WFP
World Food Programme
SAVING LIVES
CHANGING LIVES

Shock-Responsive Social Protection in the Caribbean Handbook

November 2021

CDEMA
CARIBBEAN DISASTER EMERGENCY MANAGEMENT AGENCY
Resilient States · Safer Lives

ACKNOWLEDGEMENTS

This handbook benefits from a rich body of experience, evidence and training materials. It draws from a regional research programme on Shock-Responsive Social Protection in the Caribbean (2018-2020) conducted by the United Nations World Food Programme (WFP) and Oxford Policy Management (OPM) in collaboration with the Caribbean Disaster Emergency Management Agency (CDEMA) and Participating States. The overarching conceptual framework builds on OPM's Shock-Responsive Social Protection Toolkit: Appraising the use of social protection in addressing large-scale shocks (2018). Chapter 3 draws from the TRANSFORM Curriculum on Shock Responsive Social Protection developed in collaboration with a wide variety of development partners, including WFP, UNICEF, ILO and DFID (2020)[1]. Chapter 4 is informed by WFP's guidance and tools on social protection and cash-based programming and policy, operational and technical expertise in analysis, assessment, programme design, delivery systems and accountability, as well as other key resources.

The handbook is the foundation of the **WFP/CDEMA regional training** on shock-responsive social protection and a component of the EnGenDER project. The EnGender project seeks to integrate gender equality and human rights-based approaches into disaster risk reduction, climate change adaptation and environmental management frameworks and interventions.

The regional training aims to:

- develop and enhance capacities to strengthen social protection systems through preparedness measures, and
- build technical competencies to design and implement shock-responsive social protection programmes to support individuals, households and communities affected by shocks.

The training stems from a collaboration between WFP and CDEMA to strengthen emergency preparedness and response capacities in the Caribbean. It aims to help build a regional cadre of skilled professionals who can support regional and national preparedness, response and mitigation measures to lessen the impact of shocks on vulnerable populations through strengthened linkages between social protection and disaster risk management.

The handbook was prepared by the WFP Caribbean Multi-Country Office in collaboration with Oxford Policy Management. It includes inputs from Francesca Ciardi, Madhumitha Hebbar, Valentina Barca, Daniel Longhurst, Elisaveta Gouretskaia, Sarah Bailey, Sara Netzer, Sarah Lionel and research led by Rodolfo Beazley. The handbook was finalised with the support of the University of Wolverhampton.

This publication was made possible thanks to the generous support of the European Union Civil Protection and Humanitarian Aid Operations, Global Affairs Canada, the United Kingdom Foreign, Commonwealth & Development Office and the USAID Bureau for Humanitarian Assistance.

1. The TRANSFORM Curriculum was developed drawing on existing research and guidance on the topic, most importantly: the OPM research on shock responsive social protection, WFP-OPM research on shock responsive social protection in Latin American and Caribbean, WFP-OPM research on shock responsive social protection in the ASEAN region, the European Commission's Guidance on Social Protection across the Humanitarian-Development Nexus and UNICEF's Programming Guidance on Shock Responsive Social Protection.

FOREWORD

In 2018, the World Food Programme (WFP) and the Caribbean Disaster Emergency Management Agency (CDEMA) launched an innovative learning initiative on shock-responsive social protection in the Caribbean. With CDEMA Participating States increasingly turning to social protection to reach people impacted by disasters and shocks, capturing and sharing lessons was essential to seize the opportunities offered by social protection. The 2019 CDEMA/WFP Regional Symposium on Shock-Responsive Social Protection and other events brought together disaster risk management agencies and social protection ministries to strengthen links and share experiences. A regional literature review and eight country case studies built a strong evidence base and identified ways to better prepare social protection systems in the Caribbean to play this critical role.

The Caribbean, and indeed the world, has changed significantly since the research first began. COVID-19 has dealt a severe blow to lives, livelihoods and economies. Every CDEMA Participating State turned to social protection to mitigate the socio-economic impacts of the pandemic – often through cash transfers and income support. A growing evidence base has contributed to a growing operational base and while the case for shock-responsive social protection as a strategy within the Caribbean has been made, many operational challenges persist. COVID-19 and recent climatic and other shocks have not only provided a greater regional experience in linking social protection and disaster management, but more critically these efforts are now leading to a more robust response to the needs of vulnerable populations most impacted by these events.

Shock-responsive social protection has an important role to play in taking forward the 2014-2024 Comprehensive Disaster Management strategy and the Caribbean Pathway for Disaster Resilience, whose first pillar is 'social protection for the marginal and most vulnerable'. It is well recognized that disasters have particularly damaging effects on the most vulnerable members of the community. External shocks will often result in persons on the margins of poverty falling below the poverty line and those who were already living in poverty, falling further. Disasters also affect women and girls differently due to gender inequalities. Children and persons with disabilities are also likely to be affected to a greater degree by natural disasters.

Building on regional experiences and WFP's operational expertise, this Handbook on Shock-Responsive Social Protection in the Caribbean outlines pragmatic steps that governments and their partners can take to design and implement response measures through social protection. It is part of a wider training programme to further equip professionals from both the social protection and disaster risk management sectors with the knowledge and skills to leverage social protection when shocks hit.

The eruption of La Soufriere in April 2021 and active hurricane seasons in 2020 and 2021 are stark reminders that the next disaster is a question of when and not if. Together we can ensure that those most impacted receive the assistance they need.

Regis Chapman
Head of Office
WFP Caribbean Multi-Country Office

Elizabeth Riley
Executive Director
Caribbean Disaster Emergency Management Agency

HOW TO USE THIS HANDBOOK

Purpose

The purpose of the handbook is to provide decision-makers, technical and operational staff from ministries and agencies responsible for social protection and disaster risk management (DRM), and their partners, with practical tools and guidance on how to leverage social protection programmes and systems to support people vulnerable to and impacted by shocks. More specifically, it aims to develop:

- an understanding of the **conceptual, strategic and practical issues** on linking social protection to DRM to prepare for, respond to and mitigate the impact of shocks
- practical measures to **strengthen social protection systems and their scalability** in response to shocks through preparedness measures, and
- strategic and technical competencies to **design and implement assistance in response to shocks through social protection and its linkages with DRM.**

Scope

The handbook focuses on social assistance programmes and particularly on cash transfers. Social assistance programmes are explicitly designed to support poorer and more vulnerable people, who have fewer capacities to handle shocks and typically bear the brunt of their impacts. Governments in the Caribbean have also utilized cash transfer programmes to respond to different types of shocks[2]. At the same time, social protection includes a range of instruments that can contribute to responding to shocks, including social insurance, which is common in the Caribbean. While the handbook references such measures, it does not cover them in detail.

The handbook explores how social protection can complement and support other sectors in responding effectively to emergencies and the preparedness measures needed to strengthen systems and programmes in advance of shocks. However, there may be times and circumstances when social protection has a limited or no role to play beyond its usual functions. There are always many actors involved across different sectors in supporting people in times of disasters and shocks. This handbook recognizes this diverse picture of different stakeholders and efforts but does not cover what other actors can do to prepare and respond effectively.

Strengthening social protection systems to perform their routine functions is essential to make them better placed to respond to shocks. This handbook does not cover general social protection strengthening. However, the preparedness measures discussed in Chapter 3 can contribute towards improving the overall performance of social protection programmes.

2. An overview of responses to shocks in the Caribbean through social assistance and social insurance programmes is available in the annex.

Content overview

The handbook has a modular structure, comprising interrelated topics and resources that readers can use flexibly according to their specific roles and information needs. The handbook has four chapters.

Each chapter includes:

- information boxes that provide contextual information on shock-responsive social protection in the Caribbean; and
- a selection of additional resources from regional and global evidence, research and good practices.

Chapter 1

The Case for Shock-Responsive Social Protection in the Caribbean

Read this chapter to understand the relevance of shock-responsive social protection for the Caribbean. Look at why there is strong potential for a more prominent and expanded role for social protection in responding to shocks as part of a comprehensive approach to emergency preparedness and response.

Chapter 2

Social Protection, DRM and Their Linkages to Prepare for and Respond to Shocks

Read this chapter to find out about the mandates and functions of social protection and DRM and how these sectors are mutually reinforcing to plan for and respond to the needs of populations affected by shocks.

Chapter 3

Preparing and Making the Social Protection System Risk-Informed

Read this chapter for recommendations on preparedness measures to strengthen social protection's role in responding to shocks and how such measures can also benefit the routine functions of social protection programmes, systems and services.

Chapter 4

Shock-Responsive Social Protection in Practice

Read this chapter for practical guidance for designing and implementing responses to shocks through social protection, including decisions and actions concerning whom to support, what type of assistance they should receive, how much and for how long.

CONTENTS

Info boxes

Tables

Figures

1

SHOCK-RESPONSIVE SOCIAL PROTECTION AND THE CASE FOR IT IN THE CARIBBEAN

INTRODUCTION[3]

Social protection is a powerful instrument to address poverty, inequality, food insecurity and other challenges.

It helps people to:

- cope with the risks, shocks, and stresses that they may face during their lives, and
- improve their well-being so that they may be better prepared to deal with future adverse events.

It can also aid in the event of shocks impacting many people at once, known as **'shock-responsive social protection'**.

These different and interconnected functions of social protection are particularly relevant in the Caribbean, one of the most disaster-prone regions globally and highly susceptible to external global shocks. Regular hurricanes and the socioeconomic impacts of the COVID-19 pandemic have highlighted this reality with alarming consequences on people's lives and livelihoods. Events of these magnitudes erode hard-won gains in development and poverty reduction. They require rapid, appropriate, and effective mobilization of assistance to those in need, especially those living in poverty who have limited capacities to manage their impacts. **Improving regional and national capacities to respond to shocks and build resilience is imperative, including by preparing and strengthening social protection systems and programmes.**

THE CASE FOR SHOCK-RESPONSIVE SOCIAL PROTECTION

The case for shock-responsive social protection has been made in the Caribbean. The responses to COVID-19, and other recent experiences, show that countries in the region are embracing social protection as part of their overall strategy to respond to crises. However, more deliberate investments in social protection programmes and systems are required.

The WFP and OPM research programme on Shock-Responsive Social Protection in the Caribbean identifies **five main reasons** why enhancing and strengthening the role of social protection is critical to prepare for and respond to shocks.

1. Social protection is intrinsically related to shocks.

Social protection consists of policies and programmes designed to protect people from shocks and stresses throughout their lives. It can also strengthen people's ability to manage risks, for example, if social protection programmes increase income, enable better access to services or provide a safety net that people can rely on.

A social protection system is 'shock responsive' when it can:

- ensure continuity in the aftermath of *covariate* shocks (that affect a large proportion of the population simultaneously such as hurricanes, droughts, economic shocks, displacement)
- absorb additional demand for benefits and services
- mitigate the negative impacts faced by people – especially those living in poverty and facing vulnerabilities.

It is worth asking then if responding to covariate shocks is already a role of social protection, why is shock-responsive social protection relatively new in policies and programming?

3. This chapter is adapted from Shock-Responsive Social Protection in the Caribbean – Synthesis Report and the Shock-Responsive Social Protection – Literature Review (OPM/WFP, 2019 and 2020).

Responses to *covariate* shocks typically fall within the remit and mandate of DRM agencies. Social protection ministries focus on *idiosyncratic* shocks (that affect individuals or households such as the loss of breadwinner, illness, and poverty reduction). This distinction is why shock-responsive social protection is not solely about social protection but rather the intersection between social protection and DRM. Social protection programmes are also not necessarily designed to cope with sudden demand or to support emergency response efforts. What is new is the deliberate effort to foster more flexible and adaptive approaches through investments to prepare social protection systems and develop policies that make this role more explicit. It is also important not to assume that social protection should be part of every emergency response. The best ways of assisting people should consider needs (the type of support people need), coverage (how to reach the most people), predictability of the support, timeliness, sustainability, cost and minimizing duplication and gaps in systems/ processes.

2. Social protection programmes and systems have been used to support people impacted by disasters and economic shocks in the Caribbean. Emerging efforts are underway to strengthen them in anticipation of responding to such events.

The use of social protection to respond to disasters such as hurricanes, floods, financial crises, and the COVID-19 pandemic in the Caribbean is well documented. These experiences demonstrate how governments and partners in the region recognize social protection as a policy and operational instrument to assist people impacted by shocks. There are emerging efforts to strengthen the role of social protection to respond to shocks and build resilience, including through policy loans from international financial institutions that include measures for making social protection systems more adaptive. Ministries with responsibility for administering social protection programmes are often involved in frontline emergency operations and responsible for conducting assessments, designing, and implementing assistance.

3. Certain administrative capacities of social protection systems in the region lend themselves to providing support before and after shocks.

Social protection programmes throughout the Caribbean have processes and capacities to identify beneficiaries, collect/store data, deliver cash or in-kind assistance and provide services. Despite some limitations, they have been successfully leveraged to respond to shocks. Governments are increasingly investing in strengthening routine social protection and so these systems and programmes can contribute more effectively to providing timely and adequate assistance to people affected by shocks. Using existing social protection systems and processes for the response can also increase people's overall confidence if they are already familiar with the delivery processes.

4. Linkages between social protection and DRM are already established in several national and regional strategies and policies.

The goals of social protection and DRM are mutually reinforcing. Several governments have adopted social protection policies and strategies that include climate change adaptation and DRM roles. While references to social protection in DRM strategies are rare, it is a pillar of the Caribbean Pathway for Disaster Resilience and part of CDEMA's Model National Recovery Framework. It contributes to achieving the 2014-2024 Comprehensive Disaster Management Strategy.[4] These frameworks promote an integrated risk management approach to building resilience and safeguarding lives and livelihoods against multiple risk scenarios in the Caribbean. The frameworks also advance the realisation of numerus global commitments such as the 2030 Agenda for Sustainable Development, the Sendai Framework, the 2016 World Humanitarian Summit and the Grand Bargain. These commitments link humanitarian and development efforts more strongly, build resilience against climate-related risks, support localised solutions, and reduce needs over the long term. A critical aspect of these frameworks is recognizing the linkages between disaster management, climate change adaptation, sustainable development, and the need to tackle the incidences of vulnerability by enhancing social protection systems.

5. There are relevant regional efforts towards harmonising social protection policies, strategies and programmes that promise to strengthen the role of social protection in preparing for and responding to shocks.

Regional bodies such as the Caribbean Community (CARICOM) and the Organization of the Eastern Caribbean States (OECS) have been leading several initiatives to guarantee people's entitlement to social protection benefits and provide equality of treatment when moving from one state to another. These include the CARICOM's Agreement on Social Security (1996), the Protocol on Contingent Rights (2018), the OECS Development Strategy (2019-2028) and the forthcoming Social Protection Strategy. Regional bodies have also carried out consultations to establish a regional social protection floor that would also include cross-border policies and systems to enable access to labour markets, health, education, and other services as citizens move and work within the region. These initiatives and the frameworks needed to support them may offer an opportunity to further integrate shock-preparedness and response measures in developing and strengthening social protection systems. These developments are particularly important in a context where human mobility and cross-border displacement contribute to existing vulnerabilities and are a potential burden on countries' already limited resources and services.

BACKGROUND AND APPROACH

WFP has developed this handbook as part of a regional collaboration with CDEMA to strengthen the regional and national emergency preparedness and response capacities in the Caribbean. **It responds to the growing experience on shock-responsive social protection in the region and interest in practical ways to operationalize it**.

The handbook:

- builds on regional and global evidence on the linkages between social protection and DRM
- covers the **core conceptual, strategic and operational approaches** to strengthen and leverage social protection systems before and after shocks.

These approaches are framed by a **conceptual framework** that outlines two dimensions for shock-responsive social protection – 'system preparedness' and 'system response'.[5]

System preparedness concerns the extent to which social protection and DRM systems are prepared to respond to shocks, including institutional arrangements/capacity, targeting, information management, delivery mechanisms, coordination and financing.

System response refers to how social protection systems can provide assistance or play a supportive role in an emergency response. The two dimensions are outlined on the following page and covered in more detail in Chapters 3 and 4:

4. The Regional CDM Strategy is the instrument for the implementation of the priorities set out in the Sendai Framework for 2015-2030, adopted at the Third United Nations World Conference on Disaster Risk Reduction in March 2015, as well as for advancing Goals 11 and 13 of the Sustainable Development Goals (SDGs)

5. The framework draws from the theory developed by OPM in the Shock-Responsive Social Protection Systems study (2015-2018) and adapted in the OPM/WFP research for Latin America and the Caribbean (2018, 2020).

Table 1: System Preparedness

Institutional arrangements and capacity

Legislation, policies and mandates of social protection and DRM institutions.

Targeting

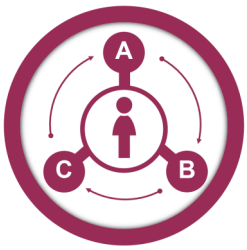
Protocols, processes and criteria for identifying people and families that should receive social protection or emergency support.

Data and information management

Socioeconomic, disaster risk and vulnerability information and data on populations to enable decision-making before and after a shock, such as social/beneficiary registries, DRM information systems and processes related to collecting, sharing and accessing data.

Delivery mechanisms

Mechanisms for delivering cash or in-kind assistance to recipients of social protection and/or people affected by shocks.



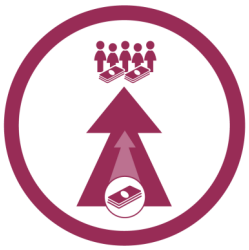
Coordination

Mechanisms and protocols for coordinating social protection and DRM activities before and after a shock.

Financing

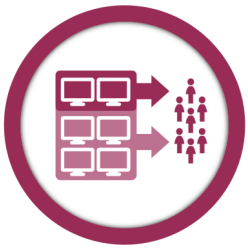
Strategies and mechanisms for financing DRM such as budgetary instruments, contingent financing and insurance, including any financing of social protection responses.

Table 2: System Response



Vertical expansion

Increasing the benefit value or duration of an existing social protection programme or system.



Piggybacking

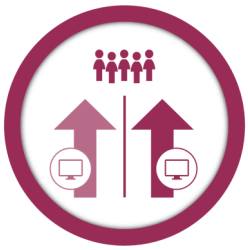
Using elements of an existing social protection programme or system for delivering a separate emergency response.

Design tweaks

Making small adjustments to the design of a core social protection programme.

Horizontal expansion

Temporarily extending social protection support to new households.



Alignment

Aligning some aspects of an emergency response with the current or possible future national social protection programmes.

Developing new programmes

Establishing a new temporary social protection programme that leverages existing capacities (i.e. processes, systems, staff) to address specific needs driven by a shock.

Resource Box

Shock-Responsive Social Protection in the Caribbean – Research Programme (OPM/WFP, 2019-2020)

>> This research page (of the regional evidence-generation programme on Shock-Responsive Social Protection in the Caribbean) includes eight case studies, a synthesis report, a literature review and other complementary resources. https://www.wfp.org/publications/research-programme-shock-responsive-social-protection-caribbean

>> Additional research conducted during a first wave of studies/research including evidence from Latin America https://es.wfp.org/publicaciones/estudio-sobre-proteccion-social-reactiva-ante-emergencias-en-america-latina-y-el

10 things you wish you'd always known about shock-responsive social protection (WFP, 2020)

>> This briefing note gives key considerations for shock-responsive social protection. https://docs.wfp.org/api/documents/WFP-0000116699/download/

Shock-Responsive Social Protection Systems Toolkit: Appraising the use of social protection in addressing large-scale shocks. (O'Brien et al., 2018)

>> This toolkit provides information on key concepts and diagnostic tools and guidance for determining whether shock-responsive social protection is appropriate in a given context. It features factors to consider in designing and implementing a 'shock-responsive' element in a social protection programme or system. https://www.opml.co.uk/files/Publications/a0408-shock-responsive-social-protection-systems/srsp-toolkit.pdf

Shock-Responsive Social Protection (TRANSFORM, 2020)

>> This document aims to support strategic players at the country level to engage in the topic of 'shock responsive social protection'. It sets out system strengthening measures along each of the social protection 'building blocks' and identifies steps required to advance 'shock responsive social protection. https://socialprotection.org/sites/default/files/publications_files/SRSP%20BD_singles_v12.pdf


MITSUBISHI

2

SOCIAL PROTECTION, DISASTER RISK MANAGEMENT AND THEIR LINKAGES TO PREPARE FOR AND RESPOND TO SHOCKS

As covered in Chapter 1, shock-responsive social protection is not a new sector or a new type of social protection – it is about how to use existing programmes and systems to respond to shocks that impact many people at once. When the shock in question is a disaster, it concerns the role of social protection programmes and systems within broader preparedness and response efforts through DRM. Thus, a fundamental starting point is understanding social protection, DRM, and their linkages. The relevance of these linkages in economic or health shocks depends on the extent to which national disaster agencies are involved in the government's response.

SOCIAL PROTECTION

Social protection is a set of policies and programmes that prevent and protect people against poverty, vulnerability, and social exclusion throughout their lives, emphasizing vulnerable groups.[6] Social protection systems address lifecycle risks through a mix of non-contributory and contributory instruments.

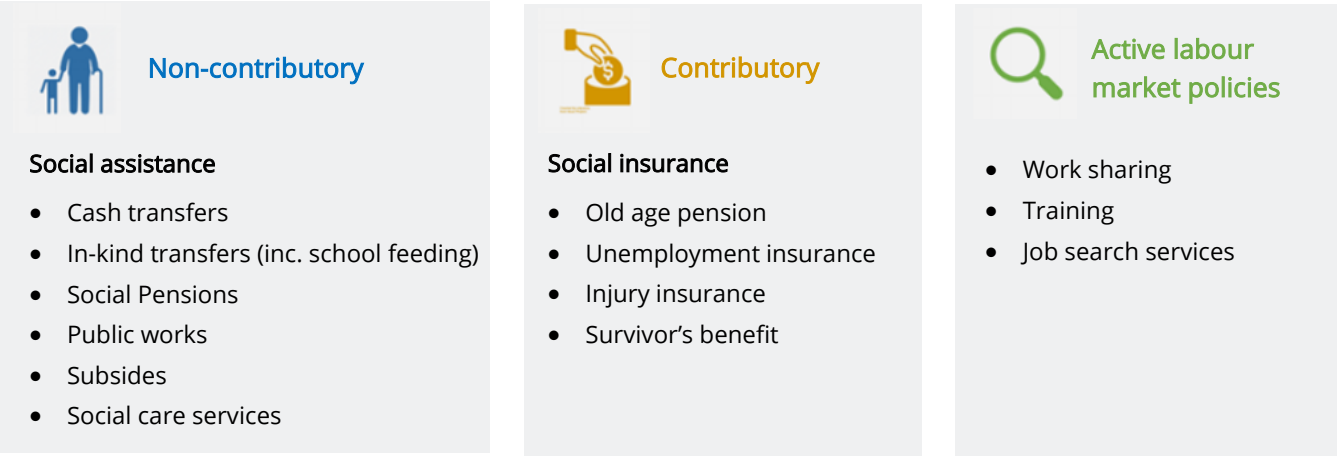
Non-contributory schemes are those where the beneficiary does not have to pay directly into a scheme to receive something back. They are typically financed through taxes, other sources of state revenue and loans/grants from international agencies.

Contributory schemes are those where only those who pay into the scheme, or on whose behalf a payment is made, can receive something back.

Active labour market policies are designed to increase the employment opportunities for jobseekers.

These instruments cover a range of transfers (cash, in-kind), fee waivers, subsidies and services summarised in the figure below:

Figure 1: Range of social Protection Instruments



Source: Adapted from https://gsdrc.org/topic-guides/social-protection/types-of-social-protection/

Note: We distinguish between contributory programmes and non-contributory programmes because of the distinct set of risks and population groups they are designed to target. In the case of non-contributory programmes, transfers are fully paid for, whereas in the case of contributory programmes, participants make regular payments to a scheme to cover costs related to life-cycle events. In the case of the latter, costs are matched by the provider (for example, an employer).

6. Social Protection Inter-Agency Cooperation Board

Social assistance programmes have been the primary focus of shock-responsive social protection efforts to date in the Caribbean. Typically, these programmes provide transfers (cash, vouchers, in-kind or subsidies) targeted at those considered vulnerable (e.g. children, people with a disability, the elderly), people living in poverty or a combination of these.

Social insurance provides protection against various economic shocks (e.g. loss of income due to sickness, old age, maternity, unemployment). It is a form of 'risk transfer', where the risk of addressing specific shocks is transferred from the individual or institution to a third party (an insurer or reinsurer) in return for the payment of a premium (the amount the individual pays to be covered by an insurance policy).

Social protection functions

Broadly, social protection addresses vulnerability and poverty through redistributing resources and through targeted measures that help individuals or households manage the risks they face.[8] These risks may be economic and social and caused by structural inequalities, personal circumstances, life-course vulnerabilities, or large-scale shocks. At a micro level, well-designed social protection can promote conditions conducive to building resilience, support those already in need, and help prevent temporary needs from becoming entrenched. At a macro level, it can foster human capital development, social cohesion, and inclusive economic growth.[9]

These functions of social protection systems are:

Protection: Averting deprivation among people or households who are poor, disadvantaged or in a vulnerable situation, or those who have no other means of support. For example, provision of cash transfers to support low-income households.

Prevention: Supporting people to reduce or mitigate risk without resorting to detrimental measures or reaching socially unacceptable levels of deprivation. For example, preventing negative coping strategies such as selling productive assets (e.g. farm equipment, tools) or withdrawing children from school.

Promotion: Helping people to move out of poverty, or promoting their well-being, livelihood opportunities and/or human capital development. For example, using cash transfers to expand a small business, or pay for education costs (transport, fees, uniforms, books).

Transformation: Supporting the design and delivery of measures relating to protection, prevention or promotion through an approach that advances people's rights and transforms power structures, e.g. by resulting in reduced discrimination or transforming gender norms.[10] For example, using social protection to redistribute wealth, empower women and increase access to health and education services.

As described later in this chapter, these functions also have natural linkages with the different phases of DRM (prevention/mitigation, preparedness, response, and recovery).

7. ILO, 2015
8. ILO, 2017
9. Devereux, S., and R. Sabates-Wheeler. 2004. "Transformative Social Protection." IDS Working Paper 232, Institute of Development Studies, Brighton, UK.
10. Ibid.

Info Box 1: Social Assistance and Social Insurance in the Caribbean

In the Caribbean region, social pensions are the most common form of social assistance usually aimed at the elderly, although a few countries cover other vulnerabilities such as disability and invalidity. While old age social pensions are universal in some countries, they are poverty-targeted in most countries. Almost all countries in the region have public assistance programmes to respond to the needs of the poor, but they often do not have a consolidated approach to delivery. Conditional cash transfers, targeted at improving health, nutrition, and education outcomes, are less common in the region although several countries have long-running school-feeding programmes.

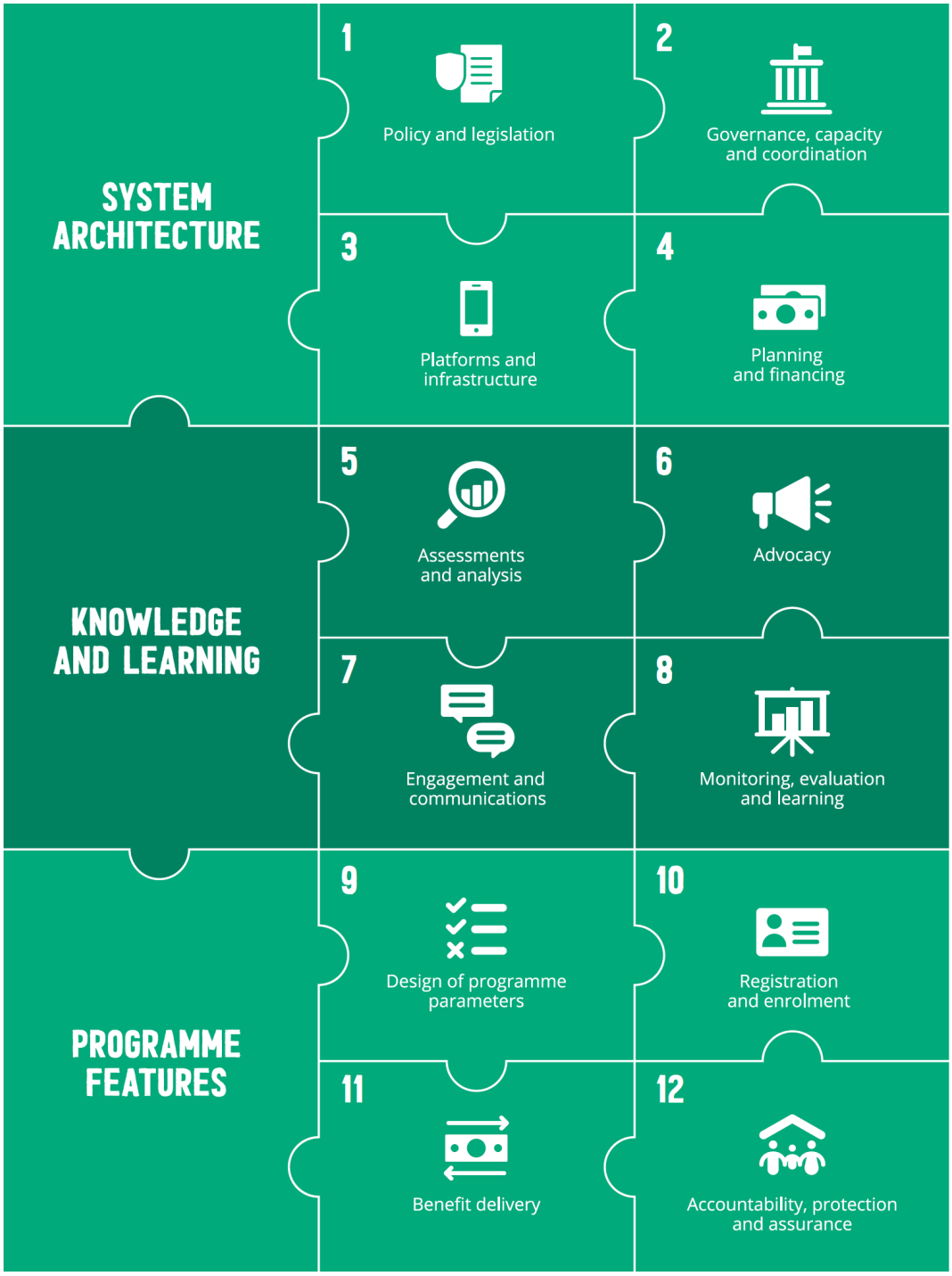
Social assistance can often be implemented as a complement to social insurance. Social insurance is a contributory social protection programme that protects against various economic shocks (e.g. loss of income due to sickness, old age, maternity, unemployment). It is a form of 'risk transfer', where the risk of addressing specific shocks is transferred from the individual or institution to a third party (an insurer or reinsurer) in return for the payment of a premium (the amount the individual pays to be covered by an insurance policy). Social insurance contributions are generally shared between employers and workers, sometimes with supplementary contributions from or subsidies by the government.

Source: Shock-Responsive Social Protection in the Caribbean – Literature Review, OPM/WFP, 2019

Components of a social protection system[11]

Social protection is embedded in a set of measures, systems and processes designed to provide benefits and/or services. These components are the building blocks of social protection and are broadly the same for the design and implementation of relief assistance programmes.

Figure 2: Building Blocks of a National Social Protection System



Source: WFP Strategy for Support to Social Protection 2021

11. This text is drawn from WFP's Strategy for Support to Social Protection 2021

System Architecture includes:

- National local and regional social protection **policies and strategies, laws and regulations.**
- **Governance, capacity and coordination** arrangements that enable institutional effectiveness.
- **Platforms and infrastructure**, such as management information systems and databases covering some or all of the functions for social protection programme delivery and monitoring.
- **Planning and financing** for social protection to ensure the achievement of national objectives.

Knowledge and Learning includes:

- Assessment and analysis to enable the effective design and implementation of social protection programmes.
- Evidence-based advocacy to make a case for certain policy decisions or programme features that advance national social protection goals.
- Engagement and communications to improve programme quality and effectiveness, and promote participation, inclusion, and transparency.
- Monitoring, evaluation and learning that support evaluation processes, reflection and learning around social protection systems and programmes.

Programme Features includes:

- Design of programme parameters, which relates to decisions about eligibility and the nature of assistance considering identified needs and objectives.
- Registration and enrolment of participants into social protection programmes and systems.
- Delivering benefits, including in-kind or cash transfers, services and complementary measures.
- Accountability, protection and assurance to ensure programmes and processes are accessible, inclusive, dignified and safe, and that demonstrate accountability towards all stakeholders.

Resource Box

Sourcebook on the Foundations of Social Protection Delivery Systems (World Bank, 2020)

>> This document synthesizes real-world experiences and lessons learned of social protection delivery systems from around the world, with a particular focus on social and labour benefits and services. https://openknowledge.worldbank.org/handle/10986/34044

Transform Learning Package (World Bank, 2020)

>> These learning resources on social protection were developed by an inter-agency initiative between ILO, UNICEF and UNDP. The initiative seeks to build capacity at national and decentralized levels to improve the design, effectiveness and efficiency of social protection systems. https://transformsp.org/learningresources/

Shock-Responsive Social Protection in the Caribbean - Literature Review (OPM/WFP, 2019)

>> For an overview of social protection systems in the Caribbean region, pp. 17-26 https://docs.wfp.org/api/documents/WFP-0000110981/download/

World Food Programme Strategy for Support to Social Protection (WFP, 2021)

>> This strategy articulates WFP's approach to social protection and offers a coordinating framework that outlines how the organization will contribute deliberately and systematically to collective efforts to achieve long-term national social protection goals. https://www.wfp.org/publications/world-food-programme-strategy-support-social-protection-2021

Transformative Social Protection Framework (IDS, 2007)

>> This article describes the 'transformative' potential of social protection and makes a case for social protection to support social as well as economic goals of development. https://opendocs.ids.ac.uk/opendocs/bitstream/handle/20.500.12413/8306/IDSB_38_3_10.1111-j.1759-5436.2007.tb00368.x.pdf;jsessionid=9F146C859B72FC2CF5C392B3742982C4?sequence=1

Social Protection: A Primer (IDS, 2019)

>> This free online course looks at the basics of social protection and its implementation worldwide. https://www.ids.ac.uk/professional-development-courses/social-protection-a-primer/

DISASTER RISK MANAGEMENT

DRM includes all the processes that aim to reduce the likelihood of a disaster, lessen the impact of hazards, and improve people's ability to cope if a disaster occurs.[12] DRM is often viewed as having four focal areas: prevention/mitigation and preparedness in the pre-disaster stage and response and recovery in the post-disaster stage.

Together, these areas aim to reduce the negative impacts of natural hazards and other shocks on lives, livelihoods, public health, infrastructure, and economies:[13]

- **Prevention/Mitigation** includes activities and measures taken in advance of shocks to lessen their adverse consequences and to avoid existing and new disaster risks.
- **Preparedness** comprises activities aimed at building the capacities needed to efficiently manage all types of shocks and transition from effective response to recovery.
- **Response** encompasses measures taken directly before, during or immediately after a disaster to reduce their impact, including meeting the minimum sustenance needs of the affected populations
- **Recovery** concerns restoring or improving livelihoods and health, as well as economic, physical, social, cultural and environmental assets, systems and activities, of shock-affected communities.

Traditionally, there has been a strong focus on response and relief; however, there is now a shift towards more integrated risk management approaches at global and regional levels. Integrated approaches to DRM acknowledge the interrelated social and environmental factors that lead to disaster risks and take a holistic view of measures to address them. Recovery efforts, for example, should ideally incorporate prevention, mitigation and preparedness measures to 'build back better', reduce risks and increase the resilience to future shocks.

Similarly, there can be stronger linkages between preparedness and response efforts. For example, while data collected as part of preparedness efforts can help to inform disaster responses, data collected as part of disaster response can also feed back into preparedness efforts. Integrated approaches recognize DRM as a cross-sectoral issue that requires the cooperation and commitment of all public and private sectors and civil society across disaster prevention, mitigation, preparedness, response and recovery for all types of natural and man-made hazards. Such a holistic approach is reflected globally in the Sendai Framework for Disaster Risk Reduction 2015–2030[14] and regionally in CDEMA's Comprehensive Disaster Management (CDM) Strategy[15] and Model National Recovery Framework.

12. UNISDR, 2009
13. OPM, 2008
14. Sendai Framework for Disaster Risk Reduction 2015-2030, UNISDR https://www.unisdr.org/files/43291_sendaiframeworkfordrren.pdf
15. Regional Comprehensive Disaster Management (CDM) Strategy and Programming Framework 2014-2024, https://www.cdema.org/CDMStrategy2014-2024.pdf

DRM in the Caribbean[16]

In general, Caribbean countries have similar DRM structures, with the head of government bearing ultimate responsibility for managing disasters with support from other government entities to operationalize the response.

The tasks of **national disaster management authorities** are generally to:

- implement and revise government policies aimed at reducing disaster risks and impacts
- provide training in disaster management
- issue early warnings to institutions and the general population, and
- call for the activation of the National Emergency Response Plan and leading disaster responses in coordination with other sectors and with regional and international structures.

In an emergency, the national disaster authorities establish a **National Emergency Operations Centre (NEOC)** to serve as a hub for emergency response and relief coordination, information management, operational planning and logistics.

At the tactical level, many countries have **Emergency Support Functions** (ESFs) or **disaster committees**, with members from specific sectors, such as shelter management, social services, public health, water, transport and relief supplies, and led by a ministry or government agency whose mandate is in that sector. In an emergency, these ESFs or committees are the operational lead for their sector and responsible for assessing and monitoring the situation, prioritizing and planning response measures and coordinating response efforts. Although their tasks generally include preparedness and contingency planning for their sector outside of emergencies, in practice, many ESFs become active only in an emergency and cease functioning after it.

At the regional level, disaster management is mobilized and coordinated by CDEMA for its 19 Participating States through its Regional Response Mechanism (RRM). As part of its Comprehensive Disaster Management approach, CDEMA also aims to strengthen preparedness and response capacities.

16. This section is drawn from the OCHA-CDEMA Joint Interoperability Manual (OCHA/CDEMA, 2020)

Info Box 2: Regional Approach to DRM in the Caribbean

Regional cooperation for managing and coping with disasters in the Caribbean dates back to the 1970s. The multi-donor Pan Caribbean Disaster Preparedness and Prevention Project (PCDPPP) was established in the 1970s in response to a series of disasters. The Caribbean Disaster Emergency Response Agency (CDERA) in 1991, renamed CDEMA in 2009, followed PCDPPP with the aim of improving intergovernmental cooperation for disaster preparedness and response. CDEMA is the prime intergovernmental regional agency tasked with supporting disaster management efforts in the Caribbean and has been an important voice in the region calling for integrated or comprehensive DRM approaches.

CDEMA's CDM framework and strategy (2014–2024) [17] is intended to feed into national plans and policies in Caribbean states, as well as to provide the guidelines and frameworks for regional response in the event of disasters.

The framework, while non-binding, puts national disaster management authorities at the heart of the regional activities and response. Consequently, it requires national governments to mainstream CDM principles in their institutional structures and improve inter-ministerial/inter-departmental coordination for DRM.

CDEMA supports response and relief operations through its RRM, a network of member states, and national, regional and international disaster stakeholders. Operations are conducted through five technical response teams, focusing on different aspects of response, such as emergency coordination, humanitarian needs assessment. Coordination takes places through four regional sub-divisions – Barbados, Jamaica, Trinidad and Tobago, Antigua and Barbuda – that maintain sub-regional regional warehouses and offices.

Source: Shock-Responsive Social Protection in the Caribbean – Literature Review, OPM/WFP, 2019

Resource Box

CDEMA's Regional Response Mechanism (RRM)

>> This video shows gives an overview of the Regional Response Mechanism (RRM). It outlines the regional response doctrine and the framework of the RRM. Duration: 03:18
https://www.youtube.com/watch?v=_I6Vzgro4yQ

CDEMA's Regional Comprehensive Disaster Management (CDM) Strategy and Programming Framework 2014-2024

https://www.cdema.org/CDMStrategy2014-2024.pdf

Sendai Framework for Disaster Risk Reduction 2015–2030

>> This agreement, Adopted by the United Nations member states in 2015, defines global priority actions and targets for reducing disaster risks and losses.
www.preventionweb.net/files/43291_sendaiframeworkfordrren.pdf

17. The strategy and framework underpin four priority actions: 1) strengthened institutional arrangements for CDM; 2) increased and sustained knowledge management and learning for CDM; 3) improved integration of CDM at sectoral levels; and 4) strengthened and sustained community resilience (CDEMA, 2014).

HUMANITARIAN ASSISTANCE

When a disaster hits a country – particularly a major one – many actors (both local and international) rally to provide support by donating goods, supplying food, reaching people with relief items and providing services such as medical care. This support is often described under the general term 'humanitarian assistance'.

Humanitarian assistance is a critical component of DRM, as it seeks to 'save lives, alleviate suffering, and maintain human dignity during and in the aftermath of man-made crises and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situations'.[18]

Humanitarian relief includes direct assistance to persons impacted by disasters and conflict through the provision of essential goods, services and financial assistance and indirect support such as infrastructure repair and logistics. Many humanitarian assistance actors are guided by the principles of humanity, neutrality, impartiality and independence. These principles are endorsed by the UN General Assembly and enshrined in numerous humanitarian standards and guidelines.

Info Box 3: Humanitarian Principles

Humanity: Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.

Neutrality: Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.

Impartiality: Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.

Independence: Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.

Source: What are the humanitarian Principles? OCHA, 2012

The humanitarian landscape in the Caribbean

The humanitarian landscape in the Caribbean encompasses a wide range of actors. These include governments and their partners, UN agencies, I/NGOs, civil society groups, the private sector and faith-based organizations. Militaries from the region and beyond also play an active role in supporting relief efforts on the ground. Bilateral donors are also key actors in the humanitarian sector as they represent a significant source of humanitarian financing. Multi-lateral donors also play a role in financing humanitarian assistance. In the Caribbean, these efforts by diverse actors tend to be part of or complement government-led responses.

In other parts of the world, international entities such as UN agencies and international NGOs tend to lead responses, guided by their coordination frameworks and policies. In large-scale disasters in the Caribbean, the arrival of many organizations and unsolicited donations of relief supplies can pose a challenge to both logistics and coordination.

CDEMA is the regional body in the Caribbean mandated with the coordination of regional and international humanitarian assistance designated for CDEMA's Participating States. However, when a country

18. Objectives and Definition of Humanitarian Action, Good Humanitarian Donorship https://www.ghdinitiative.org/ghd/gns/principles-good-practice-of-ghd/principles-good-practice-ghd.html

requests assistance from outside the region, the mobilization and coordination of assistance may involve the United Nations Office for the Coordination of Humanitarian Affairs (OCHA). Given their similar mandates, CDEMA and OCHA have jointly coordinated the humanitarian response to major hurricanes in the region and work together to improve preparedness and response. Furthermore, the UN system cooperates with national governments and CDEMA to support humanitarian responses and long-term capacity building.[19]

There have been efforts to link shorter-term humanitarian assistance with longer-term development. However, the lines between what constitutes 'humanitarian' and 'development' are not always clear because emergencies and their impacts can become drawn out, and chronic poverty makes people more vulnerable to their impacts. Social protection is widely recognized as a way to bridge humanitarian and development efforts since it addresses poverty and the risks and shocks that people face throughout their lives and can be used to respond to needs resulting from disasters and shocks.

Info Box 4: UN System in the Caribbean

The United Nations System has a presence in the Caribbean through several agencies that support emergency preparedness and response efforts. The UN agencies supporting emergency response and preparedness in the region include the World Food Programme (WFP), the Pan American Health Organization (PAHO), Food and Agriculture Organization (FAO), the International Organization for Migration (IOM), the United Nations High Commissioner for Refugees (UNHCR), the United Nations Development Programme (UNDP), the United Nations Children's Fund (UNICEF), UN Women and the United Nations Population Fund (UNFPA).

In coordination with CDEMA, UN agencies work in partnership with national disaster management organizations and government line ministries to support emergency preparedness, response and recovery in their fields of expertise. Support provided through UN agencies includes long-term capacity building for emergency preparedness and response capacities and humanitarian assistance to support responses to emergencies. Government requests for assistance trigger this support.

The UN system is represented in the region through five UN Resident Coordinator Offices (RCO) based in Barbados (also covering the Eastern Caribbean), Trinidad and Tobago (also covering Aruba, Curacao, Sint Maarten and Suriname), Guyana, Jamaica (also covering Bahamas, Bermuda, Cayman Islands and Turks and Caicos) and Belize (RCO based in El Salvador). The UN Resident Coordinators lead the coordination of UN Country Teams, which comprise all UN agencies operating in the countries. Similarly, UN Emergency Technical Teams are led by a designated UN Agency in each RCO coverage area. Resident Coordinators are also responsible for coordinating the emergency responses of UN agencies for events occurring within their geographical coverage. The coverage areas of individual UN agencies vary by agency. For example, as of 2021, WFP and UN Women have multi-country offices covering the 22 countries and territories of the English and Dutch-speaking Caribbean, UNICEF has offices in Jamaica, Belize, Trinidad and Tobago and Barbados (covering Barbados and the eastern Caribbean), and UNDP offices broadly align with divisions of the Resident Coordinator Offices as well as having an office in Suriname.

Source: OCHA-CDEMA Joint Interoperability Manual (OCHA/CDEMA, 2020)

19. OCHA/CDEMA, 2020

Resource Box

Human(itarian) Capital?: Lessons on Better Connecting Humanitarian Assistance and Social Protection (World Bank/WFP, 2018)

>> This paper: a) discusses findings from twelve country case studies exploring the linkages between humanitarian assistance and social protection systems and b) distils lessons on how humanitarian assistance and social protection systems might better coexist – the possible challenges and trade-offs emerging from practical experiences, and how to facilitate, inform, and accelerate future concerted action. https://www.worldbank.org/en/topic/socialprotectionandjobs/publication/humanitarian-capital-lessons-on-better-connecting-humanitarian-assistance-and-social-protection

Caribbean Operational Presence Who What Where (OCHA 2020)

>> Interactive dashboard on humanitarian organizations operating in the Caribbean. www.humanitarianresponse.info/en/operations/latin-america-and-caribbean/caribbean

Sphere Handbook: Humanitarian Charter & Minimum Standards in Humanitarian Response (Sphere Project 2018)

>> This initiative, which began in 1997 and pioneered humanitarian standards with the first Sphere Handbook published in 2004 and the latest in 2018, provides pragmatic guidance, global good practice and compiled evidence to support humanitarian staff. https://handbook.spherestandards.org/en/sphere/#ch001

Core Humanitarian Standard on Quality and Accountability (CHS) (CHS Alliance, Group URD and the Sphere Project, 2014)

>>This standard outlines nine Commitments that organizations and individuals involved in humanitarian response can use to improve the quality and effectiveness of the assistance they provide. https://corehumanitarianstandard.org/files/files/Core%20Humanitarian%20Standard%20-%20English.pdf

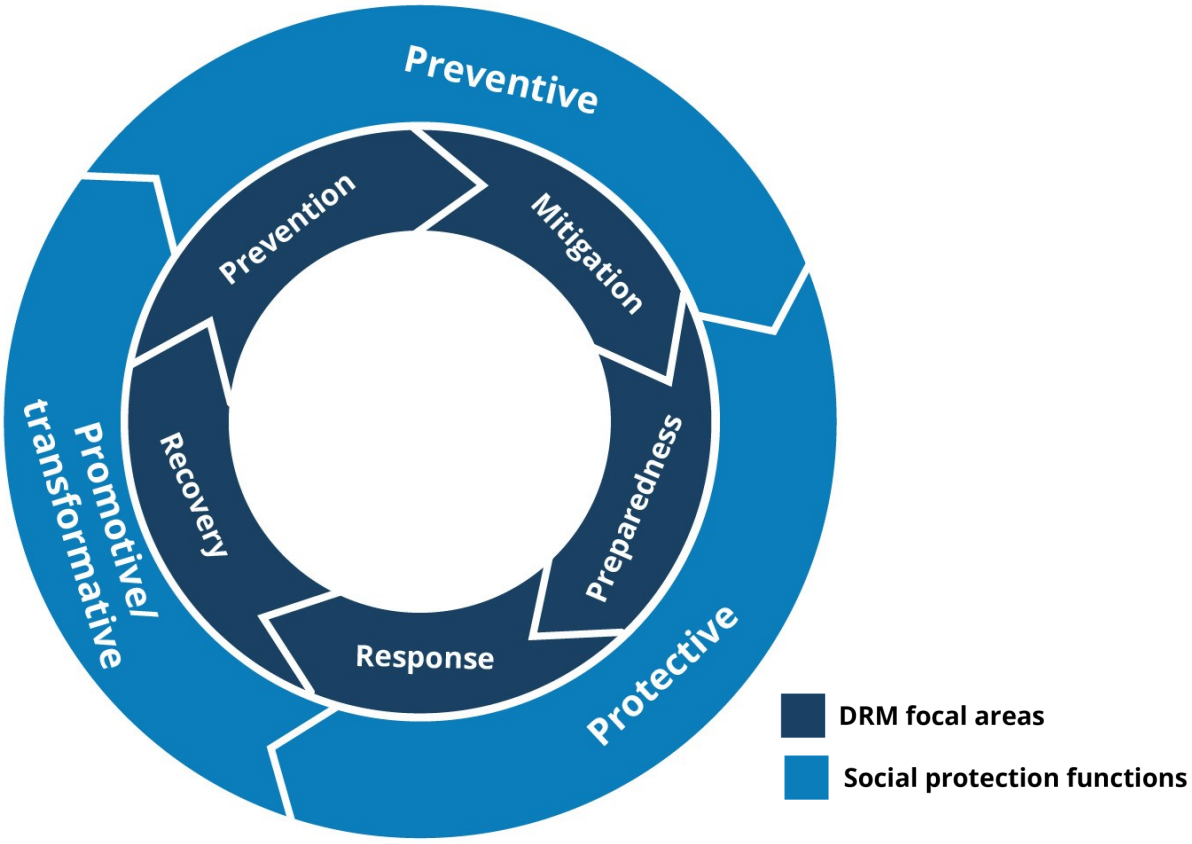
LINKAGES BETWEEN SOCIAL PROTECTION AND DRM[20]

Shock-responsive social protection concerns the role of social protection in response to shocks, which are typically under the remit of DRM. Social protection and DRM can reinforce each other through the many opportunities for joint approaches, as illustrated in Figure 3 and Figure 4.

Both sectors aim to:

- prevent shocks and crises
- reduce negative impacts if an event occurs
- provide support to shock-affected households and communities
- invest in measures geared towards lessening the impact of future events.

Figure 3: Overlap Between Social Protection and DRM Frameworks



Source: Shock-Responsive Social Protection Systems Toolkit Appraising the use of social protection in addressing large-scale shocks (O'Brien et al. 2018)

20. This section contains material adapted from the Shock-Responsive Social Protection Systems Toolkit Appraising the use of social protection in addressing large-scale shocks (O'Brien et al. 2018) and the Shock Responsive Social Protection – Manual for Leadership and Transformation Curriculum on Building and Managing Social Protection Floors in Africa (TRANSFORM, 2020)

In practice, DRM includes many activities and measures that are relevant for the social protection sector such as:[21]

Early warning systems (EWS) that give early alerts of potential threats such as hurricanes or even slight variations in weather patterns, could trigger a response through the social protection sector.

Risks and vulnerability assessments that can help identify locations and populations likely to be in greatest need of assistance. This data can inform immediate support through social protection and could be used to link people impacted by shocks to longer-term social protection programmes and services.

Contingency plans that set out what the sector will do in different types of emergencies, including a role for social protection in the planned response.

Disaster response teams that coordinate the targeting and distribution of support to communities after a shock, which frequently comprise staff from social development ministries

DRM financing mechanisms such as contingency funds, and insurance schemes that can release funds for emergency measures could be used to fund responses through social protection.

Increased use of cash transfers as a substitute or complement to in-kind assistance; this is an opportunity for collaboration as cash transfers are also commonly provided through social protection programmes.

Similarly, routine social protection programmes and systems can contribute to DRM in a number of ways.

Support household resilience before shocks occur through increasing income, creating assets or serving as a safety net to reduce the impacts of routine risks and stresses.

Consider disaster risks and covariate shocks in their design and implementation, such as by expanding coverage in areas with high levels of disaster risk or incorporating vulnerability to shocks in targeting criteria, and providing anticipatory transfers based on early warning or forecasts.

Take measures to ensure continuity of programmes and services in the event of shocks, such as moving forward benefit dates, waiving conditionalities in the event of an emergency or changing the ways that benefits and services are delivered.

Provide increased assistance when shocks occur, through increasing benefit levels, providing new or expanded services, and/or creating temporary tailored programmes.

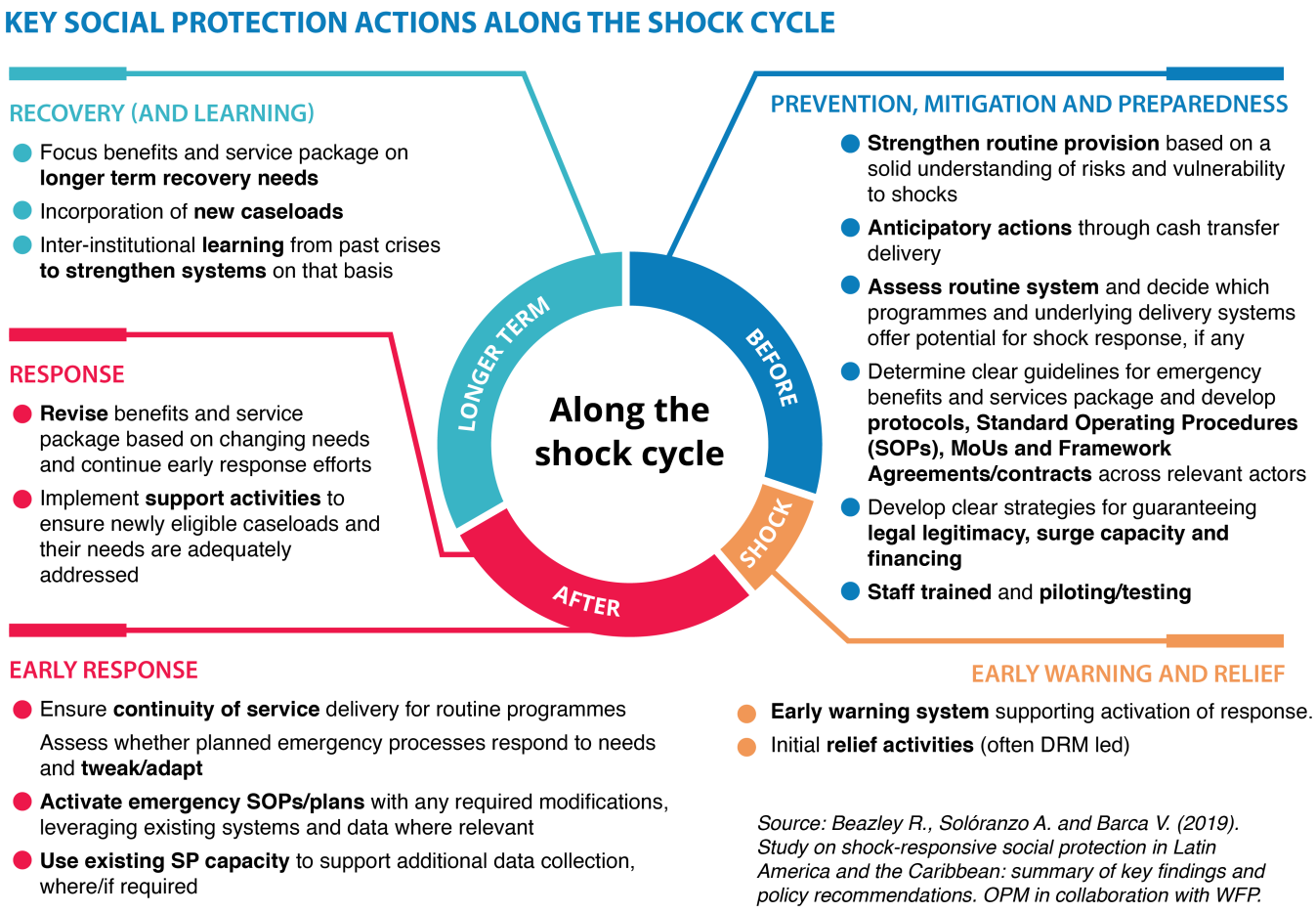
Develop robust on-demand/continuous registrations systems that can work towards routinely incorporating new people and households when their circumstances change as a result of a shock.[22]

Be leveraged to provide relief assistance through cash, goods and services to people impacted by disasters and other shocks to meet basic needs and support their recovery.

We can layer the examples above over the DRM cycle to better understand the interplay between the functions of disaster risk management and social protection.

21. O'Brien et al. (2018)
22. On-demand systems are rare in low and lower-middle income countries. Most countries have static registration systems that enrol households for support during a limited time window.

Figure 4: Social Protection Alignment Along the DRM Cycle



Source: Study on Shock-Responsive Social Protection in Latin America and the Caribbean: Summary of Key finding and Policy Recommendations (OPM/WFP, 2019)

Strengthening the linkages between social protection and DRM in anticipation of shocks is essential to maximize social protection's role in the response. It's well-accepted wisdom in DRM that preparing ahead of a shock or crisis is critical to enable an effective response.

The same is true for social protection. Chapter 3 provides a menu of recommended preparatory measures to strengthen social protection systems and programmes and Caribbean countries' examples in implementing them to enable stronger linkages for a timely response.

Resource Box

Towards Adaptive Social Protection Systems in Latin America and the Caribbean: A Synthesis Note on using Social Protection to Mitigate and Respond to Disaster Risk (World Bank, 2020)

>> Framework for Identifying how SP Systems Support DRM Pillars, pp. 21-22
http://documents1.worldbank.org/curated/en/265481593592677937/pdf/Towards-Adaptive-Social-Protection-Systems-in-Latin-America-and-the-Caribbean-A-Synthesis-Note-on-Using-Social-Protection-to-Mitigate-and-Respond-to-Disaster-Risk.pdf

Building Resilience to Disaster and Climate Change through Social Protection (World Bank, 2013)

>> Framework for Climate- and Disaster-Responsive Social Protection, pp. 7 - 20
http://documents1.worldbank.org/curated/en/187211468349778714/pdf/796210WP0Build0Box0377381B00PUBLIC0.pdf

Social protection and climate change: WFP Regional Bureau for Latin America and the Caribbean's vision to advance climate change adaptation through social protection (OPM/WFP, 2019)

>> This paper reviews different theoretical frameworks on the linkages between social protection and climate change, identifies design considerations for specific social protection instruments to enhance climate change adaptation and describes some of the climate-related activities that could be linked to social protection programming.
https://docs.wfp.org/api/documents/WFP-0000110761/download/

Strengthening Resilience through Social Protection Programs (Asian Development Bank, 2018)

>> Framework and key considerations for strengthening resilience through social protection programmes, pp. 9-21
https://reliefweb.int/sites/reliefweb.int/files/resources/resilience-social-protection-guidance-note.pdf

KEY CONSIDERATIONS FOR SHOCK-RESPONSIVE SOCIAL PROTECTION

Determining whether social protection is an appropriate vehicle for responding to shocks and how to best use programmes and systems will depend on several factors.

These factors include:

- the types of shocks and crises that may affect a country
- the factors underlying people's vulnerabilities
- the strengths and weaknesses of social protection and DRM systems and programmes in addressing risks and shocks
- how to best leverage them to support people in the aftermath of shocks.

This analysis will inform measures to strengthen and prepare social protection systems in advance of shocks and inform the design of responses in the event of an emergency.[23]

Understanding shocks

Shocks can be classified as either 'covariate' or 'idiosyncratic'. Covariate shocks affect a considerable proportion of the population simultaneously (e.g. hurricanes, floods, conflict). Idiosyncratic shocks affect individual households or household members (e.g. the death of a breadwinner or catastrophic illness). Shocks have different characteristics, which have significant implications on social protection's role in responding to them:

- **Type:** seasonal stress, economic, natural hazard, conflict, pandemic.
- **Speed of onset:** rapid-onset, e.g. hurricanes or floods, or slow-onset, e.g. drought, economic crisis.
- **Recurrence:** protracted, recurrent, occasional, rare/ one-off.
- **Consequences:** scale (% population affected), the urgency of need, type of need (chronic/temporary).

Governments' decisions on how to best strengthen, leverage and adapt social protection programmes to respond to shocks can be supported by an analysis of shocks and their potential impacts.

An analysis of shocks and impacts may include:[24]

- The **characteristics, needs and challenges** of vulnerable/affected populations, including the overlaps between routine social protection caseloads (e.g. the chronically poor/vulnerable) and vulnerable/ affected populations. These have implications for the selection and identification of beneficiaries (targeting).
- An analysis of **funding that may be made available**, including the amount, speed, duration and conditions attached to the flow of funds.
- The **stakeholders involved** in responding to needs and their potential for coordination.
- The **codes of conduct/standards/principles** required of those involved in assisting and the broader political economy.
- The **potential to leverage capacity and systems** from different sectors (e.g. EWS).
- The **feasibility of providing different services**, informed by the extent to which normal services and infrastructure could be disrupted by the shock.
- The **relevant legal and policy frameworks** (e.g. a response to the needs of migrants would need to respect national legislation relevant to migration).

23. Drawn from WFP's 10 things you wish you'd always known about shock-responsive social protection (2020)
24. Levine, S. and Sharp, K. (2015), 'Topic guide: Anticipating and responding to shocks: livelihoods and humanitarian responses', ODI, London, UK

Info Box 5: Overview of Types of Shocks in the Caribbean

The Caribbean region comprises small island developing states and mainland countries that share common constraints and challenges in their pursuit of sustainable development. Due to its location in the cyclone and hurricane belts bordering the equator, the region is especially susceptible to a wide range of natural hazards, including hurricanes, floods, landslides, earthquakes and droughts, which cause an estimated USD 3 billion in annual losses. Between 1950 and 2009, the disaster frequency in the region rose by 347 percent. Between 1970 and 2016, over 23 million people were affected by disasters, resulting in over 239,000 deaths and an estimated USD 22 billion in damages.

Among Caribbean countries for which the World Risk Index is available, Antigua and Barbuda, Dominica, Guyana, Haiti, Jamaica, Trinidad and Tobago and Belize regularly exhibit very high, high and medium levels of disaster risk. Small island developing states are more affected by the human impact of disasters, affecting 10 percent of the population on average, compared to just one percent in large states. In recent decades, small Caribbean countries ranked highest countries in terms of losses (% of GDP) caused by natural hazards. Climate change is expected to increase the frequency and intensity of extreme weather events, likely to reduce output and governments' revenue, higher expenditures on disaster preparedness and reconstruction and less time for recovery between events.

Caribbean countries are typically characterised by high levels of public debt and ineligibility for concessional finance due to their middle-income classification. Most Caribbean economies are small, open and significantly trade-dependent – this makes them highly susceptible to external global shocks, as seen with the 2007-2008 financial crisis and the COVID-19 pandemic. Both led to considerable contraction in economic growth and a sharp increase in unemployment. in the case of the pandemic. The latter was particularly severe given the region's reliance on tourism-related services and activities, which were halted almost overnight due to travel restrictions to avoid the arrival of imported cases, and due to other containment measures. Estimates suggest up to 1.5 million people in the Caribbean may have lost their job due to COVID-19 and 2.9 million to be food insecure. The economic contraction in the region has been forecast at 1.8 percent, from an average growth rate of 4.2 percent.

Intra- and extra-regional migration is an integral part of the history of the Caribbean. In recent years, migration and displacement from Venezuela have significantly increased due to the country's political turmoil and socioeconomic instability. Although Colombia, Peru, Chile, Ecuador, Brazil, and Argentina are the countries that host most Venezuelan migrants, Trinidad and Tobago is among the top receiving countries as a proportion of the national population. According to UNHCR, 40,000 Venezuelans reside in Trinidad and Tobago, 22,000 in Guyana and 17,000 in each of the islands of Curaçao and Aruba. Caribbean countries and territories also receive people fleeing disasters. Extreme weather events are anticipated to exacerbate migration patterns within the region and affect host countries' capacities owing to their potential to cause widespread displacement and create long-term vulnerabilities.

Source: Shock-Responsive Social Protection in the Caribbean – Literature Review and Synthesis Report (OPM/WFP, 2019 and 2020)

Understanding vulnerability

A person's vulnerability is their likelihood of being adversely affected by risks, whether related to their stage of life, other personal events, wider socioeconomic, political or environmental shocks. It is determined by their exposure to risk and by their capacity to deal with it. Both exposure and capacity are subject to numerous factors, described below.[25] The disadvantages deriving from these factors may be embedded in social norms, power relations and/or legislative barriers resulting in structural poverty, inequalities, marginalisation and exclusion.

- **Social and socio-political factors:** For example, age, gender, citizenship, refugee status, ethnicity, disability, language, health status, exposure to violence including conflict.

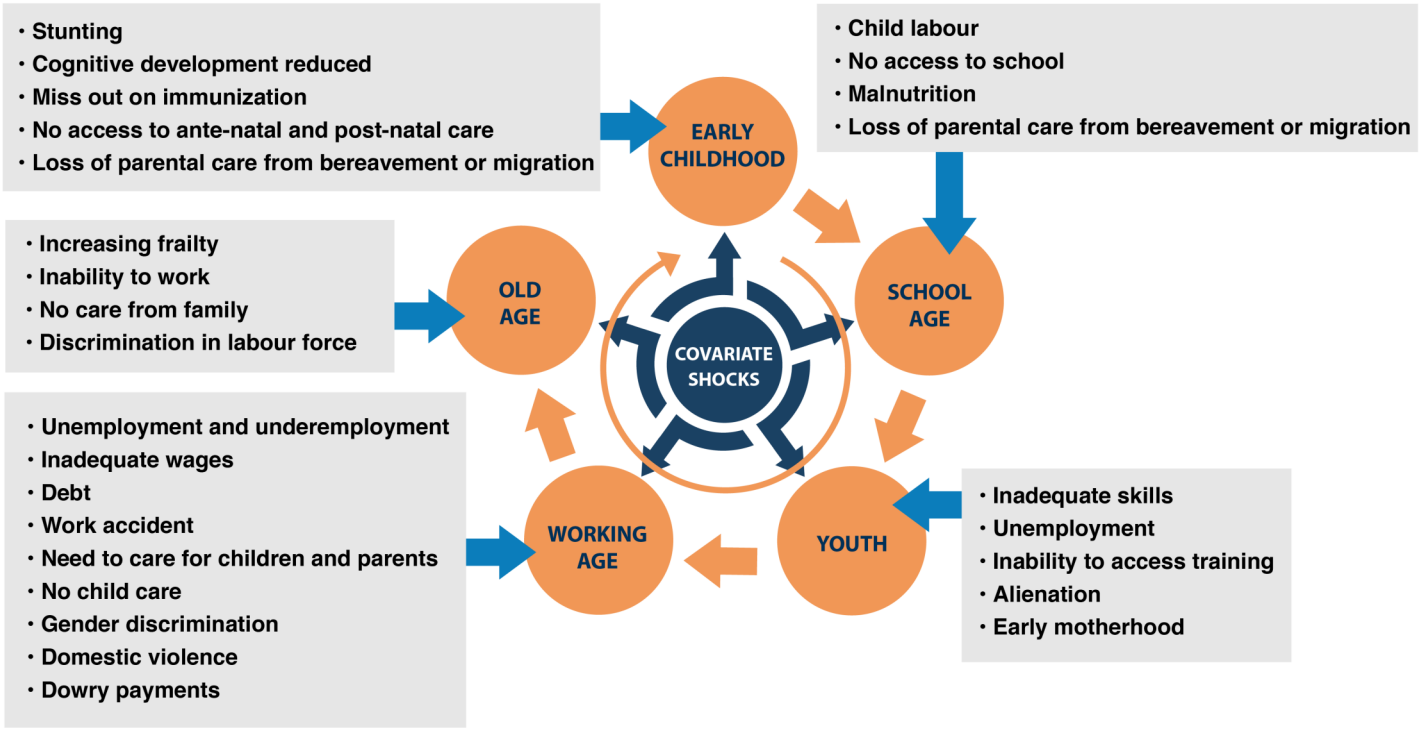
- **Geographic factors:** Whether a person or household is in an urban or rural location; a formal or informal settlement; remoteness, topography, environmental conditions, population density, proximity to rivers and coastlines, etc.

- **Economic factors:** A person or household's income level and sources, assets and savings; access to credit and liquidity; and macroeconomic circumstances such as inflation.

Poor households and communities are more vulnerable to extreme events because they have limited risk-management capacities, with long-term consequences for food security, health, education and other critical dimensions of human welfare.[26] When affected by disasters, food-insecure households may reduce food quality and consumption, withdraw children from school, reduce expenditures on health care and education, engage in environmentally harmful practices, sell productive assets, or be forced into migration. These households also may adopt conservative risk-taking stances, which limit their ability to build and diversify their livelihoods and result in lower future income streams and longer recovery after shocks.[27] In addition, men and women are affected differently by shocks. Women are typically more vulnerable to shocks than men because of socially constructed gender roles and behaviours that affect access to resources.[28] In emergencies, women are often more vulnerable to certain negative impacts than men, as their care-giving roles typically expand after a disaster, and women's access to resources for recovery is often constrained.[29]

25. See e.g. Kabeer (2010)
26. United Nations International Strategy for Disaster Reduction (UNISDR). 2011. Global Assessment Report on Disaster Risk Reduction. Geneva.
27. Vakis, R. 2006. Complementing Natural Disaster Management: The Role of Social Protection. SP Discussion Paper No. 0543, Washington DC. World Bank.
28. Neumayer, E. and Pleumper, T. 2007. The Gendered Nature of Natural Disasters: The Impact of Catastrophic Events on the Gender Gap in Life Expectancy, 1981–2002. Available at http://ssrn.com/abstract=874965
29. UNISDR, UNDP and IUCN. 2009. Making Disaster Risk Reduction Gender-Sensitive Policy and Practical Guidelines. Geneva. UNISDR

Figure 5: Risks and Shocks along the Lifecycle, Compounded by Covariate Shocks



"Vulnerabilities underpinning the lifecycle could include: malnutrition, disability, chronic illness, poverty, refugee status etc"

Source: Selection and Identification in Social Protection Programmes - Manual for a Leadership and Transformation

Figure 6: Most Common Indicators in Vulnerability Profiling

Indicator	Relevance	Strengths	Limitations
• Sex of household head • Household size (number or recoded into small, medium, large) • Number of adult men • Number of dependents • Number of elders • Education level of household head • Age of household head • Presence of chronically ill/disabled members • Single parent • Presence of unaccompanied minors • Presence/number of pregnant or lactating women	• Number of income sources • Type of main income source • Presence of at least one income-generating activity vs. full dependency on aid/assistance/gifts • Number of days worked as casual labourers	• Construction materials • Toilet (improved) inside the house • Kitchen inside the house • Crowding index • Access to improved water sources • Access to electricity • Type of cooking fuel	• Land ownership • Livestock • Solar power • Means of transport • TV, electronics • Mobile phone

Source: Essential Needs Assessment, Guidance Note (WFP, 2020)

UNDERSTANDING THE 'READINESS' OF SYSTEMS AND PROGRAMMES TO RESPOND TO SHOCKS

This handbook focuses on the importance of preparing to respond to shocks because preparation leads to more timely, effective responses and can avoid potential bottlenecks. It is essential to have a clear overview of social protection and DRM policies, the systems and processes in place (and their strengths and weaknesses) to prepare for and respond to shocks through social protection.

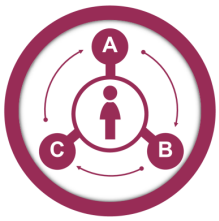
Institutional arrangements and capacity: legislation, policies and mandates of social protection and DRM institutions.

Targeting: protocols, processes and criteria for identifying people and families that should receive social protection or emergency support.

Data and information management: socioeconomic, disaster risk and vulnerability information and data on populations to enable decision-making before and after a shock, such as social/beneficiary registries, DRM information systems and processes related to collecting, sharing and accessing data.

The framework below includes priority areas to consider for system strengthening before shocks occur.[30] These areas include institutional arrangements (e.g. policies and legislation), targeting processes, data and information management systems, delivery mechanisms, coordination between social protection and disaster risk management sectors and how responses to emergencies are financed:

Delivery mechanisms: mechanisms for delivering cash or in-kind assistance to recipients of social protection and/or people affected by shocks.



Coordination: mechanisms and protocols for coordinating social protection and DRM activities before and after a shock.

Financing: strategies and mechanisms for financing DRM such as budgetary instruments, contingent financing and insurance, including any financing of social protection responses.

Investments in these systems, processes and administrative capacities are important to:

- improve the regular delivery of social protection programmes
- to meet additional needs driven by shocks.

Well-targeted programmes with adequate benefits and robust delivery mechanisms can help build people's resilience and serve as effective safety nets.

Governments can leverage these programmes in coordination with DRM and financing mechanisms to deliver timely and efficient assistance to protect and assist households before and after a shock or disaster. While governments and implementing agencies can take specific measures to prepare social protection to respond to shocks (see Chapter 3), strengthening the programmes and systems that underpin the routine delivery of social protection is an important step in and of itself.[31]

30. The framework draws from the research programme and toolkit on shock-responsive social protection developed by OPM (2015) and adapted in the OPM/WFP research for Latin America and the Caribbean (2018, 2020).
31. OPM/WFP, 2020

Info Box 6: Enabling and Constraining Factors for Shock-Responsive Social Protection in the Caribbean

While the enabling and constraining factors for shock-responsive social protection in the Caribbean vary from country to country, research examining social protection and DRM systems in the region has identified some of the common ones, as summarised below.

	Enabling	Constraining
Overall	There is strong policy interest in shock-responsive social protection among governments. There are many experiences in the Caribbean of using social protection to respond to shocks. Other key actors, such as CDEMA, UN agencies and the World Bank support the development of shock-responsive social protection systems.	Many flagship programmes have low coverage and low transfer values. Many social protection programmes still rely on operational systems that are underdeveloped.

	Enabling	Constraining
Institutional Arrangements and Capacity	Some countries have mature legal and policy frameworks governing DRM and social protection. Various countries have been developing sectoral strategies for social protection. There is a growing trend of incorporating DRM and climate change in social protection strategies.	Some countries do not have DRM legislation. In some countries, legislation for DRM and social protection in some countries is outdated There are few countries with DRM legislation that provides strategic roles for social protection.

	Enabling	Constraining
Data and Information Management	Most flagship social assistance programmes have electronic beneficiary registries. The development of integrated social protection information systems is a priority or many governments. The data collected through emergency needs assessments could be used to link people to social protection services.	Updating data is a challenge in many countries. There is limited development, coverage and integration of social protection information systems. There are few data-sharing agreements between ministries.

	Enabling	Constraining
Targeting	Some programmes have invested in developing objective and transparent targeting protocols and tools There are many examples of creating new tools and registration processes after shocks to target people in need of assistance. These tools and processes could be used in future shocks.	Social assistance targeting mechanisms have not been designed to respond to shocks. Some flagship programmes lack operational manuals and targeting guidelines and tools. No flagship social protection programmes have protocols to adjust or introduce new targeting procedures to respond to shocks.

	Enabling	Constraining
Delivery mechanisms	Most flagship cash transfer programmes in the region are moving to bank/credit union transfers. Social insurance benefits are typically paid via electronic mechanisms. E-payments provide an opportunity for rapid and efficient emergency responses. Manual payment processes have been and can be used in response to shocks.	There is little planning around adapting existing social protection delivery mechanisms in the case of shocks to ensure continuity of benefits and reach more people as needed. Opening of bank or credit union accounts can be a cumbersome process given the regulatory environment in the Caribbean, which can cause delays if not addressed in advance of a shock.

	Enabling	Constraining
Coordination	In some countries the coordination between DRM and social protection is strong, with specific roles for social protection ministries. There have been various regional and country-level learning events involving the participation of both social protection and DRM actors. Social protection personnel are often involved in	In some countries the coordination between DRM and social protection is still nascent Existing DRM coordination mechanisms give social protection minimum roles. A lack of DRM and social protection legislation, policies, and strategies in some countries constrains coordination.

	Enabling	Constraining
Financing	Many countries have contingency funds in Place. CCRIF SPC is an innovative risk transfer mechanism with high coverage in the region.	Contingency funds tend to be under-resourced and aren't geared to financing responses through social protection. Caribbean countries have relied significantly on donor funding (loans and grants). International humanitarian financing in the Caribbean has varied considerably between countries/disasters. There is a lack of instruments specifically to

Source: Shock-Responsive Social Protection in the Caribbean – Synthesis Report (OPM/WFP, 2020)

Adapting social protection systems to respond to shocks involves four broad steps, as detailed in Info Box 7. These steps are:

- assessing the actual and potential role of social protection to respond to shocks
- deciding which response measures will be taken in which scenarios
- preparing systems and programmes to respond
- learning from responses to shocks.

Info Box 8 provides a matrix with guiding questions to help rapidly map out areas for routine system strengthening (e.g. targeting, information management, financing) and to inform strategies and investments to prepare social protection systems in advance of shocks. More in-depth social protection assessment tools are available in the resource box at the end of this section. Chapter 3 covers specific actions that governments can take to prepare.

Info Box 7: Steps for Adapting Social Protection Systems[32]

1. Assess: Evaluate the need for adapting the social protection system based on the characteristics of the social protection system, the DRM sector and other relevant sectors and the country's risk profile. Base any investments in improving the responsiveness of social protection to shocks on concrete expected returns. In other words, gear investments towards improving the overall response to the shock in terms of adequacy, timeliness, coverage, comprehensiveness and/or cost-effectiveness, as well as the underlying social protection system or programme.

2. Decide: Based on the step 1, decide how the government would likely use the social protection system in response to shocks (vertical expansion, horizontal expansion, design tweaks of existing programmes and/or creating new programmes). Consider which programmes or systems to use and under which circumstances. Review the capacities of the different programmes, their coverage, who they reach and the relevance of the support they provide.

3. Prepare: Adapt the existing programmes and systems to be better prepared to respond as defined in step 2. This includes developing and adapting operational systems, processes and tools (e.g. streamlined targeting/registration processes), ensuring adequate resourcing and providing training. It also includes ensuring adequate institutional arrangements, including enabling legislation, policies, and strategies, clear roles and responsibilities, and coordination and financing mechanisms.

4. Learn and adapt: Responses can inform and help improve the regular functioning of social protection programmes and their effectiveness in responding shocks by adapting based on lessons learned.

Source: Shock-Responsive Social Protection in the Caribbean – Synthesis Report, OPM/WFP, 2020

32. Adapted from O'Brien, 2018

Info Box 8: Social Protection Rapid Assessment Matrix

The matrix has six areas for assessing how to strengthen social protection systems to better respond to shocks: institutional arrangements and capacity, data and information management, targeting, delivery mechanisms, coordination and financing. Each area has a set of indicators and related questions to guide a rapid assessment of the actual and potential role of social protection in response to shocks. For each indicator, the user can assign a value ranging from 1 (weak) to 5 (strong) to obtain a total 'shock-readiness' score and use this information to identify gaps and opportunities to strengthen systems through investments and preparedness measures. The aim is not whether a score is good or bad, but instead to identify entry points, opportunities and obstacles to address.

System Area 1: Institutional arrangements and capacity

Indicator*
For each indicator, assign a score from 1-5 (1=weak agreement, 5=strong agreement)

1.1 Policy and legal framework:
• To what extent do strategic documents, policies and legislation define the role of social protection with regards to emergency preparedness and response?
• To what extent are linkages between the social protection and DRM articulated in these frameworks?
• To what extent are these frameworks aligned with other relevant ministries and policies?

1.2 Planning and preparedness:
• Are there Standard Operating Procedures (SOPs) or manuals for routine social protection programmes, and to what extent do they incorporate shock-related considerations (e.g. increased needs/caseload, potential disruptions to routine delivery)?
• Are there documents such as Memorandum of Understanding (MOUs) that describe protocols, roles and responsibilities of different actors during shocks and disasters?

1.3 Staffing capacity and skills:
• Are there sufficient social protection staff to implement responses and/or handle scaling up support in emergencies, at all levels of administration? (This may include contingency/surge staff and or support from staff from other departments)
• Is there a clear understanding among social protection staff of their roles with regard to preparing for and responding to shocks?
• Do social protection staff have the necessary knowledge and technical skills to implement the preparedness and response measures for social protection?

1.4 Operational/technical capacity:
• Do social protection institutions have adequate technical equipment and logistical resources to support scale up programmes, including for assessments and outreach?
• Are early warning systems (EWS) in place, and are there opportunities to link these to triggering responses through social protection?

1.5 System strengthening:
• Is there a common awareness and understanding among relevant stakeholders of the role of social protection in preparing for and responding to shocks, including limits/gaps, systemic constraints, and potential measures to strengthen capacities and prepare systems?
• Are there plans to strengthen the role and capacity of social protection in preparing for and responding to shocks, for example through articulated strategic documents/policies/legislation?

System Area 2: Data and Information management[33]

2.1 Coverage:
• What databases are in place (e.g. beneficiary registries, social registries, databases of households assessed following disasters? What percentage of the overall population is covered by databases in place?
• To what extent does the database include data on households/people identified as vulnerable and potentially exposed to shocks, including those that do not currently receive social protection benefits?

2.2 Currency:
• Do the data reflect the actual situation of the households at the current moment?
• Are there working procedures for updating the data on a regular basis?

2.3 Accuracy:
• Are there any validation processes to ensure the data collected is accurate?
• Are there strategies in place to address potential errors and omissions that may occur after the actual data collection?

2.4 Accessibility and usability:
• Is it easy for users to access the data?
• Does the information management system allow for easy filtering and analysis of data (e.g. by area, household characteristics)?
• Does the information management systems allow to identify, characterize and prioritize households vulnerable to or impacted by shocks?

2.5 Relevance for DRM/shock-responsive social protection:
• To what extent does the database contain data that can be used for planning, targeting and implementation of disaster responses (e.g. geo□referenced/geographically□disaggregated data; data on past disaster impacts; vulnerability data; food security data)?

2.6 Linkages with DRM:
• Are there defined modalities for collecting relevant data after shocks (e.g. pre-existing form/questionnaire, tools and methods used)
• Are there data sharing agreements/protocols with DRM actors/institutions in place?
• To what extent are DRM information management processes aligned with social protection (e.g. data from post-disaster needs assessments can be easily integrated into the social protection database)?

2.7 System strengthening:
• Is there awareness of which system areas need to be strengthened to make information management more shock-responsive?
• Are there plans for developing or strengthening information management procedures/systems to support planning, targeting and implementation of disaster responses?

33. This section draws from Barca and Beazley Building on government systems for shock preparedness and response (2019) https://www.dfat.gov.au/sites/default/files/building-government-systems-for-shock-preparedness-and-response.pdf

System Area 3: Targeting

3.1 Targeting mechanisms for social assistance:
• Do social assistance programmes have defined (and transparent) targeting mechanisms for social assistance programmes?
• Are these targeting mechanisms time- and resource-efficient?
• To what extent do these targeting mechanisms include risk-informed criteria (e.g. vulnerability and/or exposure data; data on past disaster impacts)?
• Are there regular re-assessments of beneficiaries to verify their continued eligibility?
• To what extent are targeting criteria of social assistance programmes aligned to provide complementary support to different vulnerable groups?

3.2 Emergency preparedness measures:
• Are there any tailored targeting tools/methods for emergency responses (e.g. geographical targeting; vulnerability index)?
• Are there any targeting protocols for horizontal expansion of social assistance programmes in areas affected by disasters?
• Are there protocols/procedures for expedited targeting in emergency responses (e.g. simplified criteria or administrative processes)?

3.3 System strengthening:
• Is there awareness of which aspects need to be strengthened to increase the shock-responsiveness of targeting mechanisms?
• Are there plans to make targeting of social assistance more risk-informed and/or to develop expedited/tailored targeting procedures for emergency responses?

System Area 4: Delivery Mechanisms

4.1 Delivery systems:
• Are existing social protection delivery mechanisms likely to get disrupted in disasters/emergencies?
• To what extent do existing social protection delivery mechanisms allow for a rapid scale up in emergencies to existing beneficiaries (e.g. electronic transfers, automated payroll system, agreements with credit unions/banks)?

4.2 Previous experience:
• Is there previous experience in providing emergency assistance through social protection (e.g. creating new programmes, scaling up or modifying existing ones)?
• To what extent have the lessons learned from previous experience been incorporated into key documents and policies?

4.3 Emergency preparedness measures:
• Are there contingency measures to ensure that the regular provision of benefits is not disrupted in emergencies (e.g. protocols for adjustment of payment cycles; alternative payment/delivery methods; protocols for ID replacements)?
• Are there procedures/protocols for the provision of emergency assistance through existing and/or alternative delivery mechanisms, including to existing and new beneficiaries (e.g. agreements with supermarkets or credit unions/banks)?

4.4 System strengthening:
• Is there awareness of which aspects need to be strengthened to increase the robustness of delivery mechanisms?
• Are there plans to adopt additional measures to ensure regular provision of benefits (e.g. protocols for adjustment of payment cycles) and provision of emergency assistance (e.g. protocols for delivering assistance to new beneficiaries)?

System Area 5: Coordination

5.1 Institutional cooperation:
• Do social protection and DRM actors cooperate on a regular basis (e.g. only ad hoc meetings in emergencies vs. regular preparedness meetings)?
• Is there a strong mutual understanding among social protection and civil protection actors of their respective roles and responsibilities in relation to civil protection and shock response?

5.2 Formalized institutional linkages:
• To what degree are linkages between social protection and DRM formalized (e.g. through data sharing agreements; joint SOPs/emergency response protocols; DRM mandate of social protection ministries in delivering assistance)?
• To what degree are DRM and social protection integrated at a policy/strategic decision-making level (e.g. joint emergency management policy; roles of social protection institutions/programmes in DRM outlined in social protection and DRM policies/strategies; mainstreaming of DRM into social protection policies and legislation and vice versa)?

5.3 System strengthening:
• Is there awareness of which aspects need to be strengthened to improve coordination around shock-responsive social protection?
• Are there plans to adopt additional measures to strengthen coordination?

System Area 6: Financing

6.1 Resources:
• Are sufficient domestic financial resources available to adequately finance responses to shocks and disasters?
• Does the country have (easy) access to external resources on generous terms (e.g. concessional loans, grants)?

6.2 Disaster Risk Financing (DRF) instruments:
• Are there specific disaster risk financing instruments in place (e.g. disaster fund; contingent lines of credit; parametric insurance)?
• Do these instruments ensure quick disbursement of resources in disasters?
• Are mechanisms and protocols in place for the rapid disbursement of funds for social protection specifically?
• Are procedures for financing disaster responses enshrined in legislation?

6.3 Adequacy:
• Are the existing DRF instruments optimized to address the country's disaster risk profile (i.e. different types of hazards)?
• Does the country adopt a risk layering approach (i.e. different instruments to cover events with different frequency/ magnitude)?
• Is the financing provided through instrument(s) adequate to cover the estimated cost of predicted impacts and response measures?

6.4 Linkages with social protection:
• Are existing DRF instruments designed to provide financing for potential responses through social protection systems (e.g. insurance)?
• Are mechanisms and protocols in place for the rapid disbursement of funds for shock-responsive social protection?

6.5 Data:
• Are public records of post-disaster damages and losses, as well as post-disaster expenditures available and used to inform DRF?
• Does the government conduct assessments to quantify contingent liabilities associated with disasters and optimize financial protection strategies?

6.6 System strengthening:
• Is there awareness of which aspects need to be strengthened with regards to DRF in support of shock-responsive social protection?
• Are there plans to strengthen DRF in order to ensure reliable, adequate and timely financing for shock-responsive social protection (e.g. development of a comprehensive risk-layered disaster financing strategy?)

Resource Box

WFP Basic Country Capacity Assessment: Shock-Responsive Social Protection (WFP, 2019)

>>This tool assesses governments' capacity to use current social protection systems and programmes to address shocks or to develop new ways of making social protection more relevant and effective in emergency contexts. https://docs.wfp.org/api/documents/WFP-0000107086/download/

Inter-Agency Social Protection Assessment tools

>> A set of practical tools that help countries improve their social protection system by analysing its strengths and weaknesses and offer options for further action. https://ispatools.org/

Towards Adaptive Social Protection Systems in Latin America and the Caribbean Guidance Series (World Bank, 2020)

>> This series of guidance notes aims to serve as a consultation tool in the design of Adaptive Social Protection (ASP) Systems in Latin America and Caribbean countries to better address disasters and climate risks. https://www.gfdrr.org/en/publication/towards-adaptive-social-protection-systems-lac

Shock-Responsive Social Protection Systems Toolkit: Appraising the use of social protection in addressing large-scale shocks. (O'Brien et al., 2018)

>> This toolkit provides information on concepts and diagnostic tools and guidance to determine whether shock-responsive social protection is appropriate in a given context. It features factors to consider in designing and implementing a 'shock-responsive' element in a social protection programme or system. https://www.opml.co.uk/files/Publications/a0408-shock-responsive-social-protection-systems/srsp-toolkit.pdf

DFID-GIZ SPACE: Strategy Decision Matrix and Delivery System Matrix (DFID/GIZ, 2020)

>> Technical tools to structure an independent and unbiased analysis of COVID-19 response options. https://socialprotection.org/discover/publications/space-strategy-decision-matrix

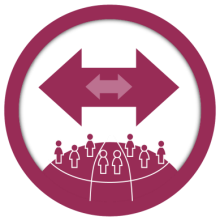
DESIGN OPTIONS FOR SHOCK-RESPONSIVE SOCIAL PROTECTION

How can social protection programmes and systems be used in a shock?

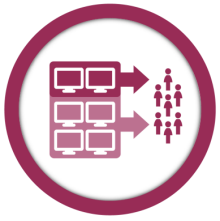
Several response strategies have emerged from implementing shock-responsive social protection measures in the Caribbean and globally. These have included increasing benefits to existing social protection beneficiaries, creating new programmes or temporarily extending support to new individuals and households. These measures are typically employed alongside responses in other sectors to ensure that people receive the support they need. Info Box 9 provides an overview of shock-responsive social protection measures in the Caribbean since 2004.

The framework below outlines options for how social protection programmes and systems have been used to respond to different types of shocks.[34] It is important not to focus on labels such as 'vertical expansion' or 'piggybacking' but rather to understand what they mean in practice to ensure support to populations affected by shocks or vulnerable to their impacts.

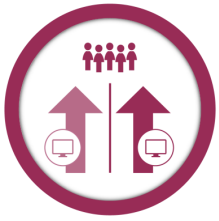
Vertical expansion: Increasing the benefit value or duration of an existing social protection programme or system.



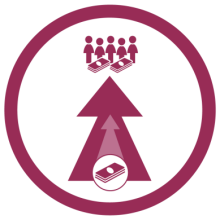
Horizontal expansion: Temporarily extending social protection support to new households.



Piggybacking: Using elements of an existing social protection programme or system for delivering a separate emergency response.



Alignment: Aligning some aspects of an emergency response with the current or possible future national social protection programmes.

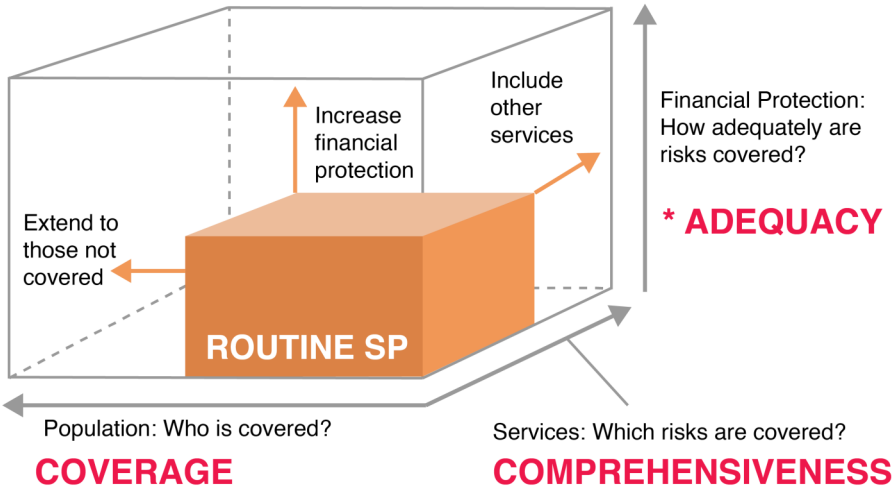


Design tweaks: Making small adjustments to the design of a core social protection programme.

Developing new programmes: Establishing a new temporary social protection programme that leverages existing capacities (i.e. processes, systems, staff) to address specific needs driven by a shock.

34. The framework draws from the research programme and toolkit on shock-responsive social protection developed by OPM (2015) and adapted in the OPM/WFP research for Latin America and the Caribbean (2018, 2020).

Figure 7: Criteria and Response Options for Shock-Responsive Social Protection

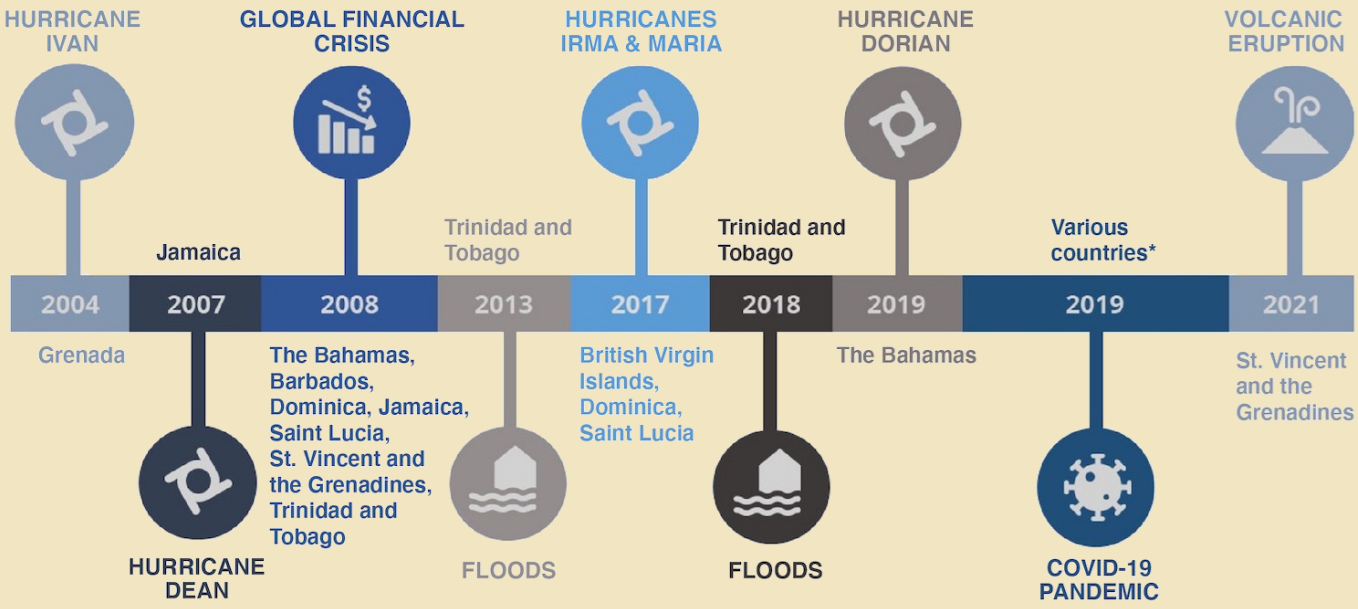


Source: Adapted from BMZ (2019)

* Adequacy is linked to the type/modality, level (value), frequency, duration and timing of transfer

Info Box 9: Shock-Responsive Social Protection Measures in the Caribbean

While the term 'shock-responsive' is a relatively recent term in social protection and DRM, experiences of Caribbean governments using social protection to respond to shocks date back to the mid-2000s. This table presents some examples of how governments have used social protection systems and programmes to address the impacts of disasters, financial crisis and the COVID-19 pandemic (for a comprehensive list of measures, see the annex pages).



* Anguilla, Antigua and Barbuda, The Bahamas, Barbados, Belize, Bermuda, British Virgin Islands, Cayman Islands, Curaçao, Dominica, Grenada, Guyana, Jamaica, Montserrat, St. Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Sint Maarten, Suriname, Trinidad and Tobago, Turks and Caicos Islands.

Natural Hazards			
Country	Type of Shock & Year	Response Measure	Type of response
Grenada	Hurricane Ivan 2004	Vertical scale up of unemployment insurance to 3,400 registered members through the Temporary Employment Programme with a maximum per beneficiary disbursement of USD1,000 (or 40–50% of their salary) for up to 6 months.	Additional/increased social security benefits
Jamaica	Hurricane Dean 2007	One-off transfer of about USD72 to approximately 75,000 National Insurance Scheme (NIS) pensioners and elderly persons.	Additional/increased transfers to pensioners
		Cash top-ups of approximately USD30 provided to more than 90,000 beneficiaries of the flagship cash-transfer Programme of Advancement through Health and Education (PATH).	Additional/increased transfers to social assistance beneficiaries
Dominica	Hurricane Maria 2017	Emergency cash assistance to 25,000 people through vertical and horizontal expansion of the flagship Public Assistance Programme (PAP), with 3 payments of USD90 per household per month, with a top-up of USD50 per child (up to three children), in addition to PAP benefits for existing beneficiaries.	Additional/increased transfers and increased coverage of social assistance programmes
British Virgin Islands	Hurricanes Irma and Maria 2017	Implementation of British Virgin Islands Joint Cash Platform by Ministry of Health and Social Development, British Virgin Islands Red Cross and Caritas Antilles, assisting 1,076 vulnerable households affected by Hurricane Irma and Maria with payments totalling between USD 2,400 and USD 3,600 depending on household size.	Cash transfers
Trinidad and Tobago	2018 Floods	Over 3,000 affected households received Disaster Relief, General Assistance Grants and the Temporary Food Card. These grants are specifically designed to assist people affected by shocks.	Cash Transfers
The Bahamas	Hurricane Dorian 2019	The Department of Social Services distributed one-off emergency food vouchers valued at USD 100 each, to over 2,600 persons from the hurricane-affected islands of Grand Bahama and Abaco.	Vouchers
Saint Vincent & the Grenadines	La Soufrière Volcanic Eruption 2021	In response to the 2021 volcanic eruption, the Ministry of National Mobilization partnered with WFP to provide approximately USD 3m in cash transfers through the Soufriere Relief Grant, as well as with UNICEF and other partners to assist displaced families with cash transfers and other support.	Cash Transfers

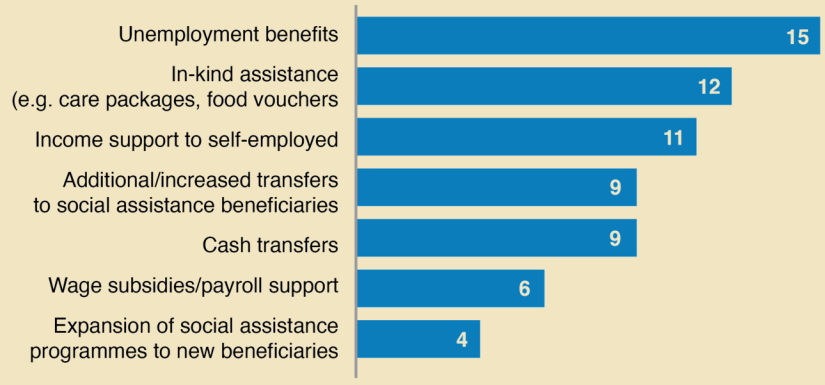
Economic Shocks			
Country	Type of Shock & Year	Response Measure	Type of response
Saint Vincent & the Grenadines	Global Financial Crisis 2008	Increase of minimum pensions.	Additional/increased transfers to pensioners
		Additional 'cost of living' payment to persons enrolled in the PAP (appr. 4% of population).	Additional/increased transfers to social assistance beneficiaries
The Bahamas	Global Financial Crisis 2008	Temporary financial measure under the NIS paid up to 13 weeks of benefits at a rate just under the minimum wage, USD 200 a week. This measure increased the benefits for some people and expanded coverage to others, as it overrode minimum contribution requirements.	Other
Barbados	Global Financial Crisis 2008	Modification of the national insurance scheme, allowing employers to defer a portion of NIS contributions for one year, to be repaid at a low interest rate, in exchange for their agreement to maintain the workforce levels.	Waiver of or subsidies to employers' social security contributions
Trinidad and Tobago	Global Financial Crisis 2008	Expansion of coverage through change in eligibility criteria of the Targeted Conditional Cash Transfer Programme.	Change in eligibility criteria
Dominica	Global Financial Crisis 2008	Increase by 10% of allowances granted under social assistance programmes.	Additional/increased transfers to social assistance beneficiaries
Saint Lucia	Global Financial Crisis 2008	Increase in payments to pensioners by 2–5%.	Additional/increased transfers to pensioners

Economic Shocks

Country	Type of Shock & Year	Response Measure	Type of response
Saint Vincent & the Grenadines	Global Financial Crisis 2008	Increase of minimum pensions.	Additional/increased transfers to pensioners
		Additional 'cost of living' payment to persons enrolled in the PAP (appr. 4% of population).	Additional/increased transfers to social assistance beneficiaries
The Bahamas	Global Financial Crisis 2008	Temporary financial measure under the NIS paid up to 13 weeks of benefits at a rate just under the minimum wage, USD 200 a week. This measure increased the benefits for some people and expanded coverage to others, as it overrode minimum contribution requirements.	Other
Barbados	Global Financial Crisis 2008	Modification of the national insurance scheme, allowing employers to defer a portion of NIS contributions for one year, to be repaid at a low interest rate, in exchange for their agreement to maintain the workforce levels.	Waiver of or subsidies to employers' social security contributions
Trinidad and Tobago	Global Financial Crisis 2008	Expansion of coverage through change in eligibility criteria of the Targeted Conditional Cash Transfer Programme.	Change in eligibility criteria
Dominica	Global Financial Crisis 2008	Increase by 10% of allowances granted under social assistance programmes.	Additional/increased transfers to social assistance beneficiaries
Saint Lucia	Global Financial Crisis 2008	Increase in payments to pensioners by 2–5%.	Additional/increased transfers to pensioners

COVID-19 Pandemic

Social protection measures adopted by Caribbean countries in response to COVID-19



Countries and territories adopting measures*

* The list of countries included in this overview comprises: Anguilla, Antigua and Barbuda, Aruba, Barbados, Belize, Bermuda, British Virgin Islands, Cayman Islands, Curaçao, Dominica, Grenada, Guyana, Jamaica, Montserrat, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Sint Maarten, Suriname, The Bahamas, Trinidad and Tobago, Turks and Caicos Islands

Source: Shock-Responsive Social Protection in the Caribbean – Synthesis Report, OPM/WFP, 2020

Resource Box

Shock-Responsive Social Protection in the Caribbean – Synthesis Report (OPM/WFP, 2020)

>> This report provides evidence on shock-responsive social protection in the Caribbean. It includes recommendations to strengthen systems based on an analysis of the social protection and DRM sectors in the region.
https://www.wfp.org/publications/research-programme-shock-responsive-social-protection-caribbean

Social Protection responses to COVID-19 Task Force (IPC-IG, GIZ, BMZ, DFAT)

>> This global online community showcases countries responses to the COVID-19 crisis, providing tools, guidance and analysis and a space to discuss what else to do to make countries' social protection systems more responsive to crisis contexts.
https://socialprotection.org/connect/communities/social-protection-responses-covid-19-task-force

3

PREPARING AND MAKING THE SOCIAL PROTECTION SYSTEM RISK-INFORMED

How can governments in the Caribbean make their social protection systems more adaptive and responsive to shocks?[35]

There are several opportunities that – with the right prioritization, planning and investment – can result in more predictable, timely and adequate assistance to people in a crisis. Opportunities might include developing a policy or plan, reviewing an existing programme or consulting to establish data-sharing agreements. Starting with what's already in place and introducing gradual changes and improvements will strengthen the social protection sector overall and help it to meet increased demand in crises.

This chapter offers practical recommendations to enable shock-responsive social protection through preparedness measures informed by an understanding of risks and shocks.

Recommendations should be reviewed and adapted based on:

- an analysis of countries' context and specific opportunities and constraints (as outlined in chapter 2)
- through consultations between social protection, DRM and other relevant sectors to develop priority actions and next steps.

Given the breadth of possible measures and competing priorities, it is vital to take a practical approach to adapt social protection systems and their linkages to DRM to be better prepared to respond to shocks. Some actions, such as modifying policy frameworks, clearly won't happen overnight – but even small steps are important.

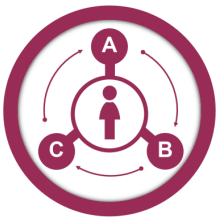
There are six categories of actions to support preparedness to respond to shocks: institutional arrangements and capacity, data, and information management systems, targeting, delivery mechanisms, coordination, and financing. The chapter also covers considerations around the design of assistance/benefits in a response, including the value, frequency, duration and timing of transfers and linkages to services.

Institutional arrangements and capacity: legislation, policies and mandates of social protection and DRM institutions.

Targeting: protocols, processes and criteria for identifying people and families that should receive social protection or emergency support.

Data and information management: socioeconomic, disaster risk and vulnerability information and data on populations to enable decision-making before and after a shock, such as social/beneficiary registries, DRM information systems and processes related to collecting, sharing and accessing data.

Delivery mechanisms: mechanisms for delivering cash or in-kind assistance to recipients of social protection and/or people affected by shocks.



Coordination: mechanisms and protocols for coordinating social protection and DRM activities before and after a shock.

Financing: strategies and mechanisms for financing DRM such as budgetary instruments, contingent financing and insurance, including any financing of social protection responses.

35. This chapter draws from learning material adapted from Shock Responsive Social Protection – Manual for Leadership and Transformation Curriculum on Building and Managing Social Protection Floors in Africa (TRANSFORM, 2020). The TRANSFORM Curriculum was developed drawing on existing research and guidance on the topic, most importantly: the DFID-OPM research on shock responsive social protection, WFP-OPM research on shock responsive social protection in Latin American and Caribbean, WFP-OPM research on shock responsive social protection in the ASEAN region, the European Commission's

INSTITUTIONAL ARRANGEMENTS AND CAPACITY

The legislation, policies and mandates of social protection and DRM and the linkages between the two sectors in these frameworks are essential for shock-responsive social protection. Furthermore, both social protection and DRM involve efforts and stakeholders across other sectors (e.g. education, health, local government, infrastructure) and administrative levels (centralized, decentralized).[36] Institutional arrangements establish roles and responsibilities and strengthen collaboration at different administrative levels. Institutional capacity (e.g. staffing, knowledge, technical skills, logistics capacity) must be sufficiently developed at both national and local levels. This need is often overlooked but necessary for adequate preparedness measures that ensure effective response efforts.

Important steps to strengthen and prepare social protection systems to respond to shocks are:

- building awareness and a common understanding with relevant stakeholders around the broad concept of shock-responsive social protection, its potential and limits
- identifying measures to strengthen capacities and prepare systems.

There are clear benefits in building capacities, strengthening systems, and having policies that establish clearer roles and responsibilities. These actions will result in timelier efforts in reaching those most in need following a shock.

Challenges

- A lack of adequate legal and policy backing for social protection in some contexts can make it challenging to formalize institutional links between social protection and DRM.
- Disconnects between governments' policy goals and investment in delivery systems result in limited capacity at local levels (hardware, human capacity, understanding of shock-responsive social protection) to guarantee effective outreach, implementation, and monitoring.
- Challenges around staffing for routine programming affects the staffing of emergency responses via the social protection sector – especially as staff themselves may be affected by the shock or be requested to support emergency responses (e.g. through conducting assessments or planning and distributing relief items).
- Few governments have up to date SOPs and manuals for routine programmes. Governments first need to develop these documents incorporating shock-related considerations.

36. Transform, (2017) "Governance for Social Protection Systems: Institutions, Organizational Structure and Capacity - Manual for a Leadership and Transformation Curriculum on Building and Managing Social Protection Floors in Africa", available at http://socialprotection.org/institutions/transform

Preparedness Actions

Governments should, over time, develop policies and strategies for social protection and DRM that establish how they relate to each other and build administrative capacities and human resources in both sectors. The main priorities are as below.

1. Identify gaps and opportunities at policy level to link routine social protection programmes with DRM and other sectors for shock preparedness and response.

2. Review cross-cutting national policy, strategies, and legislation from the perspective of better preparing for shock-responsive social protection.

3. Build capacity at all levels of administration and institutionalize changes around the implementation of shock-responsive social protection measures.

1. Identify gaps and opportunities at policy level to link routine social protection programmes with DRM and other sectors for shock preparedness and response:

- Assess social protection and DRM institutional arrangements and capacity from the perspective of covariate risks and shocks by cross-referencing with other relevant ministry's policies, systems and programmes and incorporating provisions on shock-responsive social protection measures.

- Determine the most appropriate collaborative mechanism at policy level for shock-responsive decision-making and planning (e.g. existing DRM and/or social protection coordination bodies, a steering committee, a working group).

- Bring social protection, DRM and development partners together to establish options/roles for social protection to respond to shocks.

- Develop a coherent policy framework or strategic document for shock-responsive social protection that is consistently reflected across both social protection and DRM sectors.

- Identify policy gaps (e.g. if policies do not enable assistance towards certain groups, such as non-nationals) and obstacles to amend policy frameworks (e.g. competing priorities, lack of incentives).

- Identify and establish policy and programme links with early warning systems (EWS) and integrate regular risk into sectoral planning to identify and plan for emerging vulnerabilities and risks (e.g. related to climate change).

- Improve planning for expanding long-term social protection programmes to meet chronic and seasonal needs.

2. Review cross-cutting national policy, strategies and legislation from the perspective of better preparing for shock-responsive social protection, including:

- national planning documents that provide the overarching framework for social and economic development in the country;

- considerations around national identification, residency status and civil registration;

- public financial management regulating the allocation and spending of resources;

- data protection laws and other rules concerning the protection of beneficiaries' personal data;

- poverty line and minimum wage, which can influence the determination of type, value and duration of assistance programmes;

- the process financial service providers use to confirm the identity of people sending or receiving payments ('Know Your Customer requirements' (KYC)).

3. Build capacity at all levels of administration and institutionalize changes around the implementation of shock-responsive social protection measures:

- Strengthen cross-sector institutional arrangements and coordination to promote better collaboration between different sectors and levels, through training and capacity building.
- Set up agreements that describe mandates, roles and responsibilities of different actors.
- Set up Memoranda of Understanding (MOUs) that describe protocols, roles and responsibilities of different actors during shocks and data sharing commitments and methods.
- Establish Standard Operating Procedures (SOPs) to guide the design and implementation of shock-responsive social protection measures, including who is responsible for each step and ensuring the process includes all relevant actors at different administrative levels.
- Prepare national shock-responsive social protection plans at regional, national and local institutional levels.
- Determine additional staffing capacities and requirements to implement preparedness and response measures (build skills of existing staff, engage people with different skillsets, have contingency/surge staffing options for shocks).

Info Box 10: Incorporating DRM into Social Protection Strategies in the Caribbean

CDEMA's strategic Comprehensive Disaster Management (CDM) Strategy and Results Framework includes the Caribbean Pathway for Disaster Resilience, established in direct response to the devastating impact of the 2017 hurricane season and mandated by the Heads of Government of the Caribbean Community (CARICOM), who adopted it in July 2018. Pillar I of the 'Pathway' is Social Protection for the Marginal and Most Vulnerable, which recognizes the need to strengthen and leverage national social protection to broaden the support for the most vulnerable in the face of existing hazards. CDEMA's Model National Recovery Framework includes objectives to have social services activated to support the most vulnerable groups post disasters.

Jamaica's Social Protection Strategy explicitly discusses social protection's role in social risk management, including risks related to 'environmental conditions' and 'natural events such as disasters'. It also: acknowledges social protection's 'preventive' and 'mitigative' functions, including for 'disaster preparedness', and sets out a comprehensive vision for social protection offerings that includes provisions for loss of income in a shock.

Anguilla's Social Protection Policy, Action Plan and Framework encompasses a strong focus on 'integrating social protection into climate change adaptation planning and programming' and 'disaster preparedness and response', 'so that fewer households fall into poverty due to shocks, and so that the social protection system itself is not undermined by disasters'.

Saint Lucia's 2015 Social Protection Policy acknowledges that 'as a Small Island Developing State existing within the context of climate change, groups and populations most likely to be harmed by shocks – natural or anthropogenic – are those with limited resources to cope with the consequences.' Key objectives identified in the policy include strengthening current systems, including 'emergency and housing interventions'.

Saint Kitts and Nevis's 2012 National Social Protection Strategy stresses that 'despite St. Kitts and Nevis's high-income status, there are multiple economic vulnerabilities that have created a situation of economic fragility' – including 'disasters', 'global price increases', and the 'global economic crisis'. The social protection sector, therefore, plays a role in protecting 'against chronic poverty and hunger, shocks, destitution and social exclusion', while also promoting 'safeguards against shocks that may occur'. To do so, the Strategy sets out the relationship between social protection and other sectors.

Trinidad and Tobago's 2017–2022 National Social Mitigation Plan aims to mitigate the negative social impacts of the country's economic downturn. The Plan's approach recognizes the balance between assisting targeted populations in coping with shocks while maintaining a focus on national development goals and resilience building. One of the aims is to improve access to social protection programmes to advance people's capacities to manage risks and shocks better; and to enhance coordination and integration of existing social protection programmes, thereby creating an evidence-based response package for persons requiring assistance.

Source: Shock-Responsive Social Protection in the Caribbean – Literature Review (OPM/WFP, 2019)

Resource Box

Governance of Social Protection Systems: Institutions, Organizational Structure and Capacity (TRANSFORM, 2017)

>> This report analyses institutional aspects of governance, including stakeholders, laws, regulations, and organizational structures for delivery of services. The report also provides a framework for identifying capacity requirements and highlights the main consideration for capacity development and training.
www.socialprotection.org/sites/default/files/publications_files/TRANSFORM%20Full%20Document%20-%20GOV.pdf

Organizational Capacity Assessment Tool User Guide (CaLP, 2016)

>> This tool comprises a user Guide, tool and worksheets for use in scoring and graphing results respectively, and a recommendations matrix. Assessment is in six categories of organizational capacity, each with a series of criteria. Discussion and scoring on each of the criteria allow the organization to determine gaps and make recommendations for building the required capacity.
https://www.alnap.org/system/files/content/resource/files/main/calp-ocat-user-guide-2-0.pdf

DATA AND INFORMATION MANAGEMENT SYSTEMS[37]

In research on shock-responsive social protection in the Caribbean, government stakeholders, again and again, pointed to data as one of the strongest entry-points on how social protection systems can play a more significant role in responding to shocks. Social protection programmes and the data systems underpinning them hold information on people who are vulnerable and live in poverty. As these groups are typically the most affected by shocks, having social protection data in place in advance helps to plan for responses and identify people in need of support. These opportunities are closely linked to those covered in the next section on Targeting.

A growing number of social protection programmes in the Caribbean are supported by digital information systems (see Info Box 25). These may be programme management information systems (MIS), beneficiary registries and in rarer cases social registries. There are many different terminologies in use, so it is important to clarify them by function. Databases can either contain data only on beneficiaries (known as a beneficiary registry) or non-beneficiaries (a social registry). They can either serve one programme or multiple programmes. Collectively they are known as information systems (see Table 3). There is increasing interest in the Caribbean and globally on the potential of these information systems to support targeting in a shock.[38]

Different programmes usually have different beneficiary databases and information systems with different categories of information. To better coordinate and target programmes, governments are increasingly looking to create databases containing common information on large sub-sets of the population or connect existing databases and make them interoperable.

The data in information management systems is typically collected through registration and application processes for routine social protection programmes. The data may include certain criteria and indicators relevant to vulnerability to shocks (e.g. data related to income/poverty), and 'operational' data that could be used to reach people with assistance (e.g. credit union account numbers, georeferenced location). Application forms could be modified to include additional data relevant to targeting or delivering assistance in response to shocks. Data can be added to social protection information systems through other sources, for example on households assessed by DRM agencies following a shock, though siloed data systems challenge this.

This section draws from Longhurst et al., 2020a, Schoemaker et al., 2020.

See the GIZ and DFID technical paper Building integrated and digital social protection information systems (2020) for an overview of data and information management systems. https://www.giz.de/de/downloads/giz2019-en-integrated-digital-social-protection-information-system.pdf

37. This section draws from Longhurst et al., 2020a, Schoemaker et al., 2020,
38. See the GIZ and DFID technical paper Building integrated and digital social protection information systems (2020) for an overview of data and information management systems https://health.bmz.de/events/News/building_integrated/GIZ_DFID_IIMS_in_social_protection_short_10-2019.pdf

Challenges

- Many social assistance and social insurance programmes in the Caribbean have supporting electronic beneficiary databases. However, there are still several countries with programmes that rely on paper-based registries or use excel databases that have incomplete data.
- Integrated information systems serving multiple programmes are rare in the region. Although there is a high level of awareness about the benefits of developing integrated registries/databases, most countries do not have such systems yet.
- Although they have much potential to contribute to preparedness and response measures, most social protection beneficiary registries and social registries (to the extent that they exist) in the Caribbean have not been designed or adapted to support DRM actions.
- Social protection information management systems are not linked to the collection and storage of data from the DRM sector. For example, there are no processes to determine whether people assessed or assisted in disaster response are in social protection databases or processes for adding this data.
- Many countries in the region do not have a foundational national identifier to operationalize more advanced response strategies through existing social protection/DRM databases.
- Early warning systems (EWS) lack clear links to funding and programmes (including social protection) for anticipatory and/or early action.

Preparedness Actions

- Preparing information management systems requires understanding what is in place and how best to use it to inform planning and targeting of responses through social protection. Preparedness measures can be grouped under the three following actions.
- Assess social protection beneficiary information management systems – including available datasets on individuals/households not included in social protection programmes – and opportunities to leverage them.
- Examine the datasets and databases being used to support DRM.
- Strengthen routine social protection data and information management systems to inform responses to shocks through tailored preparedness measures.

1. Assess social protection beneficiary information management systems – including available datasets on individuals/households not included in social protection programmes – and opportunities to leverage them:[39]

Relevance – does the main information system contain the correct variables?

- Are the indicators that determine eligibility of households for routine social protection programmes suitable for identifying households vulnerable to disasters? Was data collection focused on a subset of the population (e.g. the poor) that is likely to be more severely impacted by shocks and have more limited economic capacity to cope with the impacts? (This will vary depending on the underlying approach to targeting, as different programmes have different data requirements, as well as different shock types and their impact.)
- Are data on non-beneficiaries adequately stored and maintained? Do they include operationally relevant information such as recipient details, address, Geographical Information System (GIS) reference, contact number, bank account number, biometric data?

39. Questions based on Barca V. and Beazley R. (2019) 'Building on government systems for shock preparedness and response: the role of social assistance data and information systems', Commonwealth of Australia, Department of Foreign Affairs and Trade, Canberra.

Completeness – does the main information system contain data on all people/households in affected areas or in need?

- What percentage of the population is covered within existing information systems, both nationally and in shock-affected areas?
    - Do beneficiary registries only cover a subset of the population in any given area (e.g. the poor, older people, children etc.)? Who? Are they also targeted geographically? How?
    - Is there a social registry serving social protection programmes? Is anyone excluded, and why?
    - Are there other registries available for other programmes and functions (including a country's contributory social protection databases, national ID database, or civil registry)?

Data currency – is the information up to date?

- To what extent do the data reflect households' circumstances at the required point in time? (It is difficult for standard social protection data to reflect conditions post-disaster so data may require some revalidation.)
- How updated are the data and why? For example, does the data collection take the form of a mass 'census survey' every few years, continual on-demand registration by individuals or households, or humanitarian programmes, another shock-based method year-on-year? Who updates the information, and how are updates shared? (Beneficiary registries tend to be more up to date than social registries containing potential beneficiaries, as beneficiary data are often used and updated on an ongoing basis.)

Accessibility – can the information be accessed by the people who need it?

- Who are the users (e.g. national government versus decentralized government versus non-government agencies), and what protocols and authorization levels are in place for data sharing with each of them?
- Are data maintained and stored digitally? What type of data interface (e.g. web service) is used for sharing data? What provisions are there for data security and privacy?
- What capacity and infrastructure are there in terms of (i) human resources to use the information system (ii) availability of computers, and (iii) availability of electricity and a network connection?

Accuracy – is it free of errors?

- Are the data free from mistakes and omissions (to the extent possible)? This affects the data's credibility and ultimately its usability. Perceived accuracy also depends on where data are housed and who has oversight over its quality.

Privacy/security

- Can the information be used for shock response without compromising data security and privacy? Is there a legal basis for such use?

2. Examine the datasets and databases being used to support disaster risk management:[40]

- Determine whether any existing GIS data and hazard maps can be cross-referenced with data from beneficiary or social registries to inform response planning.
- Assess what early warning systems (EWS) are in place and if they could inform the trigger of responses through social protection (this may be particularly relevant for slow-onset disasters such as droughts).
- Explore if there are registries or databases of households impacted by disasters that could be used to link people to social protection support through interoperability with social protection databases.
- Liaise with DRM actors to access data collected in post-disaster assessments to better inform responses through social protection.

3. Strengthen routine social protection data and information management systems to inform responses to shocks for through tailored preparedness measures:

- Improve the beneficiary databases' completeness (coverage) in areas exposed to/vulnerable to shocks and consider developing electronic management information systems where they are absent.
- Improve the relevance of the information system data by incorporating relevant indicators into routine national surveys (e.g. modules on shocks/ crises and coping strategies or ad-hoc surveys).
- Enhance the data currency through on-demand, household triggered updates and integration with other databases (e.g. civil registry, ID, early warning systems, etc.).
- Consider data protection implications and apply risk mitigation measures from the start, following countries' legal frameworks.
- Define clear data governance and sharing protocols, backed by appropriate training for data users.
- Undertake a data protection assessment to understand the measures required to make systems and programmes minimally compliant.
- Enhance data accuracy and trust through data quality assessments.
- Ensure that beneficiary management information systems' hardware and software design is scalable to absorb rapid increases in caseloads during shocks.
- Look to harmonize and standardise data fields and collection approaches across sectors, supporting the broader government data ecosystem.
- Invest in the interoperability of registries (beyond social protection programmes only).
- Build data protection and management capacity inside and outside government regarding technology, training and human resources.
- Explore options for boosting monitoring and evaluation capacity (e.g. for data analysis) and systems (e.g. approaches/tools, indicators, software) to support social protection monitoring and evaluation.
- Embed key protocols and processes in SOPs, MOUs, shared data standards etc. – between government ministries and external partners –to enhance data sharing and improve the overarching social protection information system.
- Revise and improve emergency needs assessments and link them to social protection responses.

40. Drawn from Williams and Moreira (2020) "Making Social Protection Information Systems Adaptive", Guidance Note. World Bank Group.

Table 3: Information Systems: Clarifying the Terminology

	Serving one programme	Serving multiple programmes
Only retaining data on beneficiaries	Beneficiary registries track data on beneficiaries and benefits to support programme management and implementation (payments, case management, conditionalities monitoring, and grievance redress) through what is often referred to as a management information system. In terms of population coverage, beneficiary registries maintain information only on beneficiaries of specific programme(s).	Integrated beneficiary registries operate as data warehouses that collect information from different social programmes and their benefits administration systems. This allows monitoring and coordination of 'who receives what benefits' and identifying intended or unintended duplications across programmes.
Retaining data on non-beneficiaries	Social registries support processes of outreach, intake, and registration, and assessment of needs and conditions to determine potential eligibility for a social programme. This assessment usually considers measures of socioeconomic status, categorical factors, or a combination of both. In terms of population covered, social registries contain information on all registrants, whether they are deemed eligible for, or enrolled in, a specific social programme.	(Integrated) social registries combine the processes of outreach, intake, and registration, and assessment of needs and conditions to determine potential eligibility for multiple programmes. They serve as platforms that support access to benefits and services that can extend well beyond the sphere of social assistance.

Source: Shock-Responsive Social Protection in the Caribbean – Synthesis Report (OPM/WFP, 2020)

Resource Box

Building on government systems for shock preparedness and response: the role of social assistance data and information systems (Barca & Beazley, 2019) a

>>This research report focuses on the specific role of social assistance data and broader information systems and capabilities and draws on recent international experiences in using social assistance data systems for shock response. https://www.dfat.gov.au/sites/default/files/building-government-systems-for-shock-preparedness-and-response.pdf

Making Social Protection Information Systems Adaptive (Williams & Moreira, 2020)

>> This guidance analyses social protection information systems and their relevance for DRM with a focus on Latin America and the Caribbean as well as recommendations and design options for making these systems more adaptive to disaster risks. http://documents1.worldbank.org/curated/en/552651593589815047/pdf/Guidance-Note.pdf

Building an integrated and digital social protection information system (Barca & Chirchir, 2019)

>> This GiZ concept paper presents potential outcomes, key challenges, key risks, and the building blocks of a digital and integrated information system including critical design and implementation choices. https://www.giz.de/de/downloads/giz2019-en-integrated-digital-social-protection-information-system.pdf

Integrated and digital social protection information systems (micro-course) (GIZ, BMZ, IPC-IG, 2020)

>> This free and self-paced online course explains what integrated and digital social protection information systems are, including their main components, potential benefits, design and implementation challenges and risks. https://socialprotection.org/integrated-and-digital-social-protection-information-systems-micro-course

Info Box 11: Social Registries to Inform Responses to Shocks and Their Limitations

Social registries are information systems that capture large amounts of demographic and socioeconomic data on households using one commonly agreed data collection tool. They aim to support outreach, intake, registration, needs assessment and potential eligibility for social programmes, as well as overall coordination across programmes. Sometimes different databases are linked up to help provide this information (such as social insurance and social assistance programmes and external databases such as health, employment, tax and civil registries). Globally, social registries are increasingly being used to highlight vulnerable households in geographic areas prone to disasters.

To deliver rapid assistance in anticipation of, or after a shock, registries need to:

- be comprehensive in terms of the types of data collected (coverage of the population, location of households, types covariables collections), and
- hold accurate data, which needs to be updated regularly to reduce targeting errors (as shocks affect people differently every year).

In this context, social registries are a promising source of information for disaster preparedness and response because they include data on non-beneficiaries, which could be leveraged to rapidly contact and assist people. However, the usefulness of social registries depends on the coverage, relevance, currency (i.e. how up to date) and accessibility of the data, and whether the data held can identify people likely to have been impacted. Consequently, although social registries offer opportunities for swift action, they should not be seen as a prerequisite for targeting in emergencies, as new household assessments can collect data to identify those in need of assistance. In fact, no registry will ever have perfect coverage; thus, processes will generally need to be in place to reach anyone excluded (for example, on-demand registration processes).

Capitalizing on existing beneficiaries' information systems from different sectors (e.g. social protection, health, education, DRM), data on individuals/households who are not enrolled in existing programmes (e.g. social protection wait lists, households budget surveys, poverty and census data) and strengthening their interoperability can also offer significant opportunities to identify and select shock-affected individuals and households. For social assistance programmes, in particular, the vulnerability(ies) that included beneficiaries in a programme would likely lead to their being affected by shocks, particularly their economic capacity to manage their impacts. This is very relevant in the Caribbean, where social assistance programmes reach some of the most vulnerable segments of the population (although with some limitations due to programmes' low coverage) and where recurrent shocks such as hurricanes generally impact the country overall. It is important to note that in the context of sudden-onset emergencies and especially in the initial stages of the response, the need to balance speed and accuracy is critical. Leveraging existing databases, and rapidly responding assuming that those who live in poverty and the vulnerable are likely to have been impacted directly or indirectly by the shock, could significantly reduce lead times and ensure critical life-saving support.

Source: Adapted from Shock-Responsive Social Protection in the Caribbean – Literature Review (OPM/WFP, 2019)

TARGETING AND REGISTRATION

Determining how to identify people to receive support is vital for preparing to respond to shocks through social protection. Targeting should be informed by an understanding of how people are selected for existing social assistance programmes, and the processes for targeting relief assistance in emergencies. A targeting system comprises mechanisms to define target groups and to identify target populations so that social protection support and/or relief assistance reaches its intended beneficiaries. The process also includes registration, eligibility determination and enrolment through which programmes reach the target groups.[41]

The usefulness of existing social protection targeting mechanisms for responding to shocks will depend on several factors, such as:

- the overlap between those eligible for social protection programmes and those likely to be impacted by shocks
- the coverage, the amount and type of data collected and retained
- the objectivity of different targeting methods – because it is easier to draw on objective processes than those involving more subjective and discretionary approaches (see Info Box 12 for further information).

Because the targeting processes and criteria designed for social protection are not designed to identify people impacted by disasters and shocks, they need to be modified or new ones created to be prepared to respond to shocks. One way is to add risk-related criteria to existing targeting processes. These criteria could include, for example, the materials used to construct walls and roofs, whether people have previously been impacted by a disaster or live in areas prone to landslides or surge storms. Targeting also needs to reflect the economic vulnerabilities of households, and existing social protection targeting mechanisms usually collect relevant data. Collected data on risk and vulnerability could be used to identify people for support ahead of a shock or when a shock has hit but its precise impacts are still being assessed.

Another helpful approach is to develop specific criteria, questionnaires and processes for targeting responses to shocks through social protection. These should consider the speed required to identify people and the specific impacts they may face (loss of income, assets, damage to housing, disruption of livelihood, reduced food consumption, etc.). Ideally, these documents should be digital (to be readily deployed) and a collaborative effort between social protection ministries and DRM stakeholders.

41. Smith, G. 2018. "Responding to Shocks: Considerations along the Delivery Chain." Oxford Policy Management, Oxford, UK. (Unpublished)

Challenges

- Finding the right balance between accurately identifying those most in need and swiftly responding to their needs is a difficult task in any emergency.
- In some cases, data and information collected from field emergency responders on households impacted by shocks in not consolidated, stored and analysed. This data could inform the targeting of responses through social protection.
- Most countries lack social protection manuals of operation and targeting guidelines and tools, including targeting protocols that include revised criteria, modified requirements or streamlined processes when shocks occur. Having protocols and tools in place could significantly speed up responses, even if they needed tweaking after a shock.
- Programmes often lack processes for re-assessing the eligibility of beneficiaries and exit strategies. This may result in needy persons not being able to benefit from programmes and people within programmes continuing to receive support even if their situation has improved.
- In countries where registration and enrolment are implemented using contracted teams, there may be no permanent capacity to undertake these activities.
- Limited staff capacity could mean that shock-related expansions of social protection systems and programmes, including registering new beneficiaries for temporary support through the social protection sector, may overwhelm existing capacities and systems.

Preparedness Actions

Being ready to target and register people for assistance through social protection in times of shocks requires reviewing existing processes; determining whether they need to be streamlined and/or new ones created; and then establishing tools to be ready to quickly assess and register people in a shock. Preparedness measures can be grouped under the following two actions:

1. Assess opportunities to strengthen and build on existing targeting mechanisms and criteria to better reach those affected by shocks.
2. Develop plans to pre-target households based on vulnerabilities to shocks and to enrol new recipients of assistance through existing or new targeting/ registration processes.

1. Assess opportunities to strengthen and build existing targeting mechanisms and criteria to better reach those affected by shocks:

- Assess available data to define where shock-prone communities are and what type of shock they are exposed/vulnerable to, and whether programmes' databases or information systems can include these households so that they can be targeted in times of shocks.
- Assess the geographic locations of pre-existing social protection programmes and beneficiaries against shock prone areas to understand the overlap in existing programme coverage versus potential emergency needs.
- Collect information that makes it possible to assess vulnerability and exposure to shocks and operational data useful for rapid responses.
- Consider georeferencing household data in the beneficiary information management system (if available) to support planning, including overlaying data on disaster risk maps (e.g. flood-prone areas).
- Develop targeting protocols for shock-responsive social protection.
- Train assessment enumerators on sensitive engagement with people impacted by shocks (introducing themselves, explaining the programme, leaving contact details, ensuring that consent is obtained from those participating in the assessment etc.).
- Conduct analysis to understand underlying gender inequalities and norms and how these may be affected/exacerbated by shocks. Consider measures to mitigate risks and how gender is incorporated into existing targeting processes.
- Consider which existing, easy to verify data sources could be used to set targeting criteria for identifying new populations. Share data from vulnerability assessments/other analyses to inform these targeting strategies.
- Consider making the targeting criteria and methodologies more risk-informed and use information from the DRM sector to improve the understanding of hazards and risks and their effects on social protection design and delivery.
- Align the targeting criteria of different social protection programmes to provide complementary support (in normal times and during emergencies) and reduce fragmentation.
- Pursue higher coverage in shock-prone areas through tailored geographic targeting (e.g. coastal areas affected by hurricanes).
- Develop manuals of operation, targeting guidelines and criteria for regular programming.
- Regularly re-assess people within social protection programmes to verify their continued eligibility.
- Develop contingency plans that address:
    - requirements for citizenship and/or prolonged residence in a given location as this can directly exclude migrants and/or persons displaced and relocating to another country owing to the impact of shocks
    - requirements for formal national identification or other documentation (also because of loss/misplacement of documentation in times of crisis)
    - existing conditionalities (to reduce the burden on beneficiaries at times of crisis and enable broader access)
    - waiving conditions – e.g. work in case of public works programmes, school attendance in case of conditional cash transfers and school feeding programmes
    - temporarily waive home visits by social workers or replace this with digital alternatives.

2. Develop plans to pre-target households based on vulnerabilities to shocks and to enrol new recipients of assistance through existing or new targeting/registration processes:

- Collect data on vulnerable individuals and households (including operational data and documentation required in case they need assistance). These efforts need to be complemented by a strong communication strategy to clarify the difference between registering people for routine social protection programmes and collecting data for them to be 'pre-enrolled' (or at least considered for assistance as part of targeting processes) in a shock.
- Provide guidance to simplify registration processes and develop SOPs to speed up new registration processes.
- Modify programme regulations as needed and as feasible to outline possible relaxations to programme enrolment procedures and associated documentation requirements following a shock.
- Make provisions for an automatic targeting process and criteria based on geographic impacts of a shock (based on early warning and post-impact) and available data on beneficiaries and non-beneficiaries of existing programmes.
- Develop new registration forms in coordination with DRM and other sectors. Different forms may be required for different shocks and/or population groups.
- Make provisions for additional staffing capacity to support rapid registrations and enrolments after shocks. This may include training additional staff or third parties/volunteers and enlisting the support of traditional community leaders/organizations (e.g. village councils).
- Plan for the potential expansion in the number and types of registration sites in case of on-demand registration, including temporary offices located within communities.
- Engage with local organizations to enhance inclusion, for example, organizations working to promote women, children and informal workers' rights.

Info Box 12: Social Protection and Relief Programmes' Targeting Approaches

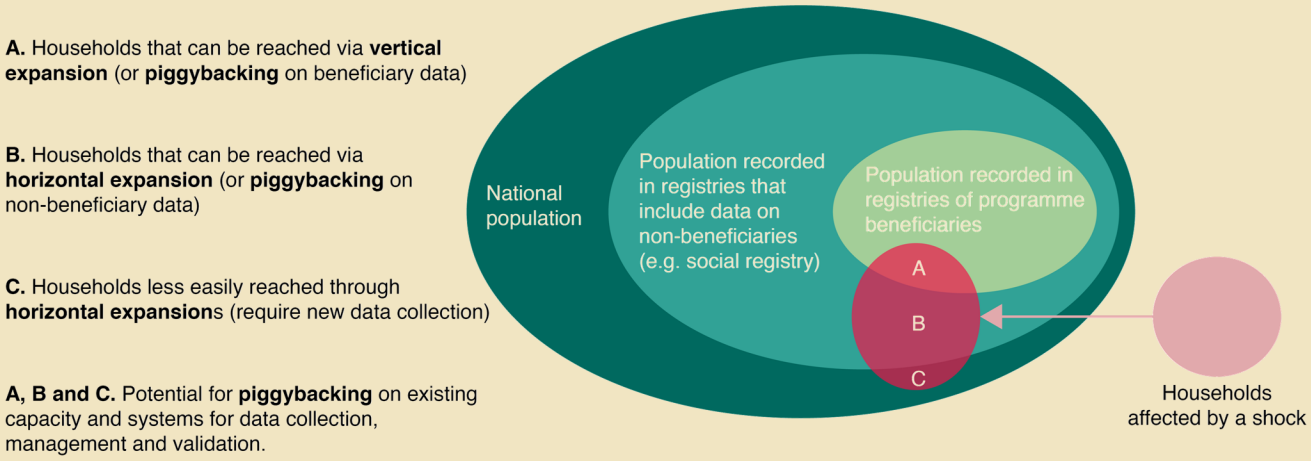
Social protection programmes have various methods and criteria for targeting people. These usually rely on means testing, proxy-means testing (PMT) or categorical targeting to determine eligibility. Means testing refers to determining that people are poor, for example, by verifying their income. PMT uses an algorithm to 'proxy' household welfare based on observable characteristics gleaned through a questionnaire and usually a home visit. Categorical targeting identifies a broad group eligible for the programme (e.g. elderly for pensions).

Defining target groups and criteria is always driven programme objectives. For example, pensions target persons over a certain age to enable them to have income in their older years, and conditional cash transfers seeking to alleviate poverty by investing in children target to poorer households with children. Relief efforts usually target those who have faced the greatest impacts from the shock and have the least capacity and resources to manage these impacts (for example because they are poor).

The usefulness of social protection targeting mechanisms for shock response will depend on several factors, such as:

- the overlap between those eligible for social protection programmes and those likely to be impacted by shocks (if a programme targets people living in poverty and facing social risks and vulnerability, these are also people likely to be heavily affected by shocks) – see figure below
- the coverage of the social protection programme (as this influences the number of people for whom data is available)
- the amount and type of data the programme collects and retains (since programmes based on a PMT tend to collect and store more socioeconomic data, though they do not usually include questions tailored to exposure to hazards)
- the objectivity of different targeting methods (because it is easier to draw on objective processes than those involving more subjective and discretionary approaches).

Who is covered by existing information systems?



Source: Barca V. and Beazley R. (2019) 'Building on government systems for shock preparedness and response: the role of social assistance data and information systems', Commonwealth of Australia, Department of Foreign Affairs and Trade, Canberra.

The type and severity of the event influences targeting of relief assistance through DRM or humanitarian response. In the immediate aftermath of a disaster, particularly a sudden onset one, 'blanket targeting' is often used – essentially ensuring that anyone in an impacted geographic area has shelter, food, water, etc., rather than attempting to select those most in need. This initial response phase then gives way to assistance that targets those needing support meeting their basic needs in the weeks and even months ahead, based on criteria such as their income and whether they lost income, livelihoods, assets or are reducing their food consumption. In the case of economic and slow onset shocks, such as droughts, targeting criteria are usually developed based on the needs facing specific groups (for example, farmers who lost crops, small businesses, people newly unemployed, those who were already living in poverty). In relief interventions, as in social protection programmes, targeting often includes criteria to identify people and households with factors that make them vulnerable to negative impacts (e.g. limited income, single-headed household with multiple dependents, households with persons with chronic illnesses or disability).

The process of targeting and registering households for relief assistance often involves teams from the government, NGOs, Red Cross, community organizations and other agencies travelling to the affected areas or visiting shelters and other locations to collect data through assessment forms and/or establishing hotlines and webforms for people to apply directly for emergency assistance. Similarly, registration and enrolment for social protection typically occurs through on-demand registrations, which relies on individuals and households visiting social welfare offices or applying directly online or through the telephone, or through door-to-door census surveys conducted by contracted teams. **It is increasingly common for relief efforts to use digital registration for targeting and registration (e.g. through the Kobo toolkit or a similar platform) to assess needs and target people and households for assistance quickly.**

However, with greater investment in data preparedness (together with analysis and the development of pre-targeting criteria that can be scaled up or down depending on the severity of a shock), social protection could be adapted to take anticipatory action. This adaptation could include pre-impact disbursements to beneficiaries and non-beneficiary groups (where operationally relevant information is available and funding is in place, delivery mechanisms can be quickly activated). Based on the current readiness level to respond of most social protection programmes in the region, a more feasible option may be simply pre-determining and pre-targeting households based on existing pre-impact vulnerabilities. This would allow immediate transfers to specific households while initial blanket responses are also ongoing. Depending on the assistance timeframe, a validation exercise may be required to ensure accuracy of initial targeting; include additional households more directly impacted; and/or include additional groups, such as migrant populations, that may not have been eligible for social protection programmes and therefore not covered by existing data.

Info Box 13: Country Examples of Targeting Systems for Shock-Responsive Social Protection

In the Caribbean, social assistance targeting mechanisms are designed mainly to reach the chronic poor and, therefore, have limited capacity to respond to sudden crises. Most programmes are targeted (except for school feeding programmes), and rely on means testing, PMT, or categorical targeting. Most social pensions are means tested, i.e. are targeted at individuals who do not receive a universal or contributory pension. The use of geographical targeting, with the intent of gradual scale-up, is common. The process for verifying the information supplied during registration varies across countries, but often relies on the judgement of committees, boards or social workers/ministry staff.

In Belize, the conditional cash transfer programme (BOOST) targets pregnant women, children aged 0-4 years, school children, elderly (who are not receiving a pension) and persons with disabilities – all of whom must be living in households below the poverty line. To determine eligibility for BOOST, household data collected by the Ministry of Human Development staff is entered into the ministry's Single Information System for Beneficiaries (SISB) which classifies households through a proxy-means test, using an algorithm that estimates household welfare based on observable household characteristics. Although the SISB is primarily used for the BOOST programme, it also includes data on non-beneficiary households, covering an estimated 35% of the population, and has a function for reclassifying households in the event of a disaster. A programme can request data on households in affected geographic areas and create new household categories through changes in the ranges of cut-off points.

The Dominican Republic has developed an Index of Vulnerability to Climatic Shock (IVACC in Spanish) which is linked to the Single Beneficiary System (SIUBEN). The main function of the SIUBEN, which covers about 85% of the population, is to identify, characterize, record and prioritize families in poverty to inform the implementation and targeting of social policies. The IVACC uses SIUBEN data to calculate the probability that a given household may be affected by hurricanes, tornadoes and flooding based on a range of socioeconomic characteristics, including housing characteristics (walls, ceiling), estimated income and proximity to a potentially hazardous natural element (river, stream or ravine). The advantage of IVACC compared to geographic targeting is that it can support targeting at the household level, as opposed to targeting an entire area that may be impacted or at risk.

Sources: Shock-Responsive Social Protection in the Caribbean – Literature Review and Synthesis Report (OPM/WFP, 2019)

Resource Box

Effective Targeting for the Poor and Vulnerable (Leite, 2014)

>> This document gives an overview of social protection targeting approaches and methods and their strengths and weaknesses. documents1.worldbank.org/curated/en/747591468125685125/pdf/930590REVISED00SPL0Technical0Note06.pdf

Shock-Responsive Social Protection (TRANSFORM, 2020)

>> Pp. 59-62 of this manual assess the shock-responsiveness of social protection targeting approaches. https://socialprotection.org/sites/default/files/publications_files/SRSP%20BD_singles_v12.pdf

Post-Disaster Household Assessments and Eligibility Determination for Post-Disaster Social Protection Benefits Guidance Note (Williams, 2020)

>> This document provides recommendations on how to improve post-disaster household assessment tools and methodologies for more efficient provision of post-disaster social protection benefits and services. documents1.worldbank.org/curated/en/592661593696978078/pdf/Post-Disaster-Household-Assessments-and-Eligibility-Determination-for-Post-Disaster-Social-Protection-Benefits-Guidance-Note.pdf

DELIVERY MECHANISMS AND BENEFITS[42]

The timely delivery of assistance is crucial when shocks hit. Shocks, however, can disrupt or damage the infrastructure for delivery and supply chains and interrupt existing social protection benefits and services. At the same time, shocks can increase the demand for social protection because of their impacts putting additional pressure on the delivery platforms used to reach people.

In the case of social protection programmes in the Caribbean that provide cash transfers, these are often delivered through people collecting their entitlements at government's offices, cheques, smart cards or, primarily, through electronic transfers to bank or credit union accounts. In-kind support through social assistance is provided through people retrieving food kits at stores, charitable organizations or delivery to people's homes. School meals – quite intuitively – are usually provided at schools. Knowledge of the delivery mechanisms of social protection programmes can help inform whether benefits will remain accessible after a shock and the mechanisms' potential to deliver new or additional support.

Similarly, understanding the design of existing social protection benefits – including the type, value, and frequency – will inform how to adapt or build on them to address the impacts of shocks. For example, this may involve increasing their value or duration because of the additional needs that people are facing. Chapter 4 has further information on how to establish transfer values in an emergency or shock.

Challenges

- Digital payment services are still emerging and expanding and do not cover the whole population, particularly in rural areas.
- Rapidly expanding cash schemes with e-payment mechanisms to new beneficiaries can be challenging because setting up or linking bank/credit accounts takes time and other options (e.g. prepaid cards) may not be ready to use.
- Augmenting the frequency and/or volume of regular payments may increase the workload of payment service providers and administrative staff.
- Although less prone to infrastructure outages after a shock, manual payment systems are more time-consuming and labour-intensive, limiting opportunity to scale up or to provide flexibility in payment schedules and amounts.
- Where payments are not outsourced to a payment service provider, providing payments will often overburden social protection programme staff and reduce the time available for wider administrative tasks.
- Where services are outsourced, the terms of contracts or service agreements may limit whether programme management can add flexibility, such as shortening payment cycles.
- Limited financial and digital literacy of the population can restrict the effectiveness of digital payment mechanisms.
- The low benefit level (value) of regular programmes can limit their potential to support resilience in normal times and are usually too low to support people impacted by shocks adequately. Budgetary constraints and political/public perception can challenge decisions around the amount, frequency and durations of benefits needed by affected populations.

42. The section on Delivery Mechanisms draws from Smith, G. 2018. "Responding to Shocks: Considerations along the Delivery Chain." Oxford Policy Management, Oxford, UK. (Unpublished)

Preparedness Actions

Strengthening delivery mechanisms and regular benefits for shock-responsive social protection, begins with assessing systems and parameters and identifying measures that benefit routine functions overall and meet post-shock needs effectively. Preparedness measures can be grouped under the following four actions:

1. Assess existing delivery systems to ensure that routine payment processes can withstand shocks and continue to reach people; strengthen systems' effectiveness as a payment channel for a potential wider relief response.
2. Assess the capacity and interest of current and potential payment service providers to scale up support during shocks.
3. Undertake measures to prepare routine payment delivery systems to respond to shocks.
4. Assess existing social protection benefits (including type, value, frequency and timing) and pre-determine parameters to address needs in a shock.

1. Assess existing delivery systems to ensure that routine payment processes can withstand shocks and continue to reach people; strengthen systems' effectiveness as a payment channel for a potential wider relief response:

- Run a 'bottleneck' or 'delivery chain' analysis to track payment through a system to find current and possible future blockages and recommend enhancements for shock response.
- Plan for temporary pay points and providers, with a strong focus on flexible, accessible and secure solutions.
- Develop a roadmap (where relevant) for incorporating new delivery systems or adaptations into national social protection systems.
- Advocate for and develop joint approaches to digitalise the social protection payment system over the medium to long term.
- Institute contingency plans for alternative payment approaches.
- Provide training for agents, merchants and other 'point of contact' staff.

2. Assess the capacity and interest of current and potential payment service providers to scale up support during shocks:

- Compare the costs of providers and undertake negotiations jointly with other actors involved in responding to shocks.
- Discuss the current and future capacity needs of payment providers and their longer- term vision and growth plans. Often overhead and transaction costs are higher when the project is short term or without a returning customer base.
- Understand the prevailing 'Know your Customer' (KYC) rules and requirements, as these can significantly affect flexible shock-responsive solutions if not prepared for in advance (for instance, proof of identity/address documentation from beneficiaries).

3. Undertake measures to prepare routine payment delivery systems to respond to shocks:

- Integrate scalability clauses into payment providers contracts to enable swift changes to the payment amount and schedule to meet emergency needs with pre-agreed timings and costs.
- Develop SOPs and establish MOUs with relevant actors, including providers who have not previously been used for social protection, to expand the range of options to deliver benefits for routine social protection programmes and in emergency contexts.
- Liaise with financial service providers to build a strategy to ensure that liquidity and distribution capacity are robust, and timeliness of payments is unaffected by the surge in payments.
- Instigate changes to existing beneficiary data management platform for payment delivery to ensure flexibility
- Design contingency plans if there is a need to switch from electronic to manual transfers or from cash to in-kind modalities.

4. Assess existing social protection benefits (including type, value, frequency and timing) and pre-determine parameters to address needs in a shock:

- Review routine social protection benefits to understand their adequacy and appropriateness to meet beneficiaries' needs.

- Undertake analysis of essential needs (e.g. food, health, education, shelter) to understand the range, cost and linkages of needs (for example, consult existing data on minimum expenditure baskets).

- Consult available data on the impacts of previous shocks and disasters on households (particularly on income) to help predict potential impacts of future shocks. Also, examine transfer values used in previous responses to shocks and how these were calculated.

- Use the analysis above to pre-determine options for the value, frequency, timing and duration of emergency assistance based on different shocks and scenario planning.

- Design different types of support based on household size and other relevant factors such as poverty levels, existing vulnerabilities (e.g. age, gender, disabilities, status).

- Consider complementary activities, services and referrals that can provide more comprehensive support to affected populations.

- Consider legal provisions for regularly adjusting benefits levels of routine programmes for inflation – ensuring continued impact over time.

Resource Box

Social Protection Payment Delivery Mechanisms (ISPA, 2016)

>> This toolkit gives a general overview on social protection delivery mechanisms and supporting environment and framework for assessing payment delivery mechanisms of an individual social protection programme or across all of a country's main programmes.
http://ispatools.org/tools/payments-tool.pdf

Adaptive Social Protection: The Delivery Chain and Shock Response (World Bank, 2020)

>> Determine Benefit Package pp 33-35
http://documents1.worldbank.org/curated/en/799281603376140118/pdf/Adaptive-Social-Protection-The-Delivery-Chain-and-Shock-Response.pdf

The role of index-based triggers in social protection shock response (Bastagli & Harman, 2015)

>> This report reviews the potential advantages and limitations of the inclusion of index-based triggers in social protection programmes against the objective of effective covariate shock response.
https://cdn.odi.org/media/documents/9927.pdf

Setting the transfer value for CBT interventions Transfer Value Interim Guidance (WFP, 2020)

>> This guidance note explains the basic steps for determining a transfer value.
https://docs.wfp.org/api/documents/WFP-0000117963/download/

Minimum Expenditure Baskets Guidance Note (WFP, 2020)

>> This guidance looks at how to construct a minimum expenditure basket and online course (1hr).
https://docs.wfp.org/api/documents/WFP-0000122438/download/
https://vam.wfp.org/sites/e-learning/meb-en/index.html#/

Maximizing Social Protection's Contribution to Human Capital Development (WFP, 2020)

>> This 'Fill the Nutrient Gap analysis' estimates transfer size gaps and provides evidence to maximize the impact of social protection programmes on food and nutrition.
https://docs.wfp.org/api/documents/WFP-0000113930/download/#:~:text=Based on FNG evidence and,for optimal nutrition and health.

Info Box 14: Delivery Mechanisms for Shock-Responsive Social Protection in the Caribbean

In the Caribbean, past responses to shocks have seen several countries rely on existing delivery mechanisms of regular social protection programmes. For example, the Emergency Cash transfer (ECT) grants provided in Dominica following Hurricane Maria were distributed using the existing delivery mechanism of the PAP, which is based on manual cash payments through village councils to beneficiaries. In Jamaica, the payment mechanism, and the staff of its flagship conditional cash transfer programme PATH are used in emergency responses. This payment system relies on the distribution of paper cheques by Ministry staff to its parish offices. These experiences show that programmes can use manual processes to provide monetary support to people affected by shocks. However, in some cases, providing support through manual mechanisms has been more efficient than in others, where the processes involved are time and resource consuming.

Most social assistance cash transfer programmes in the region are transitioning to electronic transfers, which creates an opportunity for rapid and efficient emergency responses through digital payments. Examples include the PATH in Jamaica; BOOST in Belize; the PAP, the Senior Citizens' Pension, and the Food Support Programme in Trinidad and Tobago; and the People's Benefit Programme in Antigua and Barbuda. However, rapidly expanding cash schemes with e-payment mechanisms to new beneficiaries can be challenging because setting up or linking bank or credit union accounts takes time, especially if there is a surge in new beneficiaries to enrol.

Other than using existing mechanisms to implement social protection programmes, some countries in the region have set up new delivery mechanisms to provide assistance following shocks. For example, in the British Virgin Islands, the Joint Cash Platform developed by the government and its partners in the aftermath of Hurricanes Irma and Maria provided cash via a single financial service from a dedicated JCP account to beneficiaries' bank accounts, relying on an electronic payment system that enabled segregation of duties and authorisation levels. Some experiences in the region show that responses to shocks provide opportunities to pilot innovative delivery mechanisms or strengthen existing ones. In Belize, the government has partnered with Digi, the country's leading innovative technology solution provider, to deliver the country's first mobile wallet solution for a secure digital method for the Belize COVID-19 Cash Transfer Program. The MobilePayz solution will allow beneficiaries to cash out their funds using their mobile phones or a unique code. Beneficiaries are notified of their payment amount, when and where to collect through text messages. While the general availability of such mechanisms remains limited, there are emerging experiences in the Eastern Caribbean and Barbados. In Dominica, while the expansion of the PAP in response to COVID-19 relied on the programme's existing delivery mechanism, it was used to pilot a digital payment reconciliation process involving QR Codes and KoBo software by village councils.

Sources: OPM/WFP, 2020; British Red Cross, 2018; Ministry of Human Development, Family Affairs and Indigenous Peoples' Affairs, 2021

COORDINATION

Social protection and DRM each involve a wide range of actors at national and local levels, including different government ministries, departments and agencies, NGOs, international agencies and civil society.

In the Caribbean, DRM is only embedded to a limited extent in social protection legislation, policies and strategies (and vice versa). In practice, there is usually coordination between the two sectors, for example, where social protection ministries are part of national disaster coordination bodies. Reflecting coordination in legislation and policies would provide a consistent and recognized framework for social protection and DRM and allow each sector to reinforce one another's efforts when shocks occur.

A less obvious but essential aspect of coordination is increasing mutual understanding between individuals who implement social protection and DRM – sectors with different processes, objectives, tools and even vocabularies. Learning and exchange events involving both sectors are an opportunity to increase this understanding by sharing the strategies and policies that guide their efforts, programme conception, needs assessment and day-to-day challenges.

While the policy formulation in the social protection sector is centralized, the social workers or social assistants are on the frontlines of service delivery. Given that responding to shocks needs a strong local presence and capacity to address needs in a timely and accountable manner, social workers/assistants can play a pivotal role in responding to shocks, supporting a host of functions, including outreach, damage assessment and referral services. Such roles for social workers in disaster response are already explicit in many countries and may need to expand when social protection programmes and systems are used to respond to shocks.

Challenges

- Social protection, DRM and humanitarian programmes are often coordinated under separate ministries and departments and supported by different national and international partners.
- The links between social protection and DRM coordination groups often remain absent or informal, not written into terms of reference and with little human capacity dedicated to maintaining them.
- Coordination challenges exist at both national and local levels (where understanding of, and capacity to implement shock-responsive approaches is often weakest), and across ministries and partners from difference sectors.
- Some coordination challenges are by accident, and others are by design. For example, actors wanting to separate and 'ringfence' their domains and ways of working due to issues of mistrust, a lack of clarity on concepts and ways of working, fear of losing visibility, prestige or funding.

Preparedness Actions

The recommended preparedness actions described in this section are for the overall strengthening of existing coordination mechanisms, or the establishment of new ones, among social protection, disaster risk management and other relevant stakeholders. Increased coordination will enhance understanding of each other's practices and approaches and identify commonalities and overlaps. This can result in more streamlined processes and cross-sectoral joint planning and collaboration (e.g. identification of shock-affected populations, delivery of relief assistance) to enhance the overall effectiveness of emergency preparedness and response actions.

1. Strengthen or establish coordination mechanisms and cross-sectoral collaboration:

- Conduct a stakeholder analysis capturing government and non-government actors (at different institutional levels, centralized and de-centralized, regional and international actors) and identify linkages, networks, relationships and potential future collaborations.
- Establish or strengthen existing coordination structures (e.g. social protection technical working groups, disaster management committees) with clear objectives and roles in preparedness and response.
- Reduce the fragmentation of the social protection sector and improve the coordination between programmes by setting a common agenda to enhance joint planning, ensure complementarity of approaches, reduce duplication and gaps and increase the effectiveness of responses to shocks.
- Bring different actors together to foster a better understanding of strategic, operational and technical concepts; mandates; capacities and limitations; and to enable stakeholders to develop working relationships with one another in non-crisis times, including through:
    - establishing forums for data collection and analysis
    - technical thematic working groups (e.g. shock -responsive social protection)
    - alliances for advocacy and policy coordination
    - knowledge exchange opportunities
    - joint training and capacity building.
- Where relevant, develop short, medium and long-term multi-sectoral strategies, policies or budgets to advance the shock-responsive social protection agenda.
- Institutionalize roles and responsibilities, at national and subnational level, to improve collaboration, convergence and alignment of approaches to improve the overall design and implementation of shock-responsive programmes.
- Develop contingency plans and protocols to define roles/responsibilities and strengthen the linkages between social protection and DRM.
- Establish MOUs and protocols with different actors (including non-government entities) for joint preparedness and response work.
- Run joint simulation exercises and other training at the national and sub-national level to test processes, protocols and build capacities.

Info Box 15: Country Examples of Existing Coordination Mechanisms and Linkages Between Social Protection and DRM

While in some Caribbean countries the coordination between DRM and social protection is strong, in others it is still nascent. Some notable examples of well-established coordination mechanisms are the following:

In **Belize**, the Ministry of Human Development is responsible for both multiple social protection programmes and managing relief operations in an emergency as part of DRM. Mechanisms are in place to ensure coordination between the two sectors.

In **Jamaica**, the Ministry of Labour and Social Security chairs the national Humanitarian Assistance Committee, which oversees and ensures coordination of all shelter, relief, and distribution activities The Ministry also leads the National Humanitarian Policy and Strategy, which articulates welfare and relief issues within DRM. The Ministry is the primary agency responsible for coordinating welfare activities to support people affected by disasters.

In **Saint Lucia**, Social Transformation Officers from the Ministry of Equity assist the District Disaster Committees with relief efforts, including conducting household assessments. Social Transformation Officers are a crucial link between the National Emergency Management Office and the Ministry of Equity – and therefore between DRM and social protection.

Anguilla's 2007 Disaster Act establishes a National Disaster Management Committee, which includes the Ministry of Social Development, Ministry of Finance, and the Health Authority, and provides overall direction to disaster management efforts and development of a national disaster management plan.

By contrast, in countries including **Dominica, Trinidad and Tobago and Guyana**, existing DRM coordination mechanisms include only minimum roles for social protection. While this has not prevented the use of social protection to respond to shocks, strengthening this coordination would more strongly integrate social protection within the overall picture of emergency preparedness and response.

Source: Shock-Responsive Social Protection in the Caribbean – Literature Review (OPM/WFP, 2019)

Resource Box

Coordination of Social Protection Systems (Transform, 2017)

>> This document analyses barriers and challenges to effective social protection coordination and guidance on how to address barriers and challenges to social protection coordination. www.socialprotection.org/sites/default/files/publications_files/TRANSFORM%20Full%20Document%20-%20COO.pdf

CDEMA: The Regional Response Mechanism (CDEMA, 2019)

>> This booklet provides general information on the CARICOM Regional Response Mechanism established to deliver timely and coordinated response support to affected Participating States. https://www.cdema.org/RRM_Booklet_Final_PDF_version.pdf

Guidance on Social Protection across the Humanitarian-Development Nexus (European Commission, 2019)

>> The guidance provides concrete and practical guidance to social protection as an effective short- and long-term response to multivariate shocks, protracted crises, and displacement. See Operational note 3: Stakeholders for perspective in multi-stakeholder coordination. https://europa.eu/capacity4dev/sp-nexus/documents/span-2019-operational-note-3-stakeholders

FINANCING

Disasters and shocks increase the number of people in need of social protection and potentially the direct role of social protection in meeting emergency needs, both of which require financial resources. Risk financing is the practice of arranging appropriate financing instruments, policies, legal and institutional frameworks and building capacity in advance of shocks to enable a country or region to prepare for and respond to different emergencies promptly. A lack of pre-shock physical and financial measures in shock preparedness can lead to considerable delays in post-shock response. This lack impacts people living in poverty and vulnerable groups, pushing them further into poverty, and national governments, with significant implications for fiscal health.[43]

Risk financing instruments used in the Caribbean are based on their risk management function: risk retention or risk transfer (see Info Box 16). Risk retention involves absorbing the risk, while risk transfer entails passing the risk to a third party (e.g. an insurance company). A combination of retention and transfer instruments is usually more effective than either alone, although the right mix depends on local circumstances. Instruments can be *ex-ante* (arranged and provisioned before shocks strike) or *ex-post* (mobilized after a shock).

It is good practice to understand the whole array of risks and ensure a holistic risk-layering approach with a mix of finance instruments, including sovereign risk insurance, meso- and micro insurance, contingency funds and budgetary allocations. Risk finance instruments should also be connected to social protection systems so that they can channel finance to shock-affected populations and contribute to the range of tools that promote DRM, resilience and adaptation.[44]

Challenges

- Limited policy space, and consequently fiscal space, for shock-responsive social protection and risk financing.
- Limited capacity of governments to produce necessary administrative, legal and operational conditions to satisfy financial markets – assessment of risks, contingency plans, public financial management guarantees etc.
- Reliance on ex-post instruments that are costly and can affect longer-term development planning and expenditure.
- Few disaster risk financing strategies at the national level or a lack of implementation capacity and funding.
- Concerns from governments to protect their current fiscal expenditure for regular social protection.
- Limited evidence in the region of the cost-effectiveness of financing shock-responsive social protection.
- No instruments to finance shock-responsive social protection.

43. Cubas et al., 2020
44. Disaster Risk Financing Strategy for Latin America and the Caribbean (WFP, 2020)

Preparedness Actions

Ensuring adequate financing to address the impact of shocks is often challenging. The preparedness measures below can pave the way to establishing the instruments required for a well-funded response, including through the social protection sector. Conducting a disaster risk financing assessment to evaluate the extent to which existing financing mechanisms are adequate based on the country's risk profile, is the first step to enable the following preparedness measures.

1. Strengthen risk financing to improve the effectiveness of disaster response, including through the social protection sector, and reduce the cost and impact of disasters; increase the decision-making capacity of practitioners and the ability of different sectors to coordinate.

2. Plan for the rapid disbursement of funds in a shock.

1. Strengthen risk financing to improve the effectiveness of disaster response, including through the social protection sector, and reduce the cost and impact of disasters; increase the decision-making capacity of practitioners and the ability of different sectors to coordinate:

- Develop a disaster risk financing strategy that is inclusive of the social protection and DRM sectors.
- Identify how different shocks with different frequencies, magnitudes, and impacts should be responded to (risk layering). A layered approach would include a) budgetary instruments (e.g. contingency / reserve funds); b) contingent credit; c) market-based risk-transfer instruments (e.g. Catastrophe Risk Pools).
- Estimate the potential costs of responses and the likely impact on a) the system and b) target population. Simulating response options can help to determine the scale and range of funding required, significantly supporting risk financing strategies.
- Assess the maturity of social protection systems and their ability to accommodate disaster risk financing, which financing mechanisms exist or have the potential to be introduced.
- Discuss and plan how to finance and address regular/predictable/recurrent shocks/stresses through regular social protection. Predictable events such as seasonal food insecurity should receive predictable, timely and continuous financing to address chronic needs routinely.
- Ensure the continuity of social protection service delivery in the aftermath of a shock by 'ringfencing' funds to avoid reallocation in the case of a shock. Allocate additional small-scale contingency funding strategies for surge support to ensure continuity of social protection delivery in the aftermath of shock.
- Identify appropriate financial mechanisms, where relevant and feasible, to support scaling up of social protection to new beneficiaries (through new or existing programmes or vertical and horizontal expansion). Develop a coherent strategy to work alongside the humanitarian and DRM sectors to share roles and responsibilities.

2. Plan for the rapid disbursement of funds in a shock by implementing one or more of the following:[45]

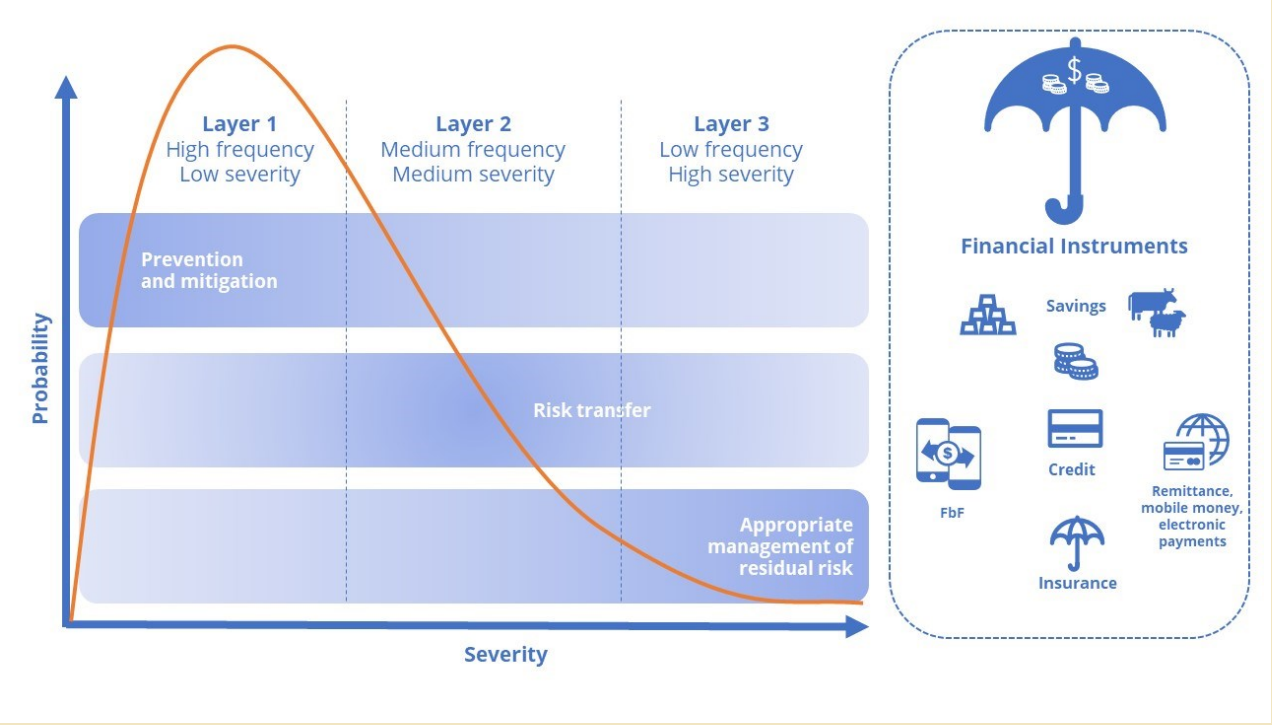
- Establish triggers to enable the release of funds in the event of certain pre-defined shocks.
- Review and resolve any legal or administrative issues that could block the release of funds (either existing or newly pledged). Test through a simulation exercise.
- Consider fast-track measures to enable partners to channel funds to local level implementers and ensure funds can move between national, regional and local levels with minimal administrative process and cost. Pay attention to hard-to-access geographic areas and ensuring sufficient liquidity at local level.
- Understand differing reconciliation demands made by governments, donors and other financial providers in advance, as these can differ depending on context, programme and shock type.

45. This section include material adapted from UNICEF Programme Guidance: Strengthening Shock-Responsive Social Protection Systems (2019)

Info Box 16: A Consumer-Centric Approach to Support Risk financing

Offering risk finance instruments that support appropriate risk management and resilience-building for vulnerable populations requires a deeper understanding of people's needs. Populations are not homogenous, and the suitability of risk financing instruments will depend on their needs, preferences and particularities. For example, it requires an understanding of:

- what risk management tools and financial services people access and use, as this will help to identify the most appreciated financial instruments to increase the likelihood of their adoption, ownership, and sustainability, along with potentially devising a strategy supporting the strengthening of informal financial instruments
- people's financial literacy, as this will lead to efforts to ensure empowerment and financial capabilities
- people's financial constraints and areas of expenditure, as this will lead to better assessing people's willingness to pay and consideration of the affordability of instruments to be offered
- people's risk exposure and vulnerability, as this will help identify the most suitable financial instruments to select, and in the case of insurance could lead to calculating a range of premiums that could be purchased
- the entities and networks that support people, as this will help to inform a distribution strategy with different entities (including potentially improving their own products that are on offer), as well as possible use of digital financial services.



Source: Inclusive risk finance to build the resilience of the most vulnerable and food insecure in Latin America and the Caribbean (WFP, 2020)

Table 4: Disaster Risk Financing Instruments in the Caribbean

This table presents the main disaster risk financing instruments used in the Caribbean, based on their risk management function: risk retention or risk transfer.

When	Function	Instrument	Examples
Ex-Ante	**Retention**	Budgetary instruments: reserve funds, contingency budgets, and budget allocations Contingent credit	Contingency funds (e.g. Jamaica, Trinidad and Tobago, Saint Lucia, Grenada, Turks and Caicos, British Virgin Islands and Barbados) World Bank's Deferred Drawdown Option for Catastrophe Risks (Cat DDO) (e.g. Grenada)
	Transfer	Market-based risk transfer instruments: insurance, reinsurance	Caribbean Catastrophe Risk Insurance Facility Segregated Portfolio Company (CCRIF SPC)
Ex-Post	**Retention**	Budget reallocation International loans	Budget reallocation used Caribbean-wide World Bank's Contingent Emergency Response Component
	Transfer	Humanitarian aid	Various countries in response to Hurricanes Irma and Maria (2017) and COVID-19 (2020)

Info Box 17: Caribbean Catastrophe Risk Insurance Facility Segregated Portfolio Company (CCRIF SPC)

Formed in 2007, CCRIF SPC is the first multi-country risk-pooling fund in the world that offers parametric insurance to member countries for earthquake, tropical cyclone and excess rainfall risk. It was designed as a regional catastrophe fund for Caribbean governments to limit the financial impact of devastating hurricanes and earthquakes by quickly providing financial liquidity when a policy is triggered.

The fund works by combining the benefits of pooled reserves from participating countries with the financial capacity of the international financial markets. It retains some of the risks transferred by the participating countries through its reserves and transfers some risks to reinsurance markets where this is cost-effective. This structure results in a particularly efficient risk financing instrument that provides participating countries with insurance policies at approximately half the price they would obtain if they approached the reinsurance industry independently. CCRIF SCP's parametric insurance mechanism allows it to provide rapid pay-outs to help members finance their initial disaster response and maintain basic government functions after a catastrophic event.

Since it began in 2007, CCRIF SPC has made pay-outs of over US$160 million to 13 member countries, with all payments within 14 days of the shock. CCRIF has also made 12 payments totalling around US$1 million under member governments' Aggregated Deductible Cover. In 2020, there were 22 members of the facility: Anguilla, Antigua and Barbuda, Bahamas, Barbados, Belize, Bermuda, the British Virgin Islands, the Cayman Islands, Dominica, Grenada, Guatemala, Haiti, Jamaica, Montserrat, Nicaragua, Panama, Saint Kitts and Nevis, Saint Lucia, Saint Maarten, Saint Vincent and the Grenadines, Trinidad and Tobago and the Turks and Caicos Islands.

Source: Shock-Responsive Social Protection in the Caribbean – Literature Review (OPM/WFP, 2019)

Resource Box

Disaster Risk Finance for Adaptive Social Protection (World Bank, 2020)

>>This document gives an overview of disaster risk financing and its relevance to social protection. It includes key principles for utilizing DRF approaches for adaptive social protection in Latin America and the Caribbean. https://openknowledge.worldbank.org/bitstream/handle/10986/34133/Disaster-Risk-Finance-for-Adaptive-Social-Protection.pdf?sequence=4&isAllowed=y

Emerging Lessons in Financing Adaptive Social Protection (World Bank, 2021)

>> This paper strengthens the understanding of how disaster risk financing enables social protection systems to respond to and mitigate the impacts of climatic and potentially other shocks. http://documents1.worldbank.org/curated/en/563501611922361155/pdf/Disaster-Risk-Financing-Emerging-Lessons-in-Financing-Adaptive-Social-Protection.pdf

Linking Social Protection with Climate Resilience & Adaptation (CCRIF SPC, 2019)

>> This policy brief looks at how ministries of social protection in the region can use catastrophe risk insurance at sovereign and microinsurance levels to contribute to increased resilience to climate change. http://www.ccrif.org/sites/default/files/publications/CCRIF_Linking_Social_Protection_Climate_Resilience_and_Adptation.pdf

Climate Risk Insurance for the Poor & Vulnerable (MCII, 2016)

>> Principles to support and guide current and future efforts in reaching and benefiting the poor and vulnerable with climate risk insurance. https://collections.unu.edu/eserv/UNU:5956/MCII_CRI_for_the_Poor_and_Vulnerable_meta.pdf

Inclusive risk finance to build the resilience of the most vulnerable and food insecure in Latin America and the Caribbean (WFP, 2020)

>> This strategy document identifies opportunities to sustainably scale risk finance solutions to support the region's most vulnerable and food insecure. https://www.wfp.org/publications/inclusive-risk-finance-build-resilience-most-vulnerable-and-food-insecure-latin

4

SHOCK-RESPONSIVE SOCIAL PROTECTION IN PRACTICE

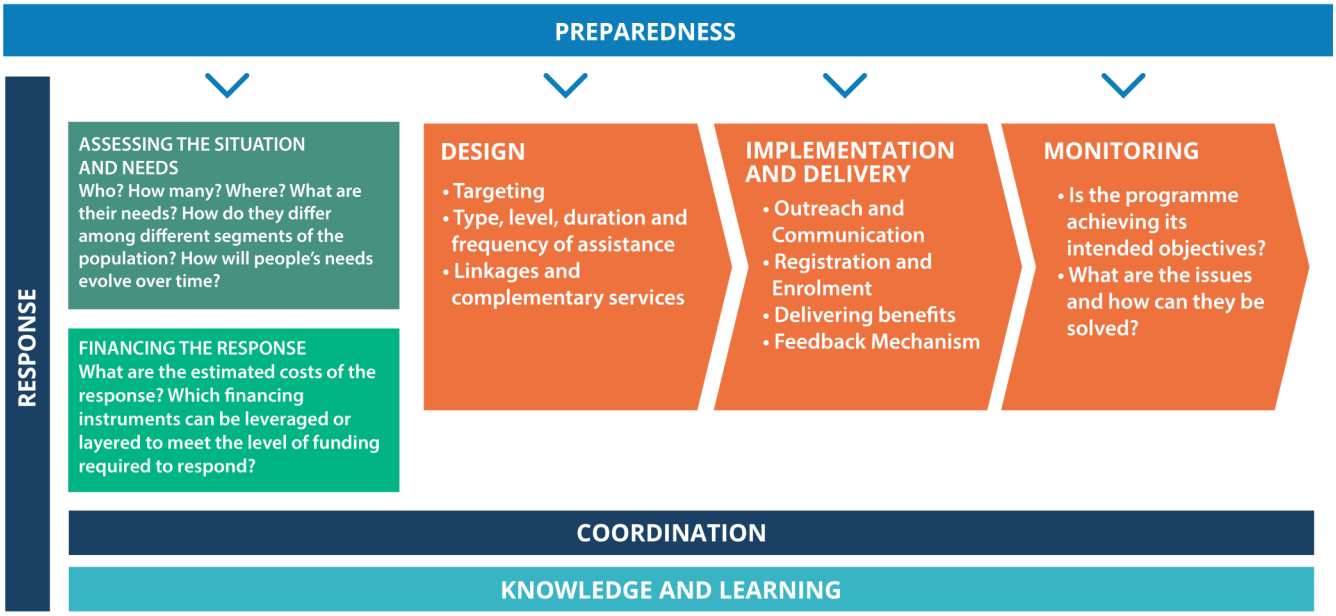
Every government in the Caribbean has turned to social protection to respond to shocks. These experiences provide a wealth of good practices and guidance, which are weaved into this chapter on designing and implementing shock-responsive social protection programmes.[46]

More specifically, this chapter covers:

- the types of pre- and post-shock assessments that may be carried out and how these can inform responses through social protection
- targeting methods and how to determine the most appropriate and adequate types of assistance
- designing and delivering benefits, linkages to services and complementary activities, communication, feedback mechanisms and monitoring
- considerations for identifying the financial requirements for the response and to strengthen coordination mechanisms.

For each of these activities, there are many decisions, actions and measures to take to ensure an effective response through or linked to social protection programmes and systems (steps for the design and implementation of shock-responsive social protection measures are outlined in Figure 8). As stressed throughout this handbook, planning for and preparing for shocks can significantly support the capacity of governments to respond, enable the effective and efficient use of resources and ensure the best possible outcomes for people impacted. Chapter 3 outlines preparedness measures that can advance and facilitate the actions described in this section as well as strengthen routine social protection programming.

Figure 8: Steps for the Design and Implementation of Shock-Responsive Social Protection Measures



Note: The design and implementation of shock-responsive social protection programmes may not always follow the process flow illustrated above. Actions and decisions will depend on the impact of shocks and disasters on systems, capacities as well as response objectives and approaches to best meet impacted populations' needs.

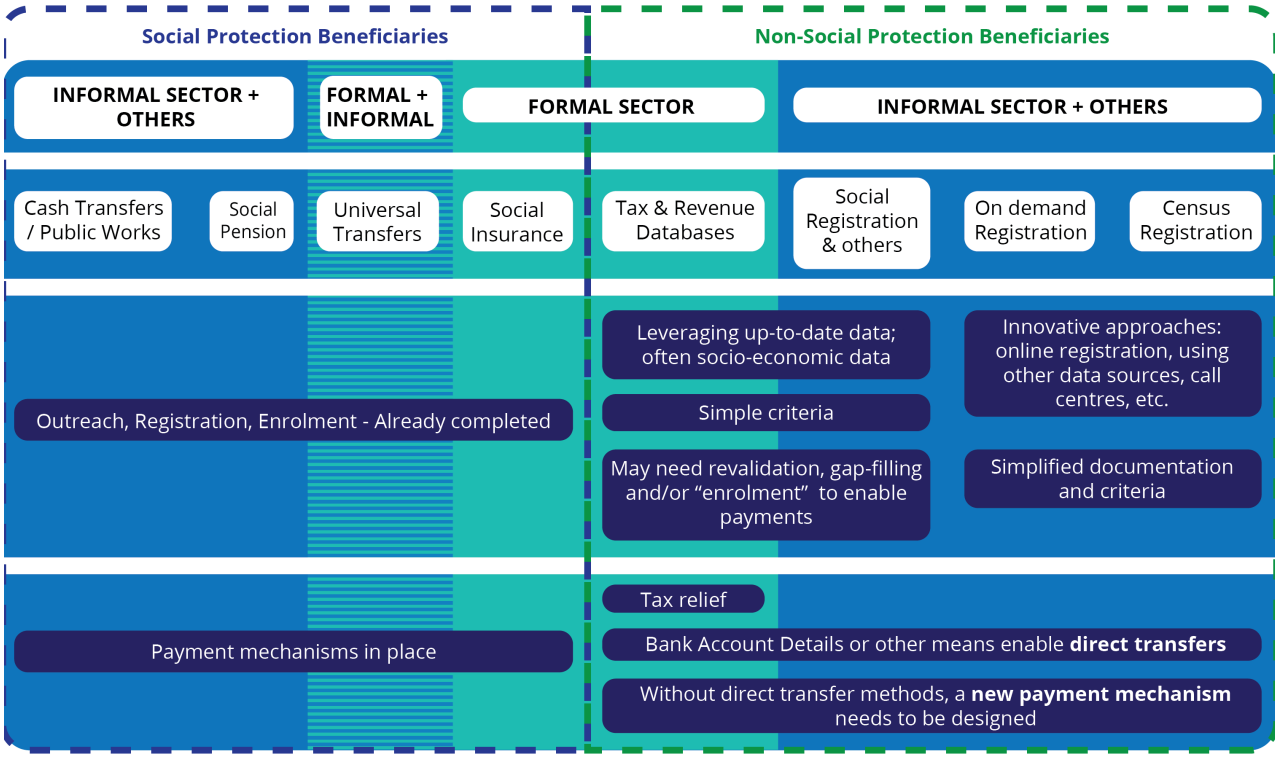
46. This chapter draws from WFP's emergency preparedness and response, social protection and cash-based programming resources, guidance and tools and policy, technical and operational expertise in supporting governments to implement development and humanitarian measures. The main resources are WFP's Emergency Field Operations Manual (2002 and 2020); WFP's Cash and Voucher Manual (second edition, 2014); WFP's Safety Net Guidelines – Module A, B, C (2014); Guidance for planning an emergency intervention through government social protection systems (2018); WFP's analytical tools including Essential Needs Assessments, Minimum Expenditure Baskets, Supply Assessment of Goods and Services of Essential Needs (2020); WFP's guidance notes on Vulnerability and Spatial Analysis in sudden-onset disasters (2018), Setting the Transfer Value for CBT Interventions, Targeting and Prioritisation, Targeting and Prioritisation, Beneficiary Identity Management Guidance (2018-2020) and other sources as referenced.

OVERVIEW OF EMERGENCY RESPONSE OPTIONS THROUGH SOCIAL PROTECTION SYSTEMS AND PROGRAMMES

Shock-responsive social protection does not mean that social protection takes on all aspects of an emergency response, but rather how social protection can contribute to it by sharing roles, capacities, tools, systems and programmes with other sectors in a meaningful and coordinated manner. Responses though social protection should build on and adapt what is already in place, such as existing social assistance programmes, information systems, payment mechanisms and human resources. Coordination with national and international entities including government ministries, humanitarian and development partners, NGOs, the Red Cross and the private sector will also strengthen the response, cover capacity gaps and ensure the rapid, effective and efficient mobilization of resources and assistance.

Depending on the context, governments and implementing agencies should explore multiple social protection measures to reach different segments of the population affected by shocks. These measures may include, for example, the use of social assistance cash transfers to reach persons living in poverty and modified social insurance benefits to address the changing needs of those contributing to national insurance schemes. There is no specific right mix and sequence of social protection responses. Responses will depend on the effects of the shock, the capacity of the social protection sector to respond and the overall response strategy. The figure below shows a general menu of response options, which leverage different social protection programmes and systems to assist existing and new beneficiaries who a shock may have impacted. The rest of this chapter focuses primarily on the design and implementation of responses through/ linked to social assistance programmes because they target persons already facing poverty and vulnerability. These, however, should always be considered within the broader response strategy.

Figure 9: Options for Responding Through Social Protection



Source: Adapted from Beazley, 2020

Experiences of shock-responsive social protection in the Caribbean have largely encompassed five broad approaches:[47]

- **Adapting and scaling a social protection programme by increasing the benefit value or duration to existing beneficiaries to help them meet increased needs as a result of a shock.** A few Caribbean governments increased transfer values of public assistance programmes in response to COVID-19, in some cases with the financial support of international donors and UN agencies. This approach leverages the procedures and payment channels used to disburse regular payments to beneficiaries. (Vertical expansion)

- **Temporarily extending an existing programme to people impacted by the shock.** While this approach usually involves registering new people following a shock, identifying people likely to be affected in advance, along with triggers for scaling up, would significantly speed up the onboarding of new recipients of assistance. However, pre-identification is a relatively new territory in the Caribbean. (Horizontal expansion)

- **Adjusting certain features of an existing social protection programme to ensure that people can access benefits at critical times.** For example, adjusting payment schedules – moving forward or doubling up – to cover households in times of increased vulnerability or before a predicted hurricane arrives. In the case of conditional cash transfer programmes, conditions could be waived. (Design tweaks)

- **Using parts of a social protection system or programme to help deliver a new programme or emergency response.** This might include, for example, emergency responders using a social protection beneficiary database for their targeting, using payment mechanisms to provide cash support or social protection ministries using post-disaster data on households to link them to services. It can also include integrating the tools, capacities and expertise from one approach into another. In the Caribbean, social protection staff often undertake damage/loss assessments and help identify those most in need of assistance. (Piggybacking).

- **Establishing new social protection programmes (usually social assistance) that leverage existing processes, systems and staff to address specific needs driven by a shock.** These new programmes are often temporary and carry the name of the type of crisis/emergency they seek to address (e.g. COVID-19 income support programme, emergency social cash transfers). This naming helps to distinguish them from regular social protection programmes, better communicates their objectives, and helps manage beneficiaries' expectations concerning the temporary nature of the assistance that these programmes typically provide. To mitigate the socioeconomic impacts of COVID-19, many Caribbean governments created temporary income support, unemployment and similar programmes providing monetary assistance. (New programmes)

47. For a comprehensive overview of social protection responses to different type of shocks in the Caribbean such as hurricanes, floods, the 2008 economic crisis and COVID-19 pandemic see the annex.

Info Box 18: Social Protection Responses to COVID-19 in the Caribbean

In the face of the unprecedented socioeconomic crisis caused by COVID-19, all countries in the English and Dutch-speaking Caribbean used existing social protection programmes or introduced new ones to mitigate the socioeconomic impact on households and businesses. Target populations for newly introduced programmes have been primarily individuals and businesses who have lost their regular income due to movement restrictions, declining tourism and disruptions to commercial activities. Unemployment and underemployment benefits programmes have been the measure most adopted by countries in the region, sometimes complementing unemployment insurance under social security schemes to assist those not eligible for social security benefits. Some countries introduced new programmes due to the lack of a formal unemployment benefits scheme. As the most tourism-dependent region globally with high levels of informality, some programmes have specifically targeted informal, casual and temporary workers operating in the service industries who cannot access employment-related protection. Aside from income support, food assistance in food hampers, meals or vouchers has been another frequently adopted response. Another couple of countries have adjusted school meals programmes to provide continued assistance during school closure. One of the most frequent social protection responses has been the scaling up of social welfare by increasing transfers to existing beneficiaries of social assistance programmes. In some cases, these programmes have been expanded to include new beneficiaries.

Source: Shock-Responsive Social Protection in the Caribbean – Synthesis Report (OPM/WFP, 2020)

Resource Box

SPACE Strategy Decision Matrix: Using or leveraging social assistance programmes (DFID, GIZ & SPACE, 2020)

>> This technical tool is designed to structure an independent and unbiased analysis of COVID-19 response options. it is also suitable for analysing other shock response options, including merits, challenges, risks, and potential mitigation strategies for each response option in a specific context. https://socialprotection.org/sites/default/files/publications_files/SPACE%20Strategy%20Decision%20Matrix%2020052020_v1.pdf

Shock-Responsive Social Protection Systems Toolkit: Appraising the use of social protection in addressing large-scale shocks. (O'Brien et al. 2018)

>>This toolkit provides an overview of options for using social protection to respond to shocks. It includes: prerequisites, opportunities, design/ implementation challenges and risks, pp. 11-12. Analytical tools to assess the specific context to inform decisions about the suitability of shock-responsive social protection, pp. 15-26. https://www.opml.co.uk/files/Publications/a0408-shock-responsive-social-protection-systems/srsp-toolkit.pdf?noredirect=1

DESIGNING AND IMPLEMENTING SHOCK-RESPONSIVE SOCIAL PROTECTION MEASURES

The design and implementation of assistance through social protection following a shock follows similar steps to those for the design and implementation of routine social protection programmes or emergency response (e.g. targeting, registration, distribution of benefits, monitoring). Key issues are how far to use or modify existing processes, and whether measures are in place in advance through SOPs, operation manuals or contingency plans to help guide how to leverage social protection programmes and systems.

The checklist below and the following sections provide a guide for relevant decisions and actions.[48] These decisions/actions will need to consider existing capacities, political dynamics/priorities and broader response efforts occurring through DRM (or others in the case of economic shocks). Throughout the design and implementation, engagement with different ministries, agencies and other development or humanitarian partners is essential to ensure complementary actions and a coordinated response that addresses the wide range of needs people are facing.

Analyse the impact of shocks and resulting needs of affected populations.

- ☑ Analyse the impact of shocks on households and communities within affected areas and resulting needs.
- ☑ Determine how the shock may have exacerbated existing vulnerabilities – such as related to gender, age, disability, or residency status (e.g. migrants).
- ☑ Assess the potential for a response through national social protection systems based on needs, resources and systems/capacities in place.

Establish how social protection programmes and/or administrative components will be used.

- ☑ Set clear objectives for the assistance.
- ☑ Determine whether to create a new programme or deepen/expand existing ones.
- ☑ Define the target groups.
- ☑ Decide the type of support (cash, voucher, in-kind and/or services), value (for cash/vouchers), specific items and quantities (food/non-food), timing, duration, and delivery mechanisms.
- ☑ Ensure gender considerations are included into the design of the response, including the different needs, capacities, and obstacles that men, women and children may face and adapt social protection programmes accordingly.
- ☑ Determine enrolment and registration processes.
- ☑ Establish links to other services and programmes (if these are lacking).
- ☑ Design complaints, feedback and referral mechanisms or utilise existing ones (modifying as needed).
- ☑ Develop a monitoring framework.

Build sustainability from the outset in coordination with all stakeholders involved.

- ☑ Harmonize needs assessments used by various actors so that the data and information generated can inform joint planning around the targeting of assistance and decisions on the type and duration of support. Make sure that data can be disaggregated by sex and age.
- ☑ Establish a centralized repository of information on impacted populations and their needs (if one does not exist). This will be significantly easier if assessment forms are created in advance and data is collected digitally.
- ☑ Determine other complementary measures to ensure holistic/comprehensive support that addresses affected populations' diverse and evolving needs.
- ☑ Determine how to build in a transition strategy from response to recovery, considering broader social protection reform efforts and opportunities.

48. This section adapts material from WFP's Safety Nets Guidelines, MODULE C, Design and Implementation (2014)

Info Box 19: The '5 Rs' to Help Design a Quality and Appropriate Response

Right objective: The response needs to be designed and implemented with a clear objective based on the context.

Right assistance: This will depend on the response objectives and must account for the needs of different groups.

Right people: Reduce exclusion (and inclusion) error through appropriate targeting.

Right time: Assistance reaches people when it is needed.

Right way: Assistance is context-sensitive and supports the safety, dignity and rights of affected populations.

Source: Emergency Field Operations Manual (WFP, 2020)

Resource Box

Social Protection and Disaster Recovery (World Bank, 2019)

>>This guidance note looks at implementation considerations for the delivery of social protection programmes in post-disaster contexts along the "delivery chain, pp. 23-28 https://www.gfdrr.org/sites/default/files/publication/Social_Protection_Guidance_Note_FINAL.pdf

ASSESSING THE SITUATION AND NEEDS

Populations impacted by shocks are often confronted by several pressing needs, such as housing, food, health and education. These needs must be met to ensure survival and a minimum level of physical and mental well-being. People's needs and their ability to cope with and recover from shocks depend on many factors, such as the physical, social, economic and environmental impacts of shocks, households' resilience/capacities and existing vulnerabilities (e.g. age, gender, disability). Although large-scale events affect all, their impacts will be borne mostly by people living in poverty and facing vulnerability, often leading to a disproportionate loss of life, assets and income among these groups. The impact of shocks can also plunge more people into poverty.

Designing effective support through social protection and deciding how to modify existing strategies depends on the assessment and analysis of the different impacts of shocks on people's lives, livelihoods and well-being. Understanding people's needs, how they may evolve over time, and how to best address them (given available resources, systems and capacities), is the foundation of a robust shock-responsive social protection programme. While assessments are often described in a linear fashion, followed by designing assistance and targeting/ registering beneficiaries, these steps often overlap.

Operational Considerations

Types of assessments and considerations

In the aftermath of a shock, different actors conduct needs assessments to provide data and information for decision-making around four main areas:

- whether to intervene
- the nature and scale of the intervention
- the prioritization and allocation of resources
- programme design and implementation.[49]

Assessments in response to disasters are usually led by national DRM agencies and involve different sectors (e.g. health, social protection, economic affairs, local government). In financial shocks, a range of government and other actors may be involved in producing analyses ranging from household-level to macroeconomic impacts, such as the Economic Commission for Latin America and the Caribbean (ECLAC).

Having data already in place to analyse impacts gives a significant head start in planning for a response. Therefore, data preparedness is essential.

Data preparedness includes:

- determining the quantity and quality of available datasets (e.g. spatial, demographics, poverty, pre-disaster information, food security
- the type of storage systems available
- the ease of analysing and disseminating data/ information.

Data preparedness can enable projections and estimations of the number of people impacted by a shock and the severity of impacts. These projections/ estimations can be refined over time as more data becomes available. It also provides a baseline – an overview of the situation before the shock –which is vital in planning response measures and supporting recovery and resilience.[50]

49. According to need? Needs assessment and decision-making in the humanitarian sector (HPG, 2003)
50. Drawn from the 72-hour Assessment Approach: A guide for vulnerability and spatial analysis in sudden-onset disasters (WFP, 2018)

Assessments following disasters can be categorised by when they take place and their focus. They produce different types of data to inform decision-making as the situation unfolds. While governments each have their assessment procedures and forms, we can broadly group assessments as follows (see Info Box 20 for CDEMA's approach to conducting damage and needs assessments):

- **Pre-impact analysis** is generally conducted following a warning of an imminent shock, which results in disaster management authorities relaying information to the public and activating emergency response plans.

- **Rapid assessments** are conducted promptly after a shock and are designed to inform immediate relief efforts. They rely primarily on secondary data, aerial reconnaissance missions or rapid field visits. Their goal is to inform estimates on the number of people affected, their location and impact to infrastructure.

- **Initial assessments** are typically conducted once access to affected areas has been established. They provide a more detailed picture of the situation on the ground including the extent of the damage/loss and people's needs, especially for vulnerable groups.

- **In-depth assessments** provide comprehensive information on economic impacts and losses, population's needs, and recovery priorities. These assessments may cover multiple sectors (e.g. food security and livelihoods, shelter, health, education, water and sanitation) and are grounded in more rigorous methodologies.

It is important to distinguish between broader assessment exercises to gauge overall needs/impacts, described above, and household-level assessments to identify and register people for assistance (see Targeting and Registration and Enrolment). Household assessment exercises often begin quickly to facilitate urgent assistance efforts through conducting household surveys or questionnaires on how people were impacted, their household composition, contact information and immediate needs. These household assessments have the dual purpose of registering households for support and providing more detailed information on the impacts of the disaster at the level of individuals and families.

Although assessments are typically employed for disaster response, they can also be used to determine the impacts and needs resulting from financial shocks. When the COVID-19 pandemic took hold in the Caribbean in 2020 and resulted in economic fallout, rapid assessments quickly gauged issues such as access to markets and critical needs, while more in-depth ones soon followed, examining the broader economic consequences. An essential aspect of assessments is understanding how the shock has affected people's wellbeing to determine the best ways to support them. Some basic information and analysis that assessments generate, which can inform the design of response strategies include:

- estimated number and location of affected populations

- people's needs resulting from the shock, how they differ among different segments of the population (such as people living in poverty and facing social vulnerabilities), different impacts facing women, men and children, and who to prioritize

- how the situation may evolve in the following weeks and months

- the status of services and infrastructure related to health, education, markets, roads, transportation and the financial sector.

This information then informs decisions on:

- overall response strategies to assist affected populations, the types of assistance (e.g. cash, in-kind, services) best suited to address their different needs (e.g. cash, in-kind assistance, services) and the estimated budget needed to respond

- collaborations, coordination, procedures, complementary measures, expertise and other activities needed to ensure the rapid mobilization of support.

The multi-faceted challenges that inevitably emerge after a shock will need addressing through an equally diverse set of measures that can only be implemented through joint actions, coordination and collaboration with relevant stakeholders. It is important to consider gender in assessment processes by identifying different impacts and risks that women, men and children may face, including whether they are

increasing unpaid care work that already falls disproportionately on women in the Caribbean. It is also important to consider how to link to and accelerate longer-term efforts to tackle poverty and the underlying causes of vulnerability, for example, by identifying opportunities to accelerate social protection reform and expand coverage.

Planning for a response through national social protection systems and programmes

Assessments provide information on needs and impacts that can be used to guide decisions on how to respond. Global and Caribbean experiences and good practices have highlighted guiding criteria that can inform decisions concerning whether and how to use social protection programmes and systems to respond to shocks compared to alternatives. These will inevitably involve trade-offs and the prioritization of some criteria over others:[51]

1. **Meeting needs:** will the programme/response deliver an equal or greater impact than its alternatives? Is it better targeted to address needs? Does it provide an adequate level of support? Does it provide support of a more appropriate nature?
2. **Coverage:** Will it lead to more of those in need receiving assistance? Will it reduce the number of those who need support?
3. **Timeliness:** Will it lead to quicker support to households? Will it contribute to early response?
4. **Predictability:** Will the funding be more predictable? Will it result in more predictable assistance for households?
5. **Duplication:** Will it reduce duplication of programme delivery systems and processes? Will it increase coordination between programme implementers? Will it harmonize aspects of programme delivery?
6. **Sustainability:** Will it lead to strengthened organizational capacity? Is it more sustainable over the long term?
7. **Cost -** Is it more cost-effective to implement compared to other options?

All of the above need to be considered in relation to the shock and urgency of needs.

Issues to consider include:

- how the speed of the response may affect households' well-being (sudden-onset shocks such as hurricanes compared to slow-onset ones such as droughts)
- the scale of impacts and the cost of meeting needs
- planned and current responses and
- the status of existing capacities, capabilities and systems after the shock, including those of the social protection sector.

When planning for a response through social protection programmes or the systems that underpin them, it is essential to understand:

- how far emergency needs overlap with those served by regular social protection programmes
- the pros and cons of leveraging existing systems (e.g. to avoid disruption of routine programming)
- how to best fill gaps, avoid duplication and coordinate with other response efforts.

While ideally, a thorough analysis coupled with contingency planning will have happened before a shock, each event is different. Consequently, it is important to ensure flexibility and to recalibrate planning. The following steps can help to guide decisions:[52]

51. O'Brien et al., 2015
52. Drawn from Guidance for planning an emergency intervention through government social protection systems (WFP, 2018)wn from Guidance for

1. Understand the shock and its impacts.

- What are the characteristics of the shock? Is it large-scale with sudden, urgent needs (e.g. major hurricane); localised to certain areas (e.g. flood); primarily impacting certain livelihood groups (e.g. farmers impacted by drought); wide-spread and drawn out impacts (e.g. economic shock)?
- Who is most impacted; where are they (in case of a disaster); what are their priority needs; and how do needs differ (e.g. older persons, women)?
- How will impacts and needs likely change over time for different people?

2. Rapidly evaluate which social protection programmes and systems to use, modify and/or whether to create new programmes.

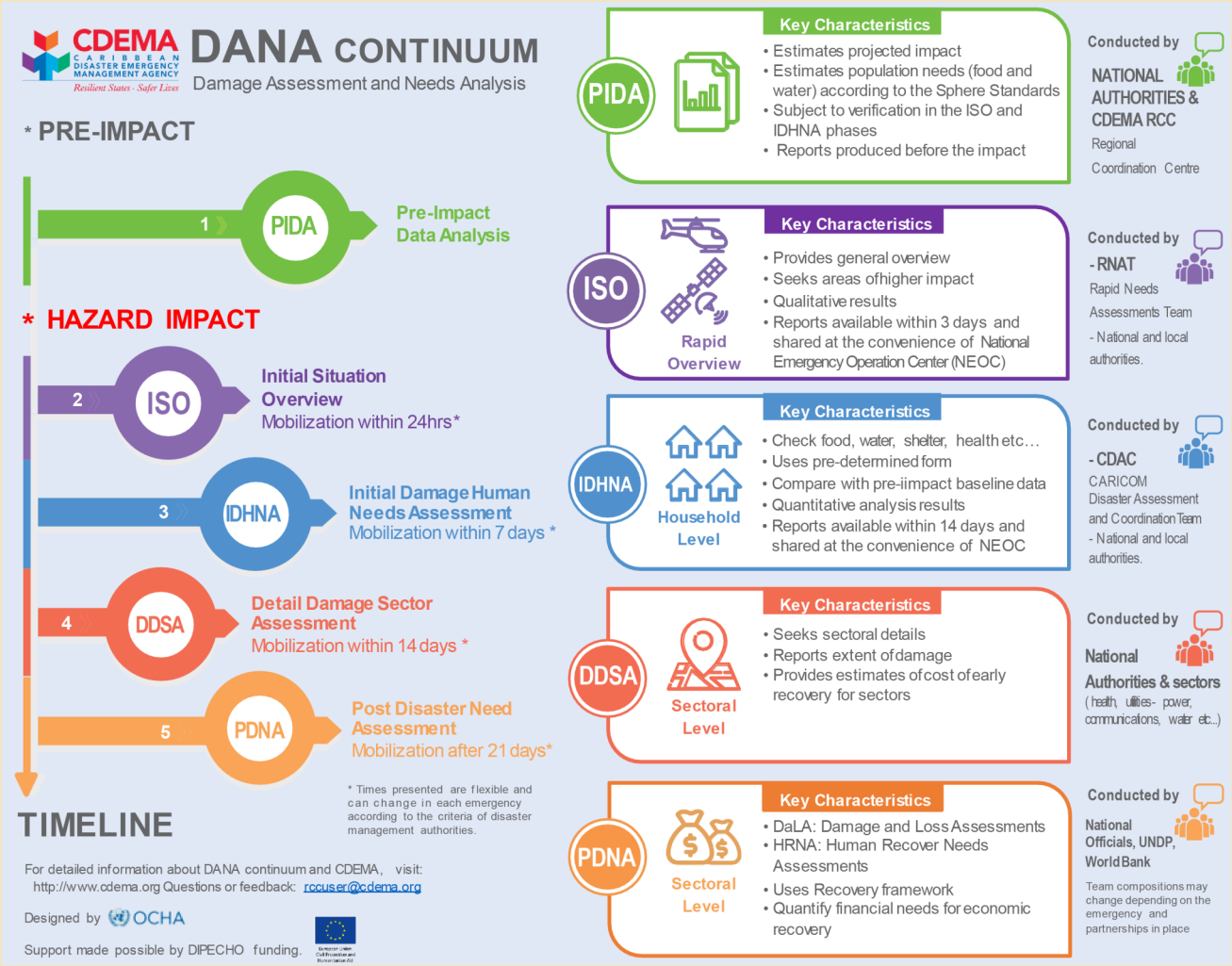
- Are there SOPs, contingency plans or other preparedness measures on how to use social protection programmes or systems in a shock? Do their main assumptions hold, or are there unexpected factors that require revisiting or modifying the plans and procedures in place?
- If not, what existing programmes (if any) are suitable to address short-, medium- and long-term needs of affected populations, considering: their objectives; targeted beneficiaries (who they are, how many, geographical coverage); nature of the benefit (what is provided, frequency, duration, transfer value, conditionality); delivery method (bank account, mobile money, cash in hand, voucher etc.); capacity (other duties facing staff, what other resources are used), links to complementary initiatives and services; whether these programmes have previously been used to respond to a shock (and how effective this was)?
- Are there quick modifications that can ensure continued access and ease burdens on existing beneficiaries – e.g. waiving conditions (especially if these impact women's time), changing payment schedules?
- Are there any technical, operational or political barriers to creating a new, temporary programme tailored to the specific needs of the shock (if this were more appropriate than using existing programmes)? Could these barriers be resolved or mitigated?
- Are potential beneficiaries pre-identified and/or are there agreed criteria and tools for speedy targeting and registration? Do these need modifications given what is known about the shock and its impacts?
- Is it possible to leverage existing databases for potential targeting (e.g. social assistance beneficiary or social registries; DRM datasets on past shocks; beneficiary databases managed by other ministries)? Are they digital or paper-based, centralized or de-centralized? And how do they fare regarding their completeness (who is listed); relevance (variables they contain); quality (how rigorously the data was collected); currency (how up to date)?
- Are linkages in place with other sectors/ministries that are responding to the shock? Are there any institutional or political barriers that would inhibit or preclude response efforts through social protection?

3. Determine whether and how to respond through social protection programmes and systems.

- What are the overlaps between the individuals, households and communities affected by the shock and those covered by existing social protection programmes? How can affected people who are not already beneficiaries be reached?
- How can existing targeting systems be leveraged or modified to identify people impacted and what are the most appropriate enrolment processes (temporary targeting process, ID requirements, application-processed waivers, etc.)?
- Can benefits be adjusted to meet increased needs, and what is the best approach to do so in terms of value, frequency, duration, waiving of conditionality etc.?
- How have delivery mechanisms been impacted, and can they accommodate additional demand? Can any alternative delivery mechanisms be implemented?
- Can ministries of social development access/increase their human and technical resources to respond to the shock, and if not, where resources are there?
- Is the social protection beneficiary registration system able to include new beneficiaries without significant delay, and what are the alternatives if not?
- If changes/adaptations are made to existing social protection programmes to respond to shocks, will it negatively affect the routine administration of benefits and services?
- Would it be more technically feasible and/or politically acceptable to modify existing social assistance programmes or create new temporary programme(s) tailored to the shock (or are both a viable option)?

Info Box 20: CDEMA's Damage Assessment and Needs Analysis (DANA) Continuum

The DANA Continuum is a systematic and standardised approach to assessing damage, processing data and determining needs to support response and recovery actions in an impacted country. Recognising the diversity in approaches to DANA in the region, CDEMA, in collaboration with regional partners, developed a consolidated approach to ensure singular management and execution of data collection to avoid it becoming burdensome for affected populations. The approach is illustrated in the process flow below:



Source: CDEMA, 2017

Info Box 21: Jamaica's Household Damage, Impact, and Needs Assessment Form

In Jamaica, the Household Damage, Impact and Needs Assessment form is applied on-site by teams comprised of Humanitarian Assistance Committee members within the country's national DRM framework. The on-site teams are led by social workers, who also have significant roles in relief distribution and other responses to persons and families affected by a disaster. The Ministry of Labour and Social Security (MLSS) leads the committee which includes different ministries, members of parish (municipal) councils and non-governmental organizations, including the Red Cross and the Salvation Army. The MLSS, which is the ministry responsible for the main social protection programmes in the country, provides food and other relief items for persons in shelters and offers case management where necessary, particularly to those who have lost their homes. The questionnaire collects demographic information of all household members, including employment status and health conditions before and after the shock; assistance received and access to social protection programmes; dwelling characteristics; a damage assessment, including injuries, deaths, dwelling damage, and loss/damage of productive assets; and immediate needs.

Source: Using Social Work Interventions to Address Climate and Disaster Risks in Latin America and the Caribbean (World Bank, 2020)

Resource Box

The 72-hour Assessment Approach: A guide for vulnerability and spatial analysis in sudden-onset disasters (WFP, 2018)

>> This 72-hour assessment approach aims to provide a good-enough snapshot to fill the initial information vacuum in the first three days after a disaster based on the most recent available information and pre-disaster secondary data. See section on Data Preparedness (pp.18-22). https://docs.wfp.org/api/documents/WFP-0000072749/download/

Post-Disaster Household Assessments and Eligibility Determination for Post-Disaster Social Protection Benefits (World Bank, 2020)

>> This note shares country experiences and provides solutions for effectively assessing post-disaster needs and conditions among households to better inform the provision of post-disaster social protection benefits and services. http://documents1.worldbank.org/curated/en/592661593696978078/pdf/Post-Disaster-Household-Assessments-and-Eligibility-Determination-for-Post-Disaster-Social-Protection-Benefits-Guidance-Note.pdf

Guidance Coordinated Assessments in Humanitarian Crises (IASC, 2012)

>> This guidance recommends types of coordinated assessments to carry out during the different phases that follow an emergency, and proposed standard operating procedures for doing so (pp. 12-18). https://interagencystandingcommittee.org/system/files/2020-11/Operational%20Guidance%20for%20Coordinated%20Assessments%20in%20Humanitarian%20Crises.pdf

Essential Needs Assessment – Insights Video Series (WFP, 2020)

>> This five-part insight series unpacks Essential Needs assessments and introduces key concepts, tools, and methodologies and how they are conducted by WFP and partners in practice. https://www.youtube.com/playlist?list=PL8cWCDtpL0sW0BVq2UryRxioc0m6fhbUJ

World Food Programme Gender Toolkit (WFP, 2020)

>>This toolkit is a comprehensive set of resources for integrating gender into the work and activities of WFP to support achievement of gender equality outcomes in food security and nutrition. https://gender.manuals.wfp.org/en/

FINANCING RESPONSES

Responses to shocks require funding that is adequate and readily available. Risk financing mechanisms (such as weather-index based insurance, contingent credit lines, risk transfers and budget reallocation) enable predictable and timely availability of funds when a crisis hits. Such mechanisms are increasingly recognized as an important way to reduce shock-prone countries' dependence on cumbersome humanitarian appeal processes and increase the speed and cost-effectiveness of relief assistance. Financing mechanisms should be in place before a crisis and include multiple instruments to secure timely and predictable financing for shock -responsive social protection. Chapter 3 covers preparedness measures on how to establish different financing strategies.

Operational considerations

Types of risk finance instruments

Depending on the context and the availability of existing finance mechanisms and strategies, mobilizing sufficient resources to meet the level of funding required to achieve emergency response objectives may require a risk layering approach. Risk layering combines several instruments to protect against events of different frequency and severity. A risk layering approach for risk financing strategies combines risk retention (such as budget allocations or contingent credit lines) and risk transfer instruments (such as insurance, that passes on the risks of the government associated with a certain event to another party).[53] Selected finance options that governments may be able to access/leverage for response – and which they could potentially channel for shock-responsive social protection programme - may include:[54]

Ex-ante risk finance instruments:

- **Contingency budgets** are intended to finance disaster losses. Different sources, such as national or local governments, international agencies or a combination of these assign these funds through budget allocations. If used for shock-responsive social protection, such funds may require additional financing so that the essential response activities that were originally expected to be funded through these mechanisms can still go ahead.

- **Contingent credit** provides governments with immediate access to funds from a credit line following a disaster, although this has the drawback of adding to debt. This type of financing is typically used to complement available funds capitalized in a contingency fund, for responding to recurrent/medium scale disasters. A contingent line of credit is an ex-ante instrument that allows borrowers to prepare for a disaster by securing access to financing before it strikes.

- **Risk transfer instruments** include insurance, reinsurance or capital market instruments such as catastrophe bonds. With this type of instrument, the government passes on the risks associated with a disaster event to another party by paying a fixed cost/ premium. Insurance pay-outs can be linked directly to social protection programmes. CCRIF SPC (formerly the Caribbean Catastrophe Risk Insurance Facility CCRIF) is a type of risk transfer instrument offering parametric insurance to member countries.

53. World Bank, 2017c
54. O'Brien et al., 2015

Ex-post risk finance instruments:

- **Budget reallocations** involve moving funds from one budget category to another, without increasing the total amount expended. Budget reallocation often plays a key role for the continuation of relief and the initial stages of the recovery but can take time due to administrative procedures.

- **Post-disaster credit** entails governments' borrowing in the aftermath of a shock to help address damages and losses. This borrowing could involve domestic or international bonds or loans from international, bilateral or multilateral lenders. Governments' ability to borrow to finance disaster costs will depending on their access to capital markets and their creditworthiness.

- **Humanitarian and development partners' assistance** includes the financial resources and mechanisms that humanitarian and development partners can mobilize in post-shock situation, including redirecting regular multi-year funding or leveraging dedicated humanitarian pooled funds. The latter are often raised through donor appeals and spent outside the national system, and/or complemented by significant national resources coordinated through DRM departments. Channelling humanitarian funds through national systems and programmes can be challenging because of their restrictions placed on them (increased accountability requirements, time restrictions for expenditure, absorption capacity).

Options for financing in the response phase

- Produce estimates of costs for a potential shock-responsive social protection measure based on estimated number of impacted population and level of benefits and duration.

- Engage with public financial management experts at relevant ministries to get a full picture of available resources and funding gaps.

- Explore channelling humanitarian funding into social protection systems (while retaining accountability measures), noting this may have significant public financial management implications or additional accountability requirements (e.g. reporting/ reconciliation).

- Consider how to align different programmes in the same area to increase resource flow and comprehensiveness of support, or how to coordinate programmes with similar design features in different areas to increase coverage.

- Ensure that any risk financing triggered is well coordinated with other partners and overall emergency response planning.

Info Box 22: Disaster Risk Financing in the Caribbean

Disaster response in Belize is directed by the Disaster Preparedness and Response Act, 2000. The Act does not, however, earmark funds for disasters or create a contingency budget. In a disaster, the National Emergency Management Organization – the prime agency responsible for carrying out emergency response – performs an assessment of the damage and applies to the Ministry of Finance for allocation of funds accordingly. Once triggered, the Contingency Emergency Response Component (CERC) bridges the shortfall of response and recovery funds by financing emergency recovery and reconstruction projects under an agreed CERC Operations Manual.

Grenada uses various insurance mechanisms to protect low-income households and farmers against agricultural losses from disasters. For example, the Livelihood Protection Policy caters to low-income individuals irrespective of occupation. The product is readily accessible through local distribution channels, including cooperative banks, credit unions, and farmer associations, and has arguably provided timely cash pay-outs shortly after a weather event.

Source: Shock-Responsive Social Protection in the Caribbean – Literature Review (OPM/WFP, 2019); Advancing Disaster Risk Finance in Belize (World Bank, 2017)

Info Box 23: Linking Social Protection with Climate Resilience and Adaptation: The Role of Weather-Based Insurance and Microinsurance

There are no instruments to finance shock-responsive social protection specifically in the Caribbean (and only nascent efforts in other parts of the world). While some governments in the region have established programmes to assist in emergencies (e.g. Trinidad and Tobago's General Assistance Grant and the Disaster Relief Grant), contingency funds to expand social protection in response to shocks are lacking, and disaster risk financing instruments are not linked to social protection responses. On the one hand, this is not surprising as the role of social protection in responding to shocks is evolving, and financing instruments need to be flexible to respond to needs that will inevitably span multiple sectors. On the other hand, having predictable financing is essential to ensure timely and adequate responses through or linked to social protection. There is an opportunity for Caribbean governments and financing facilities to be at the forefront of such efforts.

In 2019, CCRIF SPC released recommendations to assist Caribbean governments to identify opportunities for social protection to contribute to increased households' resilience to climatic shocks using catastrophe risk insurance at the sovereign and microinsurance levels. Key recommendations include the strengthening of the design of inclusive and comprehensive social protection strategies to protect individuals from a range of risks (i.e. health, economic, natural and ecological) that may occur throughout their lives; and their alignment with national climate adaptation response strategies and interventions in sectors including tourism, infrastructure, agriculture and DRM. These are to be implemented in close coordination with ministries responsible for social protection, DRM and climate change to also strengthen livelihood opportunities for people living in poverty and the most vulnerable.

Other recommendations relating to climate risk insurance include its incorporation as part of social protection strategies with protocols for the use of pay-outs to help affected individuals and reduce the vulnerability of economic sectors dependent on low-income, vulnerable workers; advocating for governments to purchase sovereign climate risk insurance and, as part of their overall financial protection strategy, support access to microinsurance for vulnerable persons, for example, by providing subsidies for policy premiums or waiving associated taxes.

Source: Shock-Responsive Social Protection in the Caribbean – Synthesis Report (OPM/WFP, 2020) and Policy Brief - Linking Social Protection with Climate Resilience & Adaptation (CCRIF, 2019)

Resource Box

Assessing Financial Protection against Disasters: A Guidance Note on Conducting a Disaster Risk Finance Diagnostic (World Bank, 2017)

>> This guidance note on DRF diagnostic includes an assessment of disaster risk and past disaster impacts, legal and institutional framework and financial instruments and a funding gap analysis https://www.adb.org/sites/default/files/publication/330846/assessing-financial-protection-against-disasters.pdf

SPaN Operational Note 5: Integrated Financing (Samson, 2019)

>> This guidance is on integrated financing across the humanitarian-development nexus in order to address short-term needs in the event of crises and to assure sustainable long-term social protection coverage. https://europa.eu/capacity4dev/sp-nexus/documents/span-2019-operational-note-5-integrated-financing

Disaster Risk Finance for Adaptive Social Protection (World Bank, 2020)

>> This note aims to improve understanding of disaster risk finance approaches among social protection practitioners and outlines what Latin America and Caribbean countries need to prioritize in order to ensure that appropriate financing arrangements are in place to support effective post-disaster social protection response. http://documents1.worldbank.org/curated/en/721601593593553284/pdf/Disaster-Risk-Finance-for-Adaptive-Social-Protection-Guidance-Note.pdf

COORDINATION

As noted in Chapter 3, shock-responsive social protection requires DRM, social protection and other actors to come together. Effective collaboration is critical to ensure that support channelled through social protection works together with broader efforts to meet people's wide-ranging needs after a shock. Both social protection and disaster risk management involve various entities with different mandates and functions, which can challenge coordination, especially in the initial phases of the response. Coordination is also crucial at lower administrative levels to ensure effective information sharing and joined-up actions. This section looks primarily at coordination in a disaster as opposed to an economic shock.

Operational considerations

Although DRM and social protection (and other national and international partners) are increasingly working together, coordination can be challenging because each sector has multiple sectors. In some cases, international donors channel funding through UN agencies, NGOs and/or the Red Cross to work through or with social development ministries to assist people, which adds another dimension.

The ideal scenario for shock-responsive social protection is that a coordinated social protection sector feeds into a disaster management platform that coordinates the different support measures of different agencies.[55] In the Caribbean, the reality is coordination within and between social protection and DRM sectors varies. The key message is to make coordination as effective as possible within the structures that exist, while seeking to improve them over time. This approach would help to ensure that there are no major gaps between response efforts that would leave people out and avoid potential duplication. Critically, coordination is needed not only at the central level – for example through the emergency operation centres established following a shock – but also at the subnational and community levels.

Strategies for effective coordination in the response phase

- Enhance overall DRM coordination by improving linkages and information sharing between sectors through established national and sub-national fora/ platforms (e.g. Emergency Support Functions with technical advisory committees and other coordinating bodies and partners).
- Identify collaboration opportunities on practical issues such as joint assessments, information management platforms, data sharing to minimize gaps and manage potential duplication.
- Where relevant/feasible, establish temporary technical working groups on specific themes (e.g. cash transfer assistance) and include national and international partners. This strategy will ensure coherence of approaches, joint planning and knowledge of who is doing what and where.
- Proactively coordinate with and leverage the networks of ministries/representatives of gender, youth, migrants, disability, informal workers, civil society, and humanitarian NGOs to enhance ownership and implementation capacity.
- Engage the private sector, financial institutions and donors, including potential funding of key coordination structures.

55. O'Brien et al. (2018)

Info Box 24: Joint Cash Platform: The Example of the British Virgin Islands

In the British Virgin Islands, a Joint Cash Platform (JCP) was developed by the British Virgin Islands Red Cross/British Red Cross and Catholic Relief Services/Caritas Antilles, in coordination with the Ministry of Health and Social Development and the Social Development Department (SDD), after Hurricane Irma and Maria. The platform was used to transfer over USD 3.2 million to 1,076 vulnerable hurricane-affected households between December 2017 and January 2018.

Collaboration with the SDD aimed to ensure an approach consistent with broader response planning and to strengthen government capacity and facilitate linkages with social safety nets. The JCP's collaborative approach, which built on the comparative advantages of its national and international partners, required coordination and the distribution of roles and responsibilities among actors. A memorandum of understanding (MoU) established roles between BVI Red Cross/BRC and Catholic Relief Services (CRS)/Caritas Antilles. Collaboration management including internal and external coordination, technical oversight, advocacy and reporting was done by Caritas Antilles.

The BVI Red Cross managed beneficiary management, including beneficiary communications, registration, data protection and management of the complaints, feedback and overall accountability to the community. The SDD played an important role in registering households, with helpful local understanding and access to vulnerable groups. Field presence of joint BVI Red Cross volunteers and SDD social workers increased acceptability, trust and the perception of a fair JCP registration and selection process. The SDD led the data collection through a Kobo mobile-based digital platform, facilitated by Caritas Antilles with strong remote support from the British Red Cross Information Management team. Community panels were endorsed beneficiary lists, which were validated by BVI Red Cross and approved by the SDD and BVI Red Cross. This segregation of duties increased transparency and accountability to partners. Data protection and data sharing clauses were included in the MoUs signed between JCP partners. However, while an informal agreement exists between BVI Red Cross and the SDD, a shortcoming of the JCP was the lack of an MoU or Data Sharing Agreement with the SDD. Nonetheless, the SDD abided by the same data protection protocols as the other JCP members.

To strengthen national capacities and facilitate the future transition of vulnerable households into the BVI safety net system, the JCP single registration database was handed over to the SDD, owner of the database and responsible for the welfare system and safety nets. In addition, the JCP cash expert was embedded as an SDD advisor to the government to support the development and rollout of a BVI Social Safety Net. Significantly, the SDD participation in the JCP also contributed to strengthening SDD social workers' skills and capacity, especially around areas of households' vulnerability, electronic data collection and community engagement.

The single cash delivery platform, the JCP bank account, was managed by the BVI Red Cross, building on an existing business relationship with the selected financial service provider (FSP). The bank provided an electronic payment system that enabled segregation of duties and authorisation levels. The BVI Red Cross also managed the payment planning and notification to beneficiaries in coordination with the FSP, and the final payment reconciliation.

The JCP can be seen as an effective model for learning from a small-scale collaboration in the context of an emergency response. National partners played an active role in decision making, setting up and managing the platform, which increased advocacy and implementation efficiency and strengthened linkages with safety net systems. The participation of the BVI Red Cross/British Red Cross and Catholic Relief Services/Caritas Antilles promoted a more inclusive response driven by humanitarian principles, with international partners providing humanitarian and cash technical expertise in addition to funding.

Source: British Red Cross, 2018

TARGETING

As discussed in Chapter 3, targeting aims to identify populations most in need to enable timely and adequate support. Targeting has two major activities: (i) determining selection criteria and processes to elicit required information (ii) identifying and selecting communities and people needing assistance. Ideally, preparedness measures will cover the first activity and, in some cases, the second by pre-determining and pre-targeting households based on vulnerabilities before a shock's impact and adding others as needed.

Social protection can play an important role in contributing to these activities. Routine social protection targeting approaches and their underlying systems – such as beneficiary databases and registration processes – can support the targeting of beneficiaries in a shock. Other available datasets from DRM agencies, ministries and other actors can also inform targeting.

Operational considerations

Targeting methods

Selecting people for support in a shock is both critical and challenging. When designing targeting approaches, it is essential to consider time, capacities and financial resources required. A successful targeting system minimizes the number of non-vulnerable households/individuals receiving assistance unintentionally (inclusion errors) and ensures that households/individuals needing help are not excluded (exclusion errors). In emergencies, particularly in early response stages, it is generally recognized that accepting inclusion errors is less harmful than risking excluding people who need assistance. Targeting can be refined when more information becomes available from assessments, monitoring and other information sources.

Common targeting methods include:

- **Geographic targeting:** involves selecting areas most impacted; where there are distinct differences in the levels of need of different groups in the targeted areas, a second stage of targeting is needed to identify households/individuals most in need.
- **Community-based targeting:** involves selecting households or beneficiaries using criteria developed with the participation of community members such as traditional or religious leaders; committees established to determine the eligibility for a programme; or local authorities.
- **Categorical targeting:** involves selecting/prioritizing individuals belonging to a certain social or demographic group (for example, the elderly, people with disabilities, women, children, disadvantaged ethnic groups).
- **Combining criteria and methods:** Often a combination of criteria and approaches is used, such as determining multiple eligibility criteria that are 'scored' together through application processes or household surveys (for example, whether a household has vulnerable members, whether the breadwinner lost their job, pre-shock income). Community leaders could be involved in validating the results of such processes or identifying people not selected but who have substantial needs.

Depending on the type of shock, a response programme might also use **means testing**, such as in the context of the COVID-19 pandemic. This method collects data and information on household income, verified by cross-checking the information against other databases if available (e.g. ministries/agencies' beneficiary registries) or by asking applicants to submit copies of records such as payrolls, utility bills or tax payments.

Typically, targeting combines various methodologies, which vary in practicality and effectiveness depending on the context and the objectives of a response. Relief assistance, particularly in the first days or weeks after a shock, is generally based on geographic or community-based targeting. Meanwhile, routine social assistance programmes are typically based on poverty or categorical targeting. Up to 100% of households in an affected area might need assistance, regardless of their categorical status or poverty ranking, though the poor are disproportionately affected by shocks. Ideally, preparedness measures will be in place to help target and identify those most in need of support rapidly and at scale. These measures may need a quick review or modification to ensure their appropriateness and relevance given the unfolding reality.

Key questions to inform targeting and prioritization in a shock[56]

- What are the objectives of the support: what kind of needs are you trying to meet, for whom, and what impact do you want to have?
- Are targeting tools and processes elaborated as part of SOPs or contingency plans? Do these need to be modified given the realities of the shock? Are pre-targeting efforts established to identify vulnerable households most likely to be impacted?
- What targeting methods do social assistance programmes currently use?
- What targeting criteria are likely to identify those most in need (e.g. loss of income, degree of destruction of home/assets, decreased food consumption, social vulnerability criteria – single-headed households, households with chronically ill or disabled, pregnant or breast-feeding members)?
- What targeting approach is acceptable and appropriate, both politically and for communities (community-based selection, house-to-house surveys, enrolment via offices/community centres, enrolment via hotlines, applications via websites)?
- What targeting approach is appropriate for the type of shock and stage of the response (initial response versus recovery stage)? For example, for short-term response, a blanket approach may be more appropriate (e.g. allowing for 'inclusion errors') and later, a more nuanced targeting strategy may be more desirable.
- What is affordable in terms of targeting method and the scale of support that can be provided?
- What approach will facilitate a timely response, especially for rapid-onset disasters?
- What targeting method is practical from the point of view of not overburdening administrative capacities?
- What communication needs to be in place to avoid confusion on application processes/targeting for routine social protection programmes and the assistance geared to the shock?

56. Drawn from O'Brien et al. (2018) 'Shock-Responsive Social Protection Systems Toolkit Appraising the use of social protection in addressing large-scale shocks'; O'Brien et al. (2018a) 'Shock-Responsive Social Protection Systems research: Synthesis report', OPM, Oxford, UK.

Tips for targeting

- Consider targeting those already benefiting from poverty- and vulnerability-targeted social protection programmes and leverage these programmes to increase the value or duration of benefits to existing beneficiaries. This approach would involve using the targeting mechanisms and beneficiary databases of regular programmes to support all beneficiaries living in affected areas (or a sub-set of existing beneficiary groups), which is very effective in the first days or weeks from a shock.
- Identify any pre-determined beneficiary selection processes, ways to leverage social registries (if they exist), PMT exercises or other data collection efforts to use quickly to identify poor and vulnerable populations.
- Cross-check information relating to shock-affected areas and characteristics of impacted populations against existing social protection programmes' eligibility criteria/coverage.
- Consider leveraging other datasets for targeting, such as those of other governments' programmes and civil registries.
- Consider context-specific pros and cons for different targeting methods, the costs associated with each and outline actions to offset anticipated costs.
- Use multi-sector targeting criteria that capture different impacted groups, with special considerations for those more vulnerable to impacts (for example, the disabled, elderly, displaced, households with children, women facing an increased care burden).
- Keep in mind that it may be easier to create a new targeting tool tailored to the specific realities of the shock than modify existing ones, the key point is to use a transparent process geared towards identifying those most in need.
- Consider potential coverage gaps and how to fill these through other complementary measures and services.
- Once there is an opportunity to reflect, identify lessons learned to inform targeting preparedness measures for the future.

Resource Box

SPaN Operational note 2: Targeting (Dodlova, 2019)

>> This operational note on targeting of social protection across the humanitarian-development nexus includes a description of targeting' mechanisms, costs, exclusion and inclusion errors and other challenges to improve the accuracy of beneficiary selection. https://europa.eu/capacity4dev/sp-nexus/documents/span-2019-operational-note-2-targeting

Targeting of Assistance to Meet Basic Needs, Joint Guidance (UNHCR/WFP)

>> This note gives guidelines for targeting as a nine -step process within the programme management cycle. For guidance on selecting the targeting methodology and defining eligibility criteria, see pp. 30-46. https://docs.wfp.org/api/documents/WFP-0000113729/download/

DETERMINING THE DESIGN OF BENEFITS

There are varied ways to support people after a shock, and multiple measures and programmes are usually required to meet diverse needs. A common way to assist people is by providing cash transfers, vouchers or in-kind assistance to address essential needs. The amount and type of assistance provided to populations impacted by shocks and its timing, frequency and duration influence how effective the assistance is in supporting people's well-being. Therefore, it is therefore essential that these parameters are well designed and adapted to the impacts of shocks.

Central to benefits design should be an analysis of needs and the capacities of impacted people's own to meet these; people's preferences and livelihoods; available resources; and the support provided through other assistance programmes. Designing support without understanding needs and gaps and uncoordinated with other assistance efforts, risks missing opportunities for an effective response. Much of this analysis (as discussed in Chapter 3 on preparedness) can happen before shocks to be 'at the ready' with possible design scenarios (for example, appropriate ration content, benefit values based on poverty/indigence lines and potential shock impacts).

Cash transfers are commonly provided through social assistance programmes and shock-responsive measures. This section focuses primarily on the design options for cash transfers that leverage social protection systems and programmes. It guides potential adjustments and adaptations to ensure that new or existing social protection programmes can best meet the needs of impacted populations.

Operational considerations

Types of assistance

It is helpful to consider the range of support often provided in a shock. This support can be in-kind assistance, cash, vouchers, or a combination of these. Similar modalities are also part of regular social protection programmes such as cash transfers to people living in poverty and other vulnerable groups, food baskets and school feeding programmes. Services might also be provided, such as social care, which is often within the remit of social development ministries. Common forms of support include:

- **In-Kind assistance:** commodities, such as food, shelter materials, kitchen supplies, hygiene items, distributed to people in need; these commodities may be procured by governments or donated.
- **Cash transfers:** monetary assistance in the form of physical cash or electronic disbursements (e.g. deposits to a bank account/credit union, mobile money).
- **Vouchers:** a paper voucher or electronic card with a set value redeemable for items from pre-selected stores or merchants.
- **Services:** services such as psychosocial support, health and childcare, education, livelihoods support and measures to promote employment.
- **Subsidies:** a direct or indirect payment; in response to COVID-19, some governments in the Caribbean provided subsidies for utilities.
- **Waivers:** waiving a fee for a service (e.g. for health visits); in the Caribbean some governments also waived certain tax contributions for businesses in exchange for the business continuing to employ people during the COVID-19 pandemic.

Cash transfer programmes are often well placed to provide support in emergencies and have been used often in social protection responses in the Caribbean for several reasons.

- Cash transfers are recognized to have positive benefits for households beyond the reduction of poverty and inequality, including the enhancement of empowerment and dignity, and the promotion of social rights.[57]

- Even though most flagship cash transfer programmes in Caribbean countries have low coverage, they are expected to grow and become stronger due to investments.

- Compared to in-kind assistance, cash transfers can be administratively and logistically easier; they usually cost less to deliver, support local economies and allow beneficiaries to purchase what they most need.[58]

Design parameters for emergency cash transfers through social protection

Although regular social protection cash transfer programmes have established design parameters – such as benefits' value, duration, timing and frequency – these parameters are likely to need

modifications to address shocks and their resulting needs. Establishing new temporary programmes that leverage existing social protection systems and capacities specifically for the response might be necessary. (Designing new programmes – rather than expanding existing ones – can avoid confusion about a programme's purpose or mitigate expectations that the support will be long-term.) Governments and implementers should consider the following guidelines when reviewing or adapting the design features of existing programmes to respond to shocks or setting up new cash assistance programmes through the social protection sector.

57. See Beazley at al. (2019) for a brief summary of the benefits of cash transfers and Bastagli et al. (2016) for a comprehensive review of evidence.
58. See Bailey and Harvey (2015) for a summary of evidence on cash transfers in emergencies.

Establishing the value[59]

Where potential cash transfer values have been established as part of preparedness processes and SOPs, a first step is to verify if these calculations hold or whether they need adjusting for the context resulting from the shock. If not (or even if so), it is useful to consider how the values of existing programmes compare to what is likely required. On average, the value of regular social assistance cash transfers ranges between 10–40% of an individual or household's needs for the month. Following a shock, there will need to be adjustments to meet increased needs. It is difficult to generalize people's needs after a shock or disaster, but people may require anywhere between 65–100% of their monthly needs to be met. In response to COVID-19, average transfer values provided through the expansion, adaptation or establishment of new social protection programmes almost doubled compared to pre-COVID-19 levels of regular programmes.[60] With finite resources, there will be tensions between how much to provide to each person and how many people to assist. However, it is still best to start from the standpoint of people's needs.

The Minimum Expenditure Basket (MEB) is one of the most common ways to determine the value of cash- and voucher-based assistance for crisis-response and is a logical starting point for calculating transfer values for shock-responsive social protection. The MEB defines what an average household requires to meet their essential needs and its cost. It is a monetary threshold – the cost of goods, utilities, services and resources – and is conceptually equivalent to a poverty line. It typically describes the cost of meeting one month's worth of essential needs, thus putting a price on the minimum cost of living. The MEB is often built using expenditure data, which can be drawn from national poverty assessments or other types of household surveys. Ideally, an up-to-date MEB will be readily available through a recent poverty assessment or calculations done as part of preparedness measures. If not, the following are helpful ways forward:

- Use the national MEB or MEB reference basket. If survey data is not available, the national poverty line can be used as a reference to begin the development of the MEB.
- In its most basic form, an MEB only requires an approximate value for the food basket using local prices and an estimate of the average expenditure share that households use on food and non-food items.
- Consider using the minimum wage as a proxy. Remember that while the MEB captures household-level needs, the minimum wage is individual-level income so you will need to assess how many minimum wages are needed per household depending on the household size.
- Try to verify changes in prices since the last MEB was calculated or because of the shock.

The MEB is a starting point, not the end point of calculating cash transfer values. It is important to consider whether people are facing other impacts that the assistance should support, such as helping them replace assets lost in a hurricane or seeing them through a financial shock. Finally, the shock is likely to set back social protection goals of reducing poverty and may be an opportunity to revisit the adequacy of transfer values of routine programming.

Adjusting to household size[61]

When determining a cash transfer value, it is essential to consider how to adapt it to different household sizes, which is common among social assistance programmes in the Caribbean. Typically, household needs correspond proportionally to size: if one person requires 15 dollars to cover needs, two people require 30, three 45 etc. In other words, the needs of one person can simply be multiplied with household size. Often though, needs do not simply multiply by household size. For example, when there are economies of scale in household consumption – i.e., when households get bigger, they can share certain

59. This section is from WFP's guidance note on Minimum Expenditure Baskets (2020). A short online course on how to get started with constructing a MEB is available at: https://vam.wfp.org/sites/e-learning/meb-en/index.html#/
60. Gentilini et al., World Bank, 2020
61. This section is from WFP's Interim Guidance Note on Setting the transfer value for CBT interventions (2020)

costs among more people. For instance, rent or electricity costs are typically shared within the household and do not increase by the number of individuals.

Therefore, when adapting the cash transfer value to various sizes of households, it is important to start from an understanding of how needs may evolve and increase within the household. Note also that household needs do not only depend on household size, but also household composition, including age and gender composition of household members, and whether any members have chronic illnesses or disabilities, needs linked to pregnancy and/or lactation. While it may be practically challenging to differentiate and implement a cash transfer value by household size and composition, it's important to recognize these different needs in the design of response and recovery programmes. If possible, programmes should link to existing services to cater for these needs.

The table below illustrates two of the most common approaches and their advantages and disadvantages for adapting transfer values to household sizes.

Table 5: Cash Transfers Values Adaptation Approaches

Transfer Value Approach	Advantages	Disadvantages
Adjusted according to household size Eligible household receives allowances calculated and adjusted based on the number of persons in the household	Promotes equity and fairness as it considers the specific needs of each household's member. More indicated where assistance is intended to meet basic needs (e.g. food) as they are related to household size. A minimum can be established for all + based on additional criteria (dependency ratio/ # person in household/level of vulnerability) increase amounts (small 1–3; medium 4–6, large 7+). Data collected to implement can help develop a risk/ vulnerability-informed beneficiary database with useful operational information. Easy to communicate to beneficiaries how their transfer is calculated.	May underestimate the needs of smaller households or conversely overestimate needs for very large households. Administratively more complex (lengthier registration and verification process). Information on household size not always available and/or reliable.
Flat rate transfer Eligible households all receive the same transfer value regardless of size, based on an average-sized household.	Administratively simpler and therefore potentially increases the speed of transfers. Low administrative burden when all households receive the same amount. Households do not have an incentive to miscommunicate their household size.	May overlook differences in needs by household sizes. A 'crude' approach often adopted for the sake of ease more than accuracy. May not adequately meet needs in larger households/may give small households more than needed. Could provide an incentive for households to split up to gain access to more grants.

Source: Adapted from the Interim Guidance Note on Setting the transfer value for CBT interventions (WFP, 2020)

Frequency and duration[62]

Cash transfers through social assistance are delivered based on defined timelines, often with annual or multi-annual budgets. Social assistance programmes in the Caribbean tend to deliver transfers to clients monthly. The frequency and duration stem from the programme's general goals, such as consumption smoothing (providing less over a longer period to help households plan expenditure consistently) and supporting children to attend school. Meanwhile, a shock changes immediate needs and priorities, especially if people quickly lose income and assets. For these reasons, cash transfers in response to disasters are typically for a shorter duration with higher value transfers. However, though the impacts of economic shocks (including the 2008 financial crisis and the economic fallout of the COVID-19 pandemic) tend to be drawn out with a less clear start and end point.

The following questions should help guide discussion on the frequency of transfers:

- Are SOPs or contingency measures established that stipulate the frequency of transfers? If so, do the assumptions hold given the realities of the shock and other factors (e.g. over budget)?
- If not (see above question), are there previous experiences or lessons to consider?
- For how long will the support be provided?
- Are there security risks for beneficiaries with either more frequent or less frequent transfers?
- Are there any seasonal needs that a specific frequency of transfer would support?
- Does the transfer mechanism/payment instrument allow for partial withdrawals and savings?
- Are there any protection and gender risks that may arise from higher but less-frequent transfers or from lower but more frequent transfers?
- Can beneficiaries purchase as they normally would with one-off transfers (i.e., vouchers that can only be redeemed once)? How will their purchasing power be affected?
- How will size and frequency of transfer value influence beneficiaries' purchasing options throughout the transfer (e.g. a larger transfer might enable purchasing assets)?
- What frequency would beneficiaries prefer?

Tips on frequency and duration

- When assistance is delivered through or linked with the social protection system, it is simplest to follow the regular payment cycle for social assistance. If these payments are not frequent enough to get emergency assistance out quickly, they may need to be temporarily adjusted (a design tweak). It is important to ensure that there is capacity within the payment system to handle this change in frequency.
- In exceptional cases, consider whether to consolidate payments into fewer, less frequent payments (e.g. to reduce disease transmission risk, enable people to purchase assets that they have lost).

62. This section is adapted from WFP's Interim Guidance Note on Setting the transfer value for CBT interventions (2020).

Info Box 25: Calculating In-Kind Food Ration

In the immediate response following a shock, when people are cut off from their regular food sources and cannot access enough food to meet their needs, the distribution of in-kind assistance can temporarily help fill that gap. In-kind assistance involves the distribution of a selection of foods (in-kind food ration) chosen to prevent malnutrition and meet the energy needs of affected populations. Assistance can be short term and include a phase-out strategy that allows discontinuation as soon as communities re-establish their self-reliance or can be helped through other measures such as cash and voucher assistance.

Main features and considerations of dry food rations:

- Mix of food commodities.
- Ration complements or meets total households' nutritional needs.
- Rations are distributed at regular intervals.
- Households need to have access to utensils to cook the food.
- Special attention may be needed to ensure that a food ration is adequate to address the nutritional needs of all population groups (e.g. by providing extra calories to pregnant and lactating women).

Ration size: sample ranges are in gr/per person/per day:

- Cereal: 350–400
- Pulses: 80–170
- Vegetable oil: 25–35
- Salt: 5
- Canned food (meat, fish): 60–90

Recommended nutritional values:

- 2,100 kcal/per person/per day is the average reference for your ration if your target population is 100% dependent on food assistance.
- 60–70% of the total kcal is generally provided by cereals.
- 10–12% of the energy should be supplied from protein.
- 17%: of the energy should be supplied from fat.
- NutVal (version 4.1) is a handy tool to plan and calculate food rations, including nutritional considerations and monitoring.

https://www.fsnnetwork.org/resource/nutval-40

Source: Emergency Field Operations Manual (WFP, 2020)

Resource Box

WFP's Cash and Voucher Manual (second edition, 2014)

>> WFP's corporate manual for the operationalization of cash-based assistance in emergency contexts (third edition currently under finalisation).
https://www.wfp.org/publications/cash-and-vouchers-manual-second-edition-2014

Setting the transfer value for CBT interventions Transfer Value Interim Guidance (WFP, 2020)

>> This guidance note explains the basic steps for determining a transfer value.
https://docs.wfp.org/api/documents/WFP-0000117963/download/

Cash transfer programming in emergencies (ODI, 2011)

>>This comprehensive analysis of good practice in cash transfer programming includes guidance on determining cash transfer value and duration, pp.49-56.
https://odihpn.org/wp-content/uploads/2011/06/gpr11.pdf

Operational guidance and toolkit for multipurpose grants (UNHCR, CaLP, DRC, OCHA, Oxfam, Save the Children, WFP 2015)

>>This operational guidance includes tools to design and implement multipurpose cash grants.
https://www.calpnetwork.org/wp-content/uploads/2020/01/operational-guidance-and-toolkit-for-multipurpose-cash-grants-web.pdf

Guidelines for cash transfer programming (ICRC and IFRC, 2007)

>>These guidelines are for all aspects of the programme cycle, from assessment, design, implementation, to M&E. They can be used following a rapid assessment and to support programmes at any point of the disaster risk management cycle.
https://www.icrc.org/en/doc/assets/files/other/icrc_002_mouvement-guidelines.pdf

Essential Needs Assessment Guidance Note (WFP, 2020)

>> This guidance and video series looks at how to plan and conduct an essential needs assessment and on how to use results to inform programmatic decision making.
https://docs.wfp.org/api/documents/WFP-0000074197/download/
https://www.youtube.com/playlist?list=PL8cWCDtpL0sW0BVq2UryRxioc0m6fhbUJ

Minimum Expenditure Baskets Guidance Note (WFP, 2020)

>> This guidance (1hr) online course look at how to construct a minimum expenditure basket and
https://docs.wfp.org/api/documents/WFP-0000122438/download/
https://vam.wfp.org/sites/e-learning/meb-en/index.html#/

Supply Assessment of Goods and Services for Essential Needs. Interim guidance note (WFP, 2018)

>> This guidance tool presents necessary methodological tools to perform a supply assessment.
https://docs.wfp.org/api/documents/WFP-0000074196/download/

Maximizing Social Protection's Contribution to Human Capital Development (WFP, 2020)

>> This Fill the Nutrient Gap analysis estimates transfer size gaps and provides evidence to maximize the impact of social protection programmes on food and nutrition.
https://docs.wfp.org/api/documents/WFP-0000113930/download/#:~:text=Based on FNG evidence and,for optimal nutrition and health.

LINKAGES AND COMPLEMENTARY SERVICES

Different social protection programmes serve different objectives and groups of the population and protect against different risks. Integrating and addressing gaps in programmes and services could help better support people's well-being after a shock and resilience for future shocks. One opportunity is linking people to existing social protection services and programmes through referral processes. Another is creating new services and programmes as part of a comprehensive approach to address people's wide-ranging needs after a shock. However, there are inevitably trade-offs between the comprehensiveness of support and its coverage.

Operational considerations

Large-scale shocks can impact social protection service provision because they result in more people needing services and support. These needs can test social protection systems (around fixed budgets, quotas and staff capacity) and affect business continuity (staff being unable to work; diversion of social protection funds to other sectors; damage payment infrastructure; clients displacing). While good contingency planning and clear division of roles and responsibilities are essential,[63] these aspects may not be in place or the reality of the shock and its impacts may not have been easily predicted, as was the case of COVID-19.

Strategies for linkages and complementary services in the response phase

- Link social protection beneficiaries to complementary services (for example, health insurance, social services, psychosocial support, child protection services). These can be particularly disrupted post-disaster. Look at how to use existing information systems to facilitate these connections.
- Provide or link regular social protection programmes to information and messaging around disaster risk, childcare, grievance referral, nutrition, or other essential information needed in an emergency, especially as part of distributions.
- Link to nutrition services for acute and sensitive needs (for example, referral to clinics; targeted support by a specialised provider; or to more general programmes such as school feeding.
- As part of the recovery phase, link to existing (or develop where they do not exist) productive inclusion interventions (for example, skills and micro -entrepreneurship training; saving groups; productive grants; value chains and markets; financial education; mentoring; behavioural and life skills). Pay particular attention to the obstacles women face given their specific burdens as a result of shocks.
- Link to social behavioural change and communication measures.

63. O'Brien, 2020

Info Box 26: Supporting Recovery and Addressing Vulnerability in the Longer-Term

Social protection support to address the acute impacts of disasters and shocks may be extended, adapted or phased out as the situation transitions towards recovery, depending on how people's needs and challenges evolve. At the same time, poverty and underlying vulnerabilities may be exacerbated by the shock. There are three key potential roles for social protection to support people to recover and ideally to advance, so that they are not simply recovering back into poverty or worse off than before. These include:

Referrals to other services – Scaled up or new responses through social protection could be an entry point for accessing the overall national public support system by linking people to different government programmes and services to support them as they try to recover. These could include economic support programmes, such as livelihood assistance, skills development and job search support, as well as programmes promoting financial inclusion, access to housing, women's empowerment and many others. In Jamaica, for example, the case management mechanism implemented by the Ministry of Labour and Social Security enables social workers to provide psychosocial support, identify households at risk and refer them to the relevant services. While robust information systems with high levels of interoperability or integration would enable social protection to play this role more effectively, more basic measures can be established in the meantime. These should be facilitated and enabled through referral processes among different programmes, and if needed, memoranda of understanding between relevant government agencies.

Family accompaniment strategies – Social protection programmes, particularly cash transfers, sometimes have components to provide psychosocial support to families and address the different challenges that women may be facing. In Belize for example, BOOST+ provides complementary services to some families receiving assistance through BOOST. In the event of a shock, these social protection services could be leveraged / extended to affected populations, if the capacity is in place, or families could be referred to relevant agencies providing these services.

Productive and resilience strategies – Social protection programmes can focus on enhancing the productive capacity of their beneficiaries and improving their resilience to future shocks through a range of different strategies, including enabling access to micro-insurance and other financial services, as well as livelihood and agricultural training and inputs. For example, in Jamaica, the Steps-to-Work programme engages working-age members of the PATH cash transfer programme voluntarily, in initiatives to build human capital and strengthen resilience. These initiatives include job readiness, skills training, competencies building, job matching and business development.

Source: Shock-Responsive Social Protection in the Caribbean – Synthesis Report (OPM/WFP, 2020)

Resource Box

Inter-Agency Referral Form and Guidance Note (IASC, 2017)

>> Inter-Agency Referral Guidance Note on Mental Health and Psychosocial Support in Emergency Settings and template referral forms. https://interagencystandingcommittee.org/system/files/1866_psc_iasc_ref_guidance_t2_digital.pdf

IOM Guidance on Referral Mechanisms for the Protection and Assistance of Migrants Vulnerable to Violence, Exploitation and Abuse and Victims of Trafficking (IOM, 2019)

>> Overview and guidance on developing referral mechanisms.
https://publications.iom.int/system/files/pdf/iom_guidance_on_referral.pdf

OUTREACH AND COMMUNICATION[64]

Clear and consistent outreach and communication are vital to inform people about social protection response programmes (e.g. targeting criteria, type of assistance, how to apply) and how to access benefits (e.g. time and place of distribution). Messaging around programmes and services should promote understanding, awareness and the ability to engage.[65] Information campaigns should start before programme rollout and be maintained throughout their implementation. Communication should always be a two-way channel: providing critical project information to those receiving support and other stakeholders and also listening to and addressing the questions and concerns of this diverse audience (see section on feedback mechanisms).

Operational considerations

Both implementers and beneficiaries need to know which programmes will provide which benefits for how long and why, especially if (as is often the case) there are diversions from previous arrangements. This communication needs applies when adapting routine social protection programmes, creating new temporary programmes and involving new implementing partners. Because needs almost always exceed resources, not everyone can benefit from a programme, so it is important to have clear information and messaging on who is and is not eligible.

When it comes to outreach and communication, both DRM and social protection partners have their comparative advantage. Either may have a good presence and community engagement in areas affected by a shock and well-tested channels and arrangements to disseminate information. Partners such as NGOs, faith-based organizations and the Red Cross may also be well-placed to conduct outreach following disasters or in hard-to-reach areas, especially when response efforts overburden social protection staff. Using multiple communication channels helps to ensure that an outreach campaign has maximum impact. Establishing multiple channels might include a dedicated webpage with Frequently Asked Questions updated as the registration and programme unfold; SMS and public information announcements broadcast at regular intervals; and different types of messaging adapted to online, social media and printed platforms.

When formulating an outreach/communication campaign, some useful considerations include:

- the intended audience (considering age, gender, diversity issues and languages)
- the goals and expected outcomes of the communication and how to best ensure it is two-way and enables feedback from beneficiaries
- how social workers typically communicate and pass information to their clients
- available resources (people, time, money, tools)
- identifying actors who may need to be involved in the campaign, including platform/mechanisms/ technology (e.g. government public information systems, community notice board, community leaders for focus group discussions, mobile networks, radio stations, media)

64. This section builds on WFP's Cash and Voucher Manual (2014) and WFP's Accountability to Affected Populations Manual (2017).
65. Sourcebook on the Foundations of Social Protection Delivery Systems (World Bank, 2020)

Tips for effective outreach and communication

- Consult with communities to determine the most accessible and safe methods of communication preferred by different segments of the population.
- Look at outreach channels being used as part of broader response efforts (e.g. by other government agencies) and piggyback on these where appropriate.
- Explore how to disseminate messages through different media, including flyers, community councils, TV ads, radio, webpages, social media and mobile phone (e.g. WhatsApp or text messages) and design strategy including frequency of messaging and costs
- Tailor messages to best fit each medium (e.g. short texts for mobile messages with a link to a website for more information; radio messages in multiple languages to reach the widest audience possible; Frequently Asked Questions on a webpage).
- Where possible and appropriate, develop messaging on other issues of importance (for instance, messaging on child-care practices and other services).

Info Box 27: Checklist - information to Provide to People Receiving Emergency Support Through Social Protection

- ☑ Name and objective of the programme, ministry/ entity administering the programme and how it complements other government-led initiatives
- ☑ Qualifying conditions or requirements (e.g. supporting documentation) to receive the support
- ☑ That the programme is different to routine social protection programmes
- ☑ Information on the registration procedure to apply for the programme
- ☑ The support that will be provided (e.g. the amount of financial assistance), for how long and how frequently
- ☑ How they receive the support (e.g. delivery mechanism, location, procedure, any identification/authentication criteria)
- ☑ Dates that payments/distributions will be made
- ☑ How to receive training or help if the delivery mechanism is unfamiliar
- ☑ Who can collect the benefits and what to do if the registered person is unable to receive/collect them
- ☑ What to do if there are problems and who to contact
- ☑ How to report grievances, abuse or fraud
- ☑ Any monitoring or follow-up that may occur

Resource Box

Collective Communication and Community Engagement in humanitarian action (CDAC Network 2019)

>> This guide looks at practices to support an active role for communities in humanitarian services and decision-making, improve access to information and keep people connected to support their own ways of coping. http://www.cdacnetwork.org/contentAsset/raw-data/cca52f57-4f06-4237-9c18-37b9e8e21a18/attachedFile2

Communicating Cash: A field guide to beneficiary communications in cash transfer programming (CaLP, 2011)

https://www.calpnetwork.org/wp-content/uploads/2020/03/calp_communicating_cash_to_communities-1.pdf

REGISTRATION AND ENROLMENT

Registration and enrolment are critical to reach people with support. Registration is a systematic method of collecting and recording data and information on individuals and households applying for a programme. Enrolment is the inclusion into a programme of a household or individual, whose data has been captured through the registration process. Both processes are crucial elements of the building blocks of routine social protection systems and programmes (see Chapter 2).

Registration and enrolment after a shock is intended to:

- facilitate effective targeting
- reduce the risk of duplication/exclusion
- capture the required information to operationalize and implement a programme (e.g. national ID numbers if available, telephone numbers, household composition).

The data collected through registration and enrolment enables the delivery of assistance (e.g. payments), monitoring and resource management. Registrations can take place at the community/neighbourhood level, through social protection registration points or other local government entities. They can be conducted through phone calls, web forms, in-person or a combination of these. They can also be ongoing, cyclical or established as a one-off exercise over a specific time. In all cases, registration should protect the privacy and confidentiality of beneficiary data.

This section focuses on the registration of new beneficiaries, who are not already part of social protection programmes and existing beneficiary databases.

Operational considerations

Registration for shock-responsive social protection

Deciding what type of registration should take place depends on the systems and options in place. In the Caribbean, there are more and more experiences with shock-responsive social protection and therefore of developing new or adapting existing registration forms and processes. In some cases, there have been bottlenecks because of a surge in applications (for example, governments needing to process large volumes of paper applications) or having to verify complicated documentation requirements (for example, self-employed persons or informal sector works proving that they are eligible for financial support). Many of these potential obstacles could be mitigated through preparedness measures. Registration and targeting processes involve collecting personal data to determine eligibility and operational data to onboard applicants into a programme, if they qualify, and to provide assistance. In some instances, however, governments collect operational data or sensitive data (e.g. bank accounts) only after people have been selected.

Steps to consider when enrolling people for support through social protection measures include:

- review existing registration and enrolment procedures and adapt them as needed to the current situation
- simplify registration forms, documentation requirements and/or introduce simplified verification/identification processes for existing programmes
- where possible, use digital registration tools (e.g. web forms, mobile phones/tablets) to collect and process data[66]
- tailor access to registration processes for vulnerable groups, including engaging local NGOs and other service providers if needed
- increase government registration capacities by establishing new registration centres, recruiting additional staff or using support from other partners, entities and volunteers.

66. If the government does not already have readily adaptable digital data collection tools in place, multiple tools are available to collect and analyse data, such as KoBo, Open Data Kit (ODK) and ONA.

Considerations when collecting beneficiary data

Governments have legislation, standards and practices, under which the collection of new data would fall. However, there are often gaps in data protection and privacy, and this is an opportunity to consider data protection and privacy. Principles to consider include: [67]

- **Lawful and fair collection:** Personal data should be obtained by lawful and fair means with the knowledge or consent of the data subject.
- **Specified and legitimate purpose:** The purpose(s) for which personal data are collected and processed should be specified and legitimate and be made known to the data subject at the time of collection.
- **Data quality:** Personal data sought and obtained should be adequate, relevant and not excessive in relation to the specified purpose(s) of data collection and data processing.
- **Informed consent:** Consent should be obtained from the data subject at the time of collection.
- **Transfer to third parties:** Personal data should only be transferred to third parties with the explicit consent of the data subject, for a specified purpose, and under the guarantee of adequate safeguards.
- **Confidentiality:** Confidentiality of personal data must be respected and applied at all stages of data collection, storage and processing, and should be guaranteed in writing.
- **Access and transparency:** Data subjects should be given an opportunity to verify their personal data and should be provided with access to this data in so far as it does not frustrate the specified purpose(s) for which personal data are collected and processed.
- **Data security:** Personal data must be kept secure, both technically and organizationally, and should be protected by reasonable and appropriate measures against unauthorized modification, tampering, unlawful destruction, accidental loss, improper disclosure or undue transfer.

Tips on data privacy

- Be transparent about how data the government will use data and if anyone else will have access.
- Handle personal data in ways that the individual concerned would reasonably expect.
- Ensure that personal data protection and privacy guidelines and protocols, particularly on sharing information with other ministries and partners, are followed.
- Give the individuals concerned appropriate information. At a minimum, this should be the identity and mandate of the entities collecting data; the type of personal data being collected; the specific purpose of collecting data; who the data will be shared with; people' s right to request that their data is updated, modified, corrected or erased and how this right can be exercised; the right to refuse to provide the information, or to withdraw the consent at a later point in time.

67. This section is from WFP's Cash and Voucher Manual (2014)

Info Box 28: Registration and Enrolment of Social Protection Beneficiaries Following Shocks

In **Dominica**, in response to the impacts of the COVID -19 pandemic, the Government launched the COVID-19 Social Cash Transfer to assist vulnerable and impacted households previously not benefitting from other support. With assistance from WFP, the Government launched a country-wide registration process accompanied by communication materials to identify persons in need of support. A digital questionnaire was administered at the registration sites and over the phone, which collected information on household composition, disabilities, impacts by COVID-19 and other relevant details. A verification process involving community leaders verified the information submitted by applicants. The software KoBo was used to identify and rank eligible households based on defined eligibility criteria.

In the **British Virgin Islands**, the Government and its partners developed the Joint Cash Platform following Hurricane Irma and Maria to assist over 1,000 families. Teams from the Social Development Department and British Virgin Islands Red Cross jointly carried out registration, which increased acceptability, trust and the perception of a fair registration and selection process, especially among the most vulnerable population groups and the non-citizens. The Social Development Department led the data collection using a Kobo mobile-based digital platform (offline owing to lack of internet connectivity). The data was then fed into the Joint Cash Platform single beneficiary registration database managed by the British Virgin Islands Red Cross and Caritas Antilles. Beneficiary lists were endorsed by community panels, validated by the Red Cross and approved by Social Development Department and the Red Cross. The Joint Cash Platform registration database was subsequently handed over to the Social Development Department to facilitate the future transition of vulnerable households into existing safety nets. The Social Development Department's engagement in the Joint Cash Platform contributed to strengthening social workers' skills and capacity, especially on electronic data collection and community engagement.

Source: OPM/WFP, 2020; British Virgin Islands Joint Cash Platform evaluation (British Red Cross, 2018).

Resource Box

Identification and registration of beneficiaries for SP-responses in the wake of COVID-19: challenges and opportunities (Bergthaller, 2020)

>> Presentation of registration approaches; guidance on how governments can quickly collect and process key information about potential beneficiaries; and technology solutions to support identification and registration processes in times of social distancing. https://socialprotection.org/discover/blog/identification-and-registration-beneficiaries-sp-responses-wake-covid-19-challenges

Registration and Data Protection (CaLP, 2021)

>> Overview of key actions with links to guidelines and tools. https://www.calpnetwork.org/toolset/registration-and-data-protection/

Protecting Beneficiary Privacy (CaLP, 2013)

>>Principles and operational standards for the secure use of personal data in cash and e-transfer programmes. https://www.calpnetwork.org/publication/protecting-beneficiary-privacy-principles-and-operational-standards-for-the-secure-use-of-personal-data-in-cash-and-e-transfer-programmes/

Data management resources (International Red Cross and Red Crescent Movement, 2017)

>> A variety of spreadsheet tools for mobile data collection with open-source software ODK (including pre-configured beneficiary registration for) with instructions guide on mobile data collection. https://rcmcash.org/datamanagement/

DELIVERING BENEFITS

Providing support through social protection after a shock usually entails getting resources to people. Delivery mechanisms are the means by which people access their benefits. Mechanisms range from government offices providing cheques, cash in an envelope and paper vouchers to redeem at stores, to technologically supported systems such as bank transfers, smart cards and mobile money (which as of 2021 remains nascent in much of the Caribbean).

Experiences in the Caribbean show that electronic cash payments can be expanded during an emergency and offer advantages related to transparency and accountability. However, these systems need to be in place before the shock, and their speed depends on how quickly new people can be onboarded if needed (e.g. registering or opening bank accounts). Disasters can disrupt or damage the infrastructure for delivery (causing an absence of electricity, lack of liquidity, etc.) – meaning contingency planning will always be needed and manual cash payments will often have a role to play, especially if they are already used to pay beneficiaries.

Preparedness measures can very much help address potential obstacles to delivery processes in a shock, especially if they can tackle the more cumbersome aspects of payroll and payment processes. Whatever the system, it is crucial to ensure that payment processes are convenient, inclusive, accessible and safe.

Operational considerations

Decisions around whether to leverage social protection delivery mechanisms to provide support after a shock, should be evaluated against:

- the impact of shocks on infrastructure, service provision and systems (including how it may have affected the routine delivery of social protection benefits),
- project objectives
- the features of alternative payment modalities.

It is important to review any contingency plans and measures on how to use and/or modify payment processes in a shock to see if their assumptions hold and whether their recommendations and steps are still valid. Delivery strategies should also consider which mechanism is most convenient, timely, secure and accessible for beneficiaries, as well as less subject to fraud and error.[68]

If not prepared for in advance, enrolling new recipients into payment processes can take time to mobilize and complete. Enrolment can be particularly challenging if the process requires people without bank or credit union account to open them. While bank and credit union account ownership is relatively high in most Caribbean countries, it is far from universal, especially among poorer persons. Payment instruments requiring a bank/credit union account can certainly be considered in later response and recovery stages with specific provisions for vulnerable groups who may have low financial inclusion, lack a form of identification or other supporting documentation to enable access.

68. Adaptive Social Protection: Building Resilience to Shocks (World Bank, 2020)

The checklist below provides a series of inputs when considering which delivery mechanism to use/leverage to respond to shocks:

Table 6: Checklist for Delivery Mechanism Selection

☑ Delivery mechanisms used by existing programmes
☑ Any impacts owing to the shock
☑ What people have access to and prefer
☑ Any implications for time required to enrol people
☑ Any ID requirements (e.g. for collecting/receiving payments)
☑ Any implications on the time required to reach people with support (e.g. if credit unions or others may have delays or time required to process payments)
☑ Whether there are opportunities to promote financial inclusion (e.g. through beneficiary owned accounts, especially for women)

Tips for delivering benefits in the response phase[69]

- Determine whether the delivery/payment system used by the existing social assistance programme has been impacted by the shock.
- Check with those involved whether there were any issues or obstacles with delivering benefits if programmes were previously scaled up.
- Consider a delivery or payment approach with multiple options to allow for impacts to infrastructure, systems and ease of access for beneficiaries (for example, letting people choose whether to receive payments via bank accounts or pick up from government offices/collectors).
- Support payment providers to overcome barriers and make payment processes accessible to new beneficiaries (especially vulnerable groups and women) – for example, 'doorstep' pay-out points, increasing payment points, reducing or waiving service fees and supporting documentation to open an account.
- If identify cards are required for a payment delivery mechanism, ensure an alternate process for those who lost or do not have ID cards (e.g. nominating someone to receive their transfer).
- Verify reporting requirements as early as possible for financial resources provided to governments through international donors, IFIs, UN agencies or NGOs.
- Ensure processes of reconciliation and reporting run efficiently so as not to hold up payments.
- Spot check payment providers or distribution points to identify any problems people are facing accessing benefits.
- Adaptive Social Protection: Building Resilience to Shocks (World Bank, 2020)
- Some of the strategies outlined in this section are drawn from the SPACE Guidance on options for rapid delivery of cash transfers for COVID-19 responses and beyond (Beazley et al., 2020)

69. Some of the strategies outlined in this section are drawn from the SPACE Guidance on options for rapid delivery of cash transfers for COVID-19 responses and beyond (Beazley et al., 2020)

Info Box 29: Delivery of Post-Disaster Social Protection Benefits in the Region

In **Dominica**, following Hurricane Maria in 2017, Emergency Cash Transfers (ECT) **were distributed to beneficiaries under the expanded Public Assistance Programme (PAP). Manual payments were made through village councils, the programme's existing delivery mechanisms. Under the PAP, village councils collect cheques from the Ministry in charge of the PAP**, which they change to cash at a bank or credit union. Beneficiaries can then retrieve their payments at the village council offices. Relying on the PAP's existing payment mechanism proved to be an effective vehicle for paying ECT grants.

In the **British Virgin Islands**, a Joint Cash Platform was developed by the Government and its partners soon after Hurricane Irma and Maria to transfer over $3.2 million to 1,076 vulnerable hurricane-affected households. The 'single cash delivery platform' transferred benefits directly to the bank accounts of target households via a First Caribbean Bank account managed by the Red Cross. The bank also provided an electronic payment (e-payment) system that enabled segregation of duties and authorisation levels. The bank also provided an electronic payment (e-payment) system to enable segregation of duties and authorisation levels. Cheques were used to deliver benefits to beneficiaries without bank accounts.

Source: OPM/WFP, 2018 and 2019; British Red Cross Society, 2018

Resource Box

Shock-Responsive Social Protection Systems Toolkit: Appraising the use of social protection in addressing large-scale shocks. (O'Brien et al. 2018)

>> Guidance for selecting and assessing delivery mechanisms in a crisis context (pp. 39-42). https://www.opml.co.uk/files/Publications/a0408-shock-responsive-social-protection-systems/srsp-toolkit.pdf?noredirect=1

Cash and Vouchers Manual (WFP, 2014)

>>Presentation of transfer mechanism options, their advantages and disadvantages (pp. 58-60). https://www.calpnetwork.org/wp-content/uploads/2020/01/cash-and-vouchers-manual-wfp-second-edition.pdf

Delivering money: cash transfers mechanisms in emergencies (CaLP, 2010)

>> Report on the implementation of cash projects in emergencies, including presentation of past experiences and key criteria for assessing cash delivery options (pp. 18-21). https://www.calpnetwork.org/wp-content/uploads/2020/03/Delivering-Money-cash-transfer-mechanisms-in-emergencies_2-1.pdf

FEEDBACK MECHANISMS

Processes should be in place so that people can ask questions about the assistance through social protection, report any difficulties accessing support and give feedback so that action can be taken if needed. These processes are often described as 'complaints and feedback mechanisms' in the humanitarian sector and 'grievance redress mechanisms' in the social protection sector. Regardless of the name, they aim to ensure accountability, address any arising issues and make necessary adjustments, taking people's diverse needs and vulnerabilities into account. These processes usually take place through a communication platform dedicated to receiving and responding to inquiries. Implementers can adapt existing grievance mechanisms for social protection programmes or establish specific ones where they do not exist or are not easily adapted. This could be an opportunity to develop or strengthen grievance mechanisms for routine programmes. This section provides an overview of operational considerations for establishing feedback mechanisms or adapting existing mechanisms.

Operational considerations

People receiving, or applying for, support through social protection programmes may have requests for information, requests for assistance, complaints, appeals, general feedback (positive or negative) and problems accessing benefits. While in 'normal' times, having processes for queries, grievances, and complaints is essential, a shock arguably raises the importance because people's needs may be greater, and there may be new processes in place. There may also be various response efforts occurring (as well as routine social protection programmes) creating confusion on who is eligible for what. Even when mechanisms already exist, it is helpful to step back and consider different ways to proactivity solicit and respond to feedback from recipients of assistance and others who may be seeking inclusion (see Table 7 and Figure 10).

An important first step is to establish what feedback mechanisms are already in place, either through existing grievance procedures for social assistance, procedures established through preparedness measures or ones used by others (e.g. disaster management offices).

Questions to ask include the following.

- What grievance response mechanisms used for queries and appeals related to social protection already exist? What changes are needed to tailor them for shock response (e.g. wider communication on the mechanism; increasing staff capacity to manage queries; developing FAQs)?
- What hotlines, websites, helpdesks or other mechanisms (if any) are being used by others responding to the shock? Is it appropriate to use these or link to them (e.g. ensuring that information on the social protection support is available to those managing such hotlines, even if they don't directly handle complaints)?
- What new or additional processes are needed to provide information on the assistance, track and respond to queries/complaints?

Table 7: Feedback and Complaints Approaches – Strengths and Weaknesses

Approach	Description	Examples	Strengths	Weaknesses
Proactive	Actively soliciting feedback from members or groups	Monitoring surveys, focus groups, community meetings, individual interviews, etc.	Information is actionable, nuanced, and easy to analyse.	Feedback is limited to programme's specific issues and broader trends may be missed.
Reactive	Providing a safe and accessible channel through which diverse members of the population can provide feedback/ raises issues	Suggestion boxes, toll-free hotlines, walk-in office hours, SMS lines, etc.	Individuals and groups can raise concerns as they arise at a time they choose.	Often associated with a complaint's mechanism only. Good management requires time, especially when there is a high volume of feedback.
Open	Collecting feedback shared in an ad-hoc manner during normal interactions/ working	Conversations during registration or distributions/ payment pick-up	Spontaneous and direct way to hear observations and interpret perceptions of diverse members of the population.	Difficult to systematically document and analyse.

Source: Adapted from - Guidance Document: Complaints and Feedback Mechanisms (WFP, 2020)

A feedback mechanism may consist of a single method to raise grievances (e.g. hotline) or multiple methods (e.g. feedback desk, website, hotline). In Dominica for example, WFP and the Ministry of Youth Development and Empowerment, Youth at Risk, Gender Affairs, Senior Security and Dominicans with Disability established a hotline to respond to queries and address challenges people faced in accessing assistance to the COVID-19 Social Cash Transfers Programme. Choice of method/s depends on existing processes and whether these can be built on, available resources and analysis on the best ways to give feedback, considering that some people face different challenges (for example, familiarity with technology). When using multiple methods, it is essential to standardize procedures for managing and responding to feedback to ensure adequate responses and track the broader challenges that may need resolving by programme adjustments.

Figure 10: Feedback and Complaints solutions

Source: WFP, 2020

Capturing and responding to feedback is about reciprocated information flows between the persons raising the issue and those implementing the programme. Understanding the nature of these information flows and how to manage them is central to ensuring that grievance processes fulfil their purpose of ensuring accountability and resolving challenges – otherwise, queries might fall through the cracks, and problems accessing assistance could go unresolved. Feedback needs to be gathered and delivered to the appropriate persons who can resolve the issue, and actions taken need to be communicated back to the person who raised the issue. Depending on the complaint or information request, there may be a response by a government staff or a partner on the spot, or it may require follow-up processes, including adaptations to the programme if the feedback reveals broader challenges. If feasible, it is good practice to review the feedback mechanism itself to improve it for the future. Ideally, lessons learned can inform the development of routine grievance redress mechanisms if these are lacking.

Resource Box

Community Engagement and Accountability (ECA) toolkit (IFRC, 2017)

>>Tool 15: Feedback Starter Kit of the ECA toolkit provides step-by-step guidance and templates to planning, choosing, setting up and managing a feedback and complaints system. https://media.ifrc.org/ifrc/document/tool-15-feedback-starter-kit/

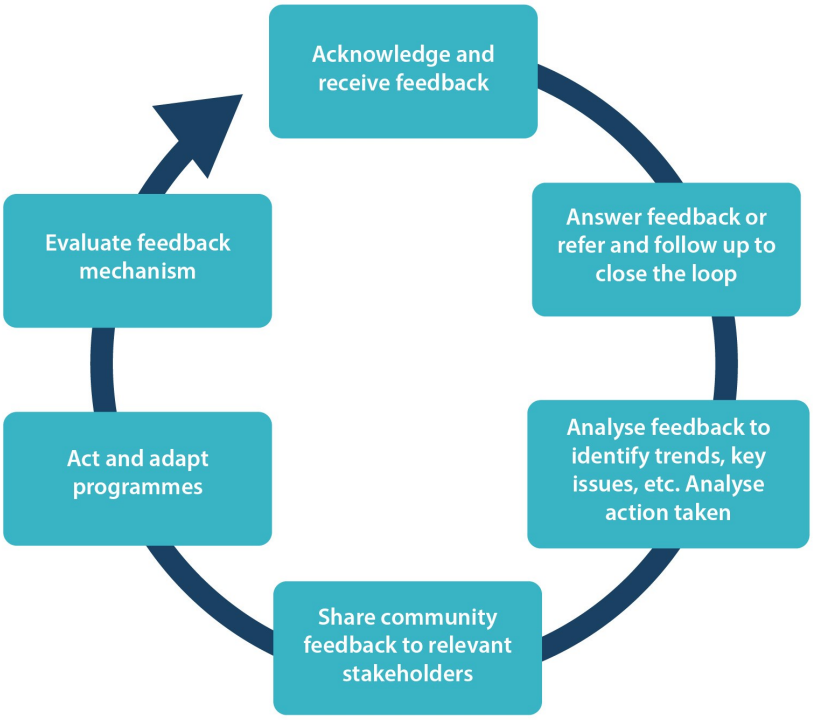
Grievance mechanisms for social protection programmes: stumbling blocks and best practice (IPC – IG, 2016)

>>One-page overview on social protection grievance mechanisms and channels. http://www.ipcig.org/pub/eng/OP320_Grievance_mechanisms_for_social_protection_programmes_stumbling_blocks_and_best_practice.pdf

Handbook on data protection in humanitarian action (ICRC, 2020)

>> This guidance builds on existing guidelines, working procedures and practices established in humanitarian action for the benefit of the most vulnerable victims of humanitarian emergencies. https://www.icrc.org/en/data-protection-humanitarian-action-handbook

Figure 11: Feedback Cycle



MONITORING

The goal of shock-responsive social protection in the Caribbean is to provide effective support to people in very difficult circumstances. Although feedback/complaints/grievance mechanisms are one way to identify and resolve challenges, more systematic monitoring is extremely helpful to determine more broadly whether the support meets its intended outcomes and any issues that need resolving.

Monitoring of social protection programmes is typically geared to the requirements of long-term programming – for example, periodically reviewing targeting approaches. Data on outcomes for households is collected mainly only during periodic evaluations. In contrast, the speed and urgency of responses to shocks mean that monitoring data is only useful when quickly obtained. This data can be a potent tool for social protection ministries to communicate the results of assistance. When international donors or agencies are transferring funds to government, the monitoring processes must be robust and timely enough to report to donors.

This section focuses on 'process' monitoring to understand how well the programme implementation is going and 'outcome' monitoring to understand whether it is achieving its intended results.

Operational considerations

Process monitoring

With so many priorities and tasks involved in reaching people impacted by shocks, it is easy for monitoring to take a back seat. However, it is a useful and vital tool to check whether people have received their entitlements, find out if there are problems to resolve, and learn how the support is helping people in a difficult time. An interesting opportunity for governments could be to link with community organizations, the Red Cross, local leaders, or others to participate in monitoring and communicate challenges or issues that people may be facing. If governments partner with UN agencies, NGOs or the Red Cross and/or receive financial support from international donors, these partners may have specific monitoring requirements to consider. It is important to consider gender through monitoring processes by ensuring that data collected can be disaggregated by sex and consulting with both women and men on their experience with the process.

Another critical aspect to monitor is the implementation of the assistance through social protection to check if people are aware of their entitlements, face any access barriers and have the right information. Where payments or distributions take place in specific locations (e.g. sub-collector offices, post offices, village councils), monitoring is an opportunity to check on these issues. This is often referred to as 'on-site' monitoring, which can be through interviews and conversations with clients. Discussions can also take place with those involved in the payment process (e.g. ministry staff, staff at banks) to ask about challenges people are facing (e.g. having identification, facing delays, not receiving notifications on when funds are being transferred/paid).

Info Box 30: What to Monitor - Process

The specific issues to monitor should be tailored to the programme and the information needs of the government and its partners. Common questions to ask beneficiaries are:

- Did you receive information on?
    - Your inclusion into the programme
    - Exact amount of your benefits/entitlement
    - How to collect/receive benefits/ entitlement
    - Date of the collection
    - Contact information if you experience a problem
- How long did you have to wait to collect your benefits?
- How much time did it take you to travel to receive your benefits?
- How were you treated by those involved in providing benefits to you?
- Did you pay any transport costs to access your assistance? If so, how much?
- Did you experience any challenges/difficulties making time or travelling to collect your benefits today (for example: difficulty finding appropriate transportation, getting time off work, finding child-care, balancing with domestic responsibilities; challenges related to physical disability, visual or hearing impairment, health, safety concerns, problems at home)?
- How clear was the process of receiving your benefits?
- How can we improve the process?
- Have you experienced any problems in your household or with others related to the assistance?
- Do you have any other feedback?

While monitoring can and should include ad-hoc spot checks on processes, a structured process with prepared questions can help to keep track of findings. This structured monitoring can be done by phone, at distribution points or by following up with beneficiaries in other ways. It is important to speak with diverse beneficiaries (sex, age, disability, etc.) as their challenges and experiences may vary. Another option is to convene focus group discussions with several beneficiaries (6–10 people) who share similar characteristics (sex, age range etc.). These types of structured/semi-structured discussions, which are typically conducted along broad themes and not a set list of questions, can provide valuable insights on beneficiaries' experiences and other topics important to them. The following guiding questions can help structure the overall feedback received during monitoring and develop a basic report capturing the main findings.

- How many male and female beneficiaries were consulted?
- What were the three main concerns raised by the men?
- What were the three main concerns raised by the women? Were any specific challenges facing women identified?
- Did beneficiaries have accurate information on what they would receive, how and when?
- Any other positive and negative feedback?
- Immediate actions recommended
- Longer-term recommendations/issues to consider

Outcome monitoring

While process monitoring provides insights on the implementation of shock-responsive social protection measures, it is also critical to explore the extent to which the assistance is achieving its aims of supporting people impacted by the shock. This is often described as 'outcome monitoring', and it involves surveying beneficiaries to systemically collect data to help understand the effect of programmes and changes beneficiaries may be experiencing in their needs and situation. (See Info Box 31; surveys conducted following the provision of entitlements are sometimes described as 'Post-distribution monitoring'). Ideally, focus group discussions, and discussions with people knowledgeable of the programme (e.g. community leaders) should complement surveys to provide a fuller picture of the effects of the assistance and how to improve it in the future.

Info Box 31: Sample Data That Can Be Captured Through a Monitoring Questionnaire

1. Information on household

- Gender of interviewee
- Age of interviewee
- Marital status and sex of registered recipient of assistance
- Number of dependents in household

2. Income and expenditure

- Three main sources of cash/income in past three months
- Proportion of household expenditures devoted to food and other commodities

3. Household coping strategies

- Household's strategies to meet basic food and other needs
- Any changes to time spent on unpaid care and domestic work

4. Food consumption

- Consumption patterns
- Any changes related to receiving assistance

5. Assistance Received

- Any problems concerning assistance
- Understanding of the purpose and details of the assistance received
- Household's preference for support (cash, in-kind, services, employment)
- Changes experienced in the household as a result of support (e.g. better able to cover needs, more/less stress or tensions)
- Support from other sources (e.g. NGOs, other government programmes)
- Whether complaint/feedback mechanism used (if applicable)

6. Control over resources

- Who in household tends to make decision on spending of money?
- Who in household made decision on how transfer was used?
- Intra-household distribution of resources – what is purchased and for whom?

7. Current and changing needs

- Adequacy of benefits received including value, timing, frequency, duration
- Adequacy of shelter and other basic needs – and any recent changes
- Availability of relevant services
- Current top three priorities/needs
- How the situation is expected to change in coming weeks, months

Source: Adapted from WFP, 2014

There are several options for collecting data through household surveys. Often enumerators are hired since social protection staff often need to implement regular programmes on top of new efforts in response to shocks. Digital data collection (e.g. Kobo toolkit) allows quick retrieval of results and disaggregation of findings by sex to enable analysis of gender. Interviews can take place by phone or face-to-face if feasible (with responses entered by the enumerator using tablets/mobile devices). It is important to keep questionnaires to a reasonable length, especially when doing phone interviews, and to communicate to beneficiaries that participation is voluntary and how the data will be used. People to interview should be selected using a random, representative sample of recipients (sample size calculators are available on the internet and statistics offices can also support on sampling processes).

While there are not many experiences yet in the Caribbean, there are other forms of monitoring, which might be well suited if a large number of people need to be quickly surveyed on a few basic questions (such as whether they received their entitlement):

- **Text messaging (SMS):** Beneficiaries receive a questionnaire on their phone as a text or a link that will direct them to an online survey. Phone questionnaires are typically 160 characters or less and involve a series of short, simple questions and answers. Responding to a mobile text survey should be free for respondents.

- **Interactive voice response:** Beneficiaries receive an automated call and key in responses after hearing questions.

Info Box 32: Examples of Post-Distribution Monitoring

In **Dominica**, following WFP's support to the Government's scale-up of social assistance in response to COVID-19, a standardised questionnaire was developed to collect information on effects of the cash transfers and assess the satisfaction of beneficiaries with the programme. Analysis of the survey results identified areas for further investigation, such as beneficiaries' preference for cash transfers from village councils over bank transfers. To answer these questions and gain a deeper understanding of the strengths and weaknesses of the programme, the survey was complemented by (socially distanced) focus group discussions that engaged beneficiaries with different demographic profiles in discussions about their experience with the programme.

Resource Box

Monitoring Guidance for CTP in Emergencies (CaLP)

>> This guidance looks at central monitoring considerations for humanitarian projects using cash transfer programming (CTP), incl. post-distribution monitoring, outcome monitoring. https://www.calpnetwork.org/wp-content/uploads/2020/03/calp-ctp-monitoring-web-1.pdf

The Cash in Emergencies Toolkit (ICRC, 2017)

>> Module 5 on M&E includes: key indicator checklist, M&E workplan template, survey sample calculator template, focus group discussion guidance, guide to household and key informant interviews, post-distribution monitoring templates, market monitoring guidance. https://rcmcash.org/ (also available as an app)

Project/programme monitoring and evaluation (M&E) guide (IFRC, 2011)

>> This guide gives general M&E concepts and considerations and key steps for project/programme M&E. https://www.ifrc.org

Shock-Responsive Social Protection Systems Toolkit: Appraising the use of social protection in addressing large-scale shocks. (O'Brien et al. 2018)

>> Module D8 M&E sets out some principles for developing and selecting appropriate indicators to measure the performance of shock-responsive programmes as well as indicators to measure progress in developing shock-responsive systems, pp. 48-51. https://www.opml.co.uk/files/Publications/a0408-shock-responsive-social-protection-systems/srsp-toolkit.pdf?noredirect=1

KNOWLEDGE AND LEARNING

Experiences in the Caribbean have been a key source of regional and global learning on how governments can use social protection programmes and systems in response to shocks. However, there are opportunities to deepen evidence, knowledge and exchange on good practices, both within individual countries and across them through regional exchange. Research and learning on shock-responsive social protection in the Caribbean has already informed response measures and increased mutual understanding between social protection and disaster risk management stakeholders on the roles that social protection can play in response to shocks. Continued learning on operationalizing shock-responsive social protection and how to best prepare systems and programmes can inform future policies and strategies, guide investments and advocate for resources/budgets to strengthen social protection and make them more adaptable for risks and shocks.

Operational considerations

Knowledge and learning on shock-responsive social protection can be divided into two interrelated areas:

- *Good practices and lessons to inform current and future responses.* Lessons emerging from shock-responsive social protection approaches (e.g. through monitoring, workshops, research) can increase support effectiveness when used to inform future programmes, policies and investments in preparedness. Using lessons learned helps improve how measures can support those most in need, coordination of effort and maximization of resources, as well as preparedness and response for future shocks.

- *Capacity building and awareness raising so that people have knowledge, skills and tools to assess, strengthen and operationalize shock-responsive social protection measures.* These exercises include training staff at national and decentralized levels across sectors, building the evidence base through studies and other forms of analysis, understanding beneficiary needs and experiences, and clarifying what information is needed to advocate for change. This area builds on programmatic learning under area one.

As part of learning efforts, it is important to consider how current risks may evolve due to future climate change and other factors and the intersection of social protection, climate change adaptation and DRM practices in addressing these risks. Considering how risks might evolve requires evolution in policy, systems and programmes to manage uncertainties. When considering training and capacity building, note that people have different information needs, capacity gaps and ways of learning. Elaborating a knowledge management strategy can help ensure that training, workshops, etc. are effective and not simply one-off exercises. A knowledge management strategy should be clear about its purpose, target audience/needs, learning methodologies and outputs.

Knowledge and learning initiatives for shock-responsive social protection can include:

- Awareness-raising events, seminars and exchanges to discuss and consolidate learning from past experiences and create broader understanding of approaches across sectors.
- Technical coordination forums (either ad hoc or regular) with a cross-section of relevant ministries and partners.
- Capturing and disseminating learning from pilots and programmes – such as building on/using existing learning initiatives, task forces, working groups and committees to share lessons, including at community/local levels.
- Generating and circulating evidence of good practices from regional and global examples, including in participating in webinars, workshops, and conferences on relevant topics
- Developing a training programme on shock-responsive social protection (this could involve potentially tailoring existing offerings, such as from socialprotection.org, UN agencies and the World Bank).
- Building the economic argument for shock-responsive social protection through value for money and cost-benefit analysis, and studies providing the economic impacts of shocks
- Undertaking capacity assessments, delivery chain analysis, stakeholder mapping exercises and analysis of information management systems to generate more detailed information and recommendations on how to make the overall social protection system adaptive and responsive.

While evidence, learning and even the material in this handbook tend to focus on the technical aspects of shock-responsive social protection, it is critical to pay attention to incentives and political dynamics. Many issues raised relating to shock-responsive social protection are about identifying technical fixes and investments to establish systems and processes to get the job done. However, these fixes and investments need to be complemented by understanding different approaches and ways of working; political motivations and incentives; coordination; and financing (who funds shock-responsive social protection, and whether it leads to reductions in sectoral budgets). It is vital to build trust across ministries and partners with different structures and mandates who are sometimes in direct competition for resources. Thus, while capacity building tends to focus on technical capacities, it should also support people with the analytical skills required to make informed choices and navigate the politics surrounding decision-making.

Info Box 33: Shock-Responsive Social Protection Learning and Training Events in the Caribbean

- As part of the SDG Fund for Social Protection in **Barbados, Saint Lucia and the OECS** a number of webinars have been conducted on government responses to the socioeconomic impact of COVID-19. Webinars discussed how social protection programmes were adapted and expanded to respond to shocks and the strengthening of social protection systems to address future shocks.
- In December 2020, in collaboration with CDEMA and participating states, UNICEF and WFP held a virtual **introductory training session** on shock-responsive social protection, bringing together DRM agencies and ministries of social development.
- In June 2019, CDEMA and WFP convened the first regional inter-ministerial symposium on shock-responsive social protection in the Caribbean in the **Turks and Caicos Islands**, with DRM and social protection representatives from 16 Caribbean countries.
- In September 2019, WFP held a Caribbean government-to-government learning event in the Dominican **Republic** on strengthening social protection information management to improve emergency preparedness and targeting of responses.
- **Dominica** conducted a lesson-learned exercise to identify the next steps for strengthening systems and investing in preparedness following the government-led response to Hurricane Maria in 2017 through the PAP, implemented with the support of WFP and UNICEF.
- In 2018, the **British Virgin Islands** held a shock-responsive social protection workshop with the support of WFP to enable the Government to self-assess the system and programmatic capacity of its social protection systems to be more shock-responsive.
- In March 2019, the Government of the **British Virgin Islands** and the British Red Cross co-hosted a sub-regional event on Collaborative Cash Programming on Shock-Responsive Social Protection to promote future cash programming as part of social protection mechanisms.
- In 2018 and 2019, the Ministry of Human Development, Social Transformation and Poverty Alleviation in **Belize** spearheaded a series of conferences with the support of development partners including UNICEF, the World Bank and ILO to increase the knowledge of national and civil society partners on key areas of social protection. One of the conferences, co-led by the Government and WFP, focused on social protection in emergencies.
- Road mapping workshops were held in **Belize and Saint Lucia** in 2019 and 2020 to prioritize preparedness actions to strengthen the role of social protection in DRM.

Source: OPM/WFP (2019); WFP, 2021

Resource Box

Tools for Knowledge and Learning (Overseas Development Institute, 2006)

>> This guide is for staff working in development and humanitarian organizations. There are 30 tools and techniques divided into five categories: i) Strategy Development; ii) Management Techniques; iii) Collaboration Mechanisms; iv) Knowledge-Sharing and Learning Processes; and v) Knowledge Capture and Storage. https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/188.pdf

Socialprotection.org

This global member-based platform facilitates knowledge-sharing and capacity building in the field of social protection. https://socialprotection.org

REFERENCES

Bailey, S. and Ciardi, F. 2020a. *Study on Shock-Responsive Social Protection in the Caribbean: Belize case study*. World Food Programme in collaboration with Oxford Policy Management

Bailey, S. and Ciardi, F. 2020b. *Study on Shock-Responsive Social Protection in the Caribbean: Guyana case study.* World Food Programme in collaboration with Oxford Policy Management

Barca, V., Hebbar, M., Malik, M. and Le Quesne, F., with Ciardi, F. 2019. *Shock-Responsive Social Protection in the Caribbean: Literature review.* World Food Programme in collaboration with Oxford Policy Management

Barca, V. 2017. *Integrating data and information management for social protection: social registries and integrated beneficiary registries*. Commonwealth of Australia, Department of Foreign Affairs and Trade, Canberra

Barca, V., Chirchir, R. 2019. *Building integrated and digital social protection information systems.* Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Beazley, R., Solórzano, A. and Sossouvi, K. 2016. *Study on Shock-Responsive Social Protection in Latin America and the Caribbean: Theoretical Framework and literature review*. World Food Programme in collaboration with Oxford Policy Management

Beazley, R. 2018. *Study on Shock-Responsive Social Protection in Latin America and the Caribbean: Dominica case study*. World Food Programme in collaboration with Oxford Policy Management

Beazley, R., Solorzano, A., and Barca, V. 2019. *Study on Shock-Responsive Social Protection in Latin America and the Caribbean: Summary of Key Findings and Policy Recommendations*. World Food Programme in collaboration with Oxford Policy Management

Beazley, R. and Ciardi, F. 2020a. *Study on Shock-Responsive Social Protection in the Caribbean: Jamaica case study*. World Food Programme in collaboration with Oxford Policy Management

Beazley, R. and Ciardi, F. 2020b. *Study on Shock-Responsive Social Protection in the Caribbean: Trinidad and Tobago case study*. World Food Programme in collaboration with Oxford Policy Management

Beazley, R., Ciardi, F., and Bailey, S. *Shock-Responsive Social Protection in the Caribbean - Synthesis Report*. World Food Programme in collaboration with Oxford Policy Management

Beazley, R. et al., 2020. *SPACE Guidance on options for rapid delivery of cash transfers for COVID-19 responses and beyond*. FCDO. GIZ

Bowen, T., Del Ninno, C., Andrews, C., Coll-Black, S., Gentilini, U., Johnson, K., & Williams, A. (2020). *Adaptive Social Protection: Building Resilience to Shocks.* Washington: World Bank

CCRIF. 2019. *Policy Brief - Linking Social Protection with Climate Resilience & Adaptation*

CDEMA. 2014. *Regional Comprehensive Disaster Management (CDM) strategy and programming framework 2014-2024*

Coirolo, C., and Berger Gonzalez, S. 2018. *St. Vincent & the Grenadines – Adaptive Social Protection Curriculum*. Washington: World Bank

Cubas, D., Gunasekera, R., and Humbert, T. 2020. *Disaster Risk Finance for Adaptive Social Protection*. Washington DC: World Bank Group

DEVCO/ECHO/NEAR. 2019. *Guidance Package on Social protection across the humanitarian-development Nexus (SPaN).* Brussels: European Commission

Devereux, S., and R. Sabates-Wheeler. 2004. *Transformative Social Protection*. IDS Working Paper 232, Institute of Development Studies, Brighton, UK

Gentilini et al., 2020. *Social-Protection-and-Jobs-Responses-to-COVID-19-A-Real-Time-Review-of-Country-Measures.* Washington DC: World Bank Group

GHD. *Objectives and Definition of Humanitarian Action, Good Humanitarian Donorship*. https://www.ghdinitiative.org/ghd/gns/principles-good-practice-of-ghd/principles-good-practice-ghd.html

HPG. 2003. *According to needs? Needs assessment and decision-making in the humanitarian sector*

ILO. 2015. *World Social Protection Report. Building economic recovery, inclusive development and social justice.* Geneva: ILO, 2015

ILO. 2017. *World Social Protection Report. Building economic recovery, inclusive development and social justice.* Geneva: ILO, 2017

Kabeer, N. (2010). *Can the MDGs provide a pathway to social justice? The challenge of intersecting inequalities.* Brighton: Institute of Development Studies

Lindert, Kathy; Karippacheril, Tina George; Rodriguez Caillava, Inés; Nishikawa Chavez, Kenichi. 2020. *Sourcebook on the Foundations of Social Protection Delivery Systems*. Washington, DC: World Bank. © World Bank. https://openknowledge.worldbank.org/handle/10986/34044 License: CC BY 3.0 IGO

Longhurst, D. and Smith, G., with Barca, V.; Little, S.; McLean, C.; Pongracz, S. and SPACE. 2020a. *Identifying Practical Options for Linking Humanitarian Assistance and Social Protection in the COVID-19 Response*. London: UK Department for International Development and Bonn: Deutsche Gesellschaft für Internationale Zusammenarbeit

Longhurst, D.; Harvey, P.; Sabates-Wheeler, R. and Slater, R. 2020b. *High-Level Briefing Paper – Linking Social Protection and Humanitarian Cash and Voucher Assistance*. Amman: The Cash Learning Partnership

Maher, B., Fitzgibbon, C., and Solórzano, A., with V. Barca. 2018. *Emerging Lessons in Financing Adaptive Social Protection*. OPM/World Bank: Oxford, UK/ Washington DC.

Marzi, M. and Ciardi, F. 2019. *Study on Shock-Responsive Social Protection in the Caribbean: Saint Lucia case study*. World Food Programme in collaboration with Oxford Policy Management

Neumayer, E. and Pleumper, T. 2007. *The Gendered Nature of Natural Disasters: The Impact of Catastrophic Events on the Gender Gap in Life Expectancy*, 1981–2002. Available at http://ssrn.com/abstract=874965

O'Brien, C., Scott, Z., Smith, G., Barca V., Kardan, A., Holmes, R., Watson, C. and Congrave, J. 2018. *Shock-Responsive Social Protection Systems research: Synthesis report*. Oxford Policy Management, Oxford, UK.

O'Brien, C., Holmes R. and Scott, Z., with Barca, V. (2018) '*Shock-Responsive Social Protection Systems Toolkit—Appraising the use of social protection in addressing largescale shocks*', Oxford Policy Management, Oxford, UK

O'Brien, C. 2020. *10 things you wish you'd always known about shock-responsive social protection*. Rome: World Food Programme

OCHA/CDEMA. 2020. *OCHA/CDEMA Joint Interoperability Manual.* [ONLINE] Available at: https://www.humanitarianresponse.info/sites/www.humanitarianresponse.info/files/documents/files/20200618_ocha_-_cdema_joint_interoperability_manual_compressed.pdf

OCHA. 2012. *What are humanitarian principles?* [ONLINE] Available at: https://reliefweb.int/sites/reliefweb.int/files/resources/oom-humanitarianprinciples-eng-june12.pdf Accessed – 19/01/21

OPM. 2017. *Study on Shock-Responsive Social Protection in Latin America and the Caribbean: Haiti case study*. World Food Programme in collaboration with Oxford Policy Management

Oxford Policy Management (2017), *Shock-Responsive Social Protection Systems Research: Literature review* (2nd Edition), Oxford Policy Management, Oxford, UK

OPM. 2019. *Strengthening the capacity of ASEAN Member States to design and implement risk-informed and shock-responsive social protection systems for resilience. Regional Synthesis Reports.* World Food Programme in collaboration with OPM.

Red Cross. 2018. *British Virgin Islands Joint Cash Platform. Case study for learning on collaborative cash programmes*. UK

Ram, J., Cotton, J., Frederick, R., and Elliott, W. 2019. *Measuring Vulnerability: A Multidimensional Vulnerability Index for the Caribbean*. CDB Working Paper No. 2019/01. Barbados: Caribbean Development Bank

Roelen, K., Longhurst, D., Sabates-Wheeler, R. 2018. *The Role of Cash Transfers in Social Protection, Humanitarian Response and Shock-Responsive Social Protection*. IDS Working Paper 517. Brighton: IDS

Schoemaker, E., Barca, V., Longhurst, D., Holmes, R., and SPACE. 2020. *Linking Humanitarian & Social Protection Information Systems in the COVID-19 Response and Beyond*. [ONLINE]. Available at - https://socialprotection.org/discover/publications/space-linking-humanitarian-social-protection-information-systems-covid-19. Accessed – 19/10/20

Smith, G. 2018. *Responding to Shocks: Considerations along the Delivery Chain*. Oxford Policy Management, Oxford, UK. (Unpublished)

Solórzano, A. and Cárdenes, I. 2019. *Social protection and climate change: WFP Regional Bureau for Latin America and the Caribbean's vision to advance climate change adaptation through social protection.* World Food Programme in collaboration with Oxford Policy Management

TRANSFORM. 2020. *Shock Responsive Social Protection – Manual for Leadership and Transformation Curriculum on Building and Managing Social Protection Floors in Africa*. [ONLINE]. Available at: http://transformsp.org and http://socialprotection.org/institutions/transform. Accessed – 20/07/20

TRANSFORM. 2017 *Selection and Identification in Social Protection Programmes - Manual for a Leadership and Transformation Curriculum on Building and Managing Social Protection Floors in Africa*. [ONLINE]. Available at http://transformsp.org and http://socialprotection.org/institutions/transform

Transform, (2017) *Governance for Social Protection Systems: Institutions, Organizational Structure and Capacity - Manual for a Leadership and Transformation Curriculum on Building and Managing Social Protection Floors in Africa*, available at http://socialprotection.org/institutions/transform

UNICEF (2019). *Programme Guidance: Strengthening Shock Responsive Social Protection Systems*. New York: UNICEF

UNDRR (United Nations Office for Disaster Risk Reduction) 2009a. *UNDRR Terminology on Disaster Risk Reduction* 2009

United Nations International Strategy for Disaster Reduction (UNISDR). 2011. *Global Assessment Report on Disaster Risk Reduction*. Geneva

UNISDR, UNDP and IUCN. 2009. *Making Disaster Risk Reduction Gender-Sensitive Policy and Practical Guidelines*. Geneva. UNISDR

UN General Assembly resolution 46/182, 1991 https://www.un.org/en/ga/63/plenary/E_ha_emergency.shtml

Vakis, R. 2006. *Complementing Natural Disaster Management: The Role of Social Protection. SP Discussion Paper* No. 0543, Washington DC. World Bank

Vivanco et al. 2020. *Using Social Work Interventions to Address Climate and Disaster Risks in Latin American and the Caribbean.* Washington DC: World Bank Group

Williams, A., Berger Gonzalez, S. (2020) *Towards Adaptive Social Protection Systems in Latin America and the Caribbean: A Synthesis Note on using Social Protection to Mitigate and Respond to Disaster Risk*. Washington DC: World Bank Group

World Bank. 2017. *Advancing Disaster Risk Finance in Belize*. Washington DC: World Bank Group

World Food Programme (WFP). 2006. *Targeting in Emergencies*. Executive Board Policy Note. Rome: WFP

World Food Programme (WFP). 2002. *Emergency Field Operations Handbook.* Rome: WFP

World Food Programme (WFP). 2014*. Safety Net Guidelines – Module A, B, C*. Rome: WFP

World Food Programme (WFP). 2014*. Cash and Vouchers Manual*. Rome: WFP

World Food Programme (WFP). 2017*. Accountability to Affected Populations Manual.* Rome: WFP

World Food Programme (WFP). 2018*. Guidance for planning an emergency intervention through government social protection systems.* Rome: WFP

World Food Programme (WFP). 2018. S*upply Assessment of Goods and Services of Essential Needs.* Rome: WFP

World Food Programme (WFP). 2018. *The 72-hour Assessment Approach: A guide for vulnerability and spatial analysis in sudden-onset disasters*. Rome: WFP

World Food Programme (WFP). 2018. *Beneficiary Identity Management Guidance*. Rome: WFP

World Food Programme (WFP). 2019. *Basic Country Capacity Assessment: Shock Responsive Social Protection*. Rome: WFP

World Food Programme (WFP). 2020. *Guidance Document Complaints and Feedback Mechanisms.* Rome: WFP

World Food Programme (WFP). 2020. *Emergency Field Operations Manual.* Rome: WFP

World Food Programme (WFP). 2020. *Essential Needs Assessments.* Rome: WFP

World Food Programme (WFP). 2020. *Minimum Expenditure Baskets.* Rome: WFP

World Food Programme (WFP). 2020. *Setting the transfer value for CBT interventions.* Rome: WFP

World Food Programme. (WFP). 2020. *Disaster Risk Financing Strategy for Latin America and the Caribbean*. Rome: WFP

World Food Programme. (WFP). 2020. *Inclusive risk finance to build the resilience of the most vulnerable and food insecure in Latin America and the Caribbean*. Rome: WFP

World Food Programme (WFP). 2020. *Guidance Document: Complaints and Feedback Mechanisms: Tips for Designing, Planning, Implementing and Evaluating your CFM*. Rome: WFP

World Food Programme (WFP). 2021. *Targeting and Prioritization. Operational Guidance Note.* Rome: WFP

World Food Programme (WFP). *Strategy for Support to Social Protection.* Rome: WFP

ACRONYMS

CARICOM	Caribbean Community
CCRIF	Caribbean Catastrophe Risk Insurance Facility
CDEMA	Caribbean Disaster Management Agency
CDM	Comprehensive Disaster Management
CFM	Complaint and Feedback Mechanism
DANA	Damage Assessment and Needs Analysis
DRM	Disaster Risk Management
ESF	Emergency Support Functions
IOM	Organization for Migration
IVACC	Index of Vulnerability to Climatic Shock
JCP	Joint Cash Platform
MEB	Minimum Expenditure Basket
MIS	Management Information Systems
MLSS	Ministry of Labour and Social Security
MOU	Memorandum of Understanding
NGO	Non-Governmental Organizations
OECS	Organisation of the Eastern Caribbean
OPM	Oxford Policy Management
PAHO	Pan American Health Organization
RCO	Resident Coordinator Office
RRM	Regional Response Mechanism
SDD	Social Development Department
SIUBEN	Single Beneficiary System
SOP	Standard Operating Procedures
UN OCHA	United Nations Office for the Coordination of Humanitarian Affairs
UN	United Nations
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
WFP	World Food Programme

GLOSSARY

SOCIAL PROTECTION consists of policies and programmes aimed at preventing, and protecting people against, poverty, vulnerability and social exclusion throughout their life, with a particular emphasis on vulnerable groups. These can include social assistance, social insurance schemes, labour market regulations and facilitated access to essential services.

DISASTER RISK MANAGEMENT is the application of disaster risk reduction policies and strategies, to prevent new disaster risks, reduce existing disaster risks, and manage residual risks, contributing to the strengthening of resilience and reduction of losses.

SHOCK-RESPONSIVE SOCIAL PROTECTION is a term used to bring focus on shocks that affect a large proportion of the population simultaneously. It encompasses the adaptation of routine social protection programmes and systems to cope with changes in context and demand following shocks. This can be before the shock by building shock-responsive systems, plans and partnerships to better prepare for emergency response; or after the shocks to provide support to affected individuals and households. In this way, social protection can complement and support other emergency / crisis response measures.

EXPOSURE is defined as "the situation of people, infrastructure, housing, production capacities and other tangible human assets located in hazard-prone areas". As stated in the UNIDRR glossary, "measures of exposure can include the number of people or types of assets in an area. These can be combined with the specific vulnerability and capacity of the exposed elements to any particular hazard to estimate the quantitative risks associated with that hazard in the area of interest".

VULNERABILITY is defined as "the conditions determined by physical, social, economic and environmental factors or processes which increase the susceptibility of an individual, a community, assets or systems to the impacts of hazards". Vulnerability is multi -dimensional in its nature, and next to the four dimensions above, some authors also include cultural and institutional factors.

RISK The combination of the probability of an event and its negative consequences.

RESILIENCE refers to the ability of individuals, societies, or socioeconomic systems to cope with the sudden impact of crises or disasters, and to restore as quickly as possible their ability to function and their capacity to act.

HAZARD A process or phenomenon that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage.

DISASTER A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources. A disaster is a function of the risk process. It results from the combination of hazards, conditions of vulnerability and insufficient capacity or measures to reduce the potential negative consequences of risk.

SHOCK is intended as a sudden and potentially damaging hazard or another phenomenon. A shock can also refer to the moment at which a slow-onset process (a stress) passes its 'tipping point' and becomes an extreme event.

PREVENTION/MITIGATION, PREPAREDNESS, RESPONSE AND RECOVERY are the phases of the disaster risk management cycle. Prevention and mitigation include the activities and measures undertaken to avoid and limit the adverse impact of hazards. Preparedness refers to the activities and measures taken in advance to ensure effective response. Response entails the protection of lives and livelihoods and the provision of assistance during and after an emergency. Recovery includes actions taken after a disaster with a view to restoring infrastructure and services.

PROTECTIVE, PREVENTING, PROMOTIVE AND TRANSFORMATIVE are the functions of social protection: to protect people from destitution and capital loss, to prevent against income/expenditure shocks and drops in well-being, to promote livelihoods/job opportunities and to transform regulatory frameworks/public attitude to enhance equity and fight discrimination/exclusion.

ANNEXES

OVERVIEW OF SHOCK-RESPONSIVE SOCIAL PROTECTION MEASURES IN THE CARIBBEAN

Responses to Natural Hazards

Grenada – In response to Hurricane Ivan in 2004, the national insurance scheme provided unemployment insurance to registered members through the Temporary Employment Programme for up to six months. The scale-up resulted in US$2.4 million disbursement, benefitting 3,400 individuals with a maximum per beneficiary disbursement of US$1,000 (or 40–50% of their salary).

Jamaica – The Programme of Advancement through Health and Education (PATH) was expanded vertically in response to Hurricane Dean in 2007. More than 90,000 households registered with PATH received one-off cash grants of approximately US$30.

Dominica – The Public Assistance Programme (PAP) was expanded vertically and horizontally in response to Hurricane Maria in 2017 (with support from WFP and the United Nations Children's Fund (UNICEF). The transfer value was three payments of US$90 per household per month, with a top-up of US$50 per child (up to three children), in addition to PAP benefits programme beneficiaries.

British Virgin Islands – In the aftermath of Hurricanes Irma and Maria in 2017, the Joint Cash Platform was developed by British Virgin Islands Red Cross/British Red Cross and Catholic Relief Services/Caritas Antilles, in coordination with the Ministry of Health and Social Development and the Social Development Department. The platform transferred over US$3.2 million to 1,076 vulnerable hurricane-affected households between December 2017 and January 2018.

The Bahamas – In response to Hurricane Dorian in 2019, the Department of Social Services distributed one-off emergency food vouchers valued at US$100 each to 2,611 displaced persons from the hurricane-affected islands of Grand Bahama and Abaco.

Saint Vincent and the Grenadines – In response to the 2021 volcanic eruption, the Ministry of National Mobilization partnered with WFP to provide approximately US$3m in cash transfers through the Soufriere Relief Grant, as well as with UNICEF and other partners to support displaced families with cash transfers and other support.

Some countries in the region have in place cash transfer programmes specifically for emergency relief support. The same ministry that manages other social assistance programmes typically implements these programmes., which target people affected by idiosyncratic and covariate shocks, including localised disasters such as floods. Examples are the General Assistance Grants and the Disaster Relief Grants in **Trinidad and Tobago,** and the Rehabilitation Programme in **Jamaica.**

There are other examples of governments using social assistance programmes to respond to disasters in the Caribbean. In **Trinidad and Tobago**, the School Nutrition Programme was expanded to new beneficiaries to support people affected by floods in 2013. Also, in **Trinidad and Tobago**, the Red Cross responded to the 2018 floods by leveraging the government's list of impacted people. In **Belize**, the Social Security Board moved forward the date of pension payments ahead of a predicted disaster to ensure that pensioners received their benefits without interruption.

Compared to social assistance, there are fewer experiences of social insurance being used to support people impacted by disasters. The only examples found were national insurance schemes in **Grenada** in response to Hurricane Ivan (2004) and **Jamaica** in response to Hurricane Dean (2007). In **Grenada**, the national insurance scheme provided unemployment insurance to registered members through the Temporary Employment Programme for up to six months. The scale-up resulted US$2.4 million disbursement, benefitting 3,400 individuals with a maximum per beneficiary disbursement of US$1,000 (or 40–50% of their salary). The response by the government of **Jamaica**, which

complemented the vertical expansion of PATH, was a one-off transfer of US$72 to approximately 75,000 national insurance scheme pensioners and elderly persons.

Responses to Economic Shocks

In Saint Vincent and the Grenadines, persons already enrolled in the PAP received a larger cost of living payment. This covered approximately 4% of the country's population. The government also increased minimum pensions.

The Bahamas introduced a temporary financial measure under the NIS to pay up to 13 weeks of benefits at a rate just under the minimum wage (US$200 a week). This measure increased the benefits for some people and expanded coverage to others, as minimum contribution requirements were overridden.

Barbados modified the design of the NIS to allow employers to defer a portion of contributions for employees for one year. Employees could repay contributions at a low interest rate, in exchange for their agreement to maintain the workforce levels.

In **Dominica,** allowances granted under existing social assistance programmes were increased by 10%, and **Saint Lucia** increased payments to pensioners by 2–5%.

Some countries also used commodity subsidies due to the inflationary effects of the economic downturn. These include **Dominica**, which reduced taxes on cooking gas, lowered tariffs on some products and increased the tax-free allowance from US$5,550 to US$6,660. **Saint Lucia** allocated US$3.7 million for direct subsidisation of rice, flour and sugar, and improved the targeting of subsidies. **Saint Vincent and the Grenadines** created a subsidy for electricity and provided fertiliser subsidies to 1,776 farmers (reducing costs by 50%) through support provided by Venezuela.

Recognising the poverty impacts of the global recession in 2008, several countries actively expanded enrolment in their flagship conditional cash transfer programmes. For example, in **Jamaica**, the number of PATH beneficiaries increased by 20% in 2010, after a steady coverage of 355,000 in 2008 and 2009.

Responses to Migration and Displacement

Trinidad and Tobago - In May 2019, the Government conducted a two-week registration exercise issuing 16,500 work permits valid for one year. This was extended to an additional year in 2020.

Guyana - The Government has been issuing renewable three-month stay permits. Migrants are entitled to free healthcare and education. With the support of UNICEF, the Ministry of Social Protection has also been responding to the impacts of COVID-19 by extending an existing cash-grant programme to include Venezuelan migrants.

CARICOM/OECS – The Protocol on Contingent Rights confers social and economic rights to Caribbean community nationals and their immediate families who move to another country, including access to services such as education and health, on the same basis as nationals of the receiving country.

Saint Lucia - In the aftermath of Hurricane Maria in 2017, Saint Lucia received displaced Dominican nationals who were temporarily onboarded onto national social protection programmes to address their immediate needs.

Responses to the Covid-19 Pandemic

Cash Transfers

Several countries have used temporary increases in cash transfer benefits and expansions to support people. The following implemented top-up payments: **Barbados** (Welfare Department), **Cayman Islands** (Permanent Financial Assistance), **Dominican Republic** (PROSOLI), **Jamaica** (PATH), and **Trinidad and Tobago** (Food Support Programme, Public Assistance, and Disability Assistance).

In some cases, international donors and agencies have supported the top-ups. In **Saint Lucia**, WFP provided financial support for increased benefits for persons living with HIV/AIDS and UNICEF for existing beneficiaries of the Child

Disability Grant and Foster Care grant programmes. In **Anguilla** and **Jamaica**, UNICEF supported top-up grants. In **Dominica**, WFP supported top-up grants to the Public Assistance Programme. WFP and the Ministry of Youth, and the Bureau of Gender Affairs have also established the COVID-19 Social Cash Transfer Programme, which targets persons not benefitting from other COVID-19 assistance programmes. While the PAP in Dominica relies on paper-based registration, the Social Cash Transfer Programme introduced digital registration processes, and a digital reconciliation of manual payments through quick response (QR) codes.

Saint Kitts and Nevis expanded existing cash transfer programmes to new beneficiaries, with additional funding allocated to the Poverty Alleviation Programme for households that may fall into poverty and become eligible. In **Sint Maarten**, the Income Support Programme expanded to support people affected by the COVID-19 crisis. In **Saint Lucia**, the Government expanded the Public Assistance Programme from approximately 2,600 to 3,600 households for six months with support from the UN India Fund and WFP, which will link to a permanent expansion under the World Bank-supported Human Capital Resilience Project. This intervention is unique in resulting in the sustained inclusion of new beneficiaries into the social assistance programme.

Many governments have launched entirely **new cash transfer programmes** in response to the pandemic. These programmes use elements of social assistance and social insurance, as they replace lost income but are not funded by direct contributions to social security. Examples include:

The Bahamas launched the Unemployment Assistance scheme, which provides weekly payments for up to eight weeks to self-employed workers, focusing on the tourism sector. The National Insurance Board manages delivery of the transfer although the Board does not fund the programme.

Belize created the Unemployment Relief Program to support employed and self-employed workers who have lost their jobs because of COVID-19. Benefits are paid every two weeks for 12 weeks.

Trinidad and Tobago provided cash transfers for three months to households with a laid-off family member or reduced income due to the pandemic. Rental assistance is also available to this target group.

Saint Vincent and the Grenadines launched a stimulus package that includes cash transfers to those who are not already receiving social protection support, focusing on workers in the hotel and tourism sector.

Other new cash transfer programmes target people living in poverty and facing social vulnerabilities. In **Jamaica**, the COVID-19 Allocation of Resources for Employees (CARE) programme included several grants targeting different segments of the population to provide support to people not receiving assistance through other programmes.

School Feeding and Food Assistance

School closures led to the need to adapt school feeding programmes. New approaches include: the provision of take-home rations (**Belize and Dominican Republic**); food vouchers (**Cayman Islands**); and cash support (**Trinidad and Tobago**), where children enrolled in the national School Feeding Programme have received temporary cash support through the Food Support Card programme. In **Jamaica**, children in the PATH programme also have received food packages.

Many countries have delivered food packages to vulnerable households in response to the economic downturn caused by the pandemic. These include **Antigua and Barbuda, Barbados, Belize, Cayman Islands, Curaçao, Guyana, Jamaica, Montserrat, Saint Lucia, Sint Maarten, Saint Vincent and the Grenadines, Turks and Caicos Islands and Trinidad and Tobago.** The latter also leveraged its existing Food Support Programme expanding its reach to vulnerable individuals and households not receiving other food support initiatives for an initial period of three months.

Social Insurance

An initial and rapid social insurance response implemented by some countries has consisted of advancing payments. The delivery of pensions in **Jamaica, the Bahamas, and Saint Vincent and the Grenadines** were brought forward.

Unemployment insurance benefits for those contributing to social security have been created, increased or adapted in response to the crisis. Examples include **Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, and Trinidad and Tobago**. In **Barbados**, application requirements have been relaxed.

Labour Market Policies

Caribbean countries have implemented various measures to support firms in the formal sector. Most consist of wage subsidies – implemented in **Dominican Republic, Jamaica, and Sint Maarten**. Other measures include waiving or subsidizing social security contributions (e.g. Barbados).

Other Measures

Other relevant measures in response to the socioeconomic impacts of COVID-19 include relaxing the payment of utilities and other financial obligations. Payments have been suspended or postponed in the **British Virgin Islands, Saint Lucia, and Saint Kitts and Nevis.**

OVERVIEW OF DRM LEGISLATION IN THE CARIBBEAN

DRM system type	Law / system description	Salient features	Salient features
Broad DRM law(s)	Covers the full spectrum of DRM and establishes specialist national institutions for DRM coordination and at least some local structures or roles.	Most of these laws post-date the 2005 Hyogo Framework of Action (HFA) and the 2001 Comprehensive Disaster Management (CDM) framework of CDEMA. They establish a designated authority for dealing with disasters and place emphasis on early warning; some set up disaster funds. These are generally associated with national-level DRM/disaster risk reduction plans or policies.	Anguilla Antigua and Barbuda Bahamas Jamaica Saint Lucia Saint Vincent and Grenadines British Virgin Islands
Emergency management law	A specific law focused on disaster response, with some elements of preparedness, early warning systems (EWS), response and recovery mechanisms.	The head of the state usually is directly responsible for declaring an emergency and, subsequently, for coordinating response.	Barbados Montserrat Belize
No laws, but national-level DRM plans	DRM legislation does not exist, but national-level plans to deal with disasters are in place.	These plans are usually limited to the scope of disasters, i.e. they may deal with only one type of disaster.	Turks and Caicos Trinidad and Tobago Grenada Haiti Guyana
No laws, but development plans with DRM/ disaster risk reduction focus	No DRM legislation or plans; however, national development plans or sectoral plans mention DRM and associated processes to follow in disasters.	Disaster management is incorporated in the development plan or climate change plan, or in in sectoral plans.	Saint Kitts and Nevis Dominica Suriname

SOCIAL PROTECTION AND CLIMATE CHANGE

Climate change is anticipated to significantly impact the Caribbean, given the region's exposure and vulnerability to climate hazards such as sea-level rise, drought and extreme weather events. Social protection can play an important role in supporting climate change adaptation of poor and vulnerable households and mitigating the negative effects of climate change. There are various ways to link social protection to climate change activities to achieve these objectives. For example, linking climate models that assess current and future climate variability to vulnerability assessments to better understand potential impacts. Such analysis can help inform social protection measures and ensure these are viable in various possible climatic scenarios.

Countries may also consider including differentiated design features in their standard social protection programmes that will help to promote adaptation to climate change. Linking climate risk insurance to social protection systems can play an important role in protecting and promoting the livelihoods of poor and vulnerable households exposed to climate hazards. if aligned with climate change adaptation and disaster risk reduction, public-works programmes can enhance a household's adaptive capacity by creating assets to increase resilience to future shocks, for example, by enabling livelihood diversification or by better protection from the shock itself. Given the uncertainty in predicting the specific effects of climate change, social protection represents a low-regrets investment that can enhance adaptive capacity to climate change while supporting poverty reduction.

Source: OPM/WFP, 2019

EARLY WARNING SYSTEMS IN THE CARIBBEAN

Early warning systems can play a significant role in predicting hazards to initiate preventive actions to reduce losses and damages. Early warning consists of various systems and processes, including hazard monitoring, forecasting and prediction, assessing and communicating the expected risk, and finally initiating and executing preparedness measures. Early warning operates on various time scales – for example: very short-term (such as tsunami warnings, which may be issued only a few minutes before the event); medium-term (i.e. one to a few days such as storms warnings); and even longer-term (seasonal drought warnings). The number of efforts to develop multi-hazard early warning systems, which cover multiple events, is growing.

Early warning should be followed by early action to reduce potential impacts before a disaster. DRM actors are continually making efforts to strengthen early warning–early action systems, and new approaches look to link up early warning systems, disaster risk financing and flexible social protection programmes to better support disaster-affected communities before and after shocks. Similarly, building on large beneficiary databases for individual DRM or relief assistance programmes could offer a more coordinated approach to respond, especially where social protection information systems lack coverage and if key pre-conditions around data protection can be established.

Source: WFP/OPM (2019)

OVERVIEW OF MANAGEMENT INFORMATION SYSTEMS

Management information systems are systems hold beneficiary information and use it for the design, implementation and monitoring of programmes. They are directly linked with targeting methods and mechanisms. These systems range from simple programme documentation (such as documenting a geographic distribution point and the tonnage of food assistance or cash/voucher value distributed), to electronic systems that capture socioeconomic information on beneficiary individuals and households (such as age, gender, residency, income level, education, employment, housing characteristics, etc.). Management information systems are primarily used to administer and track benefits transfer to individuals or households. They are sometimes also used to facilitate targeting.

Management information systems can be used to:

- capture individual or household information
- identify beneficiaries for particular programmes
- register individuals or households for particular programmes
- provide transfers, particularly for cash transfers or vouchers
- provide a record of transfers made to individuals or households
- link targeting, enrolment and payment
- store information on complaints and feedback (grievances)
- offer monitoring information
- provide data to use for reforms, re-design and reporting
- manage and administer benefits
- harmonize shock-responsive social protection measures with other forms of relief assistance.

Source: Beneficiary Identity Management Guidance (WFP, 2018)

EXAMPLES OF SOCIAL PROTECTION INFORMATION SYSTEMS IN THE CARIBBEAN

Country and information system	Type of system[70]	Data collection approach	Individuals/ households covered	Targeting index associated with the information system
Belize Single Information System of Belize (SISB)	Social registry	Populated through the Building Opportunities for Our Social Transformation (BOOST) census survey registration process in 2011 and further data collection in 2014	26,334 households (130,904 people) – 35% of the population	Proxy means testing (PMT)
Haiti Information System of the Ministry of Social Affairs and Labour (SIMAST)	Social registry	Staff from the National Coordination of Food Security of the Ministry of Agriculture, affiliated with Kore Lavi, carry out census surveys in areas of intervention.	152,000 households – approximately 7% of the population	The Haiti Deprivation and Vulnerability Index (HDVI) algorithm has 20 indicators to identify households that expenditure poor and exhibit deprivation in multiple living conditions.
Haiti Registre Unique des Bénéficiaires (RUB) (forthcoming)	Integrated beneficiary registry	Data integration across existing databases.	Forthcoming	Forthcoming
Jamaica Beneficiary Identification System	Integrated beneficiary registry	On-demand application (at parish office or applicant's household if unable to visit office).	353,118 people (2018) approximately 12% of population	PMT
Saint Kitts and Nevis Single Household Registry	Social registry	Census survey conducted in 2014.	6,000 households, approximately	PMT
Source: OPM/WFP, 2019				

70. There are two approaches to creating an integrated social protection information system: (1) integrated beneficiary registries integrate information from existing programme management information systems to house comprehensive information on beneficiaries (e.g. to give an overview of who receives what); and (2) social registries centralise the collection and housing of data on potential beneficiaries to integrate the approach to registration and determining eligibility across programmes (Barca, 2017).

EXAMPLES OF SOCIAL PROTECTION MANUAL PAYMENT SYSTEMS IN THE CARIBBEAN

Country	Details
Grenada Support for Education, Empowerment and Development	Cash delivered at Government District Revenue Offices across the country.
Haiti Social Assistance Fund (*Caisse d'Assistance Sociale*)	Cash transfers provided through a monthly distribution of cheques at the central office in Port-au-Prince.
Jamaica Programme of Advancement Through Health and Education	Principally provided by cheques at local post offices (81%). Printing and distributing nearly 300,000 cheques is time-consuming and laborious. The Ministry of Labour and Social Security (MLSS) has staff and equipment to handle printing and sorting cheques in two dedicated rooms at the MLSS building. Beneficiaries have 15 working days to collect the cheques after they are delivered to the 729 post offices and postal agencies. (Pulver, 2017).
Saint Vincent and the Grenadines Poor Relief	Payments transferred by the Treasury to the constituency offices. The Village Council Clerk makes payments to clients in cash at the Village Council Office on set days every month. During payment, the Clerks asks beneficiaries to sign the payment list on delivery of the benefit (Arreola, 2018).
Dominica PAP	In the two main cities, beneficiaries can collect payments at government offices, or through bank transfers in some limited cases. Outside these areas, Village Councils make all payments. The Councils collect the cheques from the Ministry of Health and Social Services, change the cheques to cash, and disburse the payments in their respective village offices (Beazley, 2018).
Source: OPM/WFP, 2019	

EXAMPLES OF SOCIAL PROTECTION ELECTRONIC PAYMENT SYSTEMS IN THE CARIBBEAN

Country	Details
Antigua and Barbuda People's Benefit Programme	Debit card through a local bank that can be used with four authorised vendors in Antigua and two in Barbuda.
Belize Building Opportunities for Our Social Transformation	The Accounts and Finance Department transfers the money to the Credit Union accounts of the beneficiaries (Otter *et al.*, 2016). To reduce barriers for beneficiaries, transfers are made to the beneficiary's bank account at no cost to the beneficiary or bank and can be withdrawn at any point without charge. The Government gives each beneficiary the money (15 Belize dollars 15) necessary to open and maintain the account (Coirolo and Berger Gonzales, 2018).
Jamaica Programme of Advancement Through Health and Education	Electronic payments started in 2006 by introducing National Commercial Bank key cards used in ATMs (now accounting for 14% of transactions). Users can transact through 258 Automated Banking Machines and 9,000 merchant locations island wide. In 2014 an additional electronic payment mechanism was introduced, allowing beneficiaries to collect transfers from select remittance agents through two providers (now accounting for 5% of transactions) (Pulver, 2017).
Saint Vincent and the Grenadines Non-contributory Assistance Age Pension	Direct transfers to the bank/credit union accounts of beneficiaries each month (paid via the National Insurance Services) (Arreola, 2018).
Trinidad and Tobago Public Assistance Grant, Disability Grant and Senior Citizens' Pension	Direct deposit into the person's bank account or by cheque mailed directly to the person's address. The Government is in the process of transitioning all recipients to electronic bank transfers.
Trinidad and Tobago Food Support Programme	The monthly transfer is made through a magnetic card managed by a household representative and allows the purchase of food items at retail outlets.
Source: OPM/WFP, 2019	

UNITED NATIONS WORLD FOOD PROGRAMME
Caribbean Multi-Country Office
UN House, Marine Gardens
Christ Church
Barbados

Email: caribbeanmco@wfp.org
Website: https://wfp.org/countries/caribbean