

SOCIAL PROTECTION AND CLIMATE RESILIENCE

Learning notes on how social protection builds climate resilience



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DOI: http://dx.doi.org/10.12774/eod_tg.may2016.wallisandbuckle

First published May 2016

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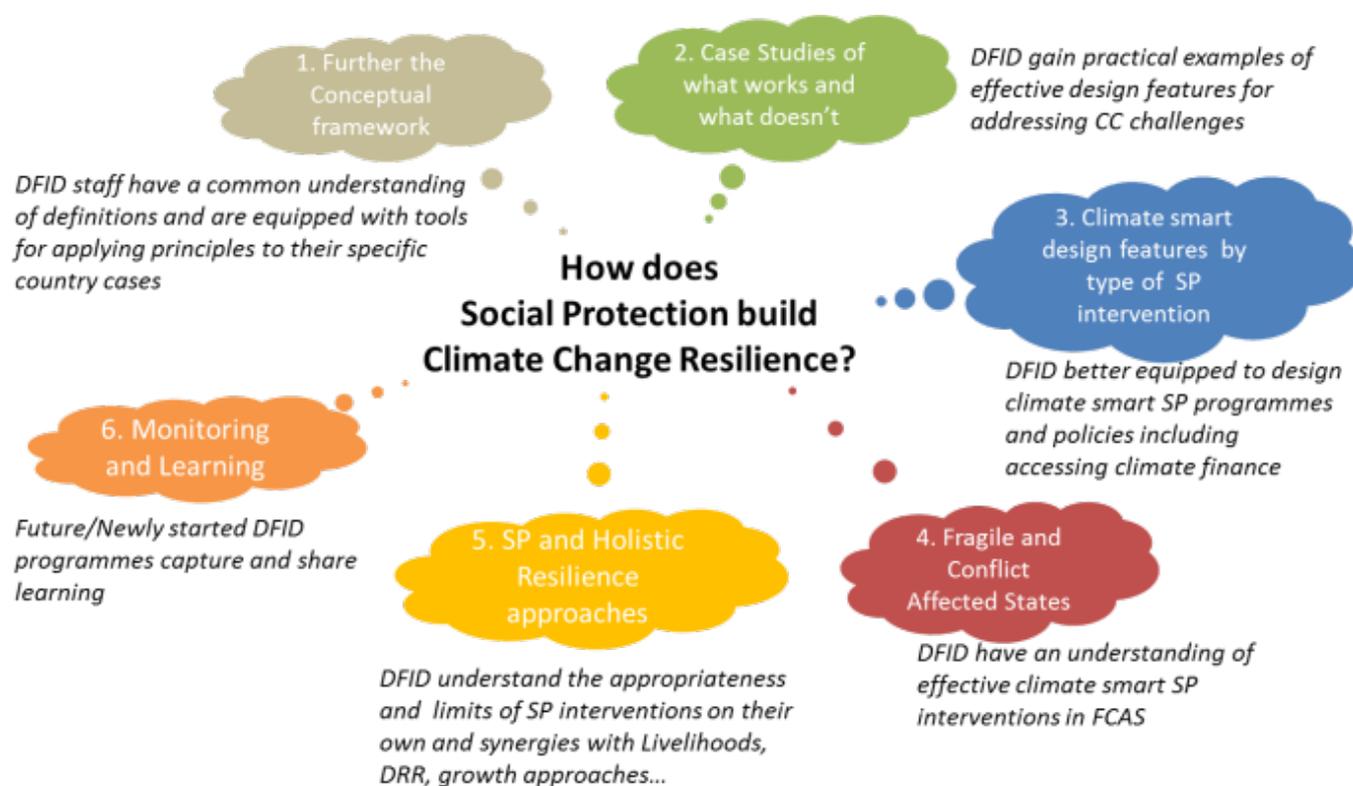
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HOW TO USE AND NAVIGATE THIS RESOURCE

About this resource

This resource pulls together learning notes on social protection and climate resilience. In early 2016 six research areas of interest were identified, in consultation with DFID, on the theme of social protection and climate resilience, as shown below:



Derived from conference call with Kelley Toole, John Carstensen, Rachael Freeth, Howard Standen and the EOD Team (Catherine Wallis and Felicity Buckle) on 13th January 2016.

Instead of a traditional literature review and lengthy topic guide, the authors of this resource agreed to identify current best reads (annotated and sign-posted bibliography) and to gain first hand lessons and feedback from a range of DFID programmes. Short case studies and key findings around the six research areas were captured from these consultations.

The findings were presented at the DFID Climate and Environment Department (CED) professional development virtual conference on 26th February.

These notes are a compilation of:

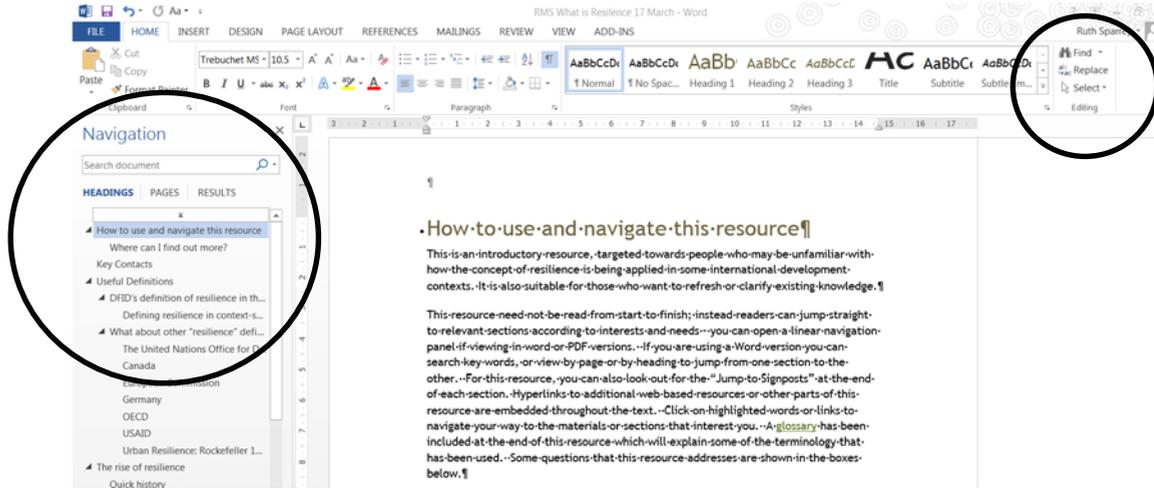
1. Findings from consultations with DFID programmes
2. Key notes from the CPD Virtual conference on Social Protection and Climate Resilience
3. Sign-posted bibliography

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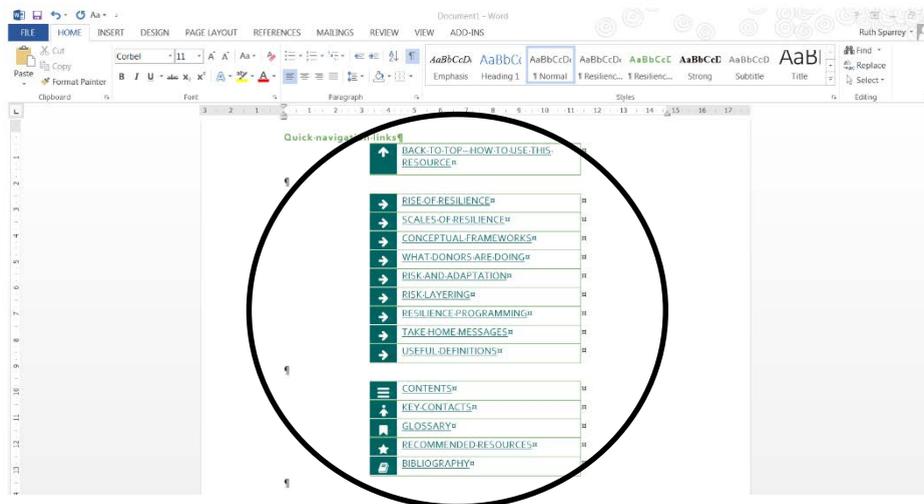
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This resource need not be read from start to finish; instead readers can jump straight to relevant sections according to interests and needs. Here are some ways that you can do this:

1. You can open a linear navigation panel if viewing in Word. From here you can search key words, view by page, or use the headings to jump from one section to the other. Pull up your navigation panel by clicking "Find" from the Home Tab on your document.



2. You can also look out for the “Quick Jump to” links at the end of each section. Click the hyperlink to where you want to go.



3. Hyperlinks to web based resources or other parts of this resource are embedded throughout the text. Click on highlighted words or links to navigate your way to the materials or sections that interest you.

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1. CONCEPTUAL FRAMEWORKS

Which are the conceptual frameworks, tools and definitions that help social protection programmes better address climate vulnerability and resilience?

(General definitions and conceptual frameworks around resilience are covered in greater detail in the 'What is Resilience?' resource.)

A FRAMEWORK FOR DEFINING CLIMATE RESILIENCE

DFID defines resilience as the **ability to manage change, by maintaining or transforming living standards in the face of shocks or stresses, while continuing to develop and without compromising long terms prospects.**¹

The vulnerability and resilience of a group or individual to climate induced stress or shock is dependent on:²

- » **exposure**, particularly physical location and infrastructure
- » **sensitivity** to the effects, dependent on factors such as: livelihood strategies; socioeconomic characteristics including income, asset base, gender, age and disability status; and broader wellbeing including physical and mental health
- » ability to make changes or adapt in a way that delivers positive outcomes in the long term or **adaptive capacity**, dependent on factors such as: access to assets (physical, financial, social, human, environmental) and services that can support this change; personal circumstance and characteristics, including socioeconomic, debt, wellbeing and also ability to innovate and take risk; and external economic and institutional factors that can enable or restrict the actions people can take and the opportunities available to them

CLIMATE CHANGE, SHOCKS AND LONG TERM STRESSES

In the context of climate change, shocks and stresses include: increasing temperatures, changes in precipitation including drought, intense rainfall that results in floods or damage of assets (including crops), tropical storms, sea level rise, water acidification and salinization of soil.

Scientific literature supports evidence that climate change (current and projected) is increasing the frequency of climate-related natural disasters.

The distinction between shocks (events such as natural disasters that cause an immediate damaging impact) and stresses (less severe but often longer-term trends that undermine existing systems over time) is useful. It should be recognised that many shocks are caused by long term or recurrent stresses that over time cause a system to reach 'breaking point'.³

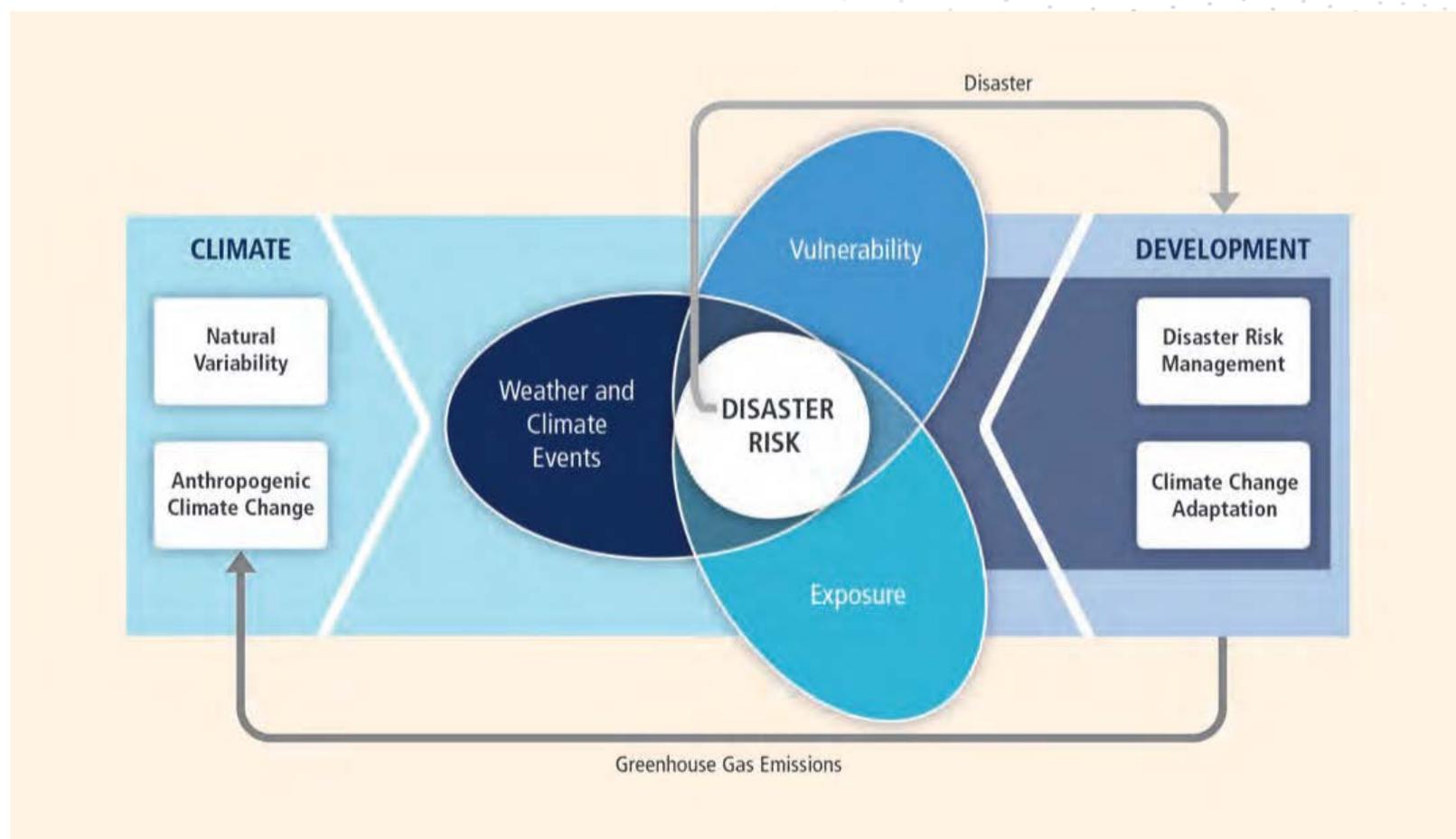
To build resilience to climate change we need to anticipate shocks and stresses, understand the different impacts on different groups and individuals and support people and systems to respond effectively to both, drawing on local and contextual as well as scientific knowledge.

Adopting a disaster resilience framework is relevant to address the more immediate climate shocks while a climate adaptation approach will address some of the longer term climate stresses (e.g. sea level rise, water acidification and salinization of soil).

¹ DFID Resilience Approach Paper

² Adapted from DFID Resilience Approach Paper and Brooks *et al* (2014) "assessing the impact of ICF programmes on household and community resilience to climate variability and climate change"

³ Oxford Policy Management (2015) "Working Paper 1: Conceptualising Shock Responsive Social Protection"



(Source: IPCC, 2012, p.2⁴)

⁴ IPCC, 2012: Summary for Policymakers. In: Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation [Field, C.B., V. Barros, T.F. Stocker, D. Qin, D.J. Dokken, K.L. Ebi, M.D. Mastrandrea, K.J. Mach, G.-K. Plattner, S.K. Allen, M. Tignor, and P.M. Midgley (eds.)]. A Special Report of Working Groups I and II of the Intergovernmental Panel on Climate Change. Cambridge University Press, Cambridge, UK, and New York, NY, USA, pp. 3-21

THE BRACED 3AS RESILIENCE FRAMEWORK

The BRACED programme provides a framework for understanding/measuring the different types of capacities which help become resilient at different points in time. The 3As are **anticipatory, adaptive and absorptive capacity** (see table below for description), plus transformation.

Examples of social protection interventions against the BRACED 3As

The table below lists examples of social protection programme components which are climate responsive and contribute to resilience building. These were identified amongst the 8 programmes reviewed.

TABLE 1: THE BRACED 3AS FOR MEASURING RESILIENCE

3AS FOR MEASURING RESILIENCE (BRACED)	EXAMPLES OF SOCIAL PROTECTION PROGRAMME INTERVENTIONS
<p>Anticipatory capacity (ability of social systems to anticipate and reduce the impact of climate variability and extremes through preparedness and planning)</p>	<ul style="list-style-type: none"> » Reducing exposure to floods (Public Works for plinths, roof-gardens, raised watsan in CLP, TA to make PW more climate resilient in ICRG), drought (small-scale irrigation in PSSN), sea-level rise /storm surges (building coastal defences Tz PSSN) » Weather-index insurance for livestock (Kenya ASP, ZBRF), crops. » Address food insecurity by regular cash/food transfers to climate-vulnerable areas (Tz PSSN, HSNP, ZBRP...)/ during “hunger” season (CLP, PSNP) » Increasing access to and use of climate-proofed basic services e.g. watsan (CLP) » Water/soil conservation measures through Green public works (PSNP, Tz PSSN) » Disaster risk management planning (CLP) » Supporting national disaster risk contingency funds (HSNP)
<p>Adaptive capacity (ability of social systems to adapt to multiple, long-term and future climate change risks, and also to learn and adjust after a disaster)</p>	<ul style="list-style-type: none"> » Increasing adaptive capacity and reducing sensitivity by increasing assets: » Diversifying livelihoods (CLP through productive asset transfers, ASP, HABP) » Climate-Smart agriculture and extension services (Ethiopia HABP/CSI) » Microcredit advice and services/VSLA (CLP, HSNP, CARE/Uganda ESP, ZBRF...)
<p>Absorptive capacity (ability of social systems to absorb and cope with the impacts of climate variability and extremes, i.e. to use available skills and resources, to face and manage adverse conditions, emergencies or disasters)</p>	<ul style="list-style-type: none"> » Provision of scalable shock-response cash transfers in times of drought (Kenya HSNP, Ethiopia PSNP₄, ZBRF- ‘Crisis Modifier’) » Nutrition/Feeding programmes during emergencies
<p>Transformation (pertains to the holistic and fundamental ways in which people’s capacity to adapt to, anticipate and absorb shocks can be built, reshaped and enhanced)</p>	<ul style="list-style-type: none"> » Governance support e.g. leadership support of village development committees (CLP), support to government at national and district level to mainstream CC (ZBRF) » Knowledge & Education: empowerment of women’s groups and social development knowledge transfers (CLP), nutrition/childcare training sessions (PSNP₄)

Integrating “no-regrets”⁵ climate-smart options into social protection programmes can be done through a range of interventions including climate smart agriculture (see Ethiopia Household Asset Building Programme and Climate Smart Initiative), environmental goods and green public works (see public works guidelines developed by Uganda ESP and green public works design under Tanzania PSSN).

⁵‘No-regret’ options have negative net costs, as the costs of implementing them are offset by direct or indirect benefits (IPCC)

RESILIENCE THEMATIC ENTRY POINTS

The table below provides 5 thematic areas where SP programmes can contribute towards building resilience, these are: governance, risk assessment, knowledge & education, risk management and vulnerability reduction, disaster preparedness and response.

Typically most SP programmes will aim to reduce vulnerability and reduce risk (by reducing exposure and diversifying assets). But the four other entry points point to more holistic approaches (governance, risk assessment, knowledge & education, disaster preparedness and response).

The table below shows community disaster resilience characteristics (Twigg, 2009) showing the five thematic areas of resilience, which are then broken down into their components.

TABLE 2: COMMUNITY DISASTER RESILIENCE CHARACTERISTICS

THEMATIC AREAS	COMPONENTS OF RESILIENCE
Governance	<ul style="list-style-type: none"> » Policy, planning, priorities and political commitment » Legal and regulatory systems » Integration with development policies and planning » Integration with emergency response and recovery » Institutional mechanisms, capacities and structures; allocation of responsibilities » Partnerships » Accountability and community participation
Risk Assessment	<ul style="list-style-type: none"> » Hazards/risk data and assessment » Vulnerability/capacity and impact data and assessment » Scientific and technical capacities and innovation
Knowledge and Education	<ul style="list-style-type: none"> » Public awareness, knowledge and skills » Information management and sharing » Education and training » Cultures, attitudes and motivation » Learning and research
Risk Management and Vulnerability Reduction	<ul style="list-style-type: none"> » Environmental and natural resource management » Health and wellbeing » Sustainable livelihoods » Social protection » Financial instruments » Physical protection, structural and technical measures » Planning regimes
Disaster Preparedness and Response	<ul style="list-style-type: none"> » Organisational capacities and coordination » Early warning systems » Preparedness and contingency planning » Emergency resources and infrastructure » Emergency response and recovery » Participation, voluntarism, accountability

(Source: Twigg, 2009, created for DFID)



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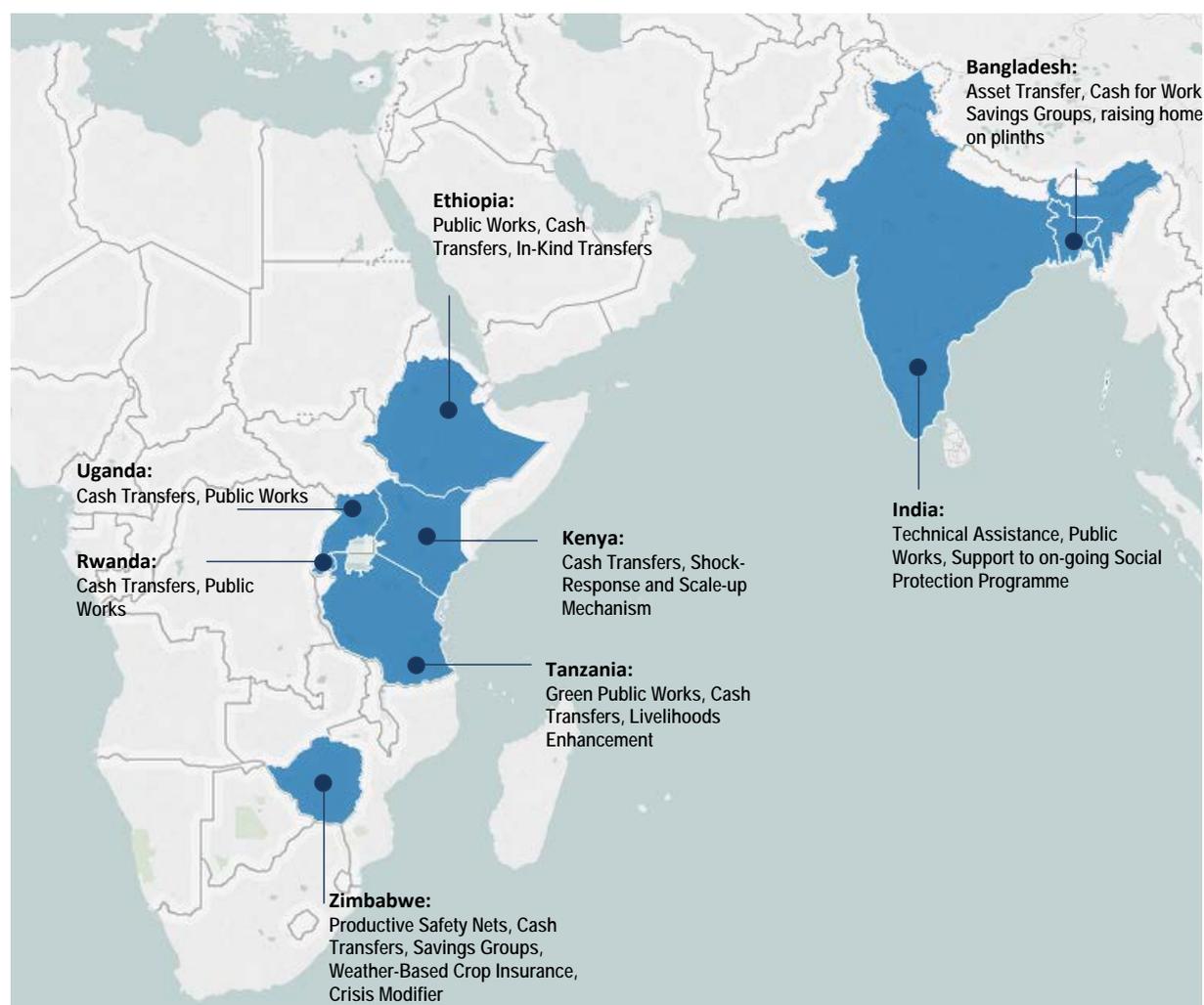
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2. PROGRAMME CASE STUDIES

Consultations took place with the following recent/ongoing/new programmes which were identified for including social protection components and climate finance:

- » [Bangladesh Chars Livelihoods Programme](#)
- » [India Infrastructure for Climate Resilient Growth \(National Rural Employment Generation Scheme\)](#)
- » [Zimbabwe Resilience Building Fund Programme](#)
- » [Tanzania Productive Safety Net Programme feeding into TASAF](#)
- » [VUP programme in Rwanda](#)
- » [Uganda Expanding Social Protection and Enhancing Resilience in Karamoja](#)
- » [Kenya Hunger Safety Net Programme](#)
- » [Ethiopia Productive Safety Net Programme](#)

The chapters that follow account for lessons /comments collected by in-country DFID advisors and programme implementers.



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3. UNDERSTANDING CLIMATE RISKS AND IMPACTS

Some programmes have started to include climate vulnerability as part of the targeting criteria (Tanzania, Zimbabwe, Rwanda). This assumes having an understanding of the type of hazard, population exposed and impacts on households and systems. This preliminary assessment is also part of the DFID tool on multi-hazard disaster risk assessment. (See [DFID guidance and 'Risk Management' resource](#).)

A climate vulnerability assessment entails identifying the hazard type, population exposed, and assessing impacts on households (HH) and systems -> the assessment can inform geographic prioritisation and vulnerability-based index targeting methodologies.

FIGURE 1: HUMAN EXPOSURE TO NATURAL HAZARDS IN BANGLADESH



(Source: Barrett et al., 2014, p. 4⁶, adapted from UNISDR, 2010)

CLIMATE RESPONSIVENESS OF SOCIAL PROTECTION PROGRAMMES

The table below⁷ conceptualises social protection initiatives based on the extent to which interventions are long or short term and the extent to which these are climate responsive. Interventions across the top row can contribute to climate resilience, but this should not be assumed and outcomes may be eroded by climate stress/shock. Interventions across the bottom row are likely to make a greater contribution to climate resilience and to deliver more sustainable outcomes in the context of climate change.

TABLE 3: HOW SOCIAL PROTECTION INITIATIVES CAN CONTRIBUTE TO CLIMATE RESILIENCE

	SHORT TERM INTERVENTIONS	LONG TERM INTERVENTIONS
Low climate responsiveness	<ul style="list-style-type: none"> » Short term and ad hoc social protection interventions that do not consider climate risk and resilience e.g. NGO led cash transfer programmes » Programmes that provide irregular and/or unreliable support e.g. cash transfer programmes that do not deliver regular timely transfers » Shock responsive scale-up programmes that do not respond to climate induced stress/shock e.g. short term support in response to economic or conflict related shocks 	<ul style="list-style-type: none"> » Reliable long term programmes that address the structural causes of poverty and inequality but do not necessarily target climate vulnerable populations, encourage adaptation or reduce risk of current livelihoods e.g. cash transfer programmes that increase the assets and wellbeing of poor
High climate responsiveness	<ul style="list-style-type: none"> » Shock responsive scale-up of support in times of climate induced shock or stress e.g. cash or food transfers prior to, during or in response to climate stress and shock » Programmes/policy that support institutional coordination of social protection agencies with early warning, disaster risk and humanitarian actors 	<ul style="list-style-type: none"> » Long term programmes targeting climate vulnerable populations e.g. using climate vulnerability assessment and data to target support » Programmes that reduce exposure e.g. green public works

⁶ Barrett et al. 2014 Impact of the Chars Livelihoods Programme on the Disaster Resilience of Chars Communities

⁷ Taken from the DFID background paper compiled in 2015 by [Rachael Freeth](#).

SHORT TERM INTERVENTIONS

LONG TERM INTERVENTIONS

- » Programmes that encourage more climate resilient livelihood strategies or reduce risk to current livelihoods e.g. insurance, agricultural extension services, skills and knowledge transfer
- » Initiatives to mainstream climate smart development/resilience across long term social protection and other sectors or support institutional coordination between climate and social protection actors

CLIMATE FINANCING

UK, ICF and international experience⁸⁹¹⁰¹¹ shows that stand-alone climate programmes can only meet some adaptation, forestry and low carbon needs¹². It is often more efficient to add climate funding to existing programmes to achieve climate outcomes than develop a separate climate programme to achieve similar results e.g. increasing support for energy efficiency within an existing energy sector programme or the water conservation element of an irrigation programme.

See Section 3.6 (pp.31-34) 'Financing Resilience' of the [GSDRC Topic Guide on Disaster Resilience](#) for more information.

For comprehensive information on climate financing, see [Topic Guide: A guide to National Governance of Climate Financing](#) (Rai et al., 2015)

(A forthcoming Topic Guide will address risk and resilience in proactive investment in infrastructure, as well as the institutional gaps between short-term disaster relief, climate smart development and longer-term reconstruction. See Lloyd-Jones, Davis and Steele (2016).)

The International Climate Fund is the UK government's commitment to developing countries to assist them in addressing challenges related to climate change and benefit from the opportunities of increased climate resilience. Most programmes consulted have applied and/or are receiving climate finance from the [International Climate Fund \(ICF\)](#).

DFID Guidance¹³ [[internal link](#)] has been produced to support access to ICF funding (see [Prezi on Climate Smart Development](#)). The ICF integration approach allows programmes that do not have climate as a 'principal' focus but do have 'significant' climate objectives to justifiably count a percentage of the programme as climate finance. This requires programmes to estimate, based on actual costs and evidence, the funds required to deliver climate results.

TABLE 4: CLIMATE FINANCING – TYPES OF RESPONSE

RESPONSE TYPE	ELIGIBLE SHARE OF CLIMATE FUNDS	DESCRIPTION
Addressing climate vulnerability	10 – 50%	Mainly 'traditional' development programmes - aimed at reducing poverty or vulnerability. Limited attention is paid to specific climate change impacts but the intervention builds resilience to climate shocks and long term changes as a co-benefit.
Building climate response capacity	50 - 100%	Activities help to solve climate change problems and/or build climate knowledge and capacity. Examples include planning processes; weather monitoring; and natural resources and community

⁸ http://unfccc.int/cooperation_support/financial_mechanism/relevant_decisions/items/3656.php

⁹ typology of activities with climate co-benefits: definitions, step-by-step guidance and examples, October WB 2013

¹⁰ Coding and tracking adaptation finance, ODI 2012.

¹¹ Climate public expenditure and institutional review (CPEIR). Overseas development institute (ODI), London. 2011

¹² UNDP-UNEP poverty-environment initiative. 2011. *Integration climate change adaptation, into development planning: a guide for practitioners.*

<http://www.undp.org/content/dam/undp/library/environment%20and%20energy/climate%20change/adaptation/guide%20integration%20climate%20change%20adaptation%202011.pdf>

¹³ ICF policy – mainstreaming climate spend guidance including integrating climate support in the UK international climate fund (ICF) and frequently asked questions.

RESPONSE TYPE	ELIGIBLE SHARE OF CLIMATE FUNDS	DESCRIPTION
Managing climate risks	100%	programmes that explicitly include references to reducing climate vulnerability or reducing climate emissions. Programmes that use climate information to inform decision-making. Climate information is explicitly used to reduce the negative effects from climate shocks and trends on resources, conflicts and livelihoods or maximise mitigation benefits. Examples include disaster risk reduction projects, support for renewables, drought-resistant crops, and efforts to “climate-proof” physical infrastructure.
Confronting climate change	100%	Activities focus exclusively on addressing the causes and impacts associated with climate change. Examples include: integrating climate change adaptation into national plans; early warning systems; building sea flooding defences; large scale hydro programmes, or energy efficiency measures that directly reduce fossil fuel consumption.

(See 'Risk Financing' section of the 'Risk Management' resource for details of other types of financing, including contingency financing such as 'crisis modifiers' e.g. on the Zimbabwe Resilience Building Fund, sovereign risk finance solutions and insurance.)

Traditional humanitarian/disaster management responses are late and unpredictable. Social protection approaches have a role as a channel to spend the money better.

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4. KEY ISSUES TO CONSIDER WHEN DESIGNING CLIMATE RESILIENT SOCIAL PROTECTION

The following sections provide more detail on the issues that need to be considered when integrating climate resilience concerns into the design of social protection programmes:

- » [Targeting the extreme poor vs. targeting the most climate vulnerable](#)
- » [Scalable and flexible shock mechanisms](#)
- » [Long term resilience and graduation approaches](#)
- » [Fragile and conflict affected states](#)
- » [Social protection and holistic resilience approaches](#)
- » [Measuring resilience, monitoring and learning](#) (also see the 'Measuring Resilience' resource)

TARGETING THE EXTREME POOR VS. TARGETING THE MOST CLIMATE VULNERABLE

While the extreme poor are often the most climate vulnerable, there may be trade-offs between targeting those that are extremely poor against those that have some capabilities and assets, yet are more at risk of climate vulnerabilities.

It is possible to include climate vulnerability assessments (exposure/ sensitivity/ adaptive capacity to climate change impacts and risks) in targeting mechanisms, while reaching the extreme poor. See [Uganda Enhancing Resilience in Karamoja](#), [Zimbabwe RBF](#) and [Tanzania TASAF](#) for examples of this.

SCALABLE AND FLEXIBLE SHOCK MECHANISMS

Some social protection programmes have added on features over time (shock-response, climate smart public works, additional cash transfers for specific groups) to respond to varying vulnerabilities and risks (seasonal analysis of vulnerability) as capacity grows to manage more complex interventions.

Scalable and flexible shock mechanisms are programmes which are able to rapidly up-scale their interventions, either vertically (increase in value) or horizontally (increase in beneficiaries targeted) in response to specific crises or needs. They are flexible in this ability and can accordingly scale-back as required.

The lessons below are taken from the evaluation of the drought emergency scale-up payments process under the HSNP2 (OPM, November 2015).

Lessons from evaluation of emergency scale-up payments, Hunger Safety Net Programme II, Kenya

Strengths

Scalable and flexible shock mechanisms are the single most important evolution to help SP programmes respond to climate-related disasters. Payments are triggered by pre-defined, objective and verifiable indicators to avoid subjective analysis, political interference and allows for fast “no regrets” response (e.g. HSNP using Vegetative Cover Index).

Challenges

Targeting:

- » Pre-targeting, registration and distribution of payment token is resource intensive but are an investment for other programmes and mean that the costs of scaling up become manageable (HSNP).
- » Pre-targeting is hard to explain and is controversial. Trade-offs between those who are hardest hit vs. those who are poorest.
- » The VCI-based allocation can be unpopular because when it is not well understood at county level and doesn't recognise the need to balance community cohesion via 'fair' distribution

Communications:

- » Importance of briefing county level stakeholders on the targeting and payment process.
- » Lack of understanding of the emergency scale-up led to crowding at paypoints as recipients sought clarifications.

Delivery:

- » Where possible beneficiary choice in payment modalities should be sought.
- » Pay agent contractors have genuine problems maintaining liquidity during scale-up payments outside of county capitals. Advanced planning by bank branches to ensure enough cash is available indicates that it is possible to mitigate some of the challenges with emergency payments.
- » The various challenges to delivery of emergency (and routine) payments may be encouraging incidents of malpractice in some cases

Grievance: The complaints and grievances process is inhibited due to the limited effectiveness of the Rights Committees (who experience high demand for their services yet lack support/resources)

M&E:

- » The impact of scaled up response is intended to be different from that of longer-term programmes so needs to be measured differently.
- » Formal strategy for monitoring of emergency drought scale-up payments does not yet exist. Potential for real-time monitoring to be put in place via the use of mobile-phone based questionnaires
- » Next step to understand the market implications and local economy impact of switching from food aid to state-delivered cash transfers during drought crises
- » Need to build links between social protection intervention and actions aimed at promoting poor households' ability to maintain and build assets

LONG TERM RESILIENCE / GRADUATION APPROACHES

Intended to enable asset accumulation, livelihoods diversification, empower/build capacity have positive impacts on HH capacity to withstand climate risks (see [Chars Livelihoods Programme MEL reports](#)).

Designing the right package requires understanding the heterogeneity of the extreme poor: different needs, capacities and exposures to risk. Some HH's less able to take advantage of productive assets (e.g. labour-short HH) or labour-intensive CfW (women, elderly, disabled) -> better understanding of vulnerability, over time

A different response is needed for those at the humanitarian end of the scale and those who have some assets or capabilities that can be strengthened and maintained.

Need to look not only at the HH level but also at systems (access to markets, finance).

Graduation type programmes are resource intensive (CLP: 11 years, team of 50+ full time staff) -> ensure sufficient budget resources can be committed long term.

FRAGILE AND CONFLICT AFFECTED STATES

Consider Alternative Providers to the State: It is possible to deliver funds through alternative means if channelling funds through governments is not appropriate and/or possible. Service providers include NGOs / UN agencies rather than government, which can present some challenges in terms of sustainability and legitimacy.

Risk of “graduation without education”: with standalone programmes there is a need to address access to other supporting services e.g. education. Some programmes (e.g. CLP) included a results-based funding stream for local government to carry out part of the cash for work component.

Political entry points: If climate adaptation is not on the political agenda, disaster risk management might be a better entry point? DFID Zimbabwe found it was more effective to talk about risk management and minimising risk, as these were terms people were already familiar and comfortable with.

Build on existing systems: Often programmes will need to work in the confines of emergency systems which are fragmented. It may be a better entry point and more sustainable to work within existing systems and infrastructure, rather than creating new ones, particularly in the lifetime of a donor programme.

Be Aware of Operational Constraints: The fragility and insecurity of a country may affect a programmes ability to implement. In Kenya, on HSNP, insecurity affected beneficiary coverage, the roll out of IDs, opening bank accounts and delivery in all project areas.

ZRBF is the first large-scale multi-donor fund specifically targeting resilience building in an FCAS State: The knowledge around this programme will be shared with DFID on global platforms.

Resources: recent research led by OPM [on shock-responsive social protection in FCAS](#).

SOCIAL PROTECTION AND HOLISTIC RESILIENCE APPROACHES

Scope: Entry points are driven by local context (including need, and political priorities). Some programmes have a single social protection focus while others use social protection as one of a number of tools, with broader resilience objectives. The scope of social protection programmes depends largely on the context (national capacity, pre-existing initiatives, and possible synergies). There is a spectrum from standalone “graduation++” programmes (CLP, ZBRF) to programmes which are part of a package of interventions with numerous implementers (HSNP/ASP Kenya, Ethiopia PNSP/Household Asset Based Programme/Climate Smart Initiative). There is evidence in literature that holistic approaches provide [more climate-responsive answers](#).¹⁴

Social protection and climate change adaptation have very particular strengths, and this strength should not be lost by either combining or aligning them. More evidence is needed on the merit of combining these interventions.

Multiple scales: not everything can be included in a social protection programme, but it needs to be considered in the wider context (including government systems and planning). Need to think about how the SP programme will interact to create an enabling environment which looks at risks.

Managing and Minimising Risk Climate resilience more easily accepted and understood when approached by talking about risks. This is a concept individual households, local and national governments are familiar with and deal with every day. Some SP programmes have actively sought to shape and contribute to improving **national risk reduction strategies**. Mainly are underlying evidence that response to disasters would cost less if action is taken to reduce the impact of future disasters and address root causes. One example in SP is flexible and scalable shock-response mechanisms. There are emerging lessons that shock-response mechanisms with pre-defined objectives, operational and funding modalities provide fast “no regrets” solutions -> *HSNP/Dull Disasters*

¹⁴ MAKING SOCIAL PROTECTION CLIMATE SMART, IDS (2012)

FIGURE 2: SOCIAL PROTECTION AS A RISK REDUCTION TOOL (KENYA HSNP AND DULL DISASTERS DISCOURSE)



Shifting the debate : another co-benefit of holistic approaches around resilience as an outcome is that it enables the debate to move away from emergency food relief to economic development and market based approaches (long term vision) which may be a more politically palatable and attractive way of gaining traction.

MEASURING RESILIENCE, MONITORING AND LEARNING

Very few programmes have data on (climate) resilience outcomes or even indicators on climate vulnerability/resilience: especially for unconditional cash transfers. Risk of beneficiaries investing in maladaptation (charcoal burning, choosing to rebuild in flood-prone areas) exposing them to potential greater vulnerability to climate risks.

The [literature](#) indicates that the most evidenced area which accounts for gains in climate resilience is **weather-indexed insurance**, whereby livestock holders or smallholders are insured and guaranteed a pay-out against predefined climatic conditions (extreme temperatures, drought etc).

(For further evidence on weather-indexed insurance, see [The favourable impacts of Index-Based Livestock Insurance: Evaluation results from Ethiopia and Kenya](#). Also see Part B: Section 2 'Experience of insurance on programmes from the 'Risk management and financing' resource'.)

The Bangladesh CLP has been running 11 years and invested considerable time and resources on monitoring and learning. It undertakes regular impact assessments (e.g. to check the extent to which the flood-proofed infrastructures per household were still in place and effective). The **graduation criteria** include "reduced vulnerability" (in this case reduced exposure to floods).

It also attempted to measure (qualitatively) **disaster resilience improvements**. See [report](#). The qualitative survey was based on changes in people's capacities and understanding (governance, risk assessment, knowledge and education and disaster preparedness and response).

Even though most programmes consulted did receive climate finance in particular ICF, few had specific indicators and monitoring frameworks which allowed understanding of how resilience was enhanced.

BRACED recently released a [publication](#) on how to **monitor ICF KPI 4** "number of people whose resilience has been improved as a result of project support".

(For a more detailed look at measuring resilience in terms of food security, livelihoods, climate change adaptation and humanitarian response, see the 'Measuring Resilience' resource.)

Further reading:

- » [Assessing the impact of ICF programmes on household and community resilience to climate variability and climate change](#) (Brooks, Aure and Whiteside, 2014)
- » [Design, Monitoring and Evaluation of Resilience Interventions: Conceptual and Empirical Considerations](#) (Bene, Frankenberger and Nelson, 2015)

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KNOWLEDGE PLATFORMS AND OTHER RECOMMENDED RESOURCES

NAME/WEB	MANAGED BY	TYPE	COMMENT	SHARING OPTIONS
DFID Teamsite	DFID	Internal/website		
DFID Climate Clinics	DFID	Internal/conference		Through debate
DFID CPD virtual conference	DFID	Internal/conference		n/a
Cash Learning Partnership http://www.cashlearning.org/thematic-area/social-protection Discussion forum: groups_calp@dgroups.org	Oxfam	External /Community of Practice with mailing list, newsletter and website, webinars	The Cash Learning Partnership (CaLP) is a global partnership of humanitarian actors engaged in policy, practice and research within cash transfer programming (CTP). Formed of a community of practice including over 150 organisations and more than 5,000 individuals in the humanitarian sector, the CaLP is based on learning, knowledge sharing, networking and coordination around the appropriate and timely use of CTP in humanitarian response.	Yes: through the discussion forum via email.
Shock-responsive social protection systems http://us11.campaign-archive1.com/?u=1335foe523d60aab3164a392e&id=6d1e28804a&e=81b1df66fd# Contact: jenny.congrave@opml.co.uk	OPM	External /newsletter	DFID-funded research project investigating the potential for long-term social protection systems to contribute to responses to environmental and financial crises, and at ways to improve their collaboration with humanitarian and disaster risk management (DRM) actors.	The research team welcomes news of any relevant interventions or related studies being undertaken and would be happy to include information from these in the research. Please contact Clare O'Brien of OPM, at clare.obrien@opml.co.uk , if you would like to receive communications about the project findings. Additionally, the latest news regarding this study can be followed on Twitter using the hashtag #shockresponsiveSP
www.braced.org http://www.braced.org/news/basic-services-and-social-protection/?region=&country=&type=&page=1	BRACED	External /website	Has a specific section on social protection. BRACED is helping people become more resilient to climate extremes in South and Southeast Asia and in the African Sahel and its neighbouring countries. To improve the integration of disaster risk reduction and climate adaptation methods into development approaches, BRACED seeks to influence policies and practices at the local, national and international level	Yes: Ability to post articles but managed and moderated by the operator

NAME/WEB	MANAGED BY	TYPE	COMMENT	SHARING OPTIONS
			BRACED holds regular online discussion forums to promote learning and the spread of ideas about effective resilience to climate extremes and disasters. It also holds annual learning events for BRACED partners and lists other events linked to resilience and climate.	
www.weadapt.org	Stockholm Environment Institute	External /website	Not specific to social protection. weADAPT is a collaborative platform on climate adaptation issues. It allows practitioners, researchers and policy-makers to access credible, high-quality information and connect with one another.	Yes: Ability to contribute online directly and connect with people, organisation and discussion fora
cdkn.org	CDKN	External /website	Not specific to social protection. Disaster Risk Reduction is a core theme. The Climate and Development Knowledge Network (CDKN) aims to help decision-makers in developing countries design and deliver climate compatible development.	Yes: Ability to post articles but managed and moderated by the operator
The webinars explore various issues related to climate change and climate governance. In 2015, ICCG ran a series of 8 webinars on the topic of Water; and in 2016 the webinars will focus on the topic of climate finance. http://www.iccgov.org/en/	International Center for Climate Governance (ICCG)	External/webinars		
"Shock Waves: Managing the Impacts of Climate Change on Poverty", Nov 2015 http://www.greengrowthknowledge.org/learning/shock-waves-managing-impacts-climate-change-poverty	Green Growth knowledge platform	External/webinars		

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The table was compiled through literature research, knowledge platforms, and recommendations from resource people.

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
1	<p>Building climate resilience through social protection DFID (2015)</p> <p>Internal (contact Rachel Freeth)</p> <p>Length: 15 pages</p>	Conceptual	<p>Provides a conceptual framework for classifying short term/long term social protection measures by climate responsiveness levels. Provides experience and evidence from DFID funded programmes as well as emerging lessons and questions for programme and policy design:</p> <p>While there is evidence that social protection interventions can contribute to enhanced resilience, this should not be assumed</p> <p>Integration of climate resilience across the social protection, disaster risk reduction and humanitarian sector is possible and desirable and new models are emerging</p>	The extent to which DFID investment in SP can be counted as UK Climate finance will depend on individual programme design and outcome, and should be determined by programme teams.	<p>Conceptual frameworks ☆☆ p1-4</p> <p>Climate Smart design features ☆☆ p 9-11</p> <p>Climate Financing of SP ☆ p 11 (with examples throughout)</p> <p>Case Studies ☆☆☆ p 5-9</p>
2	<p>Social Protection, Climate Change Adaptation and Disaster Risk Reduction: Rapid literature Review</p> <p>Browne E. GSDRC Applied Knowledge Services (2014)</p> <p>http://www.gsdrc.org/docs/open/sp_cca_drr.pdf</p>	Secondary	<p>Rapid literature review and synthesis of the existing literature on the links between social protection, climate change adaptation and disaster risk reduction. Provides an overview of key issues and conceptual frameworks.</p>	<p>The link between social protection and climate resilience is assumed, but not well evidenced.</p> <p>“The most-evidenced area of social protection addressing climate vulnerability is in weather indexed insurance.” Pg 14</p>	<p>Indexed Insurance: Page 15</p> <p>Conceptual Models: Page 8</p> <p>Measuring resilience: Page 14</p> <p>Conceptual frameworks ☆☆☆ p8- 13</p> <p>Climate Smart design features ☆ p12</p>

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
	Length: 29 pages			In the Asia-pacific region, in the past 30 years, only 6% on natural disaster losses were insured	Case Studies ☆☆☆ p16-23
3	<p>Social Protection and Climate Change Working Paper</p> <p>OECD, Chris Bene, Terry Cannon, Mark Davies, Andrew Newsham, Thomas Tanner (2014)</p> <p>http://www.oecd-ilibrary.org/docserver/download/5jz2qc8wc1s5.pdf?expires=1453724002&id=id&accname=guest&checksum=DoD04CD740A08FE547AE62203D615AD1</p> <p>Length: 31 pages</p>	Secondary	<p>Paper provides a review of the current knowledge and evidence around social protection and its role in reducing the impact of climate change on the poorest populations.</p> <p>Recommendations are provided to policymakers around several social protection tools including cash transfers, pension schemes and public works.</p>	<p>“Climate change will amplify existing social and economic problems”. P 8</p> <p>“Climate change funds that relate to adaption are probably most likely to lend themselves to incorporate SP...one unexplored area is the potential for supporting SP instruments through grassroots initiatives in renewable energy.” P 10</p> <p>Further understanding is needed on what resilience can and can’t do. Recent analysis has suggested resilience is not pro-poor and strengthening resilience does not automatically mean reducing poverty.</p>	<p>Social Protection Tools and their links to climate change: Page 9-17</p> <p>Conceptual frameworks ☆☆ p 19-21</p> <p>Climate Smart design features ☆ Referred briefly throughout</p> <p>Climate Financing of SP ☆ p 8-9</p> <p>Cross-sectoral approaches ☆ p 18</p> <p>Case Studies ☆☆ p 4, 15</p>
4	<p>Evidence Paper on VFM of investments in climate resilient development</p> <p>Savage, M (2015)</p> <p>http://r4d.dfid.gov.uk/pdf/outputs/EoD/EoD_HDYr3_43_August2015_Adaptation_VFM.pdf</p> <p>Length: 16 pages</p>	Secondary	<p>Paper gives a brief summary of the evidence on Vfm frameworks and returns on investment from climate resilient development.</p>	<p>Economic returns associated with climate resilient development are reported in the literature reviewed as positive for the most part.</p> <p>“While the current evidence base provides a strong overall justification for investment in climate resilient development, it is not sufficient to influence resource allocation decisions between projects or sectors without more detailed economic analysis of</p>	<p>VFM Analysis of Livelihoods and Social Protection: Page 3</p> <p>Climate Smart design features ☆ p1-3</p> <p>Measuring Climate resilience ☆ p 8</p> <p>Case Studies ☆ p 8</p>

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
				specific opportunities and the local context". P 5	
5	<p>Building Resilience to Disaster and Climate Change through Social Protection World Bank (2013) http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2013/07/18/000445729_20130718154157/Rendered/PDF/796210WPoBuildoBox0377381B00PUBLIco.pdf</p> <p>Length: 36 pages</p>	Secondary	<p>Building Resilience toolkit which aims to provide guidance on how to prepare social protection programmes so they can respond to climate risks and disasters effectively.</p> <p>The document looks at practical tips and experience from case studies including the Bangladesh Chars Programme, PSNP and HARITA in Ethiopia, Mexico's temporary employment programme and Pakistan's Citizen damage compensation programme.</p> <p>A decision making tool to support social protection programme planning. Presents a decision making tree for the type of social protection intervention depending on the project objectives, context and risk.</p>	<p>The average humanitarian response for slow-onset droughts in Ethiopia takes 8 months. In 2011, PSNP scaled up the duration of support to 6.5 million beneficiaries. The time between triggering the risk and disbursing payments averaged less than 2 months.</p>	<p>Designing SP programmes to incorporate climate resilience: Page 8</p> <p>Conceptual frameworks ☆☆ p 7-19</p> <p>Climate Smart design features ☆☆☆ p 7-21</p> <p>Cross-sectoral approaches ☆ p 1-5</p> <p>Measuring Climate resilience ☆ p 17</p> <p>Case Studies ☆☆ p 23-25</p>
6	<p>Climate Responsive Social Protection Discussion Paper World Bank (2012) http://siteresources.worldbank.org/SOCIALPROTECTION/Resources/SP-Discussion-papers/430578-1331508552354/1210.pdf</p> <p>Length: 49 pages</p>	Secondary	<p>Paper outlines the case for encouraging climate-responsive social protection and proposes a framework with principles, design features and functions that would help social protection systems evolve in a 'climate-responsive' direction.</p>	<p>Scalable and flexible programmes are arguably one of the single most important evolution elements to help SP programmes respond better to climate-related disasters.</p> <p>Participation from local communities in designing public works programmes is one way to enhance adaptive capacity, build broader resilience to climate change and create local employment.</p> <p>Public, civic and private institutions influence how climate risks affect HH's and can either facilitate or impede responses to climate risk.</p>	<p>Conceptual frameworks ☆☆ p11-24</p> <p>Climate Smart design features ☆ p15-23</p> <p>Cross-sectoral approaches ☆ p 35</p> <p>Case Studies ☆☆ p 24- 36</p>
7	<p>Making Social Protection Climate Smart IDS (2012)</p>	Secondary	<p>The paper gives an outline of Adaptive Social Protection (ASP) and lessons learned from its use to date. IT looks specifically at the TASAF programme in</p>	<p>Research is Asia looking at 124 agricultural programmes found those that integrate SP, DRR and CCA together at the objective level are more long-term and comprehensive</p>	<p>Linking Public Works with Climate Change Adaptation: Page 4</p> <p>Conceptual frameworks ☆☆ Throughout</p>

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
	https://www.ids.ac.uk/files/dmfile/MakingSocialProtectionClimateSmart_fullpaper.pdf Length: 6 pages		Tanzania and how it can become climate smart. Recommendations include: -Recognise the need for more flexible targeting mechanisms -Deliver climate-proofed social protection as part of a wider package of support -Build an evidence base through M&E -Prioritise institutional relationships across sectors	programmes, meeting both economic and social needs.	Climate Smart design features ☆ p 5 Case Studies ☆☆ p 2-6
8	Adaptive Social Protection: Guidance notes for practitioners IDS, (2012) http://www.ids.ac.uk/files/dmfile/ASPGuidanceNotes_FINAL.pdf Length: 44 pages	Conceptual	Authors have found very few practical tools and guidance notes for practitioners and policy makers to include climate change and DRR considerations into the design of their social protection programmes. Adaptive Social Protection proposes to combine the three elements.	Very few toolkits in existence to help SP practitioners and policymakers- especially to incorporate DRR and CCA.	Existing Toolkits for SP, DRR and CC: Page 25-40 Toolkit review: Page 21-23 Conceptual frameworks ☆☆ p 20- 24 Climate Smart design features ☆ p1-3 Case Studies ☆☆ p 14-16
9	Resilience Systems Analysis OECD (2014) http://www.oecd.org/dac/Resilience%20Systems%20Analysis%20FINAL.pdf Length: 47 pages	Secondary	OECD guidance on how to use the resilience systems analysis and guidance on how to build a roadmap to resilience. RSA can be used to help design programmes which want to target resilience building or can be used to incorporate resilience strengthening elements into existing programmes. Paper looks at what RSA is and how it can be used.	OECD Study found that field staff were cynical about the added value of resilience and found it difficult to understand what it really means.	Resilience Systems Analysis: Page 11 Conceptual frameworks ☆☆ p 4-9 Climate Smart design features ☆ p 11-13 Measuring Climate resilience ☆☆ p 33-37
10	Climate Change Adaptation, Disaster Risk Reduction and Social Protection: Briefing Note IDS, (2008)	Conceptual	Social protection programmes should consider climate change in order to address multiple risks faced by poor and excluded people. There is scope to make use of the synergies between SP, CC and DRR. To do this, a rigorous evidence base is required, and an	Developing social protection approaches for CCA requires a rigorous evidence base and an improved understanding of social impacts and policy processes.	Adaptive Social Protection: Page 11 Conceptual frameworks ☆ p 11 Climate Smart design features

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
	http://www.ids.ac.uk/files/ID_S_Adaptive_Social_Protecti_on_Briefing_Note_11_Dece_mber_2008.pdf Length: 15 pages		improved understanding of social impacts and policy processes.		☆☆ p 12 Cross-sectoral approaches ☆ p 5-7 Case Studies ☆☆ p 7-9
11	Adaptive Capacity Development ODI, (2010) http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6353.pdf Length: 8 pages	Conceptual	Explores the idea of adaptive capacity as a mechanism to adapt and adjust to changing circumstances. ACCRA is currently trialling this framework and identifies adaptive capacity as having five characteristics: the asset base, institutions and entitlements, knowledge and information, innovation and flexible, forward-looking decision making. It is not directly a social protection intervention but it does include it in its research.	Little research and analysis has been done on adaptive capacity at the community or household levels.	Conceptual frameworks ☆☆ p 1-8 Cross-sectoral approaches ☆☆ p 2
12	Hunger Safety Net Programme: Options Paper for Scaling up HSNP Payments NDMA, DFID, AusAID (2015) http://www.hsnap.or.ke/images/phocadownload/HSNP-Scalability%20Options%20Paper%20for%20financing%20February%202015.pdf Length: 42 pages	Primary	Type: Cash Transfers An Options paper for scaling up payments under the Hunger Safety Net Programme (HSNP) in Kenya.	There is much evidence in arid areas of the strong and direct correlation between worsening weather conditions and decreased household consumption and expenditure. Scaling up and down cash in a timely manner before situations deteriorate has been shown to be more effective and cost-efficient than initiating ad hoc emergency responses. Cash benefits over in-kind humanitarian responses: faster, more cost effective, more choice and multiplier effect.	Guiding Principles of a Scalability Framework: Page 9 Costing Scalability: Page 22 Climate Smart design features ☆ p 9-22 Climate Financing of SP ☆ p 22-29 Case Studies ☆☆☆ Throughout
13	Impact Evaluation of the Horn of Africa Risk Transfer for Adaptation (HARITA) Project in Ethiopia, Oxfam (2009-2012) http://documents.wfp.org/stellent/groups/public/docume	Primary	The HARITA project offers integrated risk management strategies to build farmers' resilience to climate-related shocks and to improve their livelihoods. The project piloted an insurance-for-work (IFW) scheme, for the poorest farmers who participate in PSNP, to pay for their insurance through their labour.	Communication is critical to ensure farmers understand pay-out triggers and when payments can be expected. Labour-for-insurance scheme has been a popular choice for farmers- more wanted to	Measuring Climate resilience ☆ p4 Case Studies ☆☆ Throughout

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
	nts/newsroom/wfp267546.pdf Length: 4 pages		Key findings include: HARITA helped improve farmers resilience by maintaining livelihoods when rains failed; HARITA has a positive, but less-widespread, effect on investments in production in good seasons; FHH achieved some of the largest gains in productivity; the consensus among farmers is that HARITA is <i>not yet</i> improving livelihoods in a transformative way.	participate than the programme budget would allow.	
14	Is there a role for cash transfers in climate change adaptation? R Godfrey Wood, IDS, Centre for Social Protection (2011) http://www.ids.ac.uk/files/dmfile/GodfreyWood2011_Cash_transfers_and_climate_change_adaptation_CSP_conference_draft.pdf Length: 26 pages	Secondary	This paper uses the Adaptive Capacity Framework to assess the potential of using cash transfer programmes to contribute to climate adaptation goals, specifically in ones where existing social protection efforts are inadequate. The paper concludes that cash transfers are likely to contribute to adaptive capacity in several ways: Meeting basic needs and reduce short term vulnerability Helping the poor respond to climate shocks Reducing pressure to engage in coping strategies which may weaken longer term adaptive capacity Helping vulnerable households to better manage risk Providing money for investment in long term livelihood and adaptive capacity improvement Facilitating mobility and livelihood transitions.	Cash transfers cannot solve all the issues related to adaptation, and should not be expected to. Cash transfers can provide a vehicle for the poor to share their knowledge on climate adaptation and put it into practice.	The advantages and limits of cash transfers as a climate adaptation tool Conceptual frameworks ☆☆ p 7-12 Cross-sectoral approaches ☆ p 7-13 Case Studies ☆ p 15
15	Climate Change and Development: Experience from Ethiopia and the Mercy Corps Prime program USAID, CARE (2016) https://www.prime-ethiopia.org/wp-content/uploads/2016/01/Mercy_Corps_CRD_Narrative_Case_study_Ethiopia-PRIME.pdf	Primary	Pastoralist Areas Resilience Improvement through Market Expansion (PRIME) is a USAID programme which supports pastoralists in Ethiopia through market expansion and long term behaviour change. A large part of the programme focuses on helping communities become more resilient to climate change. This paper looks at three case studies, describing what climate integration activities have been trialled, and the lessons learned from them.	Programmes should be designed to incorporate climate resilience across outcomes- not put in a silo. Information about climate must be translated, time appropriate, accessible and tailored to end users. Climate resilient behaviour calls for longer-term, systematic approaches, aimed at behaviour change.	Conceptual frameworks ☆☆ p 3-6 Climate Smart design features ☆☆ p 18, 24 Cross-sectoral approaches ☆ p 20- 21 Case Studies ☆☆ p 7-25

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
	Length: 25 pages				
16	<p>Scaling up Existing Social Safety Nets to provide Humanitarian Response: A Case Study of Ethiopia’s Productive Safety Net Programme and Kenya’s Hunger Safety Net Programme</p> <p>The Cash Learning Partnership (CLP) (2014)</p> <p>http://www.cashlearning.org/downloads/calpffannex3web.pdf</p> <p>Length: 20 pages</p>	Secondary	<p>Paper looks at programme documentation, evaluations and analysis for PSNP and HSNP. The study is divided into four parts which examines the context of social protection systems in the Horn of Africa, and specifically PSNP and HSNP, the current challenges for scaling up PSNP and HSNP, the potential challenges for scaling up in the future and how the findings of this report can be used in the future.</p>	<p>Lessons learned:</p> <p>Risk Financing Mechanism- linked with Early Warning System to trigger payments before beneficiaries are hit hardest.</p> <p>Timeliness of additional support- RFM meant funds were disbursed in six weeks, compared to humanitarian appeal with began in March- with payments finally being issued in December.</p> <p>System depends on PSNP infrastructure- however it does show the potential to use it elsewhere (i.e. not in project areas)</p>	<p>Climate Smart design features</p> <p>☆ p 5-7</p> <p>Case Studies</p> <p>☆☆☆ Throughout</p>
17	<p>IDS Working Paper 345: Adaptive Social Protection: Mapping the Evidence and Policy Context in the Agriculture Sector in South Asia</p> <p>A Arnall, K Oswald, M Davies, T Mitchell and C Coirolo (2010)</p> <p>https://www.ids.ac.uk/files/dmfile/Wp345.pdf</p> <p>Length: 94 pages</p>	Secondary	<p>Paper reviews 124 agricultural programmes implemented in Afghanistan, Bangladesh, India, Nepal and Pakistan, which are combining elements of social protection, DRR and climate change adaptation. It finds that integrating all three is relatively limited in South Asia, however there has been significant progress in combining Social protection and DRR. Projects which do combine all three, tend to have broader poverty and vulnerability reduction goals, compared to those that don’t cover all three.</p>	<p>SP, CCA and DRR will not be sufficient in the long-run if they continue to be applied in isolation from one another.</p> <p>Of the 124 programmes reviewed, 42% use just one approach (of SP, CCA or DRR), 42% include two, and just 16% include all three. Of those using two, SP and DRR is the most common combination, reflecting the strong inclination in South Asia to use Safety Nets as DRR mechanisms.</p> <p>Of the countries analysed, dedicated SP programmes are more common in Afghanistan, which has an ‘uncharacteristically high’ number of food security programmes. This is potentially attributable to the more basic SP needs in a</p>	<p>Conceptual frameworks</p> <p>☆☆ p 14-17</p> <p>Climate Smart design features</p> <p>☆ Referenced throughout</p> <p>Fragile & Conflict Affected States</p> <p>☆ p 37-38</p> <p>Cross-sectoral approaches</p> <p>☆☆ p 20-27</p> <p>Case Studies</p> <p>☆☆☆ p 18-24, 72</p>

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
				country that faces big challenges in relation to war, civil unrest and recurring natural disasters.	
18	Shock- Responsive Social Protection Systems: A Research Programme for DFID Working Paper 1: Conceptualising Shock- Responsive Social Protection OPM, (2015) http://www.opml.co.uk/sites/default/files/WP1%20-%20Shock-resp%20SP%20concept%20note.pdf Length: 15 pages	Secondary	Paper presenting the latest thinking on shock-responsive social protection. The paper is divided into five sections addressing: what is meant by shocks; the different ways in which social protection may be used in a humanitarian disaster; how social protection, humanitarian and DRM systems are connecting and some of the challenges in linking them; and what the implications are for shock-responsive social protection in conflict and fragile contexts.	Contingency planning and sectoral disaster planning could incorporate planned social protection emergency interventions. Implementing SP in emergency situations is not as well covered in DRM circles and literature as it is in the social protection field.	Distinguishing social protection from humanitarian needs: Page 4 Scaling up in shocks: Page 6 Conceptual frameworks ☆☆ p 3-5, 9-12 Fragile & Conflict Affected States ☆ p 10 Case Studies ☆ Results of case studies will be produced in 2016
19	Making CSA work for the most vulnerable: The role of Safety Nets FAO, 2013 http://www.fao.org/3/a-i3325e/i3325e16.pdf Length: 20 pages	Secondary	Paper looks at how social protection can support a transition into climate smart agriculture (CSA), using case studies from Ethiopia PSNP, the R4 Initiative and Safe Access to Firewood and Energy (SAFE) programme.	A recent impact assessment of PSNP public works component found evidence of lessened damage by seasonal floods, increased biodiversity and increased water availability and quality. From a CSA perspective Cooper (2012) found that PSNP has helped a large number of Ethiopians cope better with climate-induced risks.	Cross-sectoral approaches ☆☆ p 6-12 Case Studies ☆☆ p 9-11
20	Managing the Boom and Bust: Supporting Climate Resilient Livelihoods in the Sahel IIED: C Hesse, S Anderson, L Cotula, J Skinner, C Toulmin (2013)	Secondary	Paper looks at good practice for using social protection tools to help strengthen climate resilience. Findings include: Programmes need to be rooted in domestic political agendas and local understanding of need, thereby increasing chances of sustainability.	Social Protection needs to move from being project-based to being integrated with other social and economic measures. Cash transfers alone are insufficient to build climate resilience- the payments are often too small, and the coverage too low.	Market-based approaches to resilience: Page 24 Social Transfers in response to resilience: Page 23 Climate Smart design features ☆ p 27 Cross-sectoral approaches

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
	http://pubs.iied.org/pdfs/11503IIEED.pdf Length: 32 pages		Programmes need to be moved from being purely project based, and should be complemented by a variety of other measures that can address different dimensions of risk and vulnerability. Fragmented approaches to social protection, DRR and local climate adaptation can be overcome by embedding efforts to build climate resilience within permanent institutional processes.		☆ p 23-25
21	Climate Change and Food Security: Risks and Responses FAO (2016) http://www.fao.org/3/a-i5188e.pdf Length: 110 pages	Secondary	Paper looks at ways that social protection could better integrate climate change vulnerabilities. For example, including environmental vulnerability targeting criteria, income poverty and food security mapping, as well as climate-related risks assessment. Evidence suggests greater coordination is needed across policy domains, to improve responses to climate vulnerabilities.	The risk management function of social protection programmes clearly has an important role to play in the context of increasing risk exposure from climate change. SP programmes could integrate specific vulnerabilities to climate change by including environmental targeting criteria, and combine income poverty and food security mapping as well as climate-related risk assessments.	Climate Smart design features ☆ p 37-41 Cross-sectoral approaches ☆☆ p 37-39 Case Studies ☆ Throughout
22	Integrating Climate Support in the UK International Climate Fund DFID Guidance note (2015) See Rachel Freeth Internal Length: 5 pages	Conceptual	Provides framework for assessing what proportion of a programme budget should be classified as adaptation, lists ICF integration policy principles and describes detailed example for Ethiopia PNSP.	It is often more efficient to add climate funding to existing programmes to achieve climate outcomes than develop a separate climate programme to achieve similar results	Operating Principles of ICF Funding: Page 4 Climate Financing of SP ☆☆☆ p 1-5 Case Studies ☆☆ p 4-5
23	Cash Transfers and Climate-resilient Development Evidence from Zambia's Child Grant Programme K Lawlor, S Handa, D Seidenfeld and the Zambia Cash Transfer Evaluation Team	Primary	Study which looks at the Zambia Child Grant programme to investigate whether cash transfers can help households facing weather and other negative shocks, avoid coping strategies which lead to poverty traps. The evidence concludes that by extending relatively small unconditional cash payments to the rural poor is	Cash transfers offer a sound approach for building climate-resilience amongst the world's most vulnerable and facilitating their "autonomous adaptation" to a changing environment.	Conceptual frameworks ☆☆ p 10-11 Climate Smart design features ☆ p 15-17 Case Studies ☆☆☆ Throughout

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
	UNICEF, 2015 http://www.unicef-irc.org/publications/pdf/Zambia%20shocks_layout.pdf Length: 36 pages		a strong policy option for fostering climate resilient development.		
24	The 3A's: Tracking Resilience Across BRACED BRACED Knowledge Manager, 2015 https://www.weadapt.org/knowledge-base/transforming-development-and-disaster-risk/the-3as-tracking-resilience Length: 57 pages	Secondary	Paper presents an explanatory framework for measuring resilience outcomes. Resilience can be broken down into three capacities: the ability to adapt to, anticipate and absorb climate extremes and disasters (the 3As). The framework seeks to provide practical actions or processes for resilience building.	The 3As should not be seen as a directive or graduated scale of priorities that need to be addressed	Conceptual frameworks ☆☆ p 11-42 Measuring Climate resilience ☆☆ Throughout
25	Impact of the Chars Livelihoods Programme on the Disaster Resilience of Chars Communities Bangladesh Chars Livelihoods Programme, 2014 http://clp-bangladesh.org/wp-content/uploads/2014/08/impact-of-clp-on-the-disaster-resilience-of-char-communities-final.pdf Length: 49 pages	Primary	Paper produced by the implementing team of the CLP2 looking at how the programme addresses disaster risk reduction, resilience and climate change. Contains a concise literature review of key conceptual frameworks on disaster risk reduction (including natural hazards and climate-related risks) and resilience. Provides a methodology of how resilience impacts where assessed and presents results and recommendations.	The CLP programme dramatically improves the overall disaster resilience of communities in Disaster Preparedness and Response, Knowledge and Education, Governance and Risk Assessment. Plinths are vital for sheltering from floods. There is a lack of regular assessment on hazards and vulnerability.	Conceptual frameworks including Resilience framework (2011), DRR and resilience at community level ☆☆ ☆ p3-10 Cross-sectoral approaches in particular social protection and DRR ☆☆ ☆ p 16-22 Measuring Climate resilience (Disaster resilience) ☆☆ ☆ p 13-23
26	Topic Guide: Anticipating and Responding to Shocks: Livelihoods and Humanitarian Responses Levine, S. Sharp, K, 2015	Secondary	A topic guide which looks at how livelihoods approaches can be supported during times of crisis. The guide looks specifically at how livelihoods and crises interact, protection and livelihoods and humanitarianism and development. Section 6 in	The use of the Productive Safety Net Programme (PSNP) in Ethiopia to deal with the structural poverty that used to be categorised as (annual) 'emergency' needs has given impetus to the argument that	Conceptual frameworks ☆ p 56 Fragile & Conflict Affected States ☆ p 15

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
	<p>Evidence on Demand http://www.evidenceondemand.info/topic-guide-anticipating-and-responding-to-shocks-livelihoods-and-humanitarian-responses Length: 68 pages</p>		<p>particular looks at anticipating and responding to shocks, specifically on social protection, early warning systems and resilience and DRR.</p>	<p>emergency response can be moved from the realm of the ad hoc to a predictable, programmed response by a state institution</p> <p>'Resilience' offers the possibility of a middle ground to counter the silos within which the development and humanitarian communities often work.</p>	<p>Cross-sectoral approaches ☆☆ Throughout Case Studies ☆☆ ☆ Throughout</p>
27	<p>Resilience Measurement Principles: Toward an Agenda for Measurement Design Food Security Information Network, 2014 http://www.fsincop.net/fileadmin/user_upload/fsin/docs/resources/FSIN_29jan_WEB_medium%20ores.pdf Length: 35 pages</p>	Conceptual	<p>A paper discussing the challenges and considerations of measuring resilience. The paper covers the differing stakeholder objectives for measuring resilience; the type of resilience measure (whether resilience outcomes or processes should be measured); the units of measure (household, community or at a wider systems level); how to collect data and how to standardise it.</p>	<p>Temporal considerations are also critical to measuring resilience. For example, the length of time required to affect certain aspects of resilience may be longer than most program lifespans and donor timeframes. "Lighter" questionnaires and other tools could allow for more frequent collection of data relevant to measuring resilience.</p>	<p>Conceptual frameworks ☆☆ p 23-25 Case Studies ☆☆ p 20-31 Measuring Resilience ☆☆☆ Throughout</p>
28	<p>Methodology for Reporting Against KPI 4- Number of People whose resilience has been improved as a result of project support BRACED, 2014 https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/328254/BRACED-KPI4-methodology-June2014.pdf Length: 31 pages</p>	Conceptual	<p>The guidance describes how to estimate the numbers of people with improved resilience to climate shocks and stresses as a result of resilience-building and adaptation projects. The goal of the guidance is to enable projects to report against the UK ICF's KPI 4.</p>	<p>KPI4 will normally be an Outcome Indicator. This is because project related change in resilience to Climate shocks and stresses is usually an outcome of one or more project activities and outputs.</p> <p>Resilience is extremely context specific, and accordingly there are no agreed units of measurement for it.</p>	<p>Conceptual frameworks ☆☆ p 7 Measuring Resilience ☆☆☆ Throughout</p>

	RESOURCE	RESEARCH DESIGN	SYNOPSIS AND RELEVANCE	FAST FACTS AND FIGURES	TOPICS COVERED, RELEVANCE SCORE AND PAGE RANGE
29	Evaluation of Kenya HSNP Phase 2 Drought Emergency Scale-up Payments Process Review OPM, November 2015 PPT 11 slides	Primary	Findings summarised from the review of the scalable and shock-response mechanism piloted under HSNP2 in April-May 2015	In April 2015 HSNP made its first emergency drought scale-up payments to 90,000 non-routine HSNP beneficiary households. Two pilot payments provided a proof of concept of HSNP’s ability to rapidly scale-up coverage of cash transfers in response to severe drought conditions County officials see the VCI/PMT system as being potentially objective, fast and cheaper relative to the previous post rains assessment.	Climate Smart design features Scalable Shock response mechanism based on case study

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