



# **Sahel Adaptive Social Protection Program**

**Addressing the challenges of  
climate change and disaster risk  
for the poor and vulnerable**

**Annual Report 2016**

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# 1

## Background and introduction

**Adaptive social protection is an integrated approach that can help address the challenges of adaptation, resilience building, and disaster and climate risk management for the poor and vulnerable.**

Adaptive social protection programs are flexible ones that can protect poor households from climatic and other shocks before they occur (through predictable transfers, building community and household assets, and accompanying measures that build resilience), as well as scaling up support to respond to extreme events when they hit. Through these interventions, adaptive social protection systems can help build long-term resilience to climate-related shocks and other risks, protect the poor when affected by shocks, reduce extreme poverty, and contribute to achieving shared prosperity.

**The objective of the Sahel Adaptive Social Protection Program (ASPP) is to increase access to effective adaptive social protection systems for poor and vulnerable populations in**

**six countries in the Sahel** (Burkina Faso, Chad, Mali, Mauritania, Niger, and Senegal). The ASPP aims to achieve its objectives through financing activities that will help develop adaptive social protection systems and programs to help individuals, households, communities, and societies build resilience, equity, and opportunities (box 1.1). The Sahel ASPP multidonor trust fund (MDTF) complements and supports a large International Development Association (IDA) portfolio of approximately \$270 million for social protection,<sup>1</sup> and is an integral

### BOX 1.1 About the ASPP

The ASPP was launched in March 2014 to support the design and implementation of adaptive social protection programs and systems in the Sahel. The ASPP is funded by a multidonor trust fund managed by the Social Protection and Labor team of the World Bank, with significant collaboration from the Bank's Disaster Risk Management, Gender, Social Development, Disaster Risk Financing, Poverty, and Climate Change Global Practices/Cross-Cutting Solution Areas. The U.K. Department for International Development (DFID) has committed to provide funding of £47 million over four years (2014–18) to the program. More donors are expected to come on board during implementation.

<sup>1</sup>Specifically, in Burkina Faso, the ASPP additional financing complements a \$50 million IDA safety net project; in Mali, a \$70 million IDA operation; in Mauritania, a \$25 million operation

part of the larger Sahel initiative.<sup>2</sup> The ASPP also provides technical assistance and financing to operationalize the design and implementation of adaptive social protection through a regional Bank-executed programmatic activity that provides research and analytical support to the overall program, Bank-executed technical assistance in each country, and recipient-executed grants to participating country governments to build and implement adaptive social protection systems and programs. An Innovation Window further supports innovation, learning, and knowledge generation through provision of selected grants to World Bank task teams.

The **overarching regional programmatic activity** supports implementation of the ASPP through a flexible mechanism for regional research and knowledge activities as well as just-in-time activities to assist country programs. This activity supports a regional vision for knowledge generation and coordination covering analysis of poverty, climate change risk assessments, gender, scalability and disaster risk management, sources of vulnerability, prices and markets, nutrition, and institutional capacity and coordination. Support is also provided to advise, coordinate, and summarize impact evaluations, process evaluations, and targeting analysis, generating country-level as well as regionally applicable knowledge products.

The **country-level Bank-managed activities** support the design and establishment of adaptive social protection systems and programs by creating country-specific, relevant research, knowledge, and operational lessons. Through this component, the ASPP further supports technical assistance and capacity building aimed at improving the design, effectiveness, and sustainability of social protection policies and programs with adaptive elements. These activities are specifically targeted to each country's context and needs. They include creation, documentation, and dissemination of vulnerability and poverty analyses, macroeconomic studies (see box 1.2 for an example), system assessments, labor market policies and employment opportunities, among others. Support is also provided to facilitate program design, feasibility studies, country-specific impact and process evaluations, targeting analysis, and other types of assessments of government social protection pilots and programs. Knowledge dissemination and South-South learning exchange activities are also supported.

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(\$15 million funded by the IDA and \$10 million by the government); in Niger, total IDA safety net financing of \$92.5 million; and in Senegal, a \$40.5 million IDA operation.

<sup>2</sup>In 2013, the World Bank Group launched a Sahel Initiative with a development pledge of \$1.5 billion to help the region's countries tackle political, food, climatic, and security vulnerabilities through a regionally coordinated approach to build resilience and promote economic opportunity for families and communities.

**Recipient-executed grants provided directly to governments** are used for piloting and scaling-up promising and innovative programs with the potential to institutionalize adaptive social protection systems in the countries. These grant programs have been designed based on careful assessment and analysis supported through country-level and regional work programs. They will contribute to building institutions and procedures for setting up adaptive social protection systems, as well as create evidence and lessons from innovative programs that can help address the challenges of adaptation and climate risk management for the poor.

**Innovation Window** activities that have a strategic focus on testing new and innovative approaches to adaptive social protection have been identified and selected through a careful competitive selection process. These activities will inform the overall regional knowledge agenda, as well as provide important support to in-country activities.

### BOX 1.2 **Macroeconomic study of vulnerability in Senegal**

A macroeconomic analysis is being conducted in Senegal to understand the profiles of households vulnerable to shocks and the correlation of this vulnerability with poverty. Stakeholders involved in early warning systems, safety nets, food insecurity, nutrition and coordination, and program implementation are being consulted to ensure the study's relevance to the local context.

The definition of vulnerability adopted by the study is a "significant threat of welfare loss due to a shock." The study tries to calculate vulnerability in stages, using data from 2011: (1) document shock exposure by livelihood type; (2) model the impact of shocks on households with different livelihoods and coping abilities; (3) using historic information on rainfall and malaria incidence, calculate the possibilities for shocks affecting future welfare, as proxied by consumption/poverty, nutrition, school grade, and assets based on the available data; and (4) calculate vulnerability to consumption and nutrition poverty and compare them.

Together with ongoing studies on the profiles of beneficiaries of social assistance programs and a comparison of the targeting outcomes of the household economy analysis/Unique Registry targeting methodology, this study will help determine which households are most vulnerable to shocks and how to target them. The conclusions and recommendations will be used to design a part of the safety nets mechanism responsive to shocks.

# 2 Implementing the ASPP

## 2.1 Implementation overview

**ASPP implementation has been ongoing since September 2014**, after the completion of the inception phase which led to the approval of the first work program by the ASPP Operations Committee and the ASPP Consultative Group. During its first year of implementation (fiscal year 2015 [FY15]), the ASPP undertook a significant amount of work, as the World Bank task teams finalized and began implementation of the Bank-executed work program. Those activities are now well under way and paving the way for preparation and implementation of the recipient-executed programs. Recipient-executed activities for Mauritania were approved in May 2015.

**During its second year of implementation (FY16, which is covered by this progress report), the program advanced in the implementation of both country-level and regional programmatic activities, and launched the Innovation Window.** Country-specific research and knowledge activities were initiated and a number of products completed, as summarized in this report. The country work programs focused on advancing design and implementation of recipient-executed activities, which are now ongoing or about to start in all six countries. At the regional level, the work program focused on identification of new activities as well as continuation of activities started during the program's first year. The Innovation Window was launched through a competitive process, and four proposals were approved and selected for funding.

**There has been substantial progress in regional programmatic activities.** Strategy notes have been prepared and updated for disaster risk management and social protection, price and market information, gender in adaptive social protection, safety nets and productive employment, targeting, and impact evaluation. These activities are well under way. In addition, new work programs are being developed for resilience and vulnerability, nutrition, and institutional coordination and capacity. Just-in-time technical assistance has been provided

to address specific requests related to implementation of country programs. For example, support was provided in Niger regarding the introduction of smart cards. The overall regional programmatic work program will significantly improve the knowledge base on how to assist the most vulnerable in managing and responding to shocks and disasters in the Sahel and beyond, and will support the country teams by summarizing regional lessons in a manner applicable to their programs and projects.

**Overall, the ASPP is in a solid position to meet its end targets.** At the end of June 2016, 12 of 20 targets in the results framework were met (3 targets) or exceeded (9 targets). Considering Department for International Development (DFID) indicators only, 11 of 16 targets were met (3) or exceeded (8). Targets that had not yet been reached are likely to be achieved by June 2017. The margin by which most of these unreached targets had not been achieved was small; the main reason for lower-than-expected values was that recipient-executed activities in Chad, Mali, and Niger became effective later than expected. [Appendix A](#) presents the full results matrix.

**Grant allocations and disbursements increased during FY16.**

Disbursements against the Bank-executed trust fund (BETF) significantly increased in the past year, and implementation of activities is in full swing. For recipient-executed grants, there have been some delays in finalization due to uncertain political and security conditions in some countries. However, with the expected approval of the recipient-executed grant in Burkina Faso later in FY17, all funds for recipient-executed activities will have been allocated and committed, for a total of \$46.65 million. Once the country-led activities begin on the ground, disbursements are expected to accelerate significantly. See [section 4](#) for more detail.

## **2.2 Moving toward adaptive social protection in the Sahel**

**Sahelian countries are among the poorest and least developed in the world, and are particularly vulnerable to various climate-related and other shocks.**

According to the most recent poverty numbers for the Sahel,<sup>1</sup> the poverty headcount ratio ranges from 61.9 percent of the population in Chad, to 50.4 percent in Mali, 44.6 percent in Burkina Faso, 43.6 percent in Niger, 29.6 percent in Senegal, and 23.4 percent in Mauritania. The Sahelian countries all rank low on the United Nations Development Programme's Human Development Index;

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<sup>1</sup> World Bank, <http://data.worldbank.org/indicator/SI.POV.DDAY>. Poverty is figured as living on less than \$1.25/day, using purchasing power parity (PPP) exchange rates.

their scores on indicators such as infant mortality, maternal mortality, nutritional levels, and health coverage are among the worst in the world. The majority of the Sahel countries are landlocked, rely on a narrow natural resource base, and are particularly vulnerable to climate-related shocks (including droughts and floods); these factors have resulted in an increased share of chronic poor and food insecure. Going forward, climate change is likely to cause more frequent and severe droughts and floods in the Sahel, particularly affecting pastoral and agro-pastoral areas. With more frequent natural disasters and intensified environmental degrading, people's lives and livelihoods are increasingly at risk. Extreme events and other shocks have negative and long-lasting consequences for human development and poverty reduction in the Sahel. First, these shocks most affect the poorest and most vulnerable, eroding human capital and forcing families to rely on a range of largely informal, suboptimal coping mechanisms such as high-interest borrowing, rescheduling of or default on existing loans, reductions in consumption, sale of household and productive assets (sometimes at highly reduced prices), and withdrawal of children from school, among others.

**Evidence increasingly shows that social protection systems and programs are effective tools to buffer individuals and communities from shocks and equip them to improve their livelihoods.** When designed correctly, such programs and systems can be important and cost-effective instruments for countries to prepare for, and respond to, disasters. In recent years, several countries in the Sahel have made significant progress at the strategic level by developing social protection strategies that emphasize the importance of investments in comprehensive systems. With ASPP support, these countries are now building on this and adjusting their programs and strategies to ensure that they support longer-term resilience building and shock response.

**The Sahel ASPP addresses key constraints and vulnerabilities in a region where the impacts of natural disasters and climate change are increasing in frequency and severity.** At the same time, the ASPP directly contributes to the World Bank's global strategy of reducing absolute poverty and promoting shared prosperity by expanding access to social assistance for the most vulnerable, enabling households to better withstand future shocks and invest in human capital development, and developing sustainable systems that will enable these countries to provide cost-effective adaptive social protection in the long term. The ASPP builds on and supports the World Bank Africa Strategy—in particular, the pillar on vulnerability and resilience—and is consistent with the recently developed framework for the Sahel, the Africa Social Protection Strategy and the Country Partnership Strategies for each country.

A recently completed DFID-financed study highlights the interest of the states and intergovernmental organizations of the Sahel to extend social protection to the most vulnerable groups with the support of development partners, particularly in order to better protect populations against shocks and prevent acute food crises.<sup>2</sup> Given that food and nutritional crises have become more chronic than transitory, food security actors have encouraged the adoption of predictable cash transfers within an integrated intervention aimed at building resilience in order to prevent and respond more effectively to new forms of food and nutritional insecurity. At the same time, the crises that affected the region in 2008–12 have stimulated national dynamics around these issues. The study highlights the need for states and formal social protection mechanisms to link closely with humanitarian actors as well as informal social protection mechanisms.

**The objective of the ASPP is to increase access to effective adaptive social protection systems for poor and vulnerable populations in the Sahel.** The program aims to achieve its objective through financing activities that will help develop adaptive social protection systems and programs to support individuals, households, and societies build resilience, equity, and opportunities. These activities are expected to contribute to achieving long-term impact in helping poor and vulnerable people be capable of anticipating, absorbing, and recovering from climatic shocks and stresses. The program's objective (outcome), outputs, and activities (inputs) are consistent with its proposed theory of change (figure 2.1).<sup>3</sup>

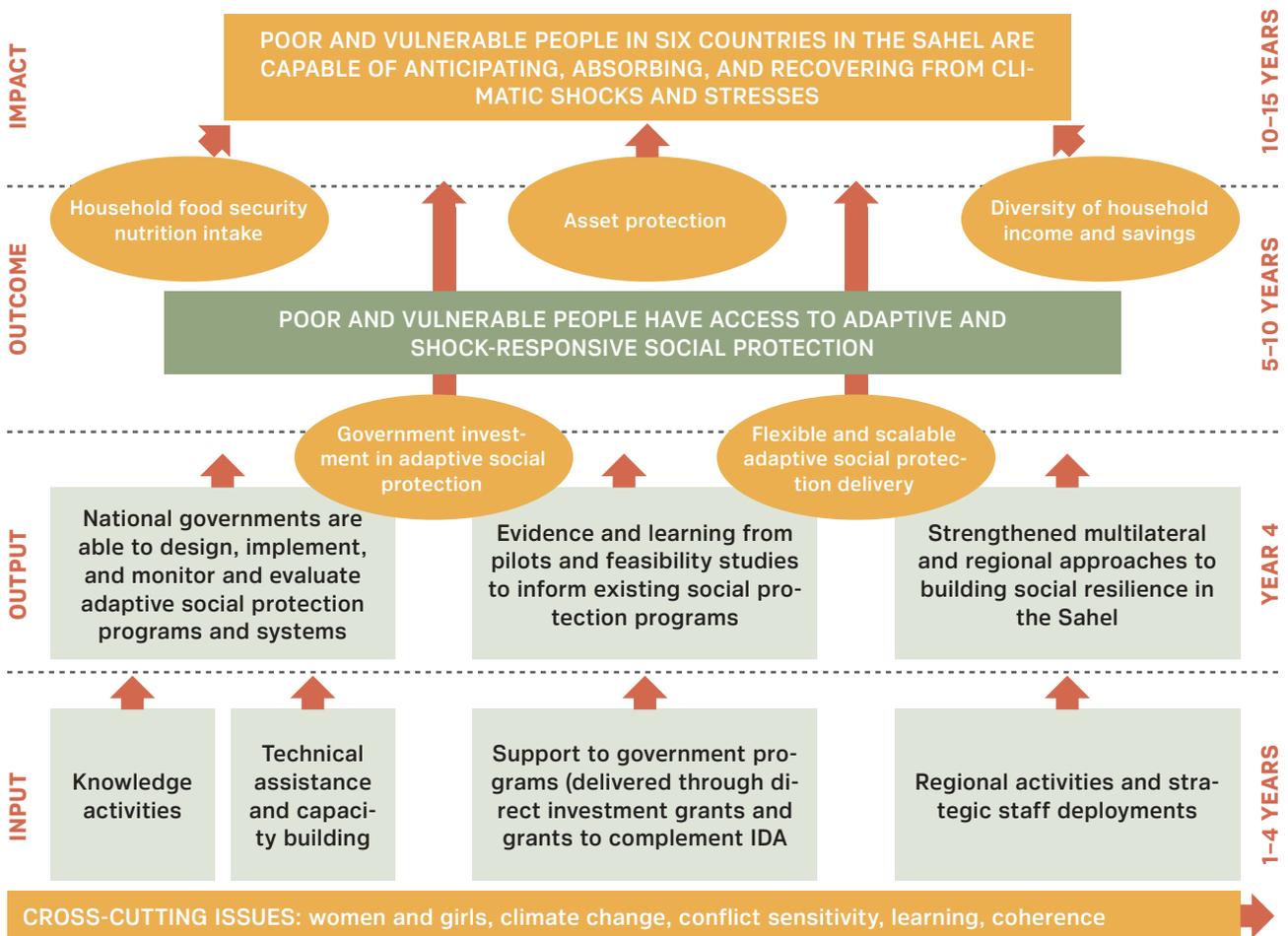
**One of the ways the ASPP is expected to improve the resilience of poor and vulnerable households is by helping them diversify their livelihoods—thus decreasing the need for adverse coping mechanisms such as debt or asset depletion.** The ASPP also seeks to promote the protection of physical and human capital through better risk management and livelihood diversification; this will allow households to diversify into higher-risk, higher-return activities, increasing household productivity and capacity for income generation. Livelihood diversification is expected to be further enhanced through productive interventions and training accompanying regular cash transfers. Through the Innovation Window, a dedicated work program on productive inclusion and livelihoods has been launched. It will leverage experiences from Consultative Group to Assist the Poor (CGAP) graduation pilots and similar programs to develop and implement a comprehensive livelihoods package for adaptive social

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<sup>2</sup>C. Cherrier, C. Watson, and J. Congrave, "Shock-Responsive Social Protection Systems Research: Case Study—Sahel" (Oxford, UK: Oxford Policy Management, 2016).

<sup>3</sup>For details on the ASPP theory of change, see DFID, "Business Case for Building Resilience in the Sahel through Adaptive Social Protection for Funding under the UK's International Climate Fund (ICF)" (London: DFID, 2013).

FIGURE 2.1 ASPP theory of change



protection programs. Other examples include Burkina Faso, Mali, and Niger, where accompanying measures focus on nutrition and early childhood development with the objective of building human capital; and Mauritania, where innovative methods are being used to complement transfers and traditional social promotion sessions, including radio, text messaging (SMS), games, and commitment tools to keep households engaged.

**The ASPP supports public works interventions that seek to generate public goods and community assets with environmental benefits that can contribute to improve natural resource management and community resilience.** Public works activities are implemented during the lean season in vulnerable communities, thereby providing income support to people affected by temporary food insecurity in exchange for their work on microprojects. Public

projects include land restoration interventions, natural resource management, and environmental protection. These interventions seek to protect the environment and local livelihoods, and include construction of firebreaks, half-moons, desilting of ponds, dune stabilization, and pasture protection against invasive weeds. The public works interventions are designed to maximize community ownership and lead to the production of community assets that can have sustainable benefits. For instance, in Niger, a new set of accompanying measures is being developed and tested with the objective of strengthening community participation and maintenance of community assets beyond the life of the project, with a focus on resilience in the medium term.

**The ASPP helps build adaptable social protection systems and programs that are flexible and scalable, and provide support to poor and vulnerable people.**

There are several ways in which social protection systems can be used to respond to climate shocks and other extreme events. These include institutional coordination of social protection agencies with relevant climate change and disaster risk management actors; ensuring the scalability of programs in the face of an extreme event to either reach more beneficiaries and/or provide additional grant money during the crisis before scaling down when the need subsides; targeting households that are most vulnerable to natural hazards and climate change-related risks; and designing programs that increase the adaptive capacity of households and communities. The ASPP provides support for systems development such as early warning and information systems, flexible financing mechanisms, and institutional coordination and capacity building. It also supports the design of new, responsive programs, as well as strengthen existing programs to expand and include newly eligible beneficiaries or access new geographies when there is a shock. For example, in Mauritania, the ASPP has supported an in-depth analysis of existing early warning systems and has started to support the design of a contingency response plan that will define which indicators are monitored and used to define periods of crises, set the thresholds that will trigger a response, establish a financing strategy to ensure timely availability of funds, and define the parameters of the response (amounts, target population, transfer mechanisms, and so on).

Overall, ASPP investments are expected to result in three outputs: (1) national governments that are able to design, implement, monitor, and evaluate adaptive social protection programs and systems; (2) evidence and learning from pilots and feasibility studies to inform adaptive social protection programs; and (3) strengthened multilateral and regional approaches to build resilience in the Sahel. Knowledge activities will help create evidence and learning on how social protection programs can be most effectively designed in order to enable poor and vulnerable households to anticipate, absorb, and recover from shocks.

This evidence and the learning created will be a key input to enable national governments to implement sustainable adaptive social protection programs and systems.

**Support to government programs will be delivered through direct investments and grants to complement IDA-supported programs.** This approach will provide governments with an opportunity to expand the range of their existing social protection programs and test innovative interventions to promote adaptive social protection. In turn, testing new and innovative interventions will generate evidence and learning on good practices and the effectiveness of the ASPP approach. The experience and learning gained from these programs will allow national governments to better design, implement, monitor, and evaluate adaptive social protection programs and systems.

**Technical assistance will support policy dialogue, program design and development, and implementation of adaptive social protection strategies.** Training will be provided to government staff to incorporate risk management and climate change adaptation considerations into program design and systems. Building country capacity through training and technical assistance is another essential ingredient in enabling governments to implement adaptive social protection programs and systems.

**Regional activities and strategic staff deployments support regional knowledge platforms to share and disseminate lessons and foster regional coordination.** The program supports strategic staff deployments to coordinate, support, and work closely with national, multilateral, and regional institutions with the objective of building adaptive components into programs and systems. Improved coordination and support, and enhanced knowledge on what works across different partners, will strengthen multilateral and regional approaches to building social resilience in the Sahel.

**To date, the ASPP has provided significant support to all six countries in advancing their adaptive social protection agenda.** The recipient-executed projects have been approved in five countries; design is under finalization in Burkina Faso. A number of studies at the country and regional levels informs country dialogue and programming, and selected innovative activities have been launched under the Innovation Window.

Specific activities supported by the program include the following; also see table2.1.

- **Design of safety net programs that integrate disaster-risk reduction and climate change adaptation into basic program design.** In this way, the ASPP has moved beyond a purely ex post, responsive role to include activities that build the resilience and adaptive capacity of beneficiaries through, for example, public works to build community assets that address disaster risks. In Mali, the ASPP is supporting the introduction of new accompanying measures to strengthen the impact of transfers on household resilience as well as financing the implementation of two new cash transfer interventions, which include labor-intensive public works and income-generating activities.
- **Targeting mechanisms that help identify those most vulnerable to natural hazards and climate change-related risks.** Building such a system allows for using climate/hazard information to specifically target ex ante those most at risk of being hit by these types of shocks and to quickly scale up a program when needed. In Senegal, the Unique Social Registry (Registre National Unique) is being developed to preregister the poorest and most vulnerable in the country. The ASPP is supporting in-depth analysis of the patterns of poverty and vulnerability to propose a test that can be used to identify the most vulnerable (in addition to the proxy means test used to rank households in terms of poverty). This work is being conducted under the leadership of the government, and in collaboration with a consortium of nongovernmental organizations (NGOs) which operate in the field of humanitarian interventions, to ensure a solution that is endorsed by all actors. In Mali, Bank-executed activities supported the development of a management information system (MIS) that consolidates local statistics on poverty, vulnerability, climate change, disaster, and human capital in one place. This repository of small area statistics can be used to allow an analysis of indicators on human well-being and poverty within a region, therefore informing relevant policies in the country.
- **Developing and linking to early warning and climate information systems.** This approach can be used in geographic targeting and planning for risk reduction, in addition to helping design effective emergency response and adaptation programs.
- **Design of risk financing mechanisms that complement and support social protection systems to build long-term resilience and provide ex ante, rapidly accessible financing when disasters hit.** In Mauritania, a team of specialists in the financing of responses to risks is currently analyzing past responses, as well as patterns of shocks and exposure to shocks, with a view to proposing a financing strategy that would combine different types of

instruments in order to match the financing needs resulting from the country's exposure to shocks. In Mali, Bank-executed activities supported technical assistance on the topic that led to the creation of an intersectoral committee to lead this work.

- **Complementary activities such as training on basic skills and livelihood diversification, as well as accompanying measures aimed at promoting health sanitation practices, nutrition, early childhood development, and so on, to advance the goal of strengthening human capital and resilience of the poor.** In Mauritania, the program includes a series of activities on an innovative set of good practices. In particular, the accompanying measures will aim to promote good practices in terms of communication with infants, dialogue and stimulation for very young children, nonviolent approaches to child-rearing, and activities to encourage autonomy and emotional maturity. These measures are based on recent scientific discoveries on early childhood development and draw on successful programs in Mexico and other Latin American countries. Similar activities are included in the Niger program.
- **Linking with interventions that promote more productive employment of poor people in income-generating activities to help raise living standards, diversify livelihoods, and help households manage risks.** In Senegal, the government has decided to combine the preferential inclusion of poor households in existing resilience programs with accompanying measures that focus on behavioral measures critical to increased resilience, and with one-off productive transfers that would promote the adoption of productive practices among targeted households. The inclusion of households in resilience programs will be based on strategic partnerships with existing initiatives. These partnerships will set out the adaptation of existing resilience programs to the particular segment of households of the Unique Social Registry through—among others—improvements in the targeting of programs, introduction of an additional training component, adaptation of productive interventions so as to reach the poorest, adaptation of training programs to improve their adequacy with the academic levels of the poorest population segments, and adaptation of the accompanying technical assistance.
- **Learning from innovative approaches through support to impact evaluation, targeting assessments, and process evaluations.** A rigorous impact evaluation has been built into the design of ASPP projects. In Mali, Bank-executed activities are financing studies to better inform policy dialogue, including an income-generating activities review, a labor-intensive activities review, and a targeting assessment.

**Each of the three program outputs are key ingredients in enabling poor and vulnerable people in the Sahel to have access to adaptive and shock-responsive social protection.** In fact, access to adaptive social protection by poor and vulnerable households can only be achieved at scale if national governments are able to design, implement, monitor, and evaluate adaptive social protection programs and systems. Similarly, for governments to be able to provide access to effective adaptive social protection systems, it is necessary to have evidence and knowledge on what works best in the Sahel context. Strengthened multilateral and regional approaches facilitating learning and coordination can contribute toward greater and more effective access to adaptive social protection.

TABLE 2.1 Adaptive elements supported by the ASPP

Original safety net	New adaptive elements (recipient executed)	Adaptive social protection knowledge and technical assistance (Bank executed)
<b>Burkina Faso</b>		
<ul style="list-style-type: none"> <li>• Cash transfer targeting households with children in chronic poverty and supporting them with transfers for 3 years to break the intergenerational cycle of poverty</li> <li>• Accompanying measures (sensitization, training, and household visits) focused on nutrition and early childhood development</li> <li>• Building safety net systems such as an MIS and supporting the government's objectives of harmonizing, targeting, and building a social registry</li> </ul>	<ul style="list-style-type: none"> <li>• Adding a package of activities that aim to improve household resilience, economic activities, and investment in productive and income-generating activities</li> <li>• Complementing the long-term cash transfer program with a parallel, coordinated short-term cash transfer benefit specifically targeted to areas affected by poverty and food insecurity and providing support for a shorter period of time</li> <li>• Capacity building for linking early warning system and safety nets</li> </ul>	<ul style="list-style-type: none"> <li>• Analytical work on poverty and vulnerability</li> <li>• Analytical, piloting, and assessment work on targeting households that are poor and vulnerable to various kinds of risks and shocks</li> <li>• Technical assistance on harmonizing targeting mechanisms and building a unified social registry</li> <li>• Technical assistance to link the early warning system with a safety net MIS and program triggers</li> <li>• Analytical work and technical assistance to support a program on productive activities that can be provided to safety net beneficiaries to strengthen their resilience</li> <li>• Mapping exercise and evaluation and assessment of the results of existing programs that focus on food security</li> <li>• Analysis of government and donor spending on safety nets and humanitarian response</li> <li>• Analytical work on gender and intra-household resource sharing and decision making in polygamous households</li> </ul>
<b>Chad</b>		
<ul style="list-style-type: none"> <li>• Mainly emergency response, particularly to food crises</li> <li>• Safety nets, as provided by the government, are limited to subsidies to children, either as in-kind support in education and nutrition, or as free access to health care services</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen the linkages between safety net systems and emergency response, based on a renewed collaboration with early warning systems, the MIS, and other coordination systems</li> <li>• Merge in one database elements of chronic poverty targeting arrangements with more transient aspects of poverty, linked to vulnerability and shock exposure</li> </ul>	<ul style="list-style-type: none"> <li>• Refining targeting approaches in conjunction and support with the NGO community</li> <li>• Supporting the design of a social registry</li> <li>• Starting to pilot cash transfers and cash-for-work activities to support income and consumption</li> <li>• Enhance the analytical, policy, and programmatic work on accompanying measures, in particular to improve livelihoods</li> </ul>

(continued)

**TABLE 2.1 Adaptive elements supported by the ASPP** *(continued)*

Original safety net	New adaptive elements (recipient executed)	Adaptive social protection knowledge and technical assistance (Bank executed)
<b>Mali</b>		
<p>Direct cash transfer program and accompanying measures focusing on nutrition and health outcomes</p>	<ul style="list-style-type: none"> <li>• Labor-intensive public works to provide the adult population enrolled in the Social Registry with short-term employment opportunities, while building communal assets that will increase the resilience of communities to shocks and climate change risks</li> <li>• Income-generating activities to enable both small and subsistence agriculture workers and the poor and vulnerable enrolled in the Social Registry to be more productive, while at the same time boosting the local economy</li> <li>• New activities will help strengthen institutional capacity in the area of adaptive social protection and enhance coordination among government institutions; increased capacity and coordination will lead to improved service delivery, better targeting of the chronically poor and the vulnerable, as well as other improvements in development and humanitarian interventions</li> </ul>	<ul style="list-style-type: none"> <li>• Improve geographic information system; develop an information system that consolidates local statistics on poverty, vulnerability, climate change, disaster, and human capital in one place</li> <li>• Support for the development of the National Social Protection Strategy and policy discussion, ensuring that climate-related vulnerabilities are effectively included in the revamped strategy</li> <li>• Design of adaptive social protection tools to promote resilience as well as sustainable livelihoods among current cash transfer beneficiaries, including labor-intensive public works, income-generating activities and accompanying measures, and strengthening of the existing early warning system</li> </ul>
<b>Mauritania</b>		
<ul style="list-style-type: none"> <li>• Social registry of poor households</li> <li>• Payment of 25,000 extremely poor households (project objective); first payment was scheduled for November 2016</li> <li>• Social promotion agenda focusing on early childhood, health, education, and sanitation, as well as citizenship and child protection</li> </ul>	<ul style="list-style-type: none"> <li>• Adaptive elements (to be developed in FY 2017)</li> <li>• Early warning system definition and support</li> <li>• Triggers and related response set-up</li> <li>• Registry adaptation (if needed)</li> <li>• Implementation of the safety net program in case of shocks</li> <li>• Development of productive interventions for selected conditional cash transfer beneficiaries</li> </ul>	<p>The nonlending technical assistance contributes to make Mauritania's safety net system more adaptive and shock responsive through four pillars:</p> <ul style="list-style-type: none"> <li>• Analysis of patterns and drivers of vulnerability: <ul style="list-style-type: none"> <li>– Development of poverty map</li> <li>– Analysis of food price formation</li> <li>– Assessment of the situation of youth in the labor market</li> </ul> </li> <li>• Adaptation of the early warning system to trigger social protection responses to crises: <ul style="list-style-type: none"> <li>– Inventory of early warning systems</li> <li>– Review of past financing mechanisms</li> </ul> </li> <li>• Defining mechanisms for the Social Transfer Program to respond to crises and shocks</li> <li>• Designing adaptive measures to promote resilience of extremely poor households</li> </ul>

*(continued)*

TABLE 2.1 **Adaptive elements supported by the ASPP** (continued)

Original safety net	New adaptive elements (recipient executed)	Adaptive social protection knowledge and technical assistance (Bank executed)
<b>Niger</b>		
<ul style="list-style-type: none"> <li>• Establishment of key elements of a safety nets system: beneficiary selection and registration, MIS, payment systems, and grievance management mechanisms</li> <li>• A cash transfer program with accompanying measures to promote parenting practices conducive to investments in children's human capital</li> <li>• A cash-for-work program that provides the opportunity for temporary transfers and land recuperation</li> </ul>	<ul style="list-style-type: none"> <li>• Complementing early childhood development accompanying measures by adding a package to improve household resilience, economic activities, and investment in productive and income-generating activities</li> <li>• Introduce accompanying measures to build community capacity to manage cash-for-work activities (hence their impact on adaptation and resilience)</li> <li>• Strengthen national capacity for crisis prevention and response</li> <li>• Increase the efficiency of the safety net system to be rapidly scaled up in times of crisis</li> </ul>	<ul style="list-style-type: none"> <li>• Analytical work on poverty and vulnerability</li> <li>• Technical assistance on harmonizing targeting mechanisms and building a unified social registry</li> <li>• Designing adaptive measures to promote resilience of poor households</li> <li>• Analytical work to help the government develop a disaster risk financing system</li> <li>• Geo-referencing of cash-for-work microprojects to build government capacity to coordinate interventions and assess their impact</li> </ul>
<b>Senegal</b>		
<ul style="list-style-type: none"> <li>• Proxy means test revision</li> <li>• Targeting of 190,000 poor households in the Unique Registry</li> <li>• Payment of 30,000 households through mobile money</li> <li>• Design of communication tools on cash transfer and the Unique Registry</li> <li>• Complaint mechanism manual</li> <li>• Launch of MIS development</li> </ul>	<ul style="list-style-type: none"> <li>• New targeting criteria to identify households vulnerable to shocks</li> <li>• Expansion of the Unique Registry</li> <li>• An adaptation framework for safety nets that establishes procedures to scale up support in times of regular shocks</li> <li>• Modalities to promote greater resilience and productive capacity among the poorest</li> <li>• Additional modules for the system's MIS for adaptive interventions</li> <li>• Further strengthening of grievance mechanisms and the revision of relevant operations manuals and communication tools</li> <li>• Implementation of adaptive programs, including temporary expansion of the PNBSF or other temporary transfer programs for households affected by shocks (temporary transfers), preferential inclusion of poor households in existing resilience programs, activities to promote behavioral changes necessary to improve resilience, and one-off monetary transfers (productive transfers) to promote the adoption of good productive practices among target households</li> </ul>	<ul style="list-style-type: none"> <li>• Launch of 3 studies on vulnerability (results available end of 2016)</li> <li>• Macroeconomic study on vulnerability to shocks and its correlation with poverty</li> <li>• Empirical study: household economy analysis/ Unique Registry targeting comparison</li> <li>• Comparison of profile of beneficiaries of existing social assistance programs</li> <li>• Review of resilience programs in Senegal</li> <li>• Review of public works programs in Senegal and whether they could be used as a tool for the social protection strategy</li> <li>• Launch of public expenditure review with data collection (will help address question of financing of the adaptive elements)</li> </ul>

# 3

## Summary of activities

This section presents the ASPP activities launched so far in the six Sahelian countries, as well as at a regional level; progress and achievements for FY16; and the work plan for FY17. It also outlines the adaptive social protection approach promoted through the program and describes how all these activities contribute to achieving the overall program objectives.

### 3.1 Country program activities

#### FY16 progress

Implementation of Bank-executed activities continued and strengthened, including completion of a number of analytical products and launching of new ones. Recipient-executed activities have been approved in five countries: Mauritania (May 2015), Niger (April 2016), Senegal (August 2016), and Mali and Chad (September 2016).<sup>1</sup>

**Burkina Faso (\$10.5 million).** The key elements of the program in Burkina Faso include vulnerability analysis and risk mapping, assessments and technical assistance for strengthening institutions and systems for managing adaptive social protection programs, as well as studies on how to strengthen social protection programs for resilience. Recipient-executed activities include support for additional financing to the existing safety net project, which will focus on ensuring that the safety net system can be rapidly scaled up to respond to crises and can foster the resilience of the poorest households.

Implementation of Bank-executed activities is progressing well. A number of analytical activities have recently been completed or are currently in completion phase, including an updated analysis of poverty and vulnerability, an analysis of

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<sup>1</sup>The Burkina Faso recipient-executed activities were expected to be approved in December 2016.

### BOX 3.1 **Resource and risk sharing in polygamous households in North Burkina Faso**

This study's description of common expectations on how polygamous households manage their resources points to several issues that should be considered in the design of social protection programs in the north region of Burkina Faso and beyond:

- Because different household members have responsibility for different types of household needs and expenditures, a program's desired outcomes (such as increasing consumption, reducing childhood malnutrition, improving food security, increasing human capital investment, or encouraging income diversification and productive activities) should influence the selection of the program recipient.
- Regardless of the recipient, cash transfers are likely to increase food consumption/food security for all members of a household.
- Since women are in charge of procuring ingredients and preparing sauces to accompany staple grains, providing cash transfers to women accompanied by information on nutrition may increase the probability of dietary diversification and the intake of extra protein, vitamins, and micronutrients through fruits, vegetables, nuts, oils, and meat.
- Cash transfers have the potential to increase access to medical care and schooling for children, regardless of whether they are transferred to the child's father or mother. It is likely that a mother will prioritize the use of a cash transfer for her own children.
- Given that adults in polygamous households tend to operate independent income-generating activities, cash transfers designed for productive investments should not be limited to one recipient.

*(continued)*

social protection and humanitarian spending and financing efficiency, an evaluation of the institutional arrangements in place and needed for adaptive social protection in Burkina Faso, a feasibility study on activities for building poor households' resilience and productivity, a feasibility study on programs for making safety nets respond better to shocks, and a study on the gender and intra-household dimensions for designing cash transfer programs with productive activities, with a focus on polygamous households in North Burkina Faso (box 3.1). The program also provides technical assistance on harmonizing targeting protocols and building a platform for a social registry. Collaborative work with nongovernmental agencies is ongoing to assess the targeting efficiency of proxy means test and household economy analysis methods and the overlap in terms of identifying various types of poor and vulnerable households.

Activities in FY16 culminated in a large international workshop organized in Ouagadougou in June 2016, where several of the outputs produced by the ASPP were shared with the government. Overall, the Bank-executed activities are starting to significantly contribute to the policy dialogue in the country and the actions the government is taking to strengthen safety nets and increase its importance on the political agenda for poverty reduction.

Also in FY16, the country team started preparing the recipient-executed component of the work program (\$9 million). A concept memorandum was finalized in June 2016. The additional financing package was under preparation as of this writing and was expected to be approved in December 2016.

**Chad (\$7 million).** The key elements of the program in Chad include a vulnerability assessment, a safety

assessment, and support to implementation of a pilot project to introduce adaptive social protection to the country. During FY16, Bank-executed activities were fully implemented and supported the preparation of the pilot project, while providing intense capacity building of key staff in relevant ministries and agencies. In addition, this component supported the work of the Interministerial Technical Committee; recruitment of an international cabinet to support the selection of the key staff of the newly created Social Safety Nets Unit (Cellule Filets Sociaux); as well as extensive analytical work, including finalization of a report on vulnerabilities and safety nets, a study on the identification ecosystem in Chad, a full environmental and social management framework, and other ad hoc studies.

The recipient-executed activities were prepared in FY16, through close collaboration between the Interministerial Technical Committee, the World Bank, and key agencies. The project was approved by the board on September 1, 2016. Transfers to the poor will include instruments such as cash-for-work opportunities and unconditional cash transfers, with related accompanying measures. The new institutional and implementation arrangements will lay the foundations for a coherent safety net system in Chad which, when fully established, will be able to adapt and scale up to respond to changing needs for safety nets over time.

**Mali (\$11.25 million).** In Mali, the key elements of the program include improving the geographic information system, supporting the development of the National Social Protection Strategy, and design and implementation of adaptive social protection tools. The implementation of Bank-executed activities is progressing well. Activities to Improve geographic information systems have concluded. Under support for the

### BOX 3.1 Resource and risk sharing in polygamous households in North Burkina Faso *(continued)*

- Program design should not rely on husband and wife collaboration for income-generating activities, since that would be highly unusual in this setting.
- In this region, women's income comes mostly from their small garden plots and small livestock. Interventions that improve the productivity of those activities could help ensure greater resilience for women and their children.
- Women (and many men) in poor households have little cash savings, and they keep what they have in the house. Most savings are kept in the form of livestock. Cash transfer programs that increase the availability of cash should consider accompanying interventions that help recipients accumulate and protect their savings.
- Gender dynamics should be considered when determining the size of cash transfers. Women are expected to control only small amounts of money; while men have some socially recognized right to claim part of larger sums. It is possible that women's level of control over the cash will depend on the size of the transfers. On the other hand, given limited options for accumulating savings, it may be easier for women to invest a larger transfer in livestock (savings) than to progressively accumulate and save more frequent small transfers.
- Women have limited influence over important decisions within their households. When selecting recipients, the value of potentially improving women's bargaining power by increasing their contribution to household resources should be considered.

development of the National Social Protection Strategy and policy discussion, the national policy dialogue is focusing on how to support government in building a national system as a follow-up of the national social conference held in Bamako on October 2015. This includes a series of technical assistance activities to develop a mechanism to scale up assistance to poor and vulnerable households immediately following disasters and a system to cover the costs of this expansion; and policy dialogue with key social protection donors on monitoring and evaluation arrangements, program features, key monitoring indicators, and approaches to better target programs. A first report regarding the pertinence of public works and its role in poverty reduction in Mali was delivered; an income-generating activities assessment is currently under way. An evaluation study for measuring the quality of different targeting systems is also being implemented.

The recipient-executed activities were approved by the board on August 24, 2016. The grant provides additional resources to the original safety net project to (1) strengthen the impact of the current project on increasing resilience, and (2) expand the geographical scope of the project in Mali where the volatile fiscal and security situation contributes to increasing poverty and vulnerability. The overall objective of the recipient-executed activities is to further strengthen the country's current social safety net system, which includes making it more adaptable; and increase the resilience of poor and vulnerable households. With regard to the former objective, the recipient-executed activities will support and enable further expansion of ongoing activities, introduce new accompanying measures to strengthen the impact of transfers on household resilience, and strengthen institutional capacity in the area of adaptive social protection. With regard to the latter, the recipient-executed activities will finance the addition of two new subcomponents/activities to the original project:

- Labor-intensive public works to provide the adult population enrolled in the Social Registry with short-term employment opportunities, while building communal assets that will increase the resilience of communities to shocks and climate change risks
- Income-generating activities to enable both small and subsistence agriculture workers and the poor and vulnerable enrolled in the Social Registry to be more productive, while boosting the local economy

**Mauritania (\$5.25 million).** The key elements of the program in Mauritania include a vulnerability analysis, adaptation of the early warning system to trigger social protection responses to crises, and defining mechanisms and measures to respond to shocks and promote resilience. The recipient-executed activities focus on supporting the establishment of key building blocks of the national

social safety net system—including, among others, a national registry of poor and vulnerable households, an MIS that can be adapted and adopted by other permanent and temporary programs, and a functional coordination mechanism with the disaster response mechanism system (box 3.2).

The recipient-executed activities are progressing in a satisfactory manner. The project was approved in May 2015, became effective in September 2015, and is now in the first phase of implementation. The analytical work required to define the quotas that will be used to roll out the Social Registry and the Social Transfer Program was finalized. In accordance with the government's decision to launch the program in the Moughataa of M'bout (Gorgol), the first phase of implementation of the Social Registry has started in this area. Approximately 7,500 households were identified by communities for inclusion in the registry. The methodology for the surveys that will enable verification of the living conditions of the proposed households and collection of information on households to be included in the registry has been designed, and a partnership entered into with the national statistical office.

The implementation of the Bank-executed activities is also going as planned. Since its inception, the team has initiated a series of analytical and technical assistance activities. Under the analysis of the patterns and drivers of vulnerability pillar, the team has completed a poverty mapping exercise and an analysis of food price formation, and has begun an assessment of the situation of youth in the labor market. Under the adaptation of the early warning system to trigger social protection responses to crises pillar, the team has finalized an inventory of early warning systems, and initiated a review of past

### **BOX 3.2 Early warning system diagnostic in Mauritania**

In Mauritania, multiple mechanisms monitor crops, droughts, nutritional status, prices, and food insecurity risks. It is essential to define how adaptive social protection fits with the existing mechanisms and how it can support system enhancement. To this end, in 2015, the ASPP project team carried out a deep analysis of existing early warning systems in Mauritania.

Relying on a large number of consultations and an almost exhaustive inventory of existing tools, the study provided interesting findings:

- The plethora of early warning systems is based on data sources that are often similar, poorly diversified, and recycled. Primary data collection is very limited, not disaggregated, and often incomplete. Tools produced based on these limited data incorporate and interpret information in their own way.
- The effective use of data is problematic: most actors ignore the tools and do not use them. Moreover, the link between tools and possible actions is not clear.
- There is a dilution of funding, with donors contributing to several similar tools. The choice to fund several tools reflects a lack of guidance in the approach and could be counterproductive.
- There is poor coordination between actors and a lack of real institutional steering. This point is the core issue in Mauritania and may explain the difficulties mentioned above.

These findings will influence the strategy the World Bank and its government partners take on how to integrate early warning mechanisms in the design of a shock-responsive safety net program by drawing on existing good practice, coordinating the approach with other donors, and contributing to efforts to strengthen the institutional and operational framework.

financing mechanisms. Activities under the defining mechanisms for the Social Transfer Program to adapt to shocks pillar have not yet started, but preparatory discussions are under way. Finally, under the designing adaptive measures to promote resilience pillar, the team is participating in a regional analysis effort on constraints to productivity among the poorest. Many of activities supported by the NLTA will benefit from, and contribute to, efforts in other Sahel countries under regional programmatic activities.

**Niger (\$11 million).** The key elements of this program include improving diagnosis on vulnerability, developing new tools and instruments for resilience, and impact evaluations and targeting assessments. The recipient-executed program includes support for additional financing with a special focus on coordination and effective response of safety net interventions to crisis, and implementation of measures to strengthen the impact of the project on the resilience of the poorest households.

Bank-executed activities have achieved substantial progress toward meeting their objectives. Under Pillar 1 on improving diagnosis on vulnerability, support has been provided to conduct analytical work geared toward gaining a better understanding of vulnerability and shocks. The work conducted to date has helped identify major households shocks, examine correlations between self-reported drought and rainfall patterns, examine the correlation between rainfall and price shocks, identify coping strategies employed to address rainfall and price shocks, conduct preliminary estimates of the impact of rainfall shocks and self-reported drought on household per capita consumption, and generate preliminary estimates of the mitigating impact major coping strategies have on the relationship between rainfall and per capita consumption.

Under Pillar 2 on designing new tools and instruments for resilience, technical assistance was provided to review the cash-for-work component and the accompanying measures, and to identify gaps in promoting resilience. Based on findings from these reviews, two key studies were launched on (1) productive livelihood opportunities/employment in Niger and (2) opportunities to strengthen the sustainability of cash-for-work interventions. The final report from these studies is expected in the upcoming fiscal year. Finally, technical support was provided to help the country upgrade its MIS, and to introduce a SIM card that will facilitate beneficiary identification and payments (box 3.3). The pilot was successful, and the country is expected to bring its results to scale.

Under Pillar 3 on learning from innovative approaches, a retrospective targeting assessment was conducted as was a prospective targeting assessment, and an impact evaluation report on the value added of the accompanying measures to the cash transfer was completed. Recommendations from the impact evaluation

report will be incorporated in the next phase of the safety nets project to increase its impact on resilience.

Under Pillar 4 on conducting policy dialogue and learning events, the project held technical meetings on the above-mentioned targeting assessments, and a workshop took place in Niamey in August to disseminate results from the impact evaluation on the value added of the human capital accompanying measures to the cash transfer program. During the workshop, the safety nets unit presented an action plan outlining how the accompanying measures will be further improved on the basis of the results, both to fine-tune their content and build stronger linkages with supply-side interventions (for example, in the health sector).

Recipient-executed activities, which will provide additional financing for the existing safety nets project, were approved in April 2016 and became effective in June 2016. Additional activities to be funded include (1) building national capacity to coordinate safety net interventions and respond more effectively to crisis, (2) contributing to the design and implementation of accompanying measures to strengthen the impact of the project on resilience, (3) financing cash transfers in response to shocks or disasters, and (4) scaling up cash-for-work interventions and financing the design and implementation of accompanying measures that can build the resilience of the poorest households.

**Senegal (\$13 million).** The key elements of the program in Senegal include designing adaptive safety net programs, supporting the expansion of the national registry to promote rapid response to crises and emergencies, and implementation of adaptive safety nets.

In FY16, recipient-executed activities were designed and prepared; these were approved in August 2016. The \$11.5 million provided by the ASPP as additional financing to the current safety net project aims to scale up the existing project and strengthen the foundations it has established for the social protection system, through a national registry and a national conditional cash transfer program that reaches all localities. It will also introduce adaptive elements in the social protection system to make poor households more resilient to shocks.

### **BOX 3.3 Niger payment system support**

To make payments easier and more transparent, as well as to provide a basis for future social safety extensions, technical assistance was provided to the Niger safety net system to integrate a smart card reader into the existing payment process for registering users and recording transactions. The payment system needs to read and write data on the smart cards, capture a picture at registration, and print basic information on the surface of the smart card. Smart cards will replace the current payment booklets kept by beneficiaries. Technical assistance was deployed to oversee the programming, development, and testing of a smart card reader application—including to ensure its seamless integration and interaction with the MIS. The new payment process was successfully piloted and is ready to be rolled out.

Implementation of Bank-executed activities is going as planned. Under Pillar 1, deepening understanding of vulnerability in Senegal, the team has initiated a study of vulnerability in partnership with the Poverty Global Practice; launched, together with the government, an analysis of the different profiles of beneficiaries of various social safety net programs; put in place a comparative study of alternative targeting mechanisms to identify vulnerable households with a consortium of NGOs and the government; and supported preparation of poverty maps by the National Statistics Agency (Agence nationale de la statistique et de la démographie) and the Poverty Global Practice. Activities under Pillar 2, adapting the early warning system to trigger social protection responses, are under design; they will be initiated once the vulnerability analysis supported under Pillar 1 is finalized. Under Pillar 3, designing or adapting programs to promote resilience, an evaluation of existing schemes of public works and a stock-taking of existing resilience programs have been completed. These, together with the ongoing qualitative study on the constraints of the poorest to productive employment (a regional effort), will inform formulation of the productive package that will be incorporated to the safety net project. Finally, under Pillar 4, supporting the policy dialogue on safety nets, work has focused on contributing to the review and update of the national strategy. It has also supported data collection for a sectorwide public expenditure review, collecting all relevant data on programs (design, objectives, size, cost, targets, methodology, and so on) as well as on related budget expenditure.

### **FY17 work program**

**Burkina Faso (\$10.5 million).** The FY17 work program will build on analytical activities started in FY16 to continue informing the design of the recipient-executed activities. In FY17, several Bank-executed activities related to targeting (begun in FY16) will be completed, including a research paper on alternative quantitative targeting methods, a test and evaluation of proxy means test and household economy analysis targeting, and a baseline impact evaluation survey assessing the impacts of cash transfers and accompanying activities on nutrition and early childhood development. The team will also continue to provide technical assistance and undertake analytical work on a number of topics including building a unified social registry, making links between early warning system information and operational parameters for safety nets related to geographic targeting, trigger mechanisms, and contingency financing.

The recipient-executed activities, currently under preparation, will provide additional financing to the existing safety net project. The additional financing is expected to be approved in December 2016 and become effective in the second half of FY17. It will improve the efficiency of the safety net system that

was established with support from the parent project to ensure that it can be rapidly scaled up to respond to crises and foster the resilience of the poorest households. Proposed activities include expansion of the cash transfer program to more structurally poor households; piloting a cash transfer program as a response mechanism to address vulnerability and shocks; rolling out a package of productive resilience activities (as part of the complementary activities sub-component); as well as continuing to support the government in building systems and platforms to manage safety nets while strengthening aspects of the systems to improve how the transfer program and accompanying activities respond to shocks, address short-term and seasonal issues of food insecurity, and build household resilience.

**Chad (\$7 million).** The FY17 work program will focus on preparatory work related to the launch of the safety net project. The Bank-executed activities will need to be scaled up and provide additional and more specific assistance and support. Three areas of support have been selected: targeting methodologies and approaches, payment systems, and accompanying measures. For all three areas, international consultants have been mobilized, which will lead to finalization of the operational manual as well as to the design and establishment of an MIS that will largely be financed by the project but will likely require additional support and financing from Bank-executed sources. Moreover, there will be intense preparation and capacity-building activities during FY17; these will continue to be financed by Bank-executed sources.

Specific work will be launched in the area of early warning systems to begin linking existing coordination and alert systems with the safety net system. This is particularly relevant in the current attempt to reconcile existing targeting mechanisms used by the international community in food emergency with the proposed approaches to targeting, which are based on poverty indicators. The social registry will be an area of additional work, for which specific consultancy services will be mobilized.

FY17 will be dedicated to putting in place the Social Safety Nets Unit (this has already been legally established, but was being staffed at the time of this report); locating suitable premises for the Social Safety Nets Unit; procuring all basic equipment needed to start implementation, including vehicles, office furniture, and information technology and telecommunications equipment; completing the preparatory work on targeting, payment systems, and accompanying measures; hiring a firm to prepare the database for targeting purposes and a firm to manage payments; hiring NGO(s) to organize workers under the cash-for-work component; hiring a firm or an NGO to support accompanying measures; and selecting a firm to design the MIS.

**Mali (\$11.25 million).** The FY17 work program will focus on the introduction of new adaptive elements, including labor-intensive public works and income-generating activities as a response to vulnerability and shocks. The Bank-executed activities planned for FY17 and FY18 include technical assistance for transferring the geographic information system to the Safety Net Technical Management Unit and, potentially, with the Human Development Observatory for improving/verifying/assessing system data; technical assistance on national dialogue on social protection; production of manuals related to public works, income-generating activities, and accompanying measures; collaborating with the team working on early warning systems and modeling on disaster and risks; and conducting a baseline survey for income-generating activities and labor-intensive public works.

Recipient-executed activities, which will provide additional financing to the existing safety net project, were approved in September 2016. These activities will support the parent project by financing 12 quarterly cash transfers for about 3,000 households in selected districts, following the parent project expansion plan. Transfers will be combined with activities such as tontines and training over the period, which will also help households acquire productive and agricultural assets. For FY17, FY18, and FY19, four transfers per year for the 3,000 beneficiaries are expected. To maximize the benefits of cash transfers, accompanying measures were introduced in the parent project to give households incentives to invest in the human capital of their children with the goal of reducing intergenerational transmission of poverty. The accompanying measures will be developed during FY17 and are expected to be delivered in four sessions during FY18. Labor-intensive public works will provide direct income support to poor and vulnerable households through the participation of one of their adult members in the program, which will be identified and implemented in a participatory manner. This task is expected to start in the third quarter of FY17, reaching 3,000 beneficiaries in 60 projects; in FY18, it is expected to reach 11,000 beneficiaries in 220 projects; and, in FY19, 6,000 beneficiaries in 120 projects. Income-generating activities will enable both small and subsistence agriculture workers and poor and vulnerable households enrolled in the Social Registry to be more productive. The subcomponent is expected to support 10,000 income-generating activities throughout the life of the project, with 1,600 beneficiaries during FY17, 6,800 during FY18, and 1,600 during FY19.

**Mauritania (\$5.25 million).** The FY17 Bank-executed work program in Mauritania will continue the analytical work started in FY16 regarding poverty and vulnerability, early warning systems, response to shocks, and resilience building. Under Pillar 1 (analysis of patterns and drivers of vulnerability), activities will include the finalization of poverty maps, continuation of the analysis of youth and

labor markets (with initial results expected in December 2016), contribution to the vulnerability map led by the United States Agency for International Development, analysis of vulnerability among pastoral groups, and analysis of the EMEL program's performance. Under Pillar 2 (adaptation of early warning systems to trigger social protection responses to crises), activities will focus on putting in place a coordination platform for work on the early warning system and the social protection triggering system (multisectoral) with capacity-building activities, analysis of past financing mechanisms, and analysis of past crises patterns. Under Pillar 3 (defining mechanisms for the Social Transfer Program to adapt to shocks), activities will include assessment of the targeting methodology deployed by the Social Registry to assess the degree of inclusion or exclusion of vulnerable groups, proposing criteria or a proxy means test for inclusion of vulnerable (but not extremely poor) households, and an analysis of the challenges in broadening the Social Registry to special groups among the pastoral population. Under Pillar 4 (designing adaptive measures to promote resilience), activities will include participating in the regional effort to better understand the barriers faced by the poorest households when trying to develop their productivity and increase their resilience, as well as undertaking a stocktaking of NGO-implemented programs (with a focus on youth and urban areas) to propose a model.

For the recipient-executed activities, FY17 will likely continue to focus on the expansion and strengthening of the Social Registry and the targeting mechanisms for the shock-responsive transfer program, as well as with the implementation of the accompanying measures for households that benefit from the Social Transfer Program.

**Niger (\$11 million).** The FY17 work program of Bank-executed activities will build on the work done in FY16 with a special focus on the design and evaluation of resilience activities for beneficiaries of cash transfers and cash for work. Under Pillar 1 on improving diagnosis on vulnerability, data collection and analysis will continue to identify the drivers of poverty and vulnerability in the country. A report is expected from the teams conducting the work. Under Pillar 2 on designing new tools and instruments for resilience, activities will focus on the preparation of a baseline survey on productive livelihood opportunities in Niger and on opportunities to strengthen the sustainability of cash-for-work interventions. In addition, interventions that can be piloted with recipient-executed funding will be identified, and technical assistance to strengthen the MIS of the safety net project and improve effectiveness in registration and payments will be provided. Under Pillar 3 on learning from innovative approaches, a follow-up survey for the cash-for-work impact evaluation will be conducted; as well as a follow-up survey for the targeting assessment, which will also serve as a baseline for a study on livelihood and livelihood diversification.

The recipient-executed activities for FY17 will focus on starting program implementation with a focus on the response mechanism in Diffa; design and implementation of the unified social registry; expansion of the payment system by introducing electronic cards for the cash transfer program in a first stage, and for the cash-for-work program in a second stage; and implementation of the accompanying measures for the cash-for-work sites.

**Senegal (\$13 million).** The Bank-executed FY17 work program will focus on analytical work related to vulnerability, targeting, and early warning systems. The analytical work related to the study on definition of vulnerability to shocks has begun and will be finalized around September 2016. Analytical work related to the elaboration of poverty and vulnerability maps will be conducted in the last quarter of 2016. A comparative study on targeting mechanisms to identify food-insecure households will be conducted in the third quarter of 2016. Work related to adapting the early warning system to trigger social protection responses—in particular, to the identification of indicators necessary to trigger the mechanism—will begin in the second semester of 2016. A social protection public expenditure review is ongoing. The first round of data collection on programs and on expenditure was finalized in June 2016. A first draft of the public expenditure review should be ready in December 2016 for review before dissemination. A study tour of key staff in the Delegation for Social Protection (Délégation Générale à la Protection Sociale et à la Solidarité Nationale, DGPSN) will be organized in the second semester of 2016 to strengthen their capacities and understanding on key considerations such as updating data in the Unique Registry, the grievance mechanism, and the scale-up mechanism.

During FY17, recipient-executed activities will focus on setting up mechanisms for implementation of the productive modalities (institutional agreements that connect households to existing programs after their adaptation to address the needs of the poorest, as well as accompanying measures that focus on production diversification and productivity, and one-off productive transfers for the acquisition of productive assets), as well as a program for temporary transfers to prevent depletive coping strategies in times of shocks.

### 3.2 Regional programmatic activities

The main objective of the ASPP regional programmatic activities is to support and coordinate country and regional activities through a flexible mechanism of support for knowledge, coordination, and knowledge exchange, as well as just-in-time activities. Among others, regional programmatic activity identified in the inception report included program evaluation; coordination and support analysis targeting effectiveness in specific countries; climate-related vulnerability

analysis; and other activities aimed at strengthening collaboration between services engaged in disaster risk management, climate adaptation, and social protection, both at national and international levels. In FY16, significant progress was made on the objectives of the regional programmatic activities. The research and knowledge work, as well as the just-in time technical assistance, provided rigorous and timely assistance to country and government teams. This section summarizes FY16 progress by area, and outlines the work program planned for FY17.

## **FY16 progress**

### **Knowledge**

**Impact evaluation.** The ASPP is providing support and advice to country teams on impact evaluations (including on impact evaluation design, survey design, and electronic data collection), including to expand the portfolio of impact evaluations in strategic areas where additional evidence on key elements of adaptive social protection systems are needed. Impact evaluations are at different stages in the various countries, depending in part on the maturity of country programs.

In Niger, two impact evaluations and several other studies are under way, including the following:

- A study on the long-term impact of the effectiveness of the Niger safety net pilot has been finalized, discussed with counterparts, and disseminated.<sup>2</sup> The study assessed the impact of cash transfers and complementary activities to encourage productive investments on household assets upon graduation.
- A short-term impact evaluation of the value added of accompanying measures to the cash transfer program on parenting practices and children's human capital has been finalized, discussed with counterparts, and disseminated.<sup>3</sup>
- An impact evaluation of the effectiveness of strategies to ensure cash-for-work sustainability has been designed, and baseline data collection is under way.

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<sup>2</sup> Q. Stoeffler, B. Mills, and P. Premand, "Poor Households' Productive Investments of Cash Transfers: Quasi-Experimental Evidence from Niger" (Washington, DC: World Bank, 2016).

<sup>3</sup> Patrick Premand, Oumar Barry, and Marc Smitz, "Transferts monétaires, valeur ajoutée de mesures d'accompagnement comportemental, et développement de la petite enfance au Niger. Rapport descriptif de l'évaluation d'impact à court terme du Projet Filets Sociaux" (Washington, DC: World Bank, 2016).

- A study on the effects of cash transfers on prices has been designed; baseline data collection will be launched in September 2016.

In Mali, an ongoing impact evaluation of cash transfers and accompanying measures is at a follow-up stage. The objective of the impact evaluation is to test the relative effectiveness of different interventions: cash transfers plus nutrition supplementation, cash transfers plus accompanying measures, and cash transfers plus accompanying measures plus nutrition supplementation. The baseline data collection took place in FY15; preparation of the follow-up survey is under way.

In Burkina Faso, an impact evaluation of cash transfers and accompanying measures is at the baseline stage. The design was finalized and approved in FY15, and baseline data collection is planned for fall 2016. The impact evaluation will assess the impact of a conditional cash transfer program and home visits that reinforce psychosocial child development on a broad range of early childhood development outcomes as well as on poverty and resilience indicators (such as household food and nonfood consumption, accumulation of productive assets, and use of education and health services).

In Senegal, a quasi-experimental impact evaluation of the effectiveness of the cash transfer program has been designed, and baseline data collection is under preparation. The study will focus on assessing cash transfer impacts on household welfare, as well as health and education behaviors. Baseline data collection is planned for fall 2016.

In addition to progress on the individual impact evaluations mentioned above, FY16 was marked by strategic activities to develop impact evaluations in the areas with the greatest remaining knowledge gaps, including on public works and productive employment and safety nets to cash transfers and public works.

Impact evaluations of cash-for-works interventions were initiated in Niger and Burkina Faso. In Niger, the study has been designed and the baseline phase launched. In Burkina Faso, the outline of a design was prepared, but additional work is needed to finalize the design with counterparts and assess its feasibility. Taken together, the two studies will provide important evidence on the links between cash for work and resilience, thereby shedding light on the effectiveness of one of the instruments of adaptive social protection systems.

### **Targeting**

The main objective of this activity is to improve targeting mechanisms for poor and vulnerable households in the region and thus contribute to the

targeting strategy of the countries in the Sahel ASPP. To achieve this objective, a strategic note on targeting prepared during the inception phase proposed to provide technical assistance and knowledge-related activities with a focus on the following issues: key data constraints and knowledge gaps to improve geographical-level targeting, key data constraints and knowledge gaps to improve household-level targeting, and generation and dissemination of knowledge products. Several targeting studies have been conducted or are under way, as detailed below.

In Senegal, a comparative study on targeting mechanisms to identify food-insecure households aims at examining the following: possible synergies between household economy analysis methodology targeting and the Unique Registry, the level of efficiency of the household economy analysis and the Unique Registry in targeting vulnerable and poor households, and the possibility of using the Unique Registry to conduct household economy analysis targeting. This study is being conducted in partnership with humanitarian actors (international NGOs), governmental actors, and other donors (European Civil Protection and Humanitarian Aid Operations [ECHO] and UNICEF). It will be conducted in the third quarter of 2016.

In Niger, a prospective targeting assessment is currently being conducted with the objective of contributing to the evidence base and informing targeting methods for adaptive social protection programs in the region. The assessment also aims to better understand important issues for the design of adaptive social protection programs related to gender and intra-household allocation. Three different targeting methodologies to be tested were designed and implemented as part of the next wave of new beneficiaries. A household baseline survey was implemented, and the data are currently being analyzed. A follow-up survey is planned to begin in August 2016, and the end-line survey is planned for August 2017.

A retrospective targeting assessment was conducted with the objective of exploring the relative efficiency of proxy means testing and household economy analysis by performing a simulation using a panel household survey in Niger covering the planting and harvest seasons in 2011 (box 3.4). The study and its analysis are completed. A final version of the paper detailing the results is being finalized. Results of this assessment are being used to inform policy questions in the region, and have been presented at various occasions.

In Burkina Faso, a comparative evaluation of proxy means test, household economy analysis, and other targeting methods is ongoing and will be completed in late 2016. The field-based surveys were carried out in June-October 2016, and

### BOX 3.4 **Efficiency of proxy means test and household economy analysis in targeting households in Niger**

Adaptive social protection systems may need to reach different groups of households, including the chronic poor, the transient poor, and the vulnerable to poverty following a shock. Which methods are most suitable to identify these various subpopulations remains an open question. In Niger, a study analyzed the extent to which proxy means testing and household economy analysis—which are among the most widely used targeting methods in Sub-Saharan Africa—can facilitate household targeting in adaptive social protection systems. The study also explored the extent to which existing methods can be improved, used, and potentially combined to target households as part of adaptive social protection systems.

Proxy means testing is normally used to target chronically poor households; the household economy analysis approach is typically used in the context of emergency programs to target food-insecure households. Results show limited overlap between households selected under the proxy means test and household economy analysis methods. Proxy means testing is more effective at identifying households suffering from chronic poverty, while the household economy analysis approach is more effective at identifying households suffering from seasonal food insecurity. The study shows that the household economy analysis formula could be further improved to target seasonally food-insecure households—including through a regression model estimating food insecurity, and a principal component analysis model using a restricted set of household economy analysis variables that are relatively easy to measure and verify.

*(continued)*

the analysis of the results will take place during the fall. Dissemination is planned for late 2016.

### **Gender**

The ASPP is designing and implementing a number of activities that account for gender-specific vulnerabilities and responses to shocks and to improve opportunities for women to access and benefit from safety net programs. One key objective of these activities is to provide insights on intra-household financial decision-making mechanisms to better identify who in the household should be targeted for cash transfer programs, particularly in regions with a high prevalence of polygamy. A second objective is to improve current methods of assessing the constraints to productive employment faced by men and women. Qualitative and quantitative assessment of these gender-specific constraints will inform the design of accompanying measures to cash transfer and other safety net programs. A third objective is to ensure that the impact evaluations conducted by the ASPP are gender informed. These impact evaluations will not only report sex-disaggregated results, but, in some cases, will be designed to answer specific questions on women's bargaining power and control over resources within the household to build the regional knowledge base on women's economic empowerment.

Several other studies have been finalized or are under way. To inform the safety net program in Burkina Faso, two gender-informed studies have been conducted. First, a study on resources and risk sharing among polygamous households was conducted in the northern region of Burkina Faso. The aim of the study was to examine how polygamous households manage their resources, including income and assets, and how they make expenditure decisions. The study documents who within the household typically manages each stream of income and who is responsible for each type

of expenditure. Additionally, the study explores the extent of cooperation and sharing within the household for resource management in both normal and crisis periods. It was completed in July 2015, a detailed report in French was produced, and an executive summary of the findings and program implications was produced in the fall of 2015. As part of the dissemination of this study's main results, policy briefs in French and English were circulated in March 2016.

In Niger, a study assessing the differentiated impact of delivering cash transfers to different wives among polygamous households will be embedded in a larger impact evaluation of the second phase of the safety net program. The main objective of this activity is to understand whether there are any differences in the impact of cash transfers when the transfers are made to different wives in the context of polygamous households. A more detailed objective is to understand which wife may be the best cash transfer recipient in terms of improved nutrition and early childhood development objectives.

### Coordination and knowledge exchange

**Adaptive social protection course.** An adaptive social protection course was held in Washington, D.C., February 1–9, 2016. More than 85 local participants from governments and other representatives connected by videoconference from Burkina Faso, Chad, Mali, Mauritania, Niger, and Senegal. In Washington, there were four government representatives from Guinea, a few Bank staff members, and representatives of other organizations including DFID.

**Social safety net training.** The training agenda for the safety nets distance learning course in French was prepared on the basis of the 2015 World Bank safety nets core course; it focused on laying down the foundations of safety nets and bringing some aspects of the ASPP under development in the

### BOX 3.4 Efficiency of proxy means test and household economy analysis in targeting households in Niger *(continued)*

The results suggest two main approaches in the context of an adaptive social protection system:

- Combinations of proxy means testing with methods such as household economy analysis, principal component analysis, or a food-insecurity formula may be considered to identify households suffering from chronic and seasonal food insecurity as part of an efficient and scalable adaptive social protection system. Application of these household-level targeting methods needs to be accompanied by geographical targeting methods that can also identify both areas suffering from chronic poverty and those suffering from food insecurity. This is particularly relevant in Niger, where every year there are areas identified as food insecure.
- Harmonization of data collection tools by proxy means test and household economy analysis users is needed to create a unified social registry. Harmonizing these data collection tools would serve as a crucial building block for a unified registry and play a key role in improving the efficiency of adaptive social protection systems. A unified registry would be used by multiple programs (for targeting, registration, and monitoring) and provide the basis for greater coordination, while reducing overlap or unintentional double targeting. Each program could quickly identify households according to their own objectives and criteria. Further, the similarity in variables used under both targeting methods implies that the data collection tools would need only slight adjustments to be harmonized.

region. The results from the evaluation are highly encouraging. They show a level of satisfaction (4 and 5 out of a scale of 1–5) of over 90 percent regarding overall usefulness of the training. The training also clearly met its objectives, with a rating of over 80 percent satisfaction. Most of the training sessions were also rated above 80 percent.

**ASPP local-based staff training.** This training focused on defining common goals and strengthening the program in the countries touched by the ASPP, while training field-based professional staff in charge of supporting implementation of ASPP activities.

### **FY17 work program**

The FY17 work program will focus on continuing some of the ongoing activities (gender, targeting, impact evaluation); increase attention on activities on social protection and disaster relief management, early warning systems, and vulnerability and resilience; and begin new activities (nutrition, institutional coordination and capacity).

### **Synergies between disaster risk management and social protection**

The general objective of this activity is to understand how disaster risk management practice in the Sahel is protecting poor and vulnerable households against climate shocks and interacting with existing social protection programs in the ASPP countries. The specific objectives are as follows:

- Map any regional or national disaster relief management activities integrating and/or targeting the poor and vulnerable in ASPP countries
- Map the role of intergovernmental, national, and local governments and civil society with regard to implementation of disaster relief management and adaptive social protection activities, as per existing policies and recommend a more optimal setup
- Describe existing knowledge about information systems on market price, food security, hydrometeorology, and resilience in the six countries and recommend upgrades for more optimal monitoring of vulnerability with a more integrated approach with climate adaptation, humanitarian assistance, social protection, and disaster risk management

- Assess the status and effectiveness of any initiative and practice linking disaster relief management and social protection in the region with a focus on Chad and Niger
- Assess the potential of integrating and adopting proven innovation in forecast-based actions for the poor and vulnerable of any regional disaster relief management initiative
- Assess ways for and the potential of existing social protection programs in the ASPP countries to provide a timely response to disasters and shocks at the country level with a focus on Chad and Niger

### **Early warning systems and establishment of trigger mechanisms for adaptive social protection**

The objective of this activity is to summarize the studies that have been conducted and draw lessons on managing the information necessary to develop multihazard triggers for the expansion of the program to poor and vulnerable people in case of shock.

Building on existing studies and through additional data collection, an analytical activity planned for FY17 will perform the following:

- Describe and analyze existing early warning systems in each of the countries and make recommendations about which hazards are relevant and appropriate as triggers for the ASPP cash transfer component
- Highlight key challenges and potential for improvement, including proposals for additional variables/types of data that should be collected
- Identify the geographic relevance of any identified hazard-based early warning system
- By linking all hazard-based early warning system (single-hazard and multihazard warning systems) and subsequent vulnerabilities, recommend the type of information necessary for developing rules/threshold for activation of cash transfer and its geographic relevance

### **Impact evaluation**

The planned activities for FY17 include the following:

- Follow up on ongoing impact evaluation studies in Burkina Faso, Mali, Niger, and Senegal
- Work with the employment focal point to deliver a workshop in October 2016 and launch a multisite impact evaluation of productive accompanying measures/productive inclusion, which would be implemented in FY17–FY18; support to the multicountry experiment will be the main focus of regional impact evaluation activities going forward
- Continue to provide support and an advisory role to country teams, including by prioritizing support to areas of the strategic note that are less well covered in the current portfolio of impact evaluation (including on public works)
- Work with the vulnerability focal point to organize a seminar on resilience measurement, and compile examples of survey modules on resilience that can be integrated in a follow-up survey of ongoing impact evaluations

### **Gender**

The country-level activities in Niger are expected to continue in FY17. Support will be provided to the Niger cash transfer impact evaluation to analyze the impact of targeting different wives in polygamous households. Support will also continue to be provided to on-demand requests from ASPP country teams and to the multicountry impact evaluation of livelihood interventions, taking specific responsibility for the evaluation in Mauritania.

### **Vulnerability and resilience**

Resiliency strategies, when effective, improve household abilities to withstand shocks and to rapidly recover following exposure to negative shocks. Resiliency is a process through which households interact with their environment to maintain livelihoods in adverse conditions. Resilience often leads to improvements in household livelihoods through complex pathways. This complexity makes it difficult to design programs to improve resilience and identify indicators of program success in terms of improved resilience without a sound understanding of household exposure to adverse shocks and the strategies that households employ to foster resilience in the face of these shocks.

Work to date in Burkina Faso, Chad, and Senegal has focused on measuring resilience as the ability to not become poor or food insecure based on factors such as distance from the poverty line, probability of exposure to shocks, and correlations between shocks and poverty or food security. This has increased understanding in the region of the frequency of exposure to shocks, correlations

between shocks and household livelihoods, and what groups are particularly vulnerable. Work in Niger, by contrast, focuses on identification of the coping mechanisms that households employ to be resilient in the face of shocks, particularly in rural areas that are reliant on rainfed agriculture. Indicators of exposure to climatic shocks (most notably vegetative and extreme heat indexes) and price shocks are employed to estimate shock impacts on household per capita consumption and household food security using panel data. The mediating impacts of common coping strategies on shock–consumption relationships and shock–food security relationships are then estimated. Precautionary saving and household member migration are identified as important mediating mechanisms. By contrast, informal social safety nets and diversification strategies (captured with a very limited measure) do not appear to buffer the impact of negative climate and price shocks.

The next steps in the adaptive social protection resiliency work will be to use the empirical findings in Niger to simulate coping strategy effectiveness in terms of keeping households out of poverty and food secure following negative rainfall and price shocks. Broader implications for adaptive social protection program design will be distilled in order to identify and promote effective mechanisms. Improved measures of program impact on household resiliency will be generated based on study results. Assistance will be provided to countries in the region to aid them in identifying coping mechanisms in the face of climate and price shocks and to generate a broader regional body of knowledge on effective household resiliency strategies. A report on the Niger study results and implications for adaptive social protection program design and targeting will be produced in the coming year.

### **Targeting**

The work plan for FY17 includes a continuation of activities that are currently ongoing. The support and advisory role provided to country teams will be continued and deepened. In addition, the following new activities are planned:

- A report summarizing lessons learned to date from targeting studies in the region
- A regional workshop on targeting and impact evaluation to take stock of evidence and improve program design

The following country-based activities are also planned:

- **Senegal.** A report will be produced summarizing the findings of the three ongoing studies and answering the following questions: What are

the vulnerable households in Senegal? What are the adequate targeting mechanisms to identify them?

- **Senegal.** Technical support will be provided to categorize the poor and less poor in the current Unique Registry.
- **Mauritania.** A study on pastoralist households will start in November 2016 with the objective of analyzing possible options of registering and targeting pastoralist households.
- **Mauritania.** The team is preparing an assessment of the targeting methodology deployed by the Social Registry through a comparative study of community targeting approaches (impact of additional mechanisms on inclusion/exclusion errors). The Mauritania team will also capitalize on the Senegalese study to strengthen the inclusion of vulnerable (but not extremely poor) households in the registry.
- **Mali.** A targeting assessment will explore the effectiveness of different targeting methods used in Mali to identify poor and food-insecure households, make recommendations for possible improvement, and identify possible synergies between targeting methods. It also aims to better understand the acceptability and perception of the methods used by communities. Data collection is planned for the third quarter of 2016, and a report for the second quarter of 2017.

### **Nutrition-sensitive adaptive social protection**

The ASPP is expected to improve the resilience of poor and vulnerable households by helping them develop their human capital, in particular as it relates to nutrition among children. Core elements of adaptive social protection systems include cash transfers, conditionalities, or behavioral accompanying measures and public works. The ASPP will contribute to making these demand-side interventions nutrition sensitive, as well as work to build linkages with supply-side interventions through several activities. First, it will contribute to expand the evidence base on determinants of malnutrition in the Sahel—in particular, how they relate to consumption and food security patterns. This will provide additional information on key constraints to improved nutrition that demand-side interventions could address. The analysis will be based on national data sets, and in partnership with ongoing country-level and regional activities on the issue. Second, it will promote learning and evidence generation on how best to design and implement nutrition-sensitive demand-side interventions, in particular behavioral accompanying measures. Evidence is being generated through a mix of process and impact evaluations in Burkina Faso, Mali, Niger, and Senegal.

Finally, it will encourage stronger coordination with supply-side interventions in health and nutrition, as well as water and sanitation. Beyond demand-side social protection interventions, there are opportunities to harness complementarities by ensuring proper coordination between social protection and health systems at the national and local levels, by assessing how best to balance prevention activities as part of safety nets with direct nutrition interventions such as supplementation, as well as by strengthening linkages with water and sanitation interventions.

### **Institutional coordination and capacity**

This new regional activity will be developed to improve the understanding of institutional coordination and capacity for adaptive social protection in the Sahel. This will look at answering questions related to institutional elements that are important factors for the development, implementation, and scale of safety nets. The administrative and organizational features of programs—including coordination mechanisms across programs and agencies, given the cross-cutting nature of social safety nets and the need for effective coordination with disaster response agencies and financing ministries—as well as human and technical capacity across all levels will be important elements of this work.

## **3.3 Innovation Window**

The Innovation Window is financing four activities that were selected for their potential to provide new and innovative solutions for adaptive social protection that can be scaled up across the Sahel and beyond. The proposals were identified through a competitive process, and implementation of all four activities is under way. This section summarizes the selected proposals, progress to date, and the work program for FY17.

### **Designing and evaluating strategies to boost productive employment**

The ASPP offers a unique opportunity to pilot, implement, and test innovative solutions for productive employment in national social protection programs, and to learn from evaluations. In this context, a programmatic multicountry activity on the design and impact evaluation of livelihood activities for social protection programs in the Sahel has been integrated in the ASPP. The multicountry activity targets countries in the ASPP; neighboring countries such as Côte d'Ivoire and Nigeria will coordinate their efforts (through their own funding) with some of the activities, thereby providing broader leverage of the ASPP.

The multicountry activity is being implemented in three phases: a diagnostic phase (launched in FY16 and to be finalized in FY17), a design phase (to be conducted in FY17), and an implementation and impact evaluation phase (to be conducted in FY17–FY19). The ongoing diagnostics phase aims to rigorously identify the most binding constraints to productive employment for beneficiaries of safety net programs in the Sahel. Overall, the phase involves developing a new assessment tool based on an existing methodology already used successfully in several West African countries, carrying out a constraints assessment in selected countries, and compiling the evidence into a set of stylized facts on constraints to productive employment for the poor in the Sahel. These activities were all launched in FY16:

- A literature review of international evidence from impact evaluations related to graduation and productive inclusion for safety net beneficiaries
- A stocktaking of relevant studies on employment, social protection, and productive inclusion in participating countries
- A qualitative assessment of constraints to productive employment in selected countries—the assessment was based on an extensive and detailed toolkit developed as part of the program; researchers from most ASPP countries were trained during a workshop in Ouagadougou, and data collection is at various phases of implementation in Burkina Faso, Mali, Niger, and Senegal (as well as in Nigeria)
- A quantitative constraints assessment was designed and data collection is under way in Burkina Faso and Senegal (as well as Côte d'Ivoire)—the assessment covers approximately 500 households per country, stratified by (potential) safety net beneficiary status, with the objective of identifying constraints to productive employment in areas covered by safety net projects

Following the completion of diagnostic studies in September 2016, the activity will move to a design phase, beginning with a workshop with government counterparts, academics, and NGOs engaged in productive employment. The workshop will discuss international evidence and Sahel-specific context features to firm up a package of accompanying measures, as well as define the delivery modalities for the livelihoods package. It is expected that the workshop will lead to the prioritization of a few selected productive accompanying measure packages to be tested consistently across various ASPP countries. The workshop is planned for October 2016.

Following the workshop, the activity will move to the implementation phase, which will include both support to teams in operationalizing the productive accompanying measure packages, as well as a strong emphasis on learning through impact evaluations (in coordination with the impact evaluation activity). The Sahel program offers an opportunity for a large-scale multicountry experiment to test the effectiveness of delivering alternative livelihood packages to cash transfer beneficiaries on their welfare, productivity, and resilience. The package of interventions designed for boosting productivity and building resilience will be designed and can be tested across countries. To add to the existing evidence base, the impact evaluation will strive to unbundle the different components of the package and test combinations of interventions rather than the package as a whole; and test variations in intensity of some of the interventions, to maximize impact under tight budget constraints. Overall, it is expected that this activity will provide a major piece of evidence in the design of adaptive social protection systems in the Sahel and beyond.

### **Fostering resilience through public works in Burkina Faso**

The objectives of this activity are twofold: to test the effectiveness of public works in fostering resilience among poor households in Burkina Faso, as well as the value added of complementary productive accompanying measures in promoting livelihood diversification; and to shed light on the relative targeting efficiency of public works based on self-targeting and cash transfers, as well as the relative effectiveness of each instrument in Burkina Faso.

A range of instruments is being considered as part of the design and scale-up of adaptive social protection systems. In Burkina Faso, in addition to the ongoing safety net project and its cash transfer component, the youth employment project supervised by the Social Protection Unit includes a public works component implemented in rural areas. As part of the public works component, strategies are being considered to help households transition to more productive employment. At the same time, the relative effectiveness of cash transfers and public works instruments is rarely tested.

In this context, this activity will test the effectiveness of public works in fostering resilience among poor households in Burkina Faso, shed light on the relative targeting efficiency of public works based on self-targeting, and their relative effectiveness in comparison to cash transfers.

The activity will include a study design note, a baseline survey, a targeting experiment to assess the efficiency of self-targeting in public works

in comparison to cash transfers, productive accompanying measures implementation (under the responsibility of the implementing agency), and follow-up data collection and analysis.

The activity will be launched in FY17. Finalization of the design note will build on lessons from the programmatic activity on productive accompanying measures and livelihoods and the workshop that will take place in Dakar in September 2016.

### **Strengthening social protection through forecast-based financing**

The objective of this activity is to enhance the capacity of social protection programs in the Sahel to protect the poor and vulnerable from the impacts of climate shocks by increasing understanding, fostering adoption, and supporting integration of climate risk management tools—specifically forecast-based action and financing. The project is expected to achieve this objective by supporting specific goals in different areas at the regional and country levels, including the following:

- **Policy**—supporting social protection policy dialogue in the region with the goal of strengthening the anticipatory capacity and responsiveness of social protection policies and programs to deal with climate shocks
- **Programming**—supporting the design and piloting of innovative forecast-based tools to improve the anticipatory and adaptive capacity of social protection systems in selected countries
- **Knowledge and learning**—promote knowledge generation, capacity building, and learning on the use of climate-smart, forecast-based tools for social protection policy and programs

Several consultations have been held to agree on potential candidates for the activity. It was determined that Mali would be the most appropriate place to start.

For FY17, it is envisioned that regional and country-level scoping and engagement with relevant stakeholders get under way, so that a roadmap for Mali can be finalized before the end of the fiscal year. The country-level engagement and scoping study for Mali will begin at the end of October, with the National Social Protection conference to be organized as part of the country activities. Also during FY17, data collection and coordination with key stakeholders will begin to initiate the design of the forecast-based financing tools.

## **Enhancing household resilience through social protection–WASH integrated community-led interventions**

The objective of the proposed activity is to generate evidence on the complementarity and modalities of water, sanitation, and hygiene (WASH) interventions in the context of safety net programs—particularly in high climate-vulnerability settings such as those faced by countries of the Sahel region. The proposed activities would allow better understanding of the linkages between safety net-targeted impacts and WASH, and the modalities of interventions yielding best results.

Activities include piloting of WASH interventions that will be implemented jointly with the expansion of the ASPP in Niger. While other Sahelian countries could be considered for such piloting, the imminent scaling up of the ASPP in Niger offers a timely opportunity to expand the integrated approach at the heart of the ASPP to include WASH in the context of climate adaptation and climate and disaster risk management. Better understanding the role played by WASH intervention in adaptive social protection programs could contribute to devising new integrated strategies to increase households' long-term resilience to shocks.

The proposed activities include piloting of different WASH interventions, notably focusing on sanitation—a key challenge for Niger, particularly in rural areas—as well as evaluation of this innovative integrated approach. The intervention will particularly focus on behavior-oriented WASH interventions aimed at improving children's nutritional outcomes.

### **3.4 Strategic deployments**

To ensure adequate country dialogue and engagement, local specialists have been recruited as focal points for adaptive social protection in Burkina Faso, Chad, Mali, Mauritania, Niger, and Senegal. In addition, a senior-level international regional coordinator was recruited and is based in Senegal

# 4 Financial report

## 4.1 Status of donor contributions and grant implementation

At the inception of the ASPP in March 2014, DFID entered into an administrative agreement with the World Bank in the amount of £47 million. The equivalent of the total donor contribution was \$75.2 million, as recorded in the World Bank internal system. The funding intent was to support implementation of a work program covering both a Bank-executed trust fund (BETF) and recipient-executed trust funds (RETFs) to meet the overarching objective of the ASPP.

Table 4.1 shows the current value of the donor contribution. Fluctuation of the currency exchange rate led to a decrease in the overall contribution amount of approximately \$8 million compared to 2015 records. As a result, the ASPP management team decided to revise the ASPP budget and some of the country work plans to accommodate the decline in value of the future unpaid contributions when converted to U.S. dollars.

TABLE 4.1 **Status of ASPP donor contributions as of June 30, 2016**

Donor	Contribution currency	Contribution amount (£)	Contribution paid (\$)	Contribution unpaid (£)	Contribution unpaid (\$)	Total contribution paid and unpaid (\$)
DFID	£	47,000,000	19,392,000	34,500,000	45,736,650	65,128,650

## 4.2 Status of current allocation by trust fund type

Table 4.2 shows the status of allocations against BETF and RETFs. As of June 30, 2016, all of the RETFs had been created except for Burkina Faso. To accommodate the decrease in the total contribution amount due to currency exchange rate fluctuation, the ASPP management team decided to reduce the allocation of Burkina Faso's RETF from \$11.5 million to \$9.0 million.

The management team, in collaboration with the donor, will closely monitor the budget to ensure that the total contributions received will cover the revised allocated budget against agreed country and regional activities, taking into account possible exchange rate fluctuations. The value of unpaid funds in U.S. dollars, in fact, is subject to the market exchange rate in effect at the time installments are received and converted to U.S. dollars.

During the last reporting cycle, the total estimated disbursement projections recorded as of June 30, 2015, were \$8.5 million, reflecting country team assumptions that their RETFs would be activated in FY16. However, as of August 2016, the Bank's internal system showed a cumulative amount of only about

TABLE 4.2 Status of current allocations as of September 2, 2016

Item	Allocation (\$)	Comments
BETF (analytical work and supervision grants)	14,432,928	14 grants were allocated and activated
RETF	38,550,000	5 grants created: Chad, Mali, and Senegal are in pending status; Niger was activated in FY16 and Mauritania in 2015
Innovation Window	1,950,000	4 additional BETF grants
Program management (3% of total allocation)	1,700,000	Represents revised budget
Central unit fees (2% of total contribution)	1,301,814	\$378,840 in actual receipts, and \$913,974 in future receipts against unpaid installments
Actual allocation	53,982,928	Represents the BETFs of 14 allocated grants, excluding 2 grants under the Innovation Window for a total of \$950,000. Additionally, 5 RETF grants were allocated and 3 of them are in pending status (as of August, 2016)
Unallocated grants	9,950,000	Funds will be allocated against the Burkina Faso RETF in an amount of \$9,000,000, and the activation of the 2 additional BETFs
<b>Total</b>	<b>65,234,742</b>	

\$5.5 million as having actually been disbursed against the total allocated funds. The difference between the projected and actual disbursement amounts is due to the slow activation of the RETFs—itself a result of the challenging political circumstances in many of the ASPP countries. Most country teams have by now successfully activated their RETFs. After several months of project preparation, the grants for Chad and Mali are expected to be activated in the first months of FY17, followed by the grant for Burkina Faso later in the fiscal year. Overall disbursement projections and expected financial need are included in table 4.3.

**TABLE 4.3 Financial summary as of September 2016**

Item	Amount (\$)
Grant amount	65,090,700 <sup>a</sup>
Total planned expenditure December 19, 2013–December 31, 2018	62,986,000 <sup>b</sup>
Donor contribution received as of September 2016	19,392,000
Actual expenditures as of October 4, 2016 (cumulative disbursement), including Bank fees	5,491,597
Expected expenditures October–June 30 2016 expenditures	20,159,897 <sup>c</sup>
Reserve funds representing the balance to be maintained at the trustee level <sup>d</sup>	2,000,000
Total actual and projected disbursement up to June 2017	27,651,494
Amount received minus actual and planned expenditure up to June 2017	-8,259,494

a. Installment amounts received in pounds sterling are subject to the market currency exchange rate in effect at the time funds are received and the date they are converted to U.S. dollars.

b. Does not include the 3% program management fee and 2% Bank fee.

c. Amount needed to meet BETF and RETF program estimated budget projections at the child account level. Takes into account cumulative disbursements, commitments and balance to date, as well as the new allocation amounts to meet business needs from January–June 2017

d. To manage the ASPP BETF and RETF program financial risk, an amount of \$2,000,000 is required to be maintained at the trustee level.

### 4.3 Status of disbursement by trust fund type

Table 4.4 shows the actual and projected disbursement by country and type of activities. Disbursements against the BETF have picked up, and the project implementation process for both the BETF and RETFs is in full swing. We expect disbursement of the RETFs to pick up this fiscal year. Slower project disbursement for the RETFs was due to the delay in grant activation and difficult circumstances in Burkina Faso, Chad, and Mali. For quality control purposes, all Bank activities covering the RETFs follow rigorous World Bank processes before the Trust Fund accounting department makes the grant agreements effective for the RETFs. All RETFs whose grant amounts are equal to or exceed \$5 million

are subject to an intensive Bank process in accordance with the World Bank's investment lending project cycle.

Note that the current estimates take into account the current closing date, which is December 31, 2018. Accordingly, all RETFs that will be activated in FY17 should close on June 30, 2018, and the BETF by August 2018. There is a six-month grace period between the closing date of the RETFs, and a four-month grace period between the closing date of the BETF.

The ASPP management team and the donor will closely monitor the cash flow of the grants funded by the Trust Fund to ensure that funds are secured and available to be disbursed in a timely fashion, in accordance with country team projected budgets, as indicated in table 4.4, and the implementation plans of the country teams.

**TABLE 4.4 Actual disbursement up to September 2016 and projected disbursement up to June 30, 2017**

Item	Actual disbursement up to September 2016		FY17 projected disbursement up to June 30, 2017	
	\$	£	\$	£
Burkina Faso	623,519	494,856	2,950,893	2,341,978
Chad	598,205	474,766	1,924,206	1,527,148
Mali	363,488	288,483	3,170,555	2,516,313
Mauritania	921,570	731,404	1,353,677	1,074,347
Niger	1,043,838	828,443	4,408,446	3,498,767
Senegal	333,553	264,725	4,090,321	3,246,286
Regional and Innovation Window	1,013,103	804,050	1,301,804	1,033,177
Program management cost and Bank fee	982,160	779,492	959,995	761,901
<b>Total<sup>a</sup></b>	<b>5,879,437</b>	<b>3,886,728</b>	<b>20,159,897</b>	<b>15,238,017</b>

NOTE: Projected disbursement based on the estimates provided by the country teams.



# Results framework and monitoring

TABLE A.1 ASPP program-level results framework

Indicator	Unit of measure	Baseline	Cumulative target values <sup>a</sup>							Frequency	Data source/ methodology
			FY15 (planned)	FY15 (actual)	FY16 (planned)	FY16 (actual)	FY17 (planned)	FY18 (planned)	End target (Dec. 18)		
<b>Project Development Objective Indicators</b>											
Indicator 1: <sup>b</sup> Spending on social protection, including government and donor spending  [DFID outcome indicator 2]	Percentage of GDP (P) and percentage point increase (PPI) <sup>c</sup>	P: 0.4 PPI: NA	P: 0.4 PPI: 0.03	P: 0.5 PPI: 0.03	P: 0.5 PPI: 0.06	P: 0.5 PPI: 0.04	P: 0.5 PPI: 0.11	P: 0.6 PPI: 0.15	P: 0.6 PPI: 0.15	Yearly	Program mgt, national budgets, donor information
Indicator 2: Capacity of country's SP systems to implement adaptive SP programs [Output 1.1]	(using a scale from 1-6) <sup>d</sup>	1.5	1.6	1.8	2.5	2.7	3.0	3.7	3.7	Yearly	Institutional Assessment
Indicator 3: People benefiting from adaptive social protection programs supported by the trust fund  [DFID outcome 1]	Number (by categories: indirect, <sup>e</sup> direct, <sup>f</sup> female)	I: 0 D: 0 DF: 0	I: 0 D: 0 DF: 0	I: 0 D: 0 DF: 0	I: 334,285 D: 138,857 DF: 68,699	I: 250,000 D: 125,000 DF: 62,500	I: 613,917 D: 240,783 DF: 119,452	I: 1,181,750 D: 420,950 DF: 209,465	I: 1,181,750 D: 420,950 DF: 209,465	Yearly	Country-level MISs
<b>Intermediate Results Indicators</b>											
Indicator 1. Just-in-time technical assistance activities supported by the trust fund	Number	0	4	6	13	18	25	30	30	Yearly	Program mgt information

Indicator	Unit of measure	Baseline	Cumulative target values <sup>a</sup>							Frequency	Data source/ methodology
			FY15 (planned)	FY15 (actual)	FY16 (planned)	FY16 (actual)	FY17 (planned)	FY18 (planned)	End target (Dec. 18)		
Indicator 2. Improved early warning systems and seasonal forecasts (to anticipate and prepare for climate-related and other shocks)	Number	0	0	0	2	0	4	5	5	Yearly	
Indicator 3. Government staff trained on social protection policy, delivery and monitoring and evaluation through the trust fund. [DFID Output 1.5]	Number	0	70	115	300	245	490	690	690	Yearly	Program mgt information
Indicator 4. Assessments of poverty, climate change risk and other vulnerabilities commissioned by the trust fund. [DFID Output 2.1]	Number	0	2	2	8	7	11	13	13	Continuously	Program mgt information
Indicator 5. Evaluations, assessments and studies creating lessons from adaptive social protection programs supported by the trust fund. [DFID Output 2.2]	Number (commissioned and published) <sup>9</sup>	C: 0 P: 0	C: 5 P: 5	C: 6 P: 1	C: 9 P: 9	C: 20 P: 9	C: 21 P: 21	C: 24 P: 24	C: 24 P: 24	Continuously	Program mgt information
Indicator 6. Knowledge exchange and dissemination activities supported by the trust fund [DFID Output 2.4]	Number (national and regional activities)	N: 0 R: 0	N: 2 R: 0	N: 3 R: 0	N: 9 R: 1	N: 14 R: 2	N: 18 R: 2	N: 22 R: 3	N: 22 R: 3	Continuously	Program mgt information
Indicator 7. Programs supported by the trust fund	Number <sup>h</sup>	0	0	0	9	6	9	9	9	Continuously	Program mgt information
Indicator 8. Number of households receiving cash through cash-based interventions (Transfers and PW) supported by the trust fund [DFID Output 1.3]	Number by type (CT, PW, total people, <sup>l</sup> total female)	CT: 0 PW: 0 T: 0 TF: 0	CT: 0 PW: 0 T: 0 TF: 0	CT: 0 PW: 0 T: 0 TF: 0	CT: 0 PW: 18,857 T: 103,142 TF: 50,691	CT: 0 PW: 0 T: 0 TF: 0	CT: 15,500 PW: 26,950 T: 244,799 TF: 121,710	CT: 61,000 PW: 29,950 T: 592,700 TF: 296,790	CT: 61,000 PW: 29,950 T: 592,700 TF: 296,790	Yearly	Country-level MISs

Indicator	Unit of measure	Baseline	Cumulative target values <sup>a</sup>							Frequency	Data source/ methodology
			FY15 (planned)	FY15 (actual)	FY16 (planned)	FY16 (actual)	FY17 (planned)	FY18 (planned)	End target (Dec. 18)		
Indicator 9. People benefiting <sup>l</sup> from productive measures or trained on basic skills (such as sanitary health practices and nutrition awareness programs) supported by the trust fund	Number	0	0	0	130,032	125,000	222,396	374,063	374,063	Yearly	Country-level MISs
Indicator 10. Adaptation related community assets created/rehabilitated through support by the trust fund  [DFID Output 1.4]	Number	0	0	0	338	0	705	755	755	Yearly	Country-level MISs
Indicator 11: Government led social protection programs that incorporate adaptation and risk reduction. [DFID Output 1.2]	Number	0	4	3	5	4	10	11	11	Yearly	Institutional assessment

Note: All data are collected by the country teams for compilation by the ASPP management team.

a. Year 1 through 4 (YR1-YR4) correspond to World Bank fiscal years, which run from July-June.

b. Numbers provided are based on the latest available data, which varies for each country. It is important to highlight and acknowledge that the quality of this data is poor. Expenditure monitoring systems in the Sahel are weak, and one of the aims of the program will be to improve these systems in order to obtain accurate expenditure data on social protection. Once these improved systems are in place, numbers may be revised.

c. The increase corresponds to the percentage point change of funding as a percentage of GDP.

d. See annex 1.1 for explanation of scale.

e. Indirect beneficiaries include all members of a beneficiary household that do not directly receive benefits.

f. Direct beneficiaries include household members that directly receive benefits.

g. Published documents refer to those in public domain.

h. This indicator refers to the number of individual programs that are supported through the MDTF, through direct investment grants and/or technical assistance.

i. This includes household members directly receiving benefits plus other members of the household indirectly benefiting.

j. This includes people directly benefiting from productive measures or training.

TABLE A.2 ASPP DFID logframe

Indicator	Unit	Base-line	Cumulative target values <sup>a</sup>							Frequency	Data source/ methodology
			FY15 (planned)	FY15 (actual)	FY16 (planned)	FY16 (actual)	FY17 (planned)	FY18 (planned)	End (12/18)		
<b>Impact indicators</b>											
1: <sup>a</sup> Percentage of children under 5 who are underweight (moderate and severe malnutrition) [DFID impact indicator 1]	Percentage	24.0	23.8	23.6	23.3	22.0	23.0	22.6	22.6	Yearly	UNICEF
2: <sup>a</sup> Number of food-insecure people [DFID impact indicator 3]	Number in millions	14.5	14.5	14.9	14.7	13.1	14.6	14.5	14.5	Yearly	FAO-ESS
3: Percentage of households using negative coping strategies as a response to shocks [DFID impact indicator 2]	Number	n.a. <sup>b</sup>								Depends on survey availability for each country	WB household surveys
<b>Outcome indicators</b>											
1: Extent to which planned interventions are likely to have transformational impact [DFID outcome indicator 4]	1-6 scale <sup>c</sup>	1.8	1.8	2.0	2.3	2.5	3.0	3.8	3.8	Yearly	Institutional assessment
2: Effectiveness of national SP systems to address CA and DRM [DFID outcome indicator 3]	1-6 scale <sup>c</sup>	1.0	1.2	1.3	1.7	1.7	2.5	3.2	3.2	Yearly	Institutional assessment
<b>Output indicators</b>											
1: Government-led ASPP projects supported by this Trust Fund whose design and/or implementation approaches are informed by recent research and evidence [DFID output indicator 2.3]	Number	0	0	0	7	8	8	9	9	Continuously	Institutional assessment
2: Strategic deployments to key multi-lateral/regional institutions [DFID output indicator 3.1]	Number	0	1	1	2	7	7	7	7	Continuously	Strategic deployments TBD during inception phase
3: Evidence of strategic coordination between key donors and multilateral/regional institutions [DFID Output 3.2]	1-4 scale <sup>d</sup>	2	2	2	3	3	3	4	4	Continuously	Institutional assessment

NOTE: CCA = climate change adaptation; DRM = disaster risk management; SP = social protection; TBD = to be determined. All data are collected by the country teams for compilation by the ASPP management team.

a. Numbers provided are based on the latest available data, which vary for each country.

b. Estimates will be provided once baseline numbers are collected.

c. See appendix B for scale details.

d. Rating scale is as follows: (1) no evidence of strategic coordination is yet available; (2) tentative evidence points to ongoing coordination efforts; (3) a coordination framework exists, but actual coordination efforts are ad hoc and based on needs; (4) a coordination framework exists and is implemented.

# Measurement tool

This appendix presents the rating system to be used to score countries, and the ASPP as a whole, on adaptive social protection capacity and likely transformational impact. The tool is based on ratings for the following three indicators:

- *DFID Outcome Indicator 3*: Effectiveness of national social protection systems to address climate change adaptation and disaster risk management.
- *ASPP Output Indicator 2 (DFID Output Indicator 1.1)*: Capacity of country's social protection systems to implement adaptive social protection programs
- *DFID Outcome Indicator 4*: Extent to which planned interventions are likely to have transformational impact.

This set of indicators will be used to feed into the overall World Bank ASPP results framework (table A.1) and related DFID logframe for the program (table A.2). Ratings will be made by task team leaders for the respective countries using a scale from 1 to 6 (decimals can be used if a rating falls between two scores) in accordance with the parameters noted in the following table. The country ratings will be averaged to obtain an overall rating on each of the three indicators for the ASPP as a whole. DFID also requires a qualitative/narrative report setting out evidence of change in the criteria used in the assessment. The World Bank will explore including such reporting for each country in the regular grant monitoring reports prepared by the task team leaders.

Indicator	Rating					
	1	2	3	4	5	6
Effectiveness of national SP systems to address CCA and DRM	The SP system has no clear links with CCA and DRM, and the government has no plans for such links. No existing SP strategy with CCA and DRM aspects included.	The SP system has no links with CCA and DRM, but the government has initiated discussions on such links. There is not yet an SP strategy with CCA and DRM links.	The government has a clearly formulated strategy on how to create CCA and DRM links with the SP system and may have begun implementing such links.	The government has an overall strategy for adaptive SP and a set of programs that aim to improve resilience through clear links to CCA and DRM.	The government has an overall strategy for adaptive SP and a well-designed set of programs with links to CCA and DRM.	Adaptive SP programs support a balanced, institutionalized, well-coordinated strategy for adaptive SP.
Capacity of country's SP system to implement adaptive SP programs <sup>a</sup>	No effective elements of the core SP system are in place	Some elements of the core SP system have been developed, but are not yet fully operational	Some elements of the core SP system have been developed and are operational, but are not used correctly/efficiently	Some elements of the core SP system are operational and used correctly/efficiently, but more work is needed for missing elements	All elements of the core SP system are operational, but are not used correctly/efficiently	All key elements of the core SP system are in place and are used correctly/effectively
Extent to which planned interventions are likely to have a transformational impact <sup>b</sup>	There is a very low likelihood for planned interventions to have a transformational impact	There is some likelihood for planned interventions to have a transformational impact, but the risks are high and intense support is needed to enable transformational impact	There is some likelihood for planned interventions to have a transformational impact, and the risk is high and some support is needed by other programs to enable transformational impact	There is some likelihood for planned interventions to have a transformational impact; risk is moderate, but some support is still needed by other programs to enable transformational impact	There is moderate likelihood for planned interventions to have a transformational impact; the risk is low, but support is still needed by other programs to enable transformational impact	There is considerable likelihood for planned interventions to have a transformational impact, and there is limited need from support by other programs to enable transformational impact

NOTE: CCA = climate change adaptation; DRM = disaster risk management; SP = social protection.

a. A country system will include a set of programs and the following elements (available for certain programs or systemwide): (1) dedicated institutions and staff; (2) a targeting system, with criteria established and a list of potential beneficiaries available; (3) a functioning MIS, capable of storing potential and actual beneficiaries, and generate lists for registration, payment, and follow-up; (4) an existing and effective payment system; (5) existing and effective grievance mechanisms; and (6) existing and effective monitoring and evaluation.

b. Transformational impact refers to a lifelong positive impact on household resilience.



