs and groups representing women's interests/empowerment), businesses, traditional leadership and recipients?	
Is the coordinating structure led by a strong ministry with the capacity to lead the coordination?	
Does the coordinating structure have the skills and capacity necessary to coordinate social protection programmes and services?	
Is there a clear line of accountability in the coordinating structure?	
Does the coordinating structure meet regularly? (Is there a yearly meeting plan?)	
Are there ToRs or MoUs for all the members of the coordinating structure which include clearly defined roles and responsibilities for all agencies?	
Is there a clear line of accountability between the coordinating structures at the national and sub-national levels?	
Have incentives for collaboration been established?	

Table 16: Continued

COMPONENTS OF GOOD VERTICAL COORDINATION	TICK √
Are the needs of recipients included in the social protection programme planning and budgeting, including specific target groups (e.g. people with disability, women and girls, and older adults)?	
Has coordination been included in the various members' performance areas?	
Do all members of the committee attend the meetings regularly?	
Has a coordination budget been put in place for a venue, transportation and other expenses?	
Is there a guideline or manual of operations that guides the coordination of social protection programme implementation (ex: cash transfer schemes)?	
Is there a manual of operations that guides the communication channels trying the community level to the national level?	
Is there a referral system for the programme implementation at the district level?	
Have similar social protection schemes and programmes been harmonized?	
Are there strong linkages between programmes of different sectors, for example between labour market programmes and public works programmes?	

Source: Authors

7.6 TAKE-AWAY LESSONS

- In order to facilitate vertical coordination, institutional frameworks need to be present tying national coordination structures to structures at the provincial, district, and local levels.

- Roles and responsibilities need to be clearly defined not only at the national level but also at the provincial, district and local levels.

- For their success, coordination mechanisms require the necessary mandate, skills and capacity to coordinate social protection planning and programming at all levels of the system.

- Guidance and operational manuals which specify the structures, functions, and capacities of all coordination structures can assist in strengthening vertical coordination.

- The use of incentives for collaboration and effective performance at decentralized levels is often helpful.

8

HOW TO GET THE BALL ROLLING: CONDUCTING A SITUATION ANALYSIS ON THE STATE OF SOCIAL PROTECTION COORDINATION

To develop and implement an integrated and holistic social protection policy, programmes and administration, it is critical to understand the current situation of social protection coordination in a given country.

8.1 PURPOSE

The purpose of the situation analysis is to build on what is already working well while also addressing existing challenges and gaps.

A thorough situation analysis will allow for policy and planning to be based on evidence and will help the government and its partners to:

* Make informed and empirically robust decisions on what to prioritize concerning social protection

* Highlight issues for consideration in the programme planning phase

8.2 OBJECTIVES AND KEY QUESTIONS FOR THE STUDY

A situation study and analysis can have several objectives, such as:

* Determining and assessing the current legislative framework for social protection

* Assessing the effectiveness of vertical social protection coordination structures and mechanisms at the national and sub-national levels.

* Assessing the effectiveness of horizontal social protection coordination at the policy, programme and administration level.

* Assessing the impact of social protection programmes at the community level (including for specific groups, such as people with disability, women and girls) and analyzing the relevance of increased collaboration among social protection services for increasing impact.

* Identifying challenges to the uptake of social protection services in the community, including among specific target groups (e.g. people with disability, women and girls).

* Determining what inputs/institutions and/or mechanisms/processes can help increase the reach of social protection in a context of social protection scale-up, and assessing the likely impact of a better coordinated social protection system at policy, programme and administration levels. This may also include determining what intersectoral linkages can best help leverage programme impacts, including linkages to health or other social services to address interrelated vulnerabilities among women, the elderly, children, people with disability, ethnic/religious minorities, and others.

- Making recommendations for an institutional process around the formulation and implementation of a coordinated
- multi-sectoral and inter-departmental national social protection policy, in line with national and international good practices.

The following questions could guide the analysis:

Effectiveness/impact of existing programmes

1. What are the existing programmes on the ground and how effective are they given the existing resources? Does effectiveness vary for different groups (e.g. people with disability, women and girls)?

2. What are the challenges faced by these programmes preventing them from being more effective (documentation requirements, bureaucracies, red tape, application processes, paying for services, the sufficiency of human resources, accessibility of systems, and understanding of gender-responsive and disability-inclusive programme design components)?

3. To what extent are these challenges related to linkages with other public services?

4. What is the role of traditional and non-traditional social protection actors including local community organizations, formal and informal member-based organizations and churches?

5. What is the role of the business community? Employers?

6. To promote the efficiency, impact, responsiveness, and accountability of social protection as a whole, how can the core functions of social protection programmes and institutions be improved for increased synergy? At the local and national levels? In different policy domains?

7. What, in particular, can be an enhanced role, for the lead ministry?

Existing Coordination

1. How can synergies, and partnerships with/between programmes help increase the reach of social protection programmes?

2. To what extent can additional resources for social protection programmes be successfully leveraged?

3. What coordination approaches can serve as models to be applied and/or scaled up?

4. On the flip side, what approaches show that coordination is not always useful and may have unintended negative outcomes?

5. What are the perceptions on coordination across stakeholders at different levels (review coordination at national and sub-national levels)?

6. What are the consequences of decentralization for coordination?

Higher Policy level

1. What institutional arrangements are needed to accompany the implementation of a national social protection policy and to ensure a broader and more effective social protection system? Consider what is needed for different target groups (e.g. people with disability, women and girls).

8.3 METHODS

The study may contain the following stages:

1. A participatory planning workshop with the key stakeholders identified in the stakeholder analysis

2. A documentation-based review of institutions, mandates, programmes, and their implementation in the country

3. Instrument design for data gathering

4. Data gathering

5. Data analysis

6. Draft report writing

7. Feedback and recommendation workshop with key stakeholders

8. Final report writing

9

CONCLUSIONS

Coordination in the field of social protection is a necessity to:

- Improve the effectiveness of the social protection system (i.e. reducing vulnerability and alleviating poverty through a transformative mechanism)

- Improve the efficiency of the social protection system (i.e. taking advantage of the synergies, and avoiding duplication of efforts)

- Ensure the consistency of the social protection system (i.e. that it makes sense and is aligned with the country's objectives, resources, and priorities).

Many barriers exist to social protection coordination. It is important to be aware of these barriers to be able to convince the different stakeholders of their interest in more coordination.

Coordination in the social protection system is composed of the:

- Horizontal coordination at different levels (policy, programme, and administration)

- Vertical coordination across the different layers of the administration (national/central and sub-national levels)

The cost of coordination should not be ignored and dedicated resources should be allocated for coordination. Coordination at the policy level can be strengthened through:

- Setting up a multi-stakeholder social protection working group and ensuring vulnerable groups are represented including women, people with disability, and other vulnerable groups.

- Using a national dialogue to assess the social protection situation, define the national social protection floor, and identify priorities.

- Developing or reviewing social protection policies and strategies, and developing a monitoring and evaluation framework with indicators to measure SP coordination.

- Creating financial support for coordination.

Coordination at the programme level can be strengthened through:

- Establishing a coordination structure at the national level to lead integrated social protection programme planning, budgeting and coherent implementation

- Integrated programme planning for social protection and the development of an integrated framework for social protection programmes.

- Ensuring that recipient needs – including of specific groups, such as people with disability, women and girls - are included in planning processes.

- Strengthening linkages and harmonization between programmes based on an initial analysis of the degree of integration and coordination that needs to take place.

- Different categorisations and approaches can be drawn upon to guide the harmonization and integration of programmes.

Coordination at the administrative level can be strengthened through:

- Integrated front and back office services.

- The installation of a centralized recipient database system or registry of recipients.

- Setting up an effective referral system in which a case management approach is being implemented at the local level.

- One-stop shops and other integrated front-office solutions such as the Single Window Service simplify access to service for recipients and ensure coordinated development and delivery of social protection programmes and other support services.

Vertical coordination is strengthened through:

- The clarification of roles and responsibilities at the different levels of the administration.

- Streamlining vertical coordination mechanisms at each level of the administration (aligned with decentralization policies).

- Ensuring that coordination mechanisms have the necessary mandate and capacity to coordinate, as well as how programme objectives are supported by different programme design components.

- Developing guidance/operation manuals to guide vertical coordination

- The creation of incentives for collaboration

10

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CURRICULUM
OVERVIEW

The TRANSFORM Learning Package
is organized in a modular structure, and reflects the key building blocks of a holistic & interdependent social protection system.
The TRANSFORM modules that are currently available are listed below.
Other modules are under development and will be added to the curriculum.

LEG	**Legal Frameworks**
S&I	**Selection & Identification**
ADM	**Administration and Delivery Systems**
COO	**Coordination**
GOV	**Governance, Institutions & Organizational Structure**
MIS	**Management Information Systems & Approaches to Data Integration**
FIN	**Financing & Financial Management**
M&E	**Monitoring & Evaluation**

All TRANSFORM materials are available at:

www.transformsp.org

WHAT IS TRANSFORM?

TRANSFORM is an innovative learning package on the administration of national social protection floors in Africa. The prime objective of TRANSFORM is to build critical thinking and capacities of policy makers and practitioners at national and decentralized levels to improve the design, effectiveness and efficiency of social protection systems. TRANSFORM aims not only at imparting state-of-the-art knowledge that is appropriate for the challenges faced by countries in the region, but also to encourage learners to take leadership on the change and transformation of nationally defined social protection systems.

WHY TRANSFORM?

Many training curricula exist in the field of social protection and thus fundamental ideas, concepts, approaches and techniques are accessible. And yet, institutions and individuals struggle with the complexity of developing a broad, encompassing social protection system.

This complexity requires a transformational approach to teaching and knowledge sharing. It is far from enough to impart knowledge, to fill heads. It requires learners to grapple with the features of complexity, to stimulate creativity, to appreciate diversity and uniqueness, to be involved as a key element of ownership –elements which are at least as important as the factual knowledge itself. This learning package aims at just that: TRANSFORM!

See more on cover page.

Contact the TRANSFORM initiative at: **transform_socialprotection@ilo.org**
or visit **www.transformsp.org**

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