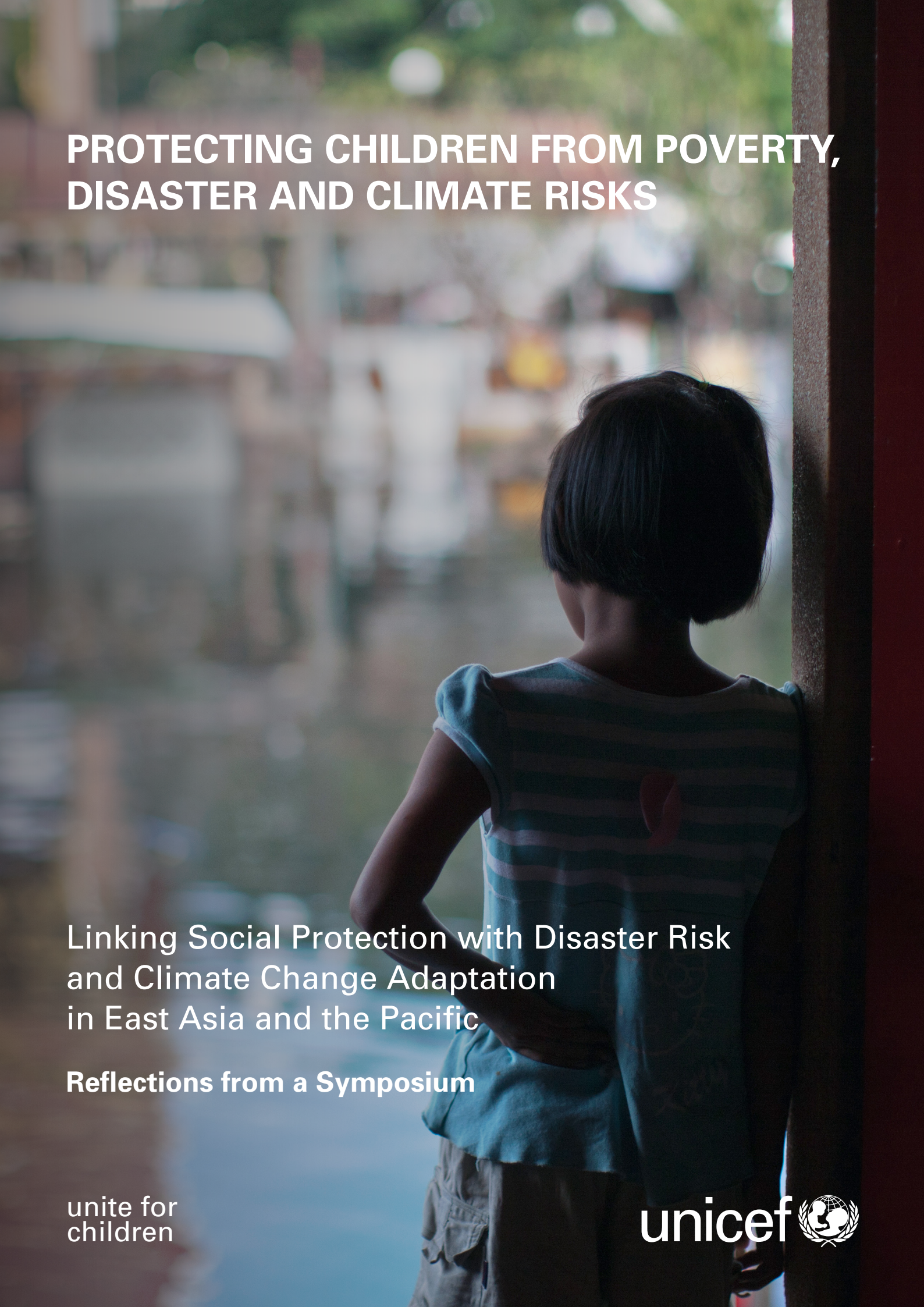

# PROTECTING CHILDREN FROM POVERTY, DISASTER AND CLIMATE RISKS

## Linking Social Protection with Disaster Risk and Climate Change Adaptation in East Asia and the Pacific

**Reflections from a Symposium**

unite for children

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Thailand, 2011: A young girl who was evacuated from her inundated house to Bangkok's Laksi Temple evacuation centre looks out to the murky floodwater. The ground floor of the temple is flooded to 80cms with black, oily water that has flowed through a nearby industrial estate.



The UNICEF East Asia and the Pacific region includes: Cambodia, China, DPR Korea, Indonesia, Lao PDR, Malaysia, Mongolia, Myanmar, Pacific Island Countries, Papua New Guinea, Philippines, Thailand, Timor-Leste, and Viet Nam.

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UNICEF East Asia and Pacific Regional Office
19 Phra Atit Road
Bangkok 10200
Thailand
Tel: (66 2) 356 9499
Fax: (66 2) 280 3563
Email: eapro@unicef.org
www.unicef.org/eapro

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# Foreword

"Emergencies and development are inherently linked. So rather than balancing long-term development and short-term emergency response, we should be integrating the two, without sacrificing either. … When done right, humanitarian assistance is about more than immediate, short-term response. It's inherently about development. … But just as humanitarian action supports development, development must strengthen a country's ability to withstand – and recover from – a future emergency, by addressing underlying vulnerabilities."

*UNICEF Executive Director Anthony Lake, 9 September, 2014*

East Asia and the Pacific is the world's most disaster-prone region, and too often children are the victims of the consequences of these disasters. If not confronted, disaster risks – exacerbated by climate change – are likely to compromise the impressive improvements in children's lives that have been achieved in recent decades. Disasters cannot always be avoided, but communities and children can be equipped and protected so the risks and the damage they face when disasters strike are much reduced. UNICEF's new resilience agenda identifies social protection, disaster risk reduction and climate change adaptation as important work streams, forming part of an approach that integrates development and humanitarian action.

Governments in the region, with help from UNICEF and development partners, are supporting at-risk populations both by providing support for emergency relief and rehabilitation, and by developing disaster risk reduction and climate change adaptation programmes that prevent and mitigate the risk of harm to children. Social protection systems and programmes set up by governments to prevent, reduce and eliminate economic and social vulnerabilities to poverty and deprivation also promote resilience in children and their families. Global experience shows that incorporating resilience to disaster and climate risks into social protection systems and programmes – integrating development and emergency efforts – not only helps children and their families better manage disaster and climate risks, but also builds long-term resilience to disasters while helping break the cycle of poverty.

On 22-23 May 2014, a **Symposium on Protecting Children from Poverty and Disasters in East Asia and the Pacific: Strengthening Linkages between Social Protection and Disaster and Climate Risks** was held in Bangkok, Thailand, with support from Reed Elsevier and the UNICEF United Kingdom National Committee. It brought together government and development practitioners and researchers on social protection, disaster risk management and climate change adaptation to discuss and identify integrated approaches. Government representatives from China, Myanmar and the Philippines took part in the discussions, along with researchers from Indonesia (SMERU Research Institute) and Thailand (Asia Pacific Preparedness Centre), and staff from several United Nations agencies (see list of participants in Annex 2).

The Symposium provided an opportunity to identify tools, strategies and entry-points to better integrate disaster and climate risk into social protection systems. We hope that the outcomes of this dialogue together with lessons learned from the literature – both of which are contained in this publication – will contribute to ongoing efforts at national and regional levels to improve resilience and protect children and their families from the corrosive impacts of poverty, disasters and climate change.

**Dr. Isiye Ndombi**
Deputy Regional Director
UNICEF East Asia and Pacific Regional Office

# Acknowledgements

UNICEF gratefully acknowledges the contribution of Celine Julia Felix, who authored this report, acted as rapporteur for the Symposium, and compiled the proposal for a rapid assessment checklist (Annex 1), under the supervision of Gaspar Fajth and Dominik Horneber (UNICEF EAPRO).

Acknowledgements are due to all participants and presenters during the Symposium (for the list of participants, see Annex 2) and to Cristina Roccella (UNICEF Myanmar), Jennifer Yablonski (UNICEF Headquarters), Emily-Louise Garin (UNICEF Middle East and North Africa Regional Office), Jim Ackers (UNICEF EAPRO), Christopher de Bono (UNICEF EAPRO), Mioh Nemoto (UNICEF EAPRO), David Parker (UNICEF EAPRO), and especially Erik Kjaergaard (UNICEF EAPRO), for their review of earlier drafts of this report. The report has been copy-edited by Barbara Hall and Dominik Horneber.

Acknowledgements are also due to Prapaporn Tivayanond for her work on the multi-country research on existing linkages between social protection, disaster risk management and climate change adaptation in Thailand and the Philippines, which provided a background to the Symposium and this report. Acknowledgements are due to Jill Lawler, Mahesh Patel and Dominik Horneber (UNICEF EAPRO) for their supervision of this research. We would also like to thank the following contributors for their review of draft research outputs: Marcia Balisciano (Reed Elsevier), Emily Garin (UNICEF HQ), Dominik Horneber (UNICEF EAPRO), Maya Igarashi-Wood (UNICEF EAPRO), Erik Kjaergaard (UNICEF EAPRO), Lena Nguyen (UNICEF EAPRO), David Parker (UNICEF EAPRO) and Lucy Stone (UNICEF UK National Committee). Appreciation is also owed to the following resource persons for their input and contribution to the multi-country study: MGen Eduardo D. Del Rosario (Office of Civil Defense, National Disaster Risk Reduction and Management Council, Philippines), Secretary Dinky Soliman (Department of Social Welfare and Development, Philippines), officers of the Municipality of Plaridel (Bulacan Province), officers of the Center for Disaster Preparedness (CDP), Aniceto Orbeta (Philippines Institute of Development Studies), Mary Lou Alcid (University of Philippines), Edsel Sajor (Asian Institute of Technology), Adthaporn Singhawichai (Department of Disaster Prevention and Mitigation, Thailand), Nirawan Pipitsombat (Office of Natural Resources and Environmental Policy and Planning, Ministry of Natural Resources and Environment), Permanent Secretary Vichien Chavalit (Ministry of Social Development and Human Security), Thailand's One Tambon One Product-producers, officers of the Department of Social Development and Welfare, officers of the Community Development Department (Ministry of Interior) and Jesda Tivayanond (Ministry of Foreign Affairs, Thailand).

# Executive summary

**East Asia and the Pacific is the world's most disaster-prone region and its children, especially the poorest, are most at risk when a disaster strikes.** Disasters – exacerbated by climate change – threaten children's survival and the livelihoods of the poorest households, those with the least capacity to cope. When a disaster strikes and destroys assets and sources of livelihoods, poor households often respond with coping strategies harmful to children. Households are forced to withdraw children from schools, sell off livestock and other assets and cut down on food consumption to cope with disaster losses. This can undermine and even reverse gains made in poverty alleviation and development in East Asia and the Pacific in the past decades.

**Social protection is helping millions of families in East Asia and the Pacific to cope with social and economic shocks. Global experience shows that combining social protection with disaster risk management and climate change adaptation efforts can help reduce risks posed by natural hazards and climate change, as well as build the resilience of vulnerable households, especially the poorest.** The three areas share a common objective: to minimize risks that can jeopardize the future development of children and their families. In East Asia and the Pacific, social protection programmes are widespread and help prevent and reduce vulnerabilities to poverty and deprivation. Global experience shows that social protection can also be an effective tool to advance efforts to mitigate and prevent disaster and climate risks, and respond when a disaster strikes. Combined programmes will help build household resilience to withstand social and economic pressures as well as risks posed by disasters and climate change.

**In order to link social protection, disaster risk management and climate change adaptation, it is necessary to bridge the gap between the three fields and develop an integrated understanding of vulnerability.** Social protection, disaster risk and climate change professionals often have limited knowledge of each other's field of expertise. They also have a different way of understanding and addressing vulnerability and risks, which makes it challenging to promote an integrated approach. It is therefore crucial to create platforms that foster exchange and collaboration. It is also necessary to look at vulnerability in a more integrated way. Social protection approaches are effective for understanding current social and economic child vulnerabilities at the household level. Disaster risk management and climate change adaptation approaches are strong in localizing and assessing the potential future risks to populations exposed to natural hazards and climate change, including the poorest. Combining both enables us to identify current and future vulnerabilities and risks, and those children and families most in need of assistance.

This report identifies four steps for governments and development partners to strengthen the linkages between social protection, disaster risk management and climate change adaptation:

### Step 1: Identify households that are most at risk of disaster and climate change impacts

Current assessments of disaster risk often concentrate on shocks and do not pay sufficient attention to factors shaping people's vulnerabilities and their capacities to anticipate, manage and overcome shocks. Social protection vulnerability assessments apply a broader analysis of current social and economic vulnerabilities but do not always appreciate the dynamic nature of vulnerability, environmental hazards and the interaction of multiple risk factors. Integrated assessments are needed that incorporate disaster and climate hazards as well as social and economic vulnerability such as poverty, deprivations, and lack of access to services to develop a holistic understanding of vulnerability.

### Step 2: Assess the sensitivity of current social protection programmes to disaster and climate risks

Existing social protection programmes in East Asia and the Pacific can contribute to disaster risk management and climate change adaptation efforts in many different ways. Social protection services could be designed and staff trained with disaster risks in mind; cash transfers programmes could be designed so that they can be scaled up when a disaster strikes and provide rapid assistance to those affected; programmes promoting livelihood diversification can reduce household vulnerability to the impact of disasters and climate change. Ongoing social protection assessments, for example, the International Labour Organization's (ILO) Assessment-Based National Dialogue tool and the Inter-Agency Social Protection Assessment tool can be adjusted to assess these contributions and gauge the need for reform. Components assessing disaster and climate risk sensitivity can be added to highlight the extent to which existing social protection programmes help protect households from shocks before they occur (contribution to risk reduction); assess the preparedness and responsiveness of programmes (contribution to disaster management); and assess the effectiveness and cost-efficiency of social protection programmes that have been used to respond to disasters. Reflecting on issues raised by Symposium participants, this report proposes a rapid assessment checklist for exploring the sensitivity of social protection programmes to disaster and climate risks (Annex 1). Moreover, as the recent example of Typhoon Haiyan in the Philippines shows, the resilience of the social protection system itself to destruction and blackouts caused by disasters should be part of the preparedness and risk prevention efforts.

### Step 3: Adapt existing and develop new social protection programmes and systems that integrate disaster and climate risks

Building on a more holistic understanding of vulnerability and an assessment of existing programmes, tools and mechanisms can be identified that can contribute to increasing disaster and climate risk sensitivity of social protection systems. These systems have many tools to offer that already contribute to identifying the most disadvantaged families and addressing the sources of their vulnerabilities. These include cash transfers, public works programmes, and family support and social care services. Reforms should prioritize reinforcing the programmes already in place and work towards their integration into a coordinated system to address disaster and climate risks. A second step can be to introduce social protection programmes specifically targeting vulnerability to disasters and climate change. Social assistance and care workers can play a key role facilitating linkages between the three areas on the ground because of their thorough knowledge of the context and local population. As the example of China shows, they can act as primary agents for connecting families to the support they need in all three areas.

### Step 4: Improve the coordination of institutions, strategies and programmes

Social protection, disaster risk management and climate change adaptation are the responsibility of many actors and have often been developed independently of each other with little coordination – even if in theory everyone agrees that coordination is essential. Before introducing new tools and mechanisms, exploring the institutional entry points to coordinated approaches is essential: moving an integrated agenda forward needs the expertise and active contribution of all three communities. Planning and vulnerability assessments need to be undertaken jointly, and countries should develop surge capacity in all three areas. Mapping key stakeholders and existing coordination mechanisms to identify gaps and potential areas for joint programming and action is both a useful starting point and an important enabler throughout the process. Myanmar's Social Protection-Disaster Risk Reduction Coordination Working Group, tasked with supporting the development of the country's social protection system, is a good example of bringing the different communities together.

# Table of Contents

# Acronyms and abbreviations

| | |
|---|---|
| ABDN | Assessment-Based National Dialogue |
| AADPC | Asian Disaster Preparedness Center (Thailand) |
| ASEAN | Association of Southeast Asian Nations |
| CBMS | Community-Based Monitoring System (Indonesia) |
| CCA | Climate change adaptation |
| CCT | Conditional cash transfer |
| CODI | Core Diagnostic Systems Assessment Instrument |
| DRM | Disaster risk management |
| DRR | Disaster risk reduction |
| DSWD | Department of Social Welfare and Development (Philippines) |
| EAP | East Asia and the Pacific |
| EAPRO | UNICEF East Asia and the Pacific Regional Office |
| EWS | Early warning system |
| GDP | Gross domestic product |
| GFDRR | Global Facility for Disaster Reduction and Recovery |
| ILO | International Labour Organization |
| MODA | Multiple Overlapping Deprivation Analysis |
| NDRCC | National Disaster Reduction Center of China (People's Republic of China) |
| NGO | Non-governmental organization |
| PMT | Proxy means test |
| PET | Programa da Empleo Temporal (Temporary Employment Programme, Mexico) |
| SSDM | Social Service Delivery Mechanism (Cambodia) |
| UNDG | United Nations Development Group |
| UNICEF | United Nations Children's Fund |
| UNISDR | United Nations Office for Disaster Risk Reduction |
| 4Ps | Pantawid Pamilyang Pilipino Program (Philippines) |

# Introduction

This report provides an overview of the main topics discussed during the Symposium. It is organized as follows: Section 1 provides an overview of the risk profile in East Asia and the Pacific (EAP) and briefly describes the programmes put in place to address the issue; Section 2 introduces social protection, the current development of social protection systems in the region and outlines the added value of linking it to disaster risk management (DRM) and climate change adaptation (CCA); Section 3 summarizes the key messages from the working groups; and finally, Section 4 focuses on the next steps proposed by the participants for social protection systems to better factor in disaster and climate-related risks.

The report draws on a review of the available literature on linkages between social protection, humanitarian action and disaster risk reduction (DRR) worldwide that was carried out by Pierre Fallavier for UNICEF (Fallavier, 2013). It also builds on the field research undertaken by Prapaporn Tivayanond in Thailand and the Philippines on behalf of UNICEF EAPRO. This research was conducted between January and October 2013, and showed the emerging character of risk-informed social protection in EAP. Existing social protection programmes are contributing to DRM and CCA efforts but in a limited way: legal and institutional frameworks do not sufficiently integrate policies or programmes in both areas. As a result, linkages between social protection, DRM and CCA often appear incidental, and synergies are not built to their maximum potential. Nevertheless, the research did show significant efforts and interest in both countries to make social protection more disaster and climate risk-sensitive. The objective of the Symposium was to answer the need to learn more and raise further awareness of practical approaches to strengthen linkages. Research findings are incorporated into this report through case studies from the two study countries, Thailand and the Philippines.

The following references are provided in this report for easy access to Symposium and other materials:

References to presentations made during the Symposium.

References to additional documentation on the topic.

Key point to pay specific attention to.

This report is aimed primarily at practitioners and researchers engaged in social protection and/or DRM and CCA issues. While the focus is mainly on the countries of origin of the Symposium participants, it is clear that much of the analysis and many conclusions can be of relevance to other countries. This material can also be used to raise awareness of integrated approaches among practitioners in social protection and DRM/CCA, and to stimulate collaboration.

# 1 Disaster risk and climate change

This section provides an overview of the risk profile of EAP and introduces how governments and UNICEF and its development partners are using DRM and increasingly DRR and CCA to address these risks.

Symposium agenda and key issues (Dominik Horneber, UNICEF EAPRO)

DRR and risk-informed programming in 10 min (Erik Kjaergaard, UNICEF EAPRO)

Social protection and DRR in China (Feng Xijin and Sujuan Zhang, Government of China)

Disaster risk reduction and response management in the Philippines (Remia T. Tapispisan, Government of the Philippines) – see first slides

The role of social protection in disaster risk reduction and climate change adaptation in Indonesia (Rahmitha, The SMERU Research Institute) – see first slides

For full presentations, see: http://www.unicef.org/eapro/resources_23066.html

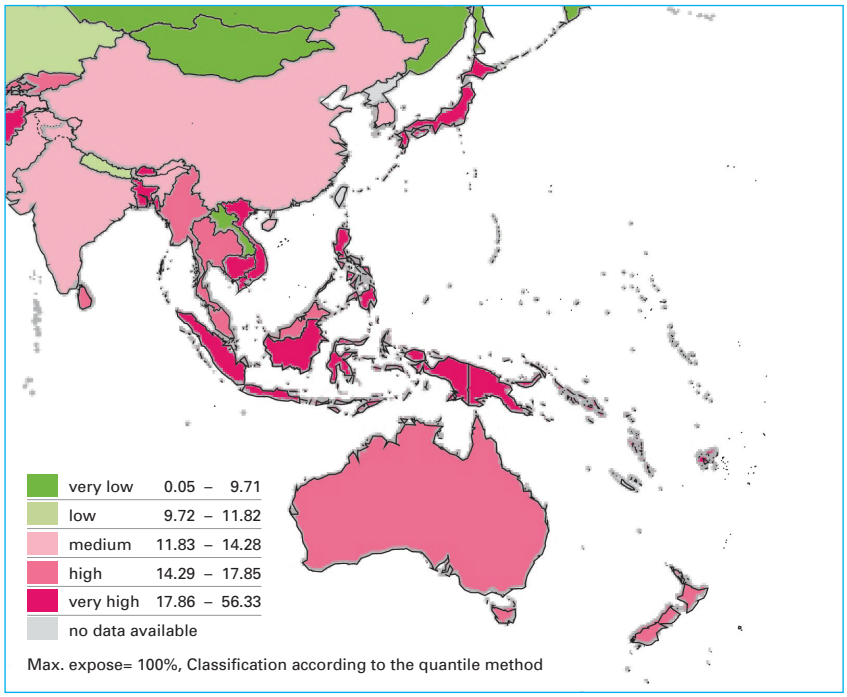
## 1.1 What is the risk profile of East Asia and the Pacific?

### Key points:

- EAP is the world's is most natural hazard-prone region.
- Weather-related hazards and extreme climate events are exacerbated by climate change.
- The number of affected people and the economic losses of disasters are increasing.
- Low-income families and children remain among the groups most exposed to natural hazard and climate change, and are the ones suffering the most from the consequences of disasters.
- Growing vulnerability and exposure of urban and rural populations result in increased levels of disaster risk, despite ongoing DRR and CCA efforts.
- While disaster-related mortality rates continue to decline, the human, economic and social consequences of recurring disasters constitute real threats to sustainable development.
- A natural hazard or shock becomes a disaster when it interfaces with vulnerability and affects communities, households and individuals.

**All introductory presentations emphasized the extent to which countries in the region are prone to various types of natural and man-made hazards. EAP is the most natural hazard-prone region in the world.** It has suffered some of the highest losses in lives, health status, livelihoods and assets from earthquakes, tsunamis, volcanic eruptions, landslides, floods and droughts. In the past 20 years, the EAP region has suffered 61 per cent of the losses from disasters worldwide (GFDRR, 2013). Since 2000, more than 1.6 billion people from the region were affected by mega-disasters such as the 2004 Indian Ocean tsunami, the 2008 Cyclone Nargis in Myanmar, the 2008 Wenchuan earthquake in China, and the recent Typhoon Haiyan in the Philippines (GFDRR, 2013). While these infrequent large-scale disasters attract global attention, the cumulative effects of low-scale recurring disasters have greater impact on lives and livelihoods in the region. The risk level induced by natural hazards such as tropical cyclones, earthquakes, tsunamis, floods and landslides remains high in several countries in the region. Map 1 shows the exposure of the population to some of these hazards.

**Map 1:** Exposure of the population to multiple hazards (droughts, floods, earthquakes and sea level rise) in Asia and the Pacific




**Source:** United Nations University, 2011.

**Weather-related hazards are exacerbated by climate change, which contributes to the intensity, frequency and unpredictability of extreme climate events.** The region has a high degree of vulnerability to climatic change: by 2030, the region is expected to be affected by increasing levels of rainfall, a rise in the global sea level of approximately 3-16 cm, and temperature increases of 0.5-2°C (IFAD, 2009). Projected climatic impacts for EAP include water scarcity, sea level rise, increase in morbidity and mortality (notably from diarrhoea and vector-borne diseases), as well as reduction in crop yields, with risk of food insecurity (UNICEF, 2012a). Vulnerability to climate change depends not only on countries' geographical exposure and reliance on climate-sensitive sectors (e.g. agriculture), but also on their ability to adapt (Davies et al., 2009). As Map 2 shows, Cambodia, Lao PDR and the Philippines are considered particularly vulnerable to climate change, not only because of their exposure to climate hazards, but also due to their lack of institutions, assets and infrastructure needed to cope (UNICEF, 2011: 27).

*Because of climate change, natural hazards are becoming more and more unpredictable, frequent and intense. This means we constantly have to adapt to a new normal.*

**Remia T. Tapispisan**
Government of the Philippines

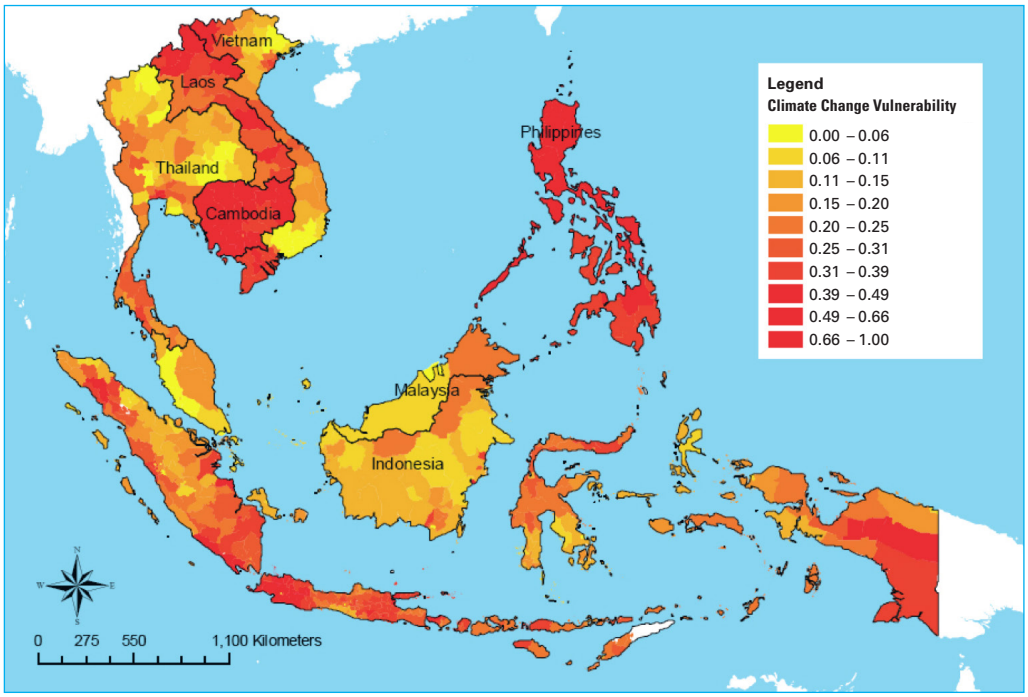
**Increased exposure of the population contributes to growing disaster risk: a natural hazard or external shock becomes a disaster when it interfaces with vulnerability and affects communities, households or individuals.**[1] As highlighted in the presentation by Remia T. Tapispisan from the Ministry of Social Welfare and Development in the Philippines, Typhoon Haiyan affected most of the communities in low-lying or coastal areas of the Philippines that had poorly built housing. Isolated communities in some mountain areas also suffered greatly. Disasters and climate change not only threaten rural communities, which often rely on climate-dependent livelihoods, but also threaten the fast growing urban population concentrated in megacities, often located in hazardous areas. Many megacities in the region are already densely populated, with fast-growing slums in high-risk areas; for example, Albay Province in the Philippines and East Java in Indonesia are prone to volcanic eruptions (Daep, 2002). As urbanization progresses, the region's vulnerability to floods is predicted to increase, with a projected 410 million urban citizens at risk of coastal flooding by 2025 (Stanton-Geddes and Stanton-Geddes, 2013).

*Earthquakes do not kill people, but collapsing buildings and lack of urban planning do.*

**Erik Kjaergaard**
UNICEF EAPRO

[1] Disaster risk can be defined as the potential disaster losses in lives, health status, livelihoods, assets and services that could occur to a particular community or a society over some specified future time period (UNISDR, 2009). Disaster risk is commonly analysed as a function of natural hazards, vulnerability, exposure and capacity.

**Map 2:** Climate change vulnerabilities based on exposure to weather-related hazards and sensitivity (human, ecological and adaptive capacity)




**Source:** Yusuf, and Francisco, 2009.

**Socio-economic stresses also exacerbate disaster impact.** Natural hazards and health risks are among the critical shocks faced by poor and vulnerable households, according to the new 2014 World Development Report. "Most households across a sample of developing countries reported having been exposed to a shock in the preceding year, and a substantial proportion were exposed to more than one" (World Bank, 2014:55). Rural areas tend to be more severely affected by shocks, especially by drought and floods[2] (World Bank, 2014). When a disaster strikes and destroys assets and sources of livelihoods, the almost inevitable responses of poor households are harmful coping strategies. They often resort to selling off livestock or other assets, withdrawing children from school and cutting down on food consumption. Although evidence of long-term effects of disasters on human capital is scant, some studies have found that school attendance drops, re-enrolment is low and visits to health clinics decline after a disaster (World Bank, 2010; IDS/CCCC, 2011). A study of the long-term effects of China's 1959-61 famine found that survivors were suffering from serious health and economic defects, especially those who were in their early childhood during the famine. This included a significant negative impact on their ability to work and their earnings (Chen, 2007).[3] Other factors also explain the disproportionately high impact of disasters on the poor, including:

- They often live in places more exposed to natural hazards.
- They often belong to ethnic minorities or marginalized populations (e.g. immigrants) who have less voice and influence.
- They often depend on informal safety nets that become stretched after major shocks.
- They are adversely affected by delays in or lack of access to relief/early recovery responses.

[2] One exception is employment shocks, which tend to be concentrated in urban areas.

[3] A similar study was carried out on the long-term effects of the 1984 Ethiopian famine on children. For more information, see Dercon and Porter (2010).

**Children, who constitute between one third and half of the population in most countries in EAP, are particularly vulnerable to disaster risk: disasters affect their immediate wellbeing as well as their potential for a better future.** Disasters typically disrupt the availability of basic social services: they often damage infrastructure for water, hygiene, sanitation and health services essential to save lives and keep people healthy (UNICEF, 2012f). Disasters may damage schools and learning materials, disrupting children's education (UNICEF, 2012c). At the same time, disasters often exacerbate the most common causes of childhood mortality, including diarrhoea, pneumonia, malaria and malnutrition (UNICEF, 2012d). Disasters typically cause food insecurity and negatively impact the nutritional status of children and expecting or lactating mothers (UNICEF, 2012e). Disasters also impact the demand side: households decrease their investments in food, education and health to compensate for disaster losses. Moreover, disasters may result in an increased risk of neglect, separation, abandonment, abuse, economic exploitation, illegal adoption and multiple forms of violence (UNICEF, 2012b).

**The human, economic and social consequences of recurring disasters are threats to sustainable development.** Inadequate prevention and protection will likely result in impaired development. As a result of disasters, development gains may be lost and opportunities missed. This may entail, particularly for children, irreparable loss (such as death of important family members, and missed nutrition opportunities during pregnancy and in early childhood) and long-term negative effects (reduced learning, school dropout, impaired health and mental progress).

## 1.2 How is the challenge of growing disaster and climate risk currently being addressed?

### Key points:

- Conventional disaster management is increasingly being supplemented with DRR and CCA. This creates a new policy space focusing on prevention and mitigation of disaster and climate risks before they manifest as emergencies.
- Emergency response planning is gradually becoming less shock-driven and is guided more by vulnerabilities before, during and after emergencies (e.g. early recovery and building back better).
- Development planning is gradually becoming more risk-informed and climate-sensitive.
- Governments in the region along with UNICEF and its development and humanitarian partners are gradually moving towards risk-informed programming and 'climate-smart' DRM solutions.

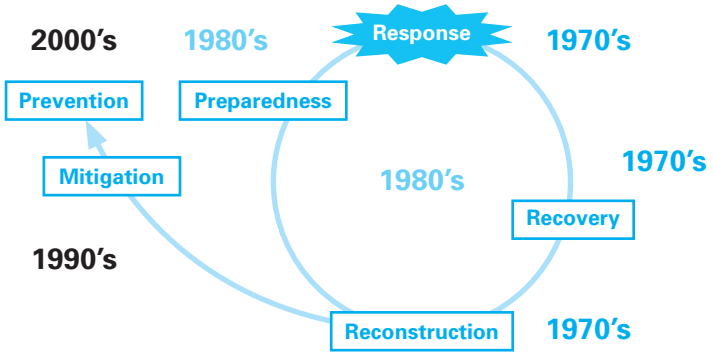
**Disaster managers are increasingly becoming disaster risk managers, focusing on preventing and mitigating disaster risks before they manifest as emergencies.** Erik Kjaergaard, UNICEF Senior Emergency Specialist (DRR), highlighted that among DRR practitioners, risk is commonly understood as a function of hazard, vulnerability, exposure and capacity:[4]

$$\text{risk} = \frac{(\text{hazard} \times \text{vulnerability} \times \text{exposure})}{\text{capacity}}$$

[4] The precise definitions of, and relationships between, these concepts differ between social protection and DRM/CCA specialists. It is important to be aware of these differences in terminology and acknowledge these when pursuing cross-sectoral approaches to social protection, DRM, and CCA.

In this perspective, risk is a disaster that has not occurred but is likely to occur if not countered by risk management efforts. While conventional disaster management concentrates on emergency preparedness and disaster response, DRR focuses on preventing and mitigating disaster risks before they manifest as emergencies.[5] Examples of DRR interventions include 'hardware' such as safe schools and elevated hand pumps designed to withstand extreme climate events as well as 'software' such as development programmes targeting people affected by past disasters and exposed to current or future hazards and climate risks.

**Figure 1:** Modified disaster cycle




**Source:** Symposium presentation by Erik Kjaergaard, UNICEF EAPRO.

**Most countries in the region, as well as UNICEF and its development and humanitarian partners, are increasingly adopting risk-informed planning and 'climate-smart' risk management solutions.** Figure 1 summarizes the development in DRM approaches over time. Whereas the dominating paradigm in the 1970s was ad hoc disaster responses, the 1980s moved towards permanent disaster management approaches, dealing continuously with all phases of the disaster cycle (preparedness, response, recovery and reconstruction). During the last 25 years, there have been increasing efforts to meet the challenges of recurring disasters and to break out of the 'disaster cycle' through preventive risk management. Early recovery and 'build back better' are recent disaster management approaches aimed at bridging the gap between disaster management and development by using emergencies as 'windows of opportunity' to improve poor development practices.

**Instead of pursuing separate and often parallel development and emergency programmes in high-risk areas, current DRM thinking aims at adopting holistic approaches.** One of the guiding principles is that emergency planning should become less shock-driven and more informed by vulnerabilities. Similarly, development should no longer be 'blind' to, but informed by disaster and climate risks. The goal is to pursue:

- risk prevention whenever possible;
- risk reduction whenever feasible and cost-effective, which is often the case;
- risk transfer/pooling (e.g. social insurance) to share the burden of disaster and climate risk;
- disaster management (emergency preparedness and disaster response) to cope with residual risk.

**The economic evidence available supports comprehensive and preventive risk management approaches (United Nations and World Bank, 2010;World Bank, 2014).** Community-based DRR, early warning and emergency preparedness have consistently proven to be more cost-effective than humanitarian action, often by a factor of 1:4 to 1:24 (IFRC, 2010).

[5] DRM may be seen as the sum of all disaster management (preparedness and response) and DRR (prevention and mitigation) efforts.

**Table 1:** Examples of disaster risk management and climate change adaptation tools used in the East Asia and Pacific region

| Sector | Action | Objective | Examples of tools |
|---|---|---|---|
| **Disaster risk management** | Disaster management | Emergency Preparedness | Development of early warning and monitoring systems (earthquake monitoring systems, tsunami warning systems, both globally and nationally) |
| | | Disaster response | Cash or in-kind transfers in emergencies (e.g. supplemental feeding in the Philippines after Hayian), fee waivers for basic social services |
| | Disaster risk reduction | Preventing disaster risk | Land-use planning and hazard-proof building design of schools (China) |
| | | Mitigating disaster risk | Development of risk insurance mechanisms and livelihood diversification to increase resilience |
| **Climate change adaptation** | Anticipatory adaptation | Prior to observed climate change impacts | Adapted infrastructures according to predicted future climate change scenarios (Indonesia and Lao PDR) |
| | | | Improved drainage capacity to avoid flooding due to higher temperature-induced glacial lake outburst floods |
| | Reactive adaptation | After observing climate change impacts | Changes in livelihood strategies in response to deforestation |
| | | | Carbon pricing schemes, projects promoting low carbon growth (Maldives) (Fallavier, 2013) |

**DRR and CCA both aim to reduce societies' vulnerability to hazards by improving their ability to better anticipate, resist and recover from disaster and climate-related shocks.** DRR systematically identifies, assesses and takes action to reduce risk. As highlighted in the presentation by China, countries increasingly promote DRR in both emergency and development programmes. In emergency interventions, DRR is often included during early recovery to rebuild better and safer ('build back better'), for example, following the Indian Ocean Tsunami in 2004, Cyclone Nargis in Myanmar in 2008 and the Sichuan Earthquake in China in 2008. In development interventions, DRR takes the form of polices, programmes and community action aiming at reducing vulnerabilities and building local resilience to shocks. CCA emerged within the United Nations Framework Convention on Climate Change (UNFCCC) negotiation process. It is defined as *an adjustment in natural or human systems in response to actual or expected climate stimuli or their effects, which moderates harms or exploits benefit opportunities* (UNISDR, 2009). United Nations Member States recognized the need to focus on both preventing and reducing global warming (climate change mitigation) as well as adapting to its consequences (CCA). Countries in EAP are increasingly integrating CCA interventions into development planning to respond to the different areas where the impact of changing climatic conditions is felt. Rahmitha from the SMERU Research Institute presented examples of policies put in place in Indonesia, including the mapping of climate change vulnerabilities, awareness-raising activities, public policy reform and developing the capacity of public institutions.

*If one is prepared for the unexpected, not every natural hazard needs to become a disaster.*

**Cynthia Burton**
Independent DRM, CCA and Social Protection Specialist

The main differences between DRR and CCA are:

- DRR expands beyond weather-related hazards, whereas CCA includes climate extremes and the more slowly evolving risks posed by climate change.
- While DRR takes past disaster records as its starting point, CCA is often based on future scenarios of projected climate changes.

**DRR and CCA – as well as climate change mitigation – are complementary strategies that need to be pursued together.** While climate change mitigation is critical to reduce the long-term impacts of climate change, adaptation addresses the most immediate and urgent challenges. By taking past disaster trends, current disaster risk and future climate risk into consideration, DRR becomes climate-sensitive and a genuine expression of a 'smart' risk management approach. Table 1 provides examples of actions undertaken by countries in the region in the different areas.

**Despite the contribution of ongoing programmes towards addressing disaster risk, they have certain limitations:**

- High-profile humanitarian response continues to draw greater attention and attract more funding than preventive risk reduction efforts that are more effective but less visible.
- Hazard assessments are often performed but have until recently rarely been combined with vulnerability indicators to result in risk assessments.
- Risk assessments continue to use disaster losses and monetary values as indicators rather than incorporating indicators looking at deprivation in basic needs such as access to food, nutrition, education, health, etc.
- Interventions tend to focus more on infrastructure than equally important and often more cost-effective soft interventions such as health and education programmes.

# 2 Linking disaster risk management and climate change adaptation to social protection

Social protection, DRM (DRR, in particular) and CCA share common objectives. Each aims to minimize people's vulnerabilities to shocks that can affect their future. Synergies may therefore help reduce risks faced by households, build their resilience, and address root causes of poverty and vulnerability for long-lasting change. Social protection can also contribute to responding to disaster impact when necessary.

This section provides basic information on social protection and on the development of social protection systems in the region, which was presented on the first day of the Symposium. It then looks at the possible added value of linking social protection to DRM and CCA.

Protecting children, investing in children. Child-sensitive social protection in EAP (Christina Roccella, UNICEF Myanmar)

Linking social protection with disaster risk management and climate change adaptation (Cynthia Burton, Independent Consultant)

Myanmar's emerging social protection system (Khin May Nu, Government of Myanmar)

From social protection in emergencies to longer-term resilience programming (Weilin Shi, UNICEF China)

UNICEF's Unconditional Cash Transfer programme (Augusto Rodriguez, UNICEF Philippines)

Social protection and DRR in China (Feng Xijin and Sujuan Zhang, Government of China)

The role of social protection in disaster risk reduction and climate change adaptation in Indonesia (Rahmitha, The SMERU Research Institute)

For full presentations, see: http://www.unicef.org/eapro/resources_23066.html

## 2.1 Basics on Social Protection

### Key points:

- Social protection already plays a vital role in strengthening the resilience of children, families and communities, achieving greater equity and supporting human and economic development.
- The development and strengthening of integrated social protection, DRM and CCA systems can contribute to effectively and efficiently addressing the multiple vulnerabilities faced by children and their families, including vulnerabilities to disaster and climate-related shocks.

**Social protection** can be defined as "a set of public and private policies and programmes aimed at preventing, reducing and eliminating economic and social vulnerabilities to poverty and deprivation, and mitigating their effects" (UNICEF, 2012g: 133).

**UNICEF takes a rights-based and child-sensitive approach to social protection by focusing on addressing the inherent social disadvantages, risks and vulnerabilities children may be born into, as well as those acquired later to ensure that they realize their full potential (UNICEF, 2012g).** The organization supports the progressive realization of social protection (notably through categorical programmes). This approach ensures that the poorest and most excluded children and families are reached and prioritized as programmes are scaled up. In her presentation on child-sensitive social protection in EAP, Cristina Roccella, UNICEF Chief of Social Policy (Myanmar), emphasized the following:

- ✔ Poverty and deprivation are multi-dimensional and dynamic realities, which therefore require multi-dimensional responses.
- ✔ Vulnerability entails both exposure to risk and the capacity to respond and cope.
- ✔ Both economic and social vulnerabilities are important and often intertwined.
- ✔ Underlying structural social, political and economic factors shape vulnerabilities.

**Box 1:** UNICEF's child-sensitive approach to social protection

In addition to facing the same vulnerabilities as other members of the household, children also face vulnerabilities that are specific to their age, such as:

- vulnerabilities due to distinctive needs for care and support;
- health vulnerabilities, especially for children under the age of three;
- economic vulnerabilities from low return to labour, unemployment and/or unequal access to productive assets, physically and psychologically affecting children more;
- social vulnerabilities due to family composition, violence, discrimination, social capital and/or education;
- natural or environmental vulnerabilities from disaster or environmental degradation to which children are more physically and psychologically vulnerable than adults (Holmes & Jones, 2010: 8)

UNICEF's approach involves embedding child-sensitive support within programmes that aim to reduce the vulnerabilities of communities as a whole, such as cash-for-work programmes or pensions for the elderly, which enable them to better support the vulnerable children under their care.

**Source:** UNICEF, 2012g.

*Child-sensitive social protection programmes are not programmes that focus on children alone; they are programmes that address children's specific vulnerabilities within the needs and capacities of their caregivers and communities.*

**Cristina Roccella**
UNICEF Myanmar

**Social protection builds the resilience of vulnerable families by enabling their access to basic services and providing them with vital social transfers so that they can confront shocks and invest in their human capital.** Countries have at their disposal a broad range of instruments to: i) help households and/or individuals manage the impact of a shock ('protective measures'); ii) lessen the severity of shocks before they occur ('prevention measures'); iii) enhance households' incomes and capabilities to reduce their sensitivity to risk ('promotive measures'); and iv) address concerns of social equity and exclusion ('transformative measures') (Devereux and Sabates-Wheeler, 2004: 30). Table 2 presents examples of instruments used for each function including examples of programmes already implemented in countries in the region.

**Table 2:** Examples of social protection instruments used in the EAP region

| Function | Objective | Examples of instruments |
|---|---|---|
| **Protection** | Guarantee relief from poverty and deprivation, and ensure access to basic services | Cash transfer programmes,* public work programmes,* school feeding programmes, fee waivers, disability benefits,* etc.<br>**e.g. the Pantawid Pamilyang Pilipino Program (4Ps) in the Philippines, health equity funds in Cambodia, Universal Coverage scheme in Thailand to access basic healthcare** |
| **Prevention** | Mitigate the impact of an adverse shock and avoid damaging coping strategies, particularly before a shock to avert deprivation | Social insurance schemes, non-contributory pension schemes, unconditional cash transfer programmes,* etc.<br>**e.g. Contributory and social pensions in China and Thailand.** |
| **Promotion** | Enhance resilience through assets, human capital and improving income-earning capacity of the poor | Regular cash transfer programmes combined to skills training and active labour market programmes** (for livelihood diversification support).<br>Conditional cash transfers** that contribute towards enhancing human capabilities.<br>**e.g. 4Ps in the Philippines and public works programmes combined with employment opportunities and vocational training in Lao PDR.** |
| **Transformation** | Address the underlying causes of power imbalances that create or sustain economic inequality and social exclusion | Legal and judicial reform, anti-discrimination policies, inheritance rights, family care and support, etc.<br>**e.g. Social work services centres (case management, counselling and alternative care systems) in Viet Nam.** |

**Note: Social protection programmes typically aim to increase households' ability to withstand and recover from economic,[6] life cycle-related, social or health shocks, but not disaster or climate-related shocks.** Nevertheless, some instruments appear to lend themselves well to different functions of DRM by helping with recovery (marked with an * in the table) and prevention (marked with an ** in the table).

**The trend in EAP countries is to invest in social protection and to expand and integrate programmes.** Most countries in the region have recorded strong growth records that have lifted millions out of poverty, but these gains have not benefitted all. Millions of people are still poor, deprived of basic rights, and vulnerable to increased risks stemming from global economic crises and climate change. While social protection has long been considered a luxury that developing countries could not afford, it is now gaining recognition in the region as a necessary investment at each step of development, necessary for countries to grow sustainably. In October 2013, the Association of Southeast Asian Nations (ASEAN) leaders adopted the Declaration on Strengthening Social Protection, confirming the growing regional importance of social protection (ASEAN, 2013). The Social Protection Floor framework, which was adopted by the United Nations System Chief Executives Board in 2009, provides a concrete framework for establishing social protection systems at the national level and is being advanced across the region. Social protection floors are nationally defined sets of basic social security guarantees that secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion. These guarantees should ensure at a minimum that, over the life cycle, all those in need have access to essential health care and basic income security.

Social protection floors should comprise at least the following four social security guarantees, as defined at the national level:

- access to essential health care, including maternity care;
- basic income security for children, providing access to nutrition, education, care and any other necessary goods and services;

[6] Economic shocks include unemployment or underemployment, unequal access to productive assets, etc.

- basic income security for persons in active age who are unable to earn sufficient income, in particular in cases of sickness, unemployment, maternity and disability;
- basic income security for older persons (Bachelet, 2011: 117).

**In this context, countries increasingly recognize that:**

✔ **Social protection can effectively contribute to poverty alleviation.** Contrary to the preconceived idea that cash transfer programmes are a hand-out and create dependency, evidence shows that well-designed programmes contribute effectively to the reduction of poverty, and more so to extreme poverty, while moving its beneficiaries into productive livelihoods (Slater, 2011).

✔ **Social protection contributes to pro-poor economic growth.** The Chinese delegation highlighted in their presentation that a few social protection interventions were developed after 2008 to respond to the global financial crisis and economic slowdown to cushion the negative impacts on poor households. In light of the positive results and long-term effects of these interventions, they are now being institutionalized. If designed and implemented well, they not only contribute to reducing poverty, but also constitute an essential investment in human capital. This is especially the case for children who will be the productive workers of tomorrow and who will drive pro-poor economic growth in the long term. By addressing social and economic inequalities, social protection can also contribute towards social and political stability within countries, a key element to attract investment.

✔ **Social protection is affordable:** Long seen as a cost that many countries could not afford, there is also growing evidence that social protection is an affordable investment that can be sustainably financed by countries at all levels of development.

**Box 2:** Costing exercises within the Social Protection Floor framework

Costing and affordability exercises were carried out in Cambodia, Indonesia, Thailand, and Viet Nam. The four countries already dedicate between 1.8 per cent (Cambodia) and 6.3 per cent (Viet Nam) of their GDP on public social protection expenditure, mostly on health care (between 40 and 70 per cent of total public social protection expenditure). In Indonesia, a significant share is allocated to children (23 per cent).

Based on their different social protection situations, the cost of implementing basic social protection guarantees (Social Protection Floors) was estimated using the Rapid Assessment Protocol tool. Providing Social Protection Floors would cost:

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

**Source:** ILO, 2013 in UNDG, 2014.

**Although there is no single regional social protection model, it is possible to identify common trends (UNDG, 2014):**

✔ **There is a general movement towards progressive universal coverage, with priorities given to social assistance programmes that aim to cover the poor and vulnerable.** Countries are going beyond programmes that only cover formal workers by implementing programmes that ensure access of the entire population to basic services and that guarantee minimum income support throughout the lifecycle (Social Protection Floors). Some examples are social pension programmes implemented in Thailand (500 Baht Universal Pension Scheme) and China (rural old-age pension).

- ✔ **Cash transfer programmes are taking hold as core social protection instruments that can contribute to reducing poverty and are an investment in human capital.** For example, the conditional cash transfer programme, Pantawid Pamilyang Pilipino Program (4Ps), is implemented in the Philippines by the Department of Social Welfare and Development. It aims to eradicate extreme poverty in the country by investing in health and education, particularly for ages 0–14.
- ✔ **Countries are moving away from fragmented and ad hoc social protection programmes towards a systemic long-term approach to social protection.**

**Cristina Roccella emphasized in her presentation that countries are increasingly adopting or planning to adopt a systematic approach to social protection in order to provide a network of responses to economic and social vulnerabilities and to coordinate different actors and programmes.** Many social protection programmes are in place but are fragmented and lack harmonization, which hinders their effectiveness. Building social protection systems makes it possible to:

- ✔ create a policy framework to ensure overall policy coherence across programmes and among actors involved;
- ✔ connect programmes and ensure that there is no gap or overlap between them; and
- ✔ create administrative tools (e.g. social registries, management information systems, delivery mechanisms) that all programmes can use.

*Professional case management is key to an integrated social protection system. Social workers are the ones who assess needs, assist people in the development of their individual projects and refer them to appropriate programmes.*

**Cristina Roccella**
UNICEF Myanmar

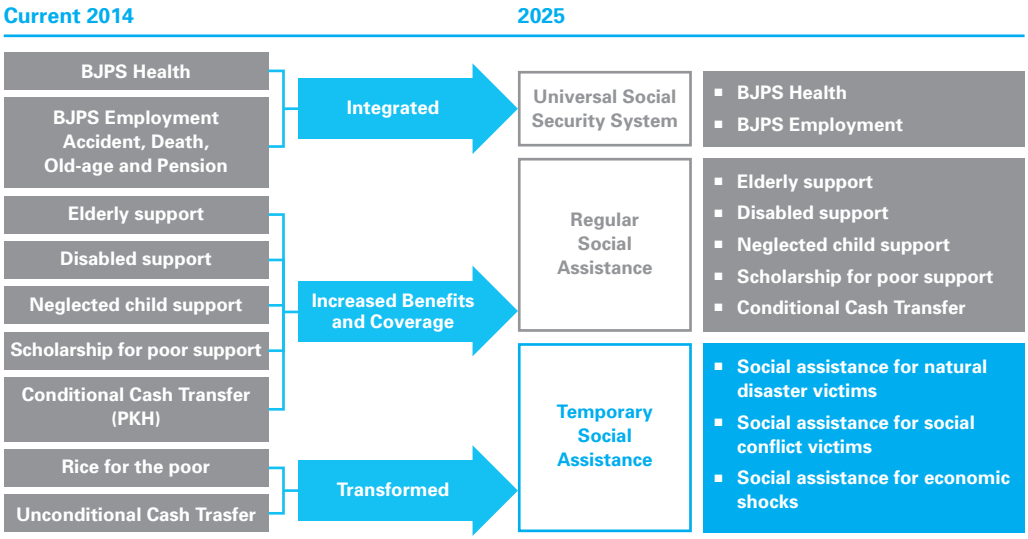
**Using a systemic approach allows countries to:** (i) clearly identify their approach to social protection and prioritize actions; (ii) develop vulnerability and poverty assessments to select appropriate design of programmes; and (iii) reduce fragmentation and duplication. If well designed and implemented, social protection systems can contribute to reducing inefficiencies and ensure a more equitable delivery of programmes. UNICEF promotes the development of integrated social protection systems that can effectively address multiple vulnerabilities in an integrated manner. Kin May Nu, Deputy Director of Social Welfare in the Ministry of Social Welfare, Relief and Resettlement, noted that this issue is particularly relevant for Myanmar. The country is in the process of developing a social protection system for which a Social Protection-Disaster Risk Reduction Coordination Working Group has been created.

**Indonesia's plan to move away from fragmented social protection programmes towards an integrated system was presented by Rahmitha from the SMERU Research Institute.** This strategy aims to provide protection for poor and vulnerable populations in the event of a crisis or disaster (shock) due to natural, socio-political, or economic factors. It includes two main components:

a) The provision of universal social security: this will include the universal provision of health insurance, work accident insurance, old-age benefits, pension and death benefits;

b) The provision of comprehensive social assistance: the social assistance system will be divided into two main schemes, regular social assistance (e.g. conditional cash transfers and programmes for the disabled, the elderly and neglected children) and temporary social assistance (e.g. in case of natural disaster, economic crisis and social conflict)

**Figure 2:** Indonesia's forthcoming social protection system reform and consolidation




**Source:** Symposium presentation by Rahmitha, The SMERU Research Institute

A systems approach appears to be particularly promising for combining social protection and DRM/CCA because many social protection mechanisms are also highly relevant for programmes addressing disaster and climate risks, notably, vulnerability assessments, registry of potential beneficiaries, payment mechanisms, and coordination mechanisms between multi-sectoral actors. If natural hazards and climate change are factored in the design and implementation of social protection systems, several elements of DRM/CCA can be considered integral components of larger social protection systems addressing a multitude of risks faced by families.

## 2.2 Rationale for linking social protection, disaster risk management and climate change adaptation

### Key points:

- Social protection and DRM/CCA interventions all aim to reduce risks and mitigate the impacts of shocks, especially those faced by the poorest.
- Linking the three areas can be a win-win partnership and can help create positive externalities through the improvement of targeting processes for DRM/CCA and effective intervention on people's vulnerabilities.

*Linking social protection, disaster risk management and climate change adaption is a win-win situation for all disciplines.*

**Cynthia Burton**
Independent DRM/CCA and Social Protection Specialist

### Social Protection, DRM and CCA share common ground:

- ✔ All aim to reduce risks and mitigate the impacts of shocks faced by households.
- ✔ All pay particular attention to the poor and excluded segments of the population.
- ✔ All increasingly take into account the age-specific vulnerabilities that children face in the design of their programmes and when prioritizing interventions.
- ✔ All aim to move away from ad hoc responses towards more proactive approaches that focus on preventing and mitigating risks.

When examining linkages between social protection, DRM and CCA, it is important to incorporate vulnerability to disaster and climate-related shocks into social protection assessments of household vulnerability.

**Creating linkages between social protection, DRM and CCA can help address shortcomings faced by 'siloed' approaches and generate greater gains than the individual contributions of each.**

- ✔ **Targeting and outreach of DRM interventions to vulnerable groups can be improved.** In the aftermath of a disaster, a more timely and cost-efficient response can be provided if pre-designed interventions are active, using the social protection mechanisms already in place rather than conventional relief responses.

This protective role would require the ability to target populations exposed to disaster risk and/or climate change that might not otherwise be considered poor and vulnerable populations – taking into account not only the chronic poor, but also the transient poor.

- ✔ **Social protection interventions can help build the resilience and adaptive capacities of households and communities to anticipate, manage and overcome disaster risk and climate change.** Social protection programmes can contribute to enhancing people's awareness of current and future risks, and the lasting transformations of their ways of life and livelihoods due to changing socio-economic and weather patterns. These programmes can also help them prepare for these changes. For example, preventive and promotive interventions such as social insurance schemes can mitigate the risk of impacts and prevent the use of negative coping strategies. Complementary actions can be added to ongoing social protection programmes to support livelihood diversification towards opportunities that are less vulnerable to disaster and climate shocks and/or to incentivize change in behaviour.
- ✔ **Social protection interventions can also transform the social relations that cause some families to remain highly vulnerable to shocks** through the redistribution of access to land and public resources, and if needed, by facilitating mobility towards areas less prone to climate-induced hazards (Fallavier, 2013: 107).
- ✔ **Incorporating DRM/CCA approaches and experiences into social protection programming can increase the system's capacity to protect poor people from major shocks.** Many studies have highlighted how social protection mechanisms need to factor in disaster risk and climate events that can plunge vulnerable people into poverty (notably Davies and Leavy, 2007; Davies et al., 2009; Davies et al., 2008). Social protection policies and programmes need to consider natural hazards and climate change if they are to effectively address the risks and vulnerabilities faced by poor and excluded populations.
- ✔ **The expansion of social protection can be promoted within DRM interventions.** Social protection instruments, such as cash transfer programmes, are often used in areas affected by disasters during a short period of time. They can later be institutionalized and scaled-up nationally, and governments can be convinced to invest further. As presented by Weilin Shi, UNICEF Social Policy Specialist in China, the orphan assistance cash subsidy, a disaster relief programme, was developed to provide US$88 per month per child orphaned by the Wenchuan earthquake. Convinced of its effectiveness, policy-makers decided to extend the financial support until the children reached adulthood, and to scale it up countrywide. The programme was developed into a long-term cash transfer programme for every orphan in the country.

# 3 Steps to link social protection, disaster risk management and climate change adaptation

**Discussions on the first day of the Symposium elicited questions on how to move forward to link social protection to DRM and CCA at the national level. The issues identified were discussed in working groups on the second day, with a focus on:**

- **How to identify households that are the most vulnerable to natural hazards and climate-related shocks:** How can we better integrate disaster and climate risk into social protection vulnerability assessments and vice versa? How can social protection vulnerability assessments contribute towards identifying the households that are the most vulnerable to disasters? (see section 3.1 below)
- **Social protection policies and programmes that can help poor and vulnerable households to build their resilience:** How risk-informed and climate-sensitive are existing social protection programmes? Which social protection instruments appear to lend themselves well to different functions of DRM and CCA? (see sections 3.2 and 3.3 below)
- **Implications for institutional arrangements:** How can we raise awareness of the advantages of increased collaboration among the social protection, DRM and CCA communities? (see section 3.4 below)

Based on the outcomes of the discussions, this section outlines four steps that countries can take to make their existing social protection systems more disaster and climate-sensitive, with implications for institutional arrangements.

## 3.1 Step 1: Identify households that are most at risk of disaster and climate change impacts

### Key messages

- Current assessments of disaster risk pay more attention to shocks than to the vulnerabilities of people and their capacities to withstand and overcome shocks.
- Current vulnerability assessments undertaken for social protection programmes focus on chronic poverty and fail to take into account expected changes in vulnerability in view of current and future disaster and climate risks.
- Integrated vulnerability assessments should adopt a broad and dynamic concept of vulnerability that incorporates vulnerability into current and future social, economic, and natural hazard and climate-related shocks.

**Risk assessments are critical to DRM and development programmes, including social protection interventions.** In DRM, risk is commonly understood as a function of hazard, exposure, vulnerability and capacity. In order to assess disaster and climate risks, governments need to collect information on hazards; vulnerability; the exposure of a country's population its infrastructure and sectors to these hazards; and the population's ability to cope. To the extent that climate data are available, climate change also needs to be incorporated in risk assessments to balance the analysis between past, current and future disaster risk.

**DRM specialists participating in the Symposium highlighted that risk assessments currently performed for disaster management pay more attention to past disaster records than natural hazard zoning.** They also focus more on shocks than on people's vulnerabilities and their capacities to withstand shocks (Table 3). All countries in the region have developed multi-hazard assessments that examine the range and intensity of natural hazards that may affect them. Based on historical records and knowledge at local, national, regional and global levels, risk assessments are produced to provide spatial information on the expected magnitude, location for weather-related hazards, and the time when they may occur. Assessments also consider how climate change can affect hazard frequency and intensity using probabilistic risk modelling techniques. Single and multiple hazard maps are produced by using this information.

**Table 3:** Evaluation of risk assessments as currently performed

| | ☹☹ | ☹ | ☺ | ☺☺ |
|---|---|---|---|---|
| Identifying the hazards and threats that pose the biggest risks to the population | | | | ■ |
| Identifying where these hazards are likely to occur | | | ■ | |
| Identifying who are the most vulnerable to be affected | | ■ | | |
| Understanding the root causes of vulnerabilities to address them | | ■ | | |
| Identifying individuals/households who lack the needed capacities to address the most likely and highest disaster risks | ■ | | | |

**Source:** Celine Felix, based on the Emergency Risk-Informed Programming planning tool.

**For all countries in the region, information is available on vulnerability and exposure of people and assets, but not always at comparable scales.** In addition, most assessments focus on demographic and economic indicators rather than on human development issues. Vulnerability and exposure analyses are regularly carried out to assess the "people, property, systems, and other elements present in hazard zones that are subject to potential losses" (UNISDR, 2009). Inventories of people and physical assets are carried out with reference to specific geographical locations. An economic value is often assigned to a given area, using measures such as the value of infrastructure or GDP/km$^2$ to project the areas with highest risk (UNICEF ROSA, 2014).

**In order to produce more effective disaster risk assessments, participants agreed that the vulnerability of the populations should be analysed better.** Social protection specialists mentioned that vulnerability assessments carried out to design adequate social protection programmes could help fill the gap. The mere presence of a hazard does not automatically translate into a risk: both hazards and vulnerabilities of populations must be identified to determine priorities for reducing their risk. Vulnerability and poverty assessments produced for social protection aim to identify, locate and profile poor and deprived individuals/households. They also try to understand why individuals are and remain poor, and under which conditions poverty is reproduced within and over generations. Different types of analyses are made to assess economic and social vulnerabilities of households to poverty and deprivation:

- ✔ **Monetary analyses** focus on assessing whether a given household has the necessary financial resources to sustain itself at the subsistence level of food, shelter, clothing and other necessities. They concentrate on ranking households along a monetary wealth vector and identify the poor based on the position of their wealth level with respect to a pre-defined standard (poverty line) (Ravallion, 1992).
- ✔ **Multi-dimensional poverty analyses** acknowledge that poverty is not limited to insufficient income and measure poverty by identifying the gaps in essential basic needs. These analyses look at deprivations that households/individuals face in multiple domains, their overlap and correlation.

**Vulnerability assessments, which increasingly combine both types of analyses, can be useful to DRM interventions by identifying:**

a) groups that are particularly at risk, such as children, people with disabilities, etc.;

b) the poor who are disproportionately affected by disasters;

c) households that lack access to basic services, given that access to social services (health, education, etc.) is essential to confront shocks and avoid long-term adverse consequences.

**A more dynamic understanding of vulnerability that takes into account the assets, mechanisms and strategies that people draw upon when facing risks and stresses could help improve current assessments.** Monitoring changes in consumption of certain food or services, increases/decreases in remittances, and access to informal social networks could be used as early warning and household/community signs of changes and help social protection programmes to respond more quickly.

**Combining elements of different risk and vulnerability assessment tools could help identify households that are the most vulnerable to natural disasters and climate change-related shocks (Table 4).** Participants highlighted that integrated vulnerability maps that include disaster and climate risks, and aspects of social and economic vulnerability such as poverty, deprivations and lack of access to services could enable a better inclusion of emergency preparedness, DRR and CCA in social protection. Whereas development banks and insurance companies tend to rely on monetary indicators, recent efforts focus on more multi-faceted and sophisticated ways of assessing vulnerabilities. One recent example includes UNICEF's efforts to overlay child vulnerability indicators with natural hazard and climate change information to map the spatial and temporary dimensions of risk (UNICEF ROSA, 2014).

*In the household surveys we carry out, we have a question on the sources of vulnerability the household has faced in the past five years. Even if they have generally been hit by at least one major natural disaster, they almost never mention natural hazards as a source of vulnerability but rather mention economic and health-related shocks.*

**Mathew Tasker**
Save the Children, Myanmar

**However, adjustments to current vulnerability analyses are needed to ensure that social protection programmes identify the least resilient households:**

- ✔ **There is a range of targeting options, including categorical targeting. Analyses focusing on poverty-based targeting are effective in identifying the chronic poor but may not contribute to identifying the transient poor.** Many social assistance programmes aim to target the chronic poor and use proxy means tests (PMTs) to identify them. PMTs rely on the characteristics of the household that are easy to observe, such as composition (e.g. number of dependents); location and quality of its dwelling; ownership of durable goods; and the educational level and occupations of its adult members. These characteristics are used to estimate the income of the household and identify the poorest. These proxies are static and do not capture short-term or intermittent poverty (Grosh et al., 2008). While DRM interventions target the chronic poor, they need to be able to identify households that may be exposed to rapid changes in welfare due to sudden natural shocks as well as those who may become transitorily poor after a natural shock.
- ✔ **Current vulnerability assessments are designed to assess the vulnerability of individuals and households to economic, social, lifecycle or health shocks, but do not assess disaster and climate-related shocks.** Household surveys used for these assessments include questions to assess the vulnerability of households to shocks. In open questions on sources of vulnerabilities, people focus on idiosyncratic shocks (e.g. "I was sick", "I lost my job") and do not often mention systematic/covariant risks (e.g. natural hazards).

**Table 4:** Examples of available risk and vulnerability assessment tools to identify the most vulnerable

| Tools | Hazard analysis | Exposure analysis | Vulnerability/poverty analysis | Capacity analysis | Description | Country examples |
|---|---|---|---|---|---|---|
| Proxy means test (PMT) | | | ■ | | PMT generates a proxy for actual household welfare through fairly easy-to-observe household and individual characteristics (material used for building the house, etc.). | Philippines (4Ps social protection scheme) |
| Multiple Overlapping Deprivation Analysis (MODA) – UNICEF tool | | | ■ | | MODA provides both a conceptual framework and a methodology to estimate child poverty and multi-dimensional child deprivation rates while also exploring overlaps between child poverty and deprivation. | Lao PDR |
| Global Focus Model – OCHA tool | ■ | ■ | ■ | ■ | The model identifies hazard-prone countries that combine high vulnerability to hazards with low capacity and are therefore more likely to request or accept international support.<br>Data is analysed in four areas: hazards, vulnerability, capacity, and the demand for humanitarian coordination support. | Analysis is done for every country in the world |
| Child-centred risk assessment – UNICEF tool | ■ | ■ | ■ | – | This model combines information on natural hazards and climate change with child vulnerability data. It utilizes available information to visualize areas with high levels of risk in order to encourage preventive action. | India, Viet Nam, Lao PDR, Pakistan (for more information, see UNICEF, 2014) |

✔ **Assessments focus on the current status of people.** In order for social protection programmes to better factor in disaster and climate-related risks, assessments need to not only examine the current vulnerability of people, but also examine projected future vulnerability in order to provide adapted solutions (Vincent and Cull, 2012). While DRR can enhance the spatial dimension of a risk analysis, CCA can improve the understanding of future risk scenarios in view of climate change.

✔ **Although evidence shows that the poor are disproportionately affected by disasters, this group may not be the least resilient to disasters.** When a disaster hits, the non-poor are affected as well. To measure the resilience of households, i.e. their ability to anticipate, manage and overcome shocks, it is necessary to add other criteria. These criteria will allow social protection programmes to effectively help reduce the exposure and vulnerability of people to hazards, and improve their capacity to cope. The criteria must evaluate the options that households have to cope with shocks, such as their human capital, assets and income-generating potential, as well as the availability of crucial post-disaster public services.

To assess household resilience, assessments should include, among others, indicators that measure: diversified income and livelihood strategies of the household; its access to financial, social, human, physical and natural assets; its use of quality basic social services (often already included in current surveys); and its access to information and skills that enable positive adaptive behaviours in response to shocks (Fallavier, 2013). Participation in climate-resilient livelihood activities (diversification) is an example of such an indicator.

**Once adjusted vulnerability assessments are undertaken, they can be combined with multi-hazard assessments to produce integrated assessments.** The multi-hazard assessments will add a spatial dimension to social protection assessments. Policymakers will then be able to use these integrated assessments to identify households that are the most vulnerable to natural hazards and climate change impacts; it is these households that should be targeted for interventions. However, as highlighted by participants in the Symposium:

- ✔ **A combination of targeting strategies can be used to effectively identify households that are most vulnerable to natural hazards and climate-related shocks.** *Geographic targeting* of highly exposed areas (*ex ante*) and/or areas that have been affected after a disaster (*ex-post*) can be complemented by other targeting strategies, notably community targeting and/or categorical targeting. Increasing evidence shows that the *community as well as social workers* can play a key role in identifying the most vulnerable households/individuals since they have good knowledge of the population they are supporting. In China, social workers are acting as agents for both social protection and DRM services at the community level. Box 3 describes an example of community-led identification of the least climate change-resilient households in Indonesia.

**Box 3:** The role played by a community in Indonesia to identify the least resilient households to climate change

CA study was carried out in 2012 to assess the impact of climate change on households in Kota Pekalongan. The study aimed to provide relevant information on which group are most vulnerable to climate change, the levels of existing impacts, as well as the potential strategies that can be used to mitigate them. Data generated by the Community-Based Monitoring System (CBMS) were used in the study.

The study used quantitative and qualitative data collection. While quantitative data were used to construct a climate change vulnerability index to indicate the most vulnerable households within a mapped area, qualitative data complemented the quantitative results with the perceptions of the community and the local government on who are most vulnerable to climate change.

**Source:** Wahyu, 2012.

- ✔ **When selecting targeting strategies, it is important to ensure their feasibility and take into account data available in the country.** For all types of assessments, data availability remains a challenge. There is a lack of data on the most vulnerable populations, who are often not included in surveys. Verifiable and measurable criteria must be used. If social programmes are to be used to respond to a shock, priority must be given to providing a fast response.
- ✔ **When working on DRR and CCA, universal public awareness is needed. Social assistance programmes are often aimed at a specific subset of the population.** When exploring how to mainstream DRR and CCA into social protection, it is important to find ways to reach the overall population. Complementary activities to cash transfer programmes can be put in place and organized at the community level to benefit a larger audience, and not only the transfer beneficiaries.
- ✔ **Mechanisms for risk monitoring and early warning need to be put in place to communicate changes in exposure to hazards and in levels of vulnerability to populations at risk and policy-makers (UNDG, 2009).**

## 3.2 Step 2: Assess the sensitivity of current programmes to disaster and climate risks

### Key messages

- It is crucial to assess the sensitivity of existing social protection programmes to disaster and climate risks.
- This assessment can be integrated in ongoing social protection assessments.

**During discussions, participants emphasized the importance of assessing the sensitivity of existing social protection programmes to disaster risk and climate change by:**

- ✔ **Assessing whether ongoing social protection programmes factor in disaster risk and climate change in their design.** In most countries of the region, social protection, DRM and CCA work in an isolated way. Vulnerability assessments carried out to design social protection programmes do not always consider the possible negative impacts of disaster risk and climate change. Therefore, social protection programmes that are introduced are not risk-sensitive. This can jeopardize the programmes' gains if a disaster hits.
- ✔ **Assessing the extent to which social assistance programmes and other social protection programmes in place contribute towards protecting households, especially the most vulnerable, from shocks before they occur.** Programmes that provide predictable transfers or build community assets, enable access to basic services, or help develop human capital contribute towards preventing disaster risk or mitigating the impact of an adverse shock. Their objective may not primarily be to reduce disaster risk, but it is important to acknowledge and analyse unintended positive effects so that they can be strengthened.
- ✔ **Assessing the effectiveness and cost-efficiency of social protection programmes that have been used in emergency response.** Relying on ad hoc emergency responses is neither effective nor cost-efficient, especially in areas highly prone to natural hazards. To carry out emergency response operations, it is necessary to assess needs, mobilize resources, and plan and launch the intervention to assist affected populations. This is often a lengthy and complex process. In several countries, such as in China, social protection programmes have been rapidly scaled up to contribute to an emergency response. Scaling up existing social protection programmes allows assistance to be provided more quickly than it would be with an ad hoc programme. Assessing and advancing the flexibility and scalability of existing social protection programmes is an important component of developing a more integrated system. Efforts towards this end have been taken in the Philippines post-Haiyan (Box 4).
- ✔ **Assessing the possible use of operational tools of social protection systems for DRM.** The core tools and administrative systems that are the backbone of social assistance systems such as single registries of vulnerable households can be excellent tools to pre-identify the most vulnerable who are likely to be affected if a disaster hits. A registry can be used to help identify eligible households to disaster assistance and other interventions.

Based on inputs provided by participants, guiding questions to evaluate the current contribution of programmes and systems to DRM and CCA were developed and are presented in Annex 1.[7] They focus on assessing: (i) to which extent the social protection programmes in place contribute to protecting households from shocks before they occur (contribution to DRR); (ii) the preparedness and responsiveness of programmes (contribution to disaster management); and (iii) the possible use of the social protection system's operational tools for DRM.

*The public work programmes we implement in Myanmar are not informed by disaster risks. Programmes are implemented along the coast, which is a zone particularly prone to typhoons. The infrastructures we build are likely to be wiped out by one of the many typhoons that hit the coast every year. Using multi-hazard maps to identify projects could lead to better outcomes.*

**Mathew Tasker**
Save the Children, Myanmar

*Our existing social protection programmes already contribute to disaster resilience, even if they do not primarily aim to do so. They alleviate poverty, build human capital and improve people's access to services: this is how they make them more resilient.*

**Rahmitha**
The SMERU Research Institute

[7] The questions and design were inspired by inputs of the Symposium participants.

**Box 4:** Linking post-Haiyan emergency cash transfer to the 4Ps social protection programme in the Philippines

In January 2014, in the aftermath of Typhoon Haiyan, UNICEF together with Action Against Hunger implemented an unconditional cash transfer programme in Leyte Province in the Philippines. The programme, which aimed to increase access to food and essential non-food items of the most vulnerable households affected by Typhoon Haiyan in the Leyte Province, covered around 10,000 households. Nevertheless, it faced several challenges, including high operating costs (22%) and delays in the distribution of cash.

In the second phase of the programme, UNICEF decided to expand the programme for the recovery phase and build on the recognized comparative advantages and capacities of the Department of Social Welfare and Development, which manages the Pantawid Pamilyang Pilipino Program (4Ps) social protection scheme. Six thousand Pantawid Pamilya household beneficiaries were pre-qualified, based on the vulnerable criteria to be derived from the existing 4Ps database. A Validation Team was formed and verified in the field whether the list of pre-qualified beneficiaries followed the vulnerability criteria. The transfer is about to be disbursed and is designed as a top-up for conditional cash transfer (CCT) recipients living in areas at risk of hazards and will complement a mandatory relocation exercise.

**Source:** Symposium presentation by Augusto Rodriguez, UNICEF Philippines.

**Assessments of the sensitivity of social protection programmes and systems to disaster risk and climate change should become a core component of social protection assessment exercises.** As emphasized by Celine Peyron Bista, ILO Social Security Specialist, social protection assessment tools were developed and have been used in several countries of the region, including Thailand, Indonesia, the Philippines (ongoing) and Myanmar (ongoing). These assessments aim to evaluate the adequacy of the social protection system currently in place. They analyse programme coverage, overlaps and gaps, programme generosity, implementation issues and institutional arrangements. Recommendations are then made to improve the programmes and their coordination. These assessments are a first step to introducing changes in the existing social protection systems.

Two main assessment tools are used in the region:

- ✔ **Assessment-Based National Dialogue (ABND):** Between 2011 and 2013, ILO conducted ABND exercises in four countries, in collaboration with governments and several other United Nations agencies, including UNICEF: Thailand, Indonesia, Viet Nam and Cambodia (only the costing exercise). Additional exercises are ongoing in six countries: Mongolia, Myanmar, Vanuatu, Solomon Islands, Lao PDR and the Philippines. The ABND methodology uses the Social Protection Floor guarantees as a benchmark to describe and assess the social protection situation in a country. It identifies policy gaps and implementation issues, if any. These assessments provide a framework within which recommendations for the further design and implementation of social protection provisions are made. Recommendations are then costed using the Rapid Assessment Protocol (UNDG, 2014).

  For more information on ABNDs, see ILO (2014).

**The ABND tool has the following strengths:**

- This tool stimulates dialogue on the extension of social protection in a country. Consultations are organized to discuss and validate the diagnosis of the social protection situation. All relevant stakeholders at the national and provincial levels are involved to formulate recommendations to address the social protection gaps and issues. If a DRM/CCA component is added, the national dialogue can help trigger discussions between the three communities.
- The process is rather long (typically 1-1.5 years), but contributes to the improvement of programmes in place.

**Box 5:** Outcomes of Assessment-based National Dialogues (ABNDs) in Indonesia and Thailand

In Indonesia, in December 2012, the International Labour Organization (ILO) jointly launched an assessment report with the Vice Minister of Planning and Development (Bappenas). The recommendations and cost projections contained in the report were acknowledged by the Government as useful tools to inform ongoing policy discussions for the implementation of the new social security law (Sistem Jaminan Sosial Nasional, or SJSN) and the further extension of anti-poverty programmes. Recommendations from the ABNDs have been implemented: the universal health care scheme was launched in January 2014; the benefit package was improved; and the coordination mechanisms were included in the draft five-year development plan (UNDG, 2014).

In Thailand, the joint Royal Thai Government/United Nations assessment report was launched at the Government House in May 2013 by the Minister attached to the Office of the Prime Minister, the Minister of Labour, and the Minister of Social Development and Human Security. The event was also attended by the Deputy Secretary General of the National Economic and Social Development Board, relevant permanent secretaries, government representatives, workers' and employers' organizations, civil society, academicians, embassies and international organizations. It contributed to the improvement of the current social protection system, notably regarding long-term care.

**Source:** UNDG, 2014.

- ✔ **The Inter-agency Social Protection Assessment tool.**[8] This tool aims to improve the performance of Social Protection and Labour (SP&L) systems by creating an 'open source' platform for collaboration, based on defining and assessing key system metrics and outcomes. It provides systematic and comparable information on the design and implementation of SP&L systems. The aim is to move towards a more standardized, shared approach to assess country SP&L systems, building on existing work. The tool can be used by country policymakers and their development partners to help identify the strengths and weaknesses of SP&L systems and to guide their improvement. It is comprised of three country assessment instruments: i) the Core Diagnostic Systems Assessment Instrument (CODI); ii) delivery assessment instruments; and iii) the programme assessment instrument. It is currently being tested in three countries, including the Philippines from this region.

**The main strength of this tool is that it focuses on overall system building rather than on specific programmes.**

Based on the outcomes of the Symposium discussion, a rapid assessment checklist was drafted that can be used to assess the sensitivity of social protection programmes and systems to disaster risk and climate change (Annex 1).

## 3.3 Step 3: Adapt existing and develop new social protection programmes and systems that integrate disaster and climate risks

### Key messages

- Social protection already contributes to DRM and CCA. It is therefore important to reinforce the programmes already in place and work towards their integration into a coordinated system.
- Social protection programmes should contribute to: risk prevention whenever possible; risk reduction whenever feasible and cost-effective; risk transfer/pooling (e.g. social insurance) in order to share the burden of disaster and climate risk; and disaster management (emergency preparedness and disaster response) to cope with residual risk with flexible and scalable programmes.

[8] This was previously referred as Social Protection Assessment of Results and Country Systems (SPARCS).

Based on the assessment results, it is possible for countries to explore ways to enhance the capacity of ongoing social protection programmes to address a broader set of risks, which include disaster and climate risks. It is also pertinent to consider new programmes to introduce. But before entering into the 'How to?', participants in the Symposium raised several caveats:

- ✔ **Before considering the adaptation and introduction of new programmes, it is important to reinforce what is already in place.** Programmes that provide predictable transfers or build community assets, programmes that enable access to basic services, and programmes that help develop human capital already contribute towards preventing and mitigating disaster and climate risks. Their objective may not primarily be to reduce disaster risk, but they may have unintended positive effects. It is therefore imperative to consolidate these programmes and make them sustainable.
- ✔ **Programmes can contribute to social protection, DRR and CCA outcomes, but possible trade-offs need to be considered.** Public work programmes are a good example of programmes that can, at least in principle, contribute towards providing a source of income to the poorest, build disaster-resilient infrastructures, and be a potential source of skills development. Nevertheless, building disaster-resilient infrastructure may require less labour-intensive work, which results in less people benefitting from the programme. Public work programmes need to adhere to decent work standards (registration, social security benefits, minimum wage, skills development) to fulfil their social protection function, which comes at a price.
- ✔ **Social protection programmes do not necessarily need to modify their design to become risk-informed and climate-sensitive: they can be linked to other interventions within the social protection system. Social workers have a key role to play in this process as potential agents of social protection, DRM and CCA.** Social protection beneficiaries can be directed to other interventions, such as vocational training to contribute to their livelihood diversification. The operational tools of the social protection systems can help identify the most vulnerable, monitor what they are given access to, and measure the impact on their resilience. Social workers can facilitate these linkages and be a focal point for potential beneficiaries to obtain information on how to access support in all three areas.
- ✔ **Social protection systems are not a panacea.** A key lesson drawn from the Typhoon Haiyan response, shared by Remia Tapispisan from the Philippines, is that when disasters are highly devastating, social protection programmes may not be functional if their channels (staff and infrastructure) are also affected.

Following the current DRM thinking, participants emphasized:

- risk prevention whenever possible;
- risk reduction whenever feasible and cost-effective;
- risk transfer/pooling (e.g. social insurance) to share the burden of disaster and climate risk, and disaster management (emergency preparedness and disaster response) to cope with residual risk.

From this perspective, the following recommendations emerge:

**Risk prevention**

**Priority should be given to social protection programmes that can play a proactive role by helping the poor and vulnerable households build their resilience capacities.** Many individuals and households are highly sensitive to shocks due to very low human and capital assets: their capacity to recover from a shock is limited due to low human and productive capital, and/or lack of livelihood diversification. Accompanying measures of social protection programmes can help promote health practices, nutrition and early childhood development to change parental behaviour. They can also include training on basic skills and promote livelihood diversification.

*Examples: Thailand's One Tambon One Product (OTOP) scheme supports small-scale farmers to develop additional sources of income, mitigating the risk of lack of income when a disaster destroys agricultural crops.*

*Natural hazard and climate risks are mitigated in the Philippines by programmes that enable those vulnerable to disasters to find alternative sources of income (livelihood diversification) and disaster-resilient housing.*

**Risk transfer/ pooling**

**Social protection programmes can make risk insurance programmes more equitable and can improve their penetration rate.** Disaster insurance products can be effective at mitigating the impact of certain adverse shocks, but need a large number of insured members to allow for risk pooling. They are offered by private companies that calculate the premium depending on the risk profile of the insured person: premiums are likely to be higher for poorer, smallholder farmers living and working in a disaster-prone area than for more affluent farmers. Take-up rates, especially among the poorest, are very low. As part of a social protection programme, public authorities can subsidize the premium to ensure equitable access. This can help increase the penetration rate of disaster insurance products, which is very low in the EAP region, while ensuring that the poorest households can benefit.

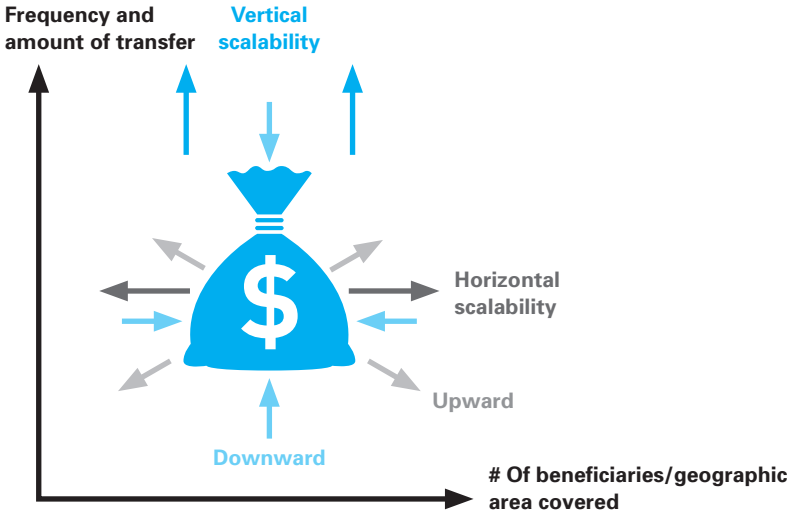
*Example: The Cash for Insurance in Ethiopia (HARITAS) is a programme where beneficiaries of the Productive Safety Net Programme provide labour in public works programmes. In return, their insurance premium is subsidized.*

**Disaster management**

**Programmes can be made flexible and scalable to play a reactive role (post-disaster relief and rehabilitation).** Existing social protection programmes can provide rapid, non-bureaucratic assistance to populations affected by disasters. This is especially true for cash transfer programmes. When promptly provided, cash support enables people to survive, gets local economies functioning again, and prevents negative coping strategies. Obtaining cash quickly positively affects survivors' sense of safety and security. It is also a prominent first sign of the government's support at a time of acute need. Scaling up programmes is likely to be more effective, cost-efficient, and quicker than implementing a programme from scratch: social protection programmes can be designed so that they expand their scope, scale and targeting as soon as an early warning system (EWS) indicates deterioration in the situation. Assistance will be provided using pre-designed and documented systems that have been tested and refined over time, rather than through ad hoc structures.

*Example: The PhilHealth health insurance scheme in the Philippines grants PhilHealth beneficiaries who are affected by a disaster automatic exemptions from routine processing requirements to expedite medical claims and provides emergency treatment packages to all those affected by a disaster, regardless of their insurance status.*

**Figure 3:** Scalability of cash transfer programmes




**Source:** Celine Felix, extracted from the definition of scalability in Watkins et al., 2014.

**Cash transfer programmes can expand their scope, scale and targeting on a short-term basis ('upward scalability'); after the recovery phase, they are downsized ('downward scalability').** As shown in Figure 3, 'vertical scalability' refers to changing the frequency and value of cash payments. 'Horizontal scalability' describes adjustments in the geographic coverage or number of beneficiaries covered (Watkins et al., 2014).

**To be scalable, programmes need to meet three main conditions:** (i) clearly defined trigger mechanisms based on reliable data (linkages with contingency planning and EWS); (ii) immediate access to available funds in order to provide a timely response; and (iii) well-established processes, notably for targeting, registration and payment to ensure that the operational scale-up is performed smoothly.

### (i) Developing clearly defined trigger mechanisms based on reliable data

**To successfully make a programme scalable and promptly provide the cash transfer to the affected population, trigger mechanisms need to be clearly identified: What will trigger a scale up/down? Who takes the decision? What will a scale up/down look like?** This requires regularly updated contingency plans that identify scenarios (normal, emergency, recovery, etc.), specifying triggers for each scenario. For each scenario, detailed standard operating procedures need to be developed that describe who does what and when.

| Event | Scenarios | Indicators/ indices for each scenario | Likelihood of event | Expected impact on households | Priority (using scale) | Solution to respond to the event | How? | Who? | Using which funds? |
|---|---|---|---|---|---|---|---|---|---|
| Example: drought | Normal, emergency, recovery | | Low/ Medium/ High | Low/ Medium/ High | Scale of 1 to 5 | | | | |

**To trigger the necessary response, the programme should also be able to receive, communicate and use information in a timely manner.** To this end, EWSs need to generate reliable, time-bound and location-specific warning signals, and the information must be stored in a way that ensures that it is easily accessible at all times.

### **Box 6:** Mexico's Temporary Employment Program

The Government of Mexico's *Programa de Empleo Temporal* (PET, Temporary Employment Program)has two components with complementary objectives:

1. *Standard PET* is the regular programme that supports labour-intensive community-focused public works, with the goal of providing temporary sources of income to households in communities that are highly marginalized and experience high unemployment levels.
2. *Immediate PET (PETi)* supports, through relief and recovery activities, households whose livelihoods have been adversely affected by a disaster. Its goal is to provide households with a source of income while helping them avoid negative coping strategies.PETi is activated when a state of emergency is declared.

Between 2000 and 2010, it is estimated that the PET reached approximately 3.2 million beneficiaries, with hundreds of millions of US dollars invested in its activities. Through PET and PETi, resources are provided for both *ex-post* (disaster recovery/reconstruction) and *ex-ante* (DRR) community-based public works.

*Standard PET* sub-projects have progressively strengthened their focus on building resilience to disaster and climate change impacts, reflecting a shift from a reactive to a pro-active approach. The public works projects integrate disaster prevention and mitigation activities in different areas, for example: protection of rural roads from flood or landslide impacts; constructing fire trails in forested areas; building flood channels to protect against rainstorms/hurricanes, and water preservation in drought-prone areas. Disaster preparedness/risk reduction educational activities are also carried out.

*PETi* focuses only on disaster response activities. The beneficiaries provide labour to community works focused primarily on post-disaster clean-up activities. Most post-disaster interventions are focused on rubble- or mud-clearing from streets, supporting temporary shelters and centres, as well as campaigns to prevent the spread of disease. In some cases, follow-on rehabilitation projects also are undertaken (roads, housing, etc.).PETi has been designed as a separate emergency response mechanism to ensure that support reaches disaster/shock-affected people in a timely and efficient manner. It mobilizes once an early warning of an impending hazard event or an emergency declaration has been issued.

Social Assistance Teams (SATs) are mobilized to work with the municipal authorities in identifying and communicating with the affected population. Social Assistance Desks are established to provide information and receive requests from affected populations; they are linked with the SATs on the ground. These desks direct beneficiaries to projects and enter their information into the system.

Although the PETi mechanism operates inside the broader PET framework, its systems and procedures are modified for a post-disaster context. Thus, many procedures utilized under the PET are by-passed or re-structured under PETi's activities in disaster-affected areas.

All the PET implementing agencies are required to allocate a percentage of the PET's funding to a contingency fund. In the case of the Ministry of Social Development, it is mandatory that at least 20 percent of PET's total annual budget be reserved for PETi's post-disaster response and rehabilitation activities under a separate budget line from the PET. Also, if necessary and justified by the magnitude of the disaster, all remaining funds in that year's budget for the PET could be channelled through PETi to address the needs of affected populations. If this contingency fund does not adequately cover all temporary employment needs, Mexico's National Disaster Fund can provide supplementary resources to the PET.

**Source:** World Bank, 2013.

### (ii) Defining financial processes to provide a timely response

**In order to be responsive, indicative resource requirements must be identified for all plausible scenarios, with scenario-based resource planning and budgeting.**
Generally, several funding windows are available in all countries, including contingency funds, short-term loans and money from appeals (Watkins et al., 2014). Money from contingency funds can usually be disbursed quickly, but this is an expensive option since funds are set aside to be available whenever an adverse event occurs. By contrast, emergency relief money from development partners sent to the Treasury before being disbursed often takes too long to arrive where it can have an impact. In addition, national as well as international humanitarian aid from the private sector and non-governmental organizations (NGOs) is unpredictable in terms of quantity and timing (Watkins et al., 2014).

### (iii) Specifying processes for targeting, registration and payment to ensure smooth operational scale-up

*We expect lower operational costs for the implementation of the second phase of the unconditional cash transfer programme post-Haiyan thanks to the linkages to the 4Ps programme.*

**Augusto Rodriguez**
UNICEF Philippines

**Cash transfers for emergency relief can be disbursed quicker and more effectively and efficiently using existing registration systems and payment channels.** Creating a parallel system for emergency transfers would imply tremendous operational costs while existing systems can be made risk-sensitive at marginal additional costs. Social Protection Management Information Systems being developed in many EAP countries can play a key role if the ability to adapt to shocks is built into the system design. Information on potential beneficiaries and payment channels needs to be easily available at all times and shared widely among all stakeholders.

Participants in the Symposium learned from the Mexican Temporary Employment Program (PET) experience, which provides a good example of a social protection programme that includes a well-established emergency response and DRR component (Box 6).

**While most of the symposium discussions focused on incorporating disaster and climate risk aspects into social protection systems, the importance of understanding how DRR and CCA may better factor in social protection objectives was also highlighted.** Relocation programmes, often undertaken as part of DRR if an inhabited area faces a particularly high risk, are an example. When implemented, it is vital to ensure that the relocated population's access to basic services is maintained and that child-friendly spaces are provided to support psychosocial development.

## 3.4 Step 4: Improve the coordination of institutions, strategies and programmes

### Key messages

- Effective social protection, DRM and CCA are too complex to be carried out by any individual agency and are usually the responsibility of multiple actors at different levels of government. This makes coordination essential.
- The first steps include mapping of key stakeholders and existing coordination mechanisms to identify gaps and priority actions.

**Effective linkages between social protection, DRM and CCA require people and institutions to be coordinated.** Currently, the responsibility for social protection, DRM and CCA often lies with several different line ministries and different levels of government. To effectively address risks and reduce vulnerabilities, multi-sectoral coordination and an integrated approach are crucial. Stakeholders and processes need to communicate constantly and develop a common language. This is challenging given that social protection or DRM alone is often a multi-sectoral responsibility already.

**Symposium participants made several suggestions to improve coordination and promote integrated approaches.** These to a large extent mirror concerns and priorities highlighted in the literature (notably in Fallavier, 2013):

✔ High-level champion(s) can be identified to promote linkages.

### **Box 7:** Social Service Delivery Mechanism in Cambodia

The Social Service Delivery Mechanism (SSDM) in Cambodia is designed to facilitate access to social protection and employment services (training and post-training) to rural and poor populations of Cambodia.

SSDM teams offer assistance to potential beneficiaries in accessing social protection and employment services. They assess the vulnerabilities and skills of potential beneficiaries, channel information concerning existing social services, support registration processes, deliver membership cards, facilitate access to cash or in-kind benefits, facilitate access to services (e.g. health care, employment, training) and collect contributions, if any. They also represent the interests of the final beneficiaries through a complaint and appeal mechanism and by advocating for increased availability and quality of social services. A Management Information System supports the management of each beneficiary's case and of existing social services, and can also be used for monitoring and evaluation purposes.

**Source:** ILO Cambodia, 2014 in UNDG, 2014.

- ✔ Effective communication channels need to be found. The coordination of actions at the global and local level through the cluster approach can be used as a source of inspiration.[9]
- ✔ The adoption of internationally recognized standards for social protection, DRM and CCA can help actors coordinate their activities and adopt generally agreed approaches to ensure that their actions are efficient and mutually supportive.
- ✔ Existing data systems can be used to link data from all three areas and to facilitate planning.
- ✔ Financial and legal frameworks can be set up to quickly mobilize resources across the three areas.
- ✔ 'One-stop shops' for beneficiaries to get information on how access support in all three areas can help ensure those most vulnerable can easily access all available support (Box 7). Social workers can play a key role in this regard and act as local 'agents' of social protection, DRM and CCA.

[9] Clusters are groups of humanitarian organizations, both UN and non-UN, in each of the main sectors of humanitarian action, e.g. water, health and logistics. They are designated by the Inter-Agency Standing Committee (IASC) and have clear responsibilities for coordination. The core functions of a cluster at the country level include: supporting service delivery by providing a platform for agreement on approaches and elimination of duplication; informing strategic decision-making of the Humanitarian Coordinator/Humanitarian Country Team (HC/HCT) for the humanitarian response though coordination of needs assessment and gap analysis and prioritization; planning and strategy development including sectoral plans; adherence to standards and funding needs; advocacy to address identified concerns on behalf of cluster participants and the affected population; monitoring and reporting on the cluster strategy and results; and recommending corrective action where necessary; and, contingency planning/preparedness/capacity building where needed and where capacity exists within the cluster. (Humanitarian response). For more information, see UN OCHA (2014).

# 4 What next?


The Symposium facilitated dialogue between technical experts and practitioners of social protection, DRM and CCA. Inspired by this dialogue, participants identified short- and medium-term action points to enhance linkages at national and regional levels.

▶ **Better document experiences:** Several countries have already made good progress in integrating and/or combining social protection with disaster and climate risks (e.g. China). Increased efforts are needed by the United Nations together with international NGOs in sharing these experiences and creating knowledge platforms for this purpose.

▶ **Conduct further research on how linkages between social protection, DRM and CCA can be made more comprehensive to help build resilience at household and community-level.**

▶ **Explore potential further contributions of social protection to addressing disaster and climate risks.** This may include, for example, examining the possible roles that schools may assume in terms of disaster and climate risk education and awareness raising, early warning, contingency planning and evacuation processes for children and their families.

▶ **Incorporate natural hazard and climate-related elements into existing social protection assessments to promote the contribution of social protection programmes to mitigating and preventing disaster and climate risk.**
United Nations agencies could develop a component to be added to the ABDN tool, which is already used by many countries in the region. The checklist in Annex 1 can be used to help guide this process.

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# Annexes

## Annex 1: Proposal for a Rapid Assessment Checklist: Guiding questions to assess the sensitivity of social protection programmes and systems to disaster risk and climate change

### 1. General information

Name of programme: _____

Implementing institution: _____

Type of programme: _____

- ☐ Cash or in-kind transfer
- ☐ Public work programme/cash-for-work programme
- ☐ Programme to ensure access to service
- ☐ Social support and care services
- ☐ Social insurance
- ☐ Other

_____

Objective:

| |
|---|
| |

Are programme beneficiaries particularly prone to disasters?

☐ Yes ☐ No

Have previous disasters affected the outcomes of the programme?

☐ Yes ☐ No

If so, explain how:

| |
|---|
| |

Does the programme have a clear objective of addressing climate change or disaster risk?

☐ Yes ☐ No

If so, what is it?

| |
|---|
| |

Does it already factor in DRM and CA? If so, how?

*Example: Public work programmes that build disaster-resistant infrastructure.*

| |
|---|
| |

## 2. Assess to which extent the programme in place contributes to protecting households from shocks before they occur (contribution to disaster risk reduction)

Is it among the explicit aims of the program to improve

a. child and maternal nutrition
b. health
c. water and/or sanitation
d. education
e. life-skills
f. social cohesion and human security
g. awareness on risks and ways to manage them.

Is the programme linked to any complementary activities that aim to reduce the impact of disaster risk?

☐ Yes ☐ No

If so, what are the activities?

*Example: awareness-raising sessions on climate change, labour market programmes to support livelihood diversification, etc.*

| | A little | Somewhat | A lot | Not applicable |
|---|---|---|---|---|
| The programme provides predictable transfers | | | | |
| The programme enables access to basic services | | | | |
| The programme contributes to develop human capital | | | | |
| The programme contributes to build community assets | | | | |
| Complementary activities that aim to reduce the impact of disaster risk are linked to the programme | | | | |

## 3. Assess preparedness and responsiveness of programmes (contribution to disaster management)

Has the programme already been used to respond to disasters?

☐ Yes ☐ No

If so, how?

*Example: Cash transfer programme provided to affected populations, extension of unemployment benefits following a disaster, etc.*

Does the programme have the necessary flexibility in its legal framework to expand and contract its coverage/temporarily modify its design to meet urgent support needs of populations affected by a hazard?

☐ Yes ☐ No

If so, explain:

Is the programme linked to an early warning system (EWS)?

☐ Yes ☐ No

*Example: In 2012, in Lao PDR, UNICEF was developing and field testing a socio-economic EWS to monitor the impact of an ongoing social crisis on children (Fenn, 2011). Since the socio-economic indicators it uses are relevant to disaster risks, they were looking into expanding the EWS to monitor disaster risk and climate change using data from an existing National Risk Profile. Monitoring typhoons, floods and droughts could therefore help anticipate impacts of disasters and climate change on indicators of WASH, nutrition and health for children. This would assist both in understanding the impacts of weather-related hazards on women and children, and in planning for preventive and reactive interventions.*

If so, is the EWS regularly updated?

☐ Yes ☐ No

Is the EWS easily accessible for effective use?

☐ Yes ☐ No

Is the programme part of contingency planning that identifies scenarios (normal, emergency, recovery, etc.) with triggers for each scenario?

☐ Yes ☐ No

Are funding mechanisms identified to scale up activities in times of emergency?

☐ Yes ☐ No

If so, explain how:

*Example: In Mexico's Temporary Employment Program (PET), all implementing agencies are required to allocate a percentage of the PET's funding to a contingency fund. In the case of the Ministry of Social Development (SEDESOL), it is mandatory that at least 20 percent of PET's total annual budget be reserved for Immediate PET's (PETi) post-disaster response and rehabilitation activities under a separate budget line to the PET. Also, if necessary and justified by the magnitude of the disaster, all remaining funds in that year's budget for the PET could be channelled through PETi to address the needs of those affected. If this contingency fund does not adequately cover all temporary employment needs, Mexico's National Disaster Fund (FONDEN) can provide supplementary resources to the PET (World Bank, 2013).*

### 4. Assess the possible use of the social protection system's operational tools for disaster risk management

Is there a National Social Protection Strategy?

☐ Yes ☐ No

Does it acknowledge the impact of disaster and climate change on the poor and vulnerable?

☐ Yes ☐ No

*National social protection strategies – and the processes leading to them – that recognize the links between social protection and disaster risk management provide the framework to think of strategic approaches to limit the risks and exposure of vulnerable populations, to build households' resilience, and to develop institutional mechanisms to trigger scale-up in the case of an emergency (Fallavier, 2013).*

Has a coordination system been set up between ministries involved in social protection interventions?

☐ Yes ☐ No

Does the coordination body also involve ministries dealing with disaster risk management (DRM) and disaster risk reduction (DRR)?

☐ Yes ☐ No

If so, what is the name of the coordination body and which ministries are part of it?

Is there a unified registry in place that identifies potential eligible beneficiaries to social protection programmes?

☐ Yes ☐ No

If so, does the questionnaire used to pre-identify potential beneficiaries of social protection programmes include indicators that measure the vulnerability of households to disaster risk?

☐ Yes ☐ No

If so, which ones?

Does the system involve social workers in the identification of beneficiaries?

☐ Yes ☐ No

*Social workers can potentially play a key role as 'agents 'of social protection, DRM and CCA at the community level. They are often aware of all the types of shocks the population is facing and who are the most vulnerable.*

**Source:** This proposed rapid assessment checklist was compiled based on inputs from Symposium participants.

# **Annex 2:** List of participants

| Name | Country | Organization | Post Title | Email |
|---|---|---|---|---|
| 1. Cynthia Burton | Australia | – | Independent consultant | cynthia.burton69@bigpond.com |
| 2. Feng Xijin | China | Government of China – National Disaster Reduction Center of China | Director of Publicity and Education Center | fengxijin@ndrcc.gov.cn |
| 3. Sujuan Zhang | China | Government of China – National Disaster Reduction Center of China | Deputy Director of International Cooperation Department | zhangsujuan@ndrcc.gov.cn |
| 4. Weilin Shi | China | UNICEF China | Social Policy Specialist | wshi@unicef.org |
| 5. Rahmitha | Indonesia | SMERU Research Institute | Researcher | rahmitha@smeru.or.id |
| 6. Khin May Nu | Myanmar | Government of Myanmar – Ministry of Social Welfare, Relief, and Resettlement | Deputy Director of Social Welfare | khinmay90@gmail.com |
| 7. Mathew Tasker | Myanmar | Save the Children | Food Security and Livelihood Advisor | Mathew.Tasker@savethechildren.org |
| 8. Cristina Roccella | Myanmar | UNICEF Myanmar | Chief, Social Policy and Child Rights Monitoring | croccella@unicef.org |
| 9. Remia T. Tapispisan | Philippines | Government of the Philippines – Department of Social Welfare and Development | Director IV | rttapispisan@dswd.gov.ph |
| 10. Augusto Rodriguez | Philippines | UNICEF Philippines | Chief, Social Policy | arodriguez@unicef.org |
| 11. Samuel Treglown | Philippines | UNICEF Philippines | WASH Specialist | streglown@unicef.org |
| 12. Pannawadee Somboon | Thailand | Asian Disaster Preparedness Center (ADPC) | Senior Coordinator | pannawadee@adpc.net |
| 13. Kevin Gallagher | Thailand | FAO Regional Office for Asia and Pacific | Agriculture Research, Extension and Education | kevin.gallagher@fao.org |
| 14. Celine Peyron Bista | Thailand | ILO Regional Office for Asia and the Pacific | Chief Technical Adviser | bista@ilo.org |
| 15. Kanokporn Jaroenrith | Thailand | Plan International | DRM Manager | Kanokporn.Jareonrith@plan-international.org |
| 16. Pradeep Kurukulasuriya | Thailand | UNDP | Head – Climate Change Adaptation (Global) | pradeep.kurukulasuriya@undp.org |
| 17. Lena Nguyen | Thailand | UNICEF EAPRO | Consultant – Communication | lnguyen@unicef.org |
| 18. Carmen van Heese | Thailand | UNICEF EAPRO | Regional Adviser – Emergency | cvanheese@unicef.org |
| 19. Erik Kjaergaard | Thailand | UNICEF EAPRO | Senior Emergency Specialist (DRR) | ekjaergaard@unicef.org |
| 20. Mioh Nemoto | Thailand | UNICEF EAPRO | Emergency Specialist | mnemoto@unicef.org |
| 21. David Parker | Thailand | UNICEF EAPRO | Regional Chief – Programme and Planning | dparker@unicef.org |
| 22. Xavier Foulquier | Thailand | UNICEF EAPRO | Consultant – Programme and Planning | xfoulquier@unicef.org |
| 23. Gaspar Fajth | Thailand | UNICEF EAPRO | Regional Adviser – Social Policy and Economic Analysis | gfajth@unicef.org |
| 24. Boonyarat Kittivorawut | Thailand | UNICEF EAPRO | Research Assistant – Social Policy and Economic Analysis | bkittivorawut@unicef.org |
| 25. Dominik Horneber | Thailand | UNICEF EAPRO | Consultant – Social Policy and Economic Analysis | dhorneber@unicef.org |
| 26. Andrew Claypole | Thailand | UNICEF Thailand | Chief of Social Policy | aclaypole@unicef.org |
| 27. Michele Cocchiglia | Thailand | UNISDR Regional Office for Asia and Pacific | Regional Programme Officer | cocchiglia@un.org |
| 28. Yindee Lertcharoenchok | Thailand | UN OCHA Regional Office for Asia and Pacific | Humanitarian Affairs Analyst | lertcharoenchok@un.org |
| 29. Prapaporn Tivayanond | Thailand | Thammasat University | Researcher | ttivayanond@yahoo.com |
| 30. Céline Julia Felix | USA | – | Rapporteur | celine.julia.felix@gmail.com |

**UNICEF East Asia and Pacific Regional Office**
19 Phra Atit Road
Bangkok 10200 Thailand
Tel: (66 2) 356-9499
Fax: (66 2) 280-3563
E-mail: eapro@unicef.org
www.unicef.org/eapro