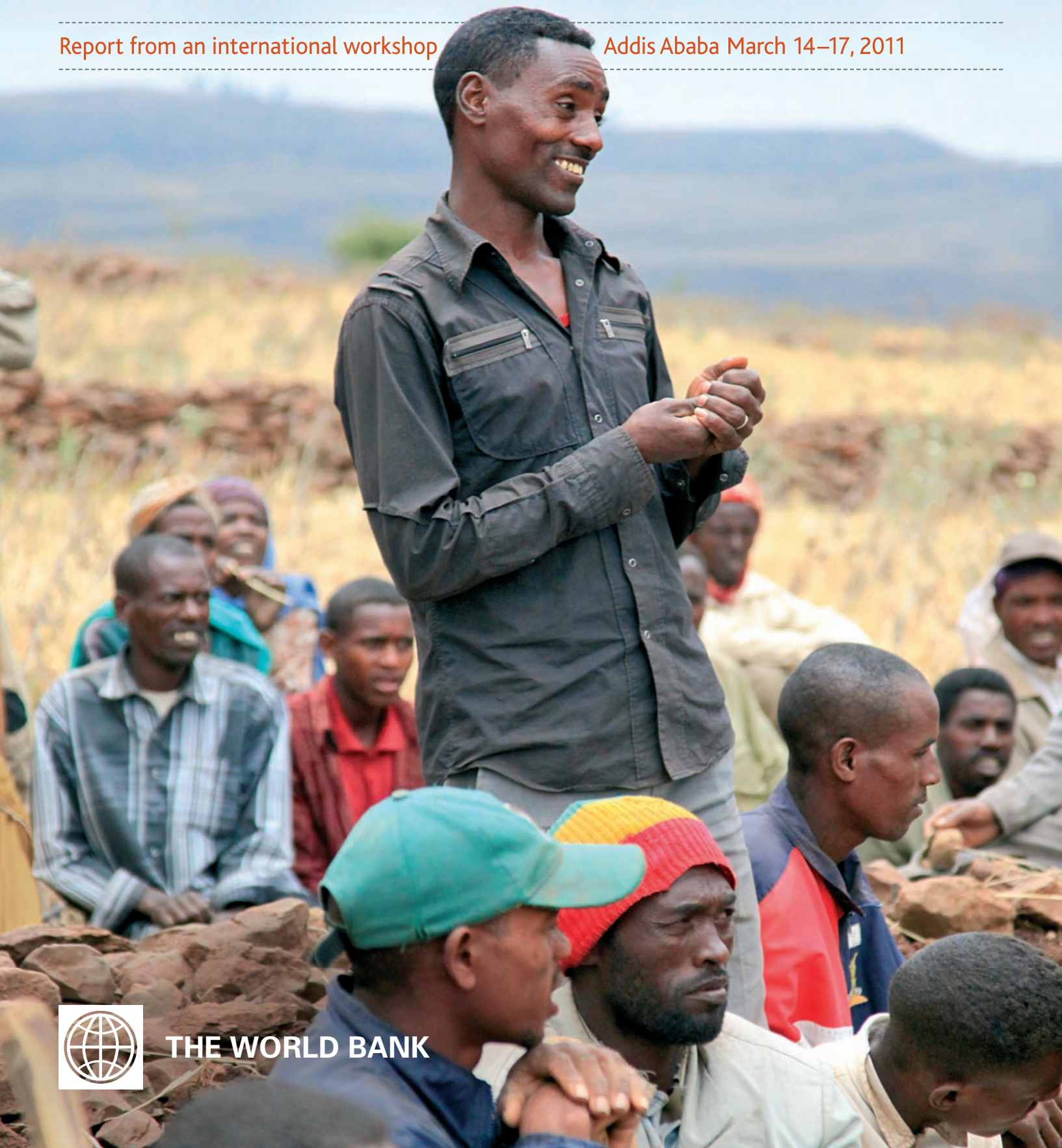


# Social Protection and Climate Resilience

Report from an international workshop

Addis Ababa March 14–17, 2011



THE WORLD BANK

**Cover photograph:**

A community member from Sire *Woreda* shares his views on the Productive Safety Net Program, Ethiopia.

Mathan Ratinam/ Parsons The New School for Design

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World Bank  
1818 H Street NW  
Washington DC, 20433  
United States



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# Social Protection and Climate Resilience

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Report from an international workshop • Addis Ababa March 14–17, 2011

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## Acknowledgments

This is the report of an international workshop on “Making Social Protection Work for Pro-poor Disaster Risk Reduction and Climate Change Adaptation”, held in Addis Ababa, Ethiopia on March 14–17, 2011 and organized by the World Bank, in collaboration with the Institute of Development Studies (IDS), the UK Department for International Development (DFID) and the United Nations Economic Commission for Africa (UNECA). The workshop would not have been possible without the efforts of a large number of people. Significant contributions to the workshop organization were provided by: Margaret Arnold, Robert S. Chase, Sarah Coll-Black, Alejandro de la Fuente, Rasmus Heltberg, Robin Mearns, Mustafa Pajazetovic, and Wolter Soer (World Bank), Alexander Arnall, Christophe Béné, Mark Davies, Stephen Devereux, Naomi Marks, Suzanne Schirmer, Ana Solorzano Sanchez, and Paula Silva Villanueva (IDS), Emebet Mesfin and Meaza Molla (UNECA), Iris Krebber (DFID), Cynthia Burton, Pablo Suarez, Steve Ashley, and Simon Anderson.

A full list of workshop participants is provided at the end of this report. We are particularly grateful to the keynote speakers – Jennifer Kargbo (Deputy Executive Secretary, UNECA); H. E. Girma W/Giorgis (President, the Federal Democratic Republic of Ethiopia); Andrew Steer (Special Envoy for Climate Change, World Bank); Robert S. Chase (Sector Leader, Human Development, World Bank, Ethiopia); Dr. Tewolde B. G. Egziabher (Director-General, Environmental Protection Agency, Ethiopia); Vijay Kumar (Joint Secretary, Ministry of Rural Development, India); Lawrence Haddad (Director, IDS); and Robin Mearns (Lead Social Development Specialist, World Bank).

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Financial support for the workshop from the World Bank and the UK Department for International Development (DFID) is gratefully acknowledged.

## Acronyms and abbreviations

AAU	Addis Ababa University	M&E	Monitoring and Evaluation
ACF	Action against Hunger	MINALOC	Ministry of Local Government
ACPC	African Climate Policy Center	MIS	Management Information System
AP	Andhra Pradesh	NAPA	National Adaptation Program of Action
ASP	Adaptive Social Protection	NREGA	National Rural Employment Guarantee Act
CC	Climate Change	NRLM	National Rural Livelihood Mission
CCA	Climate Change Adaptation	PFM	Participatory Forest Management
CDMP	Comprehensive Disaster Management Program	PISDA	Partnership for Integrated Sustainable Development Association
DFID	Department for International Development	PLI	Pastoral Livelihoods Initiative
DICE	Drought Mitigation through Irrigation and Conservation Agriculture Extension	PPCR	Pilot Program for Climate Resilience
DMI	Drought Management Initiative	PSNP	Productive Safety Net Programme
DRMFSS	Disaster Risk Management and Food Security Sector	PW	Public Works
DRR	Disaster Risk Reduction	RRLP	Rajasthan Rural Livelihoods Project
EC	European Commission	SCN	Solar Cooking Netherlands
ELMT	Enhanced Livelihoods in the Mander Triangle	SDA	Social Development Advisor
EU	European Union	SDI	Serial Digital Interface
EWS	Early Warning System	SHG	Self-help Group
FARM	Food and Agricultural Research Management	SLM	Sustainable Land Management
FDRE	Federal Democratic Republic of Ethiopia	SLP	Sustainable Livelihoods Program
FSL	Food, Security and Livelihoods	SNAP	Strategic National Action Plan
FUG	Forest User Group	SNNPR	Southern Nations, Nationalities and People's Region (Ethiopia)
GFDRR	Global Facility for Disaster Reduction and Recovery	SP	Social Protection
GIS	Geographic Information System	TASAF	Tanzania Social Action Fund
GPAD	Governance and Public Administration Division	UN	United Nations
GTZ	German Agency for Technical Cooperation	UNDP	United Nations Development Programme
ha	hectare	UNECA	United Nations Economic Commission for Africa
IBLI	Index-Based Livestock Insurance	UNFCCC	United Nations Framework Convention on Climate Change
IDS	Institute of Development Studies	UNISDR	International Strategy for Disaster Reduction
IIED	International Institute for Environment and Development	UNOPS	United Nations Office for Project Services
ISDR	International Strategy for Disaster Reduction	UNWFP	United Nations World Food Programme
ISSET	Institute for Social and Environmental Transition	USAID	United States Agency for International Development
LSMS	World Bank Living Standard Monitoring Surveys	VUP	Vision 2020 Umurenge Program
		WeD	Well-being and Development

## Foreword



We are reminded constantly what a dangerous world we live in. There are indications that natural disasters may be increasing in terms of frequency, and are certainly increasing in terms of impact. In 2010, typhoons, floods, and earthquakes affected more than 16 million, and took the lives of 200,000 people. Climate change is already hurting many of the poorer citizens of the World Bank's client countries, and this will very likely get much worse.

This document presents the discussions and recommendations emerging from a global workshop that brought together three fields of expertise that have usually worked quite separately, but which can be more effective when they work together. The convergence of disaster risk management, climate change adaptation, and social protection holds so much promise for building the social and climate resilience of the poor. And yet for the most part, these three fields have developed in their own silos: adaptation in ministries of the environment, disaster risk management in ministries of the interior or civil protection, and social protection in ministries of social affairs. These silos have been replicated in development agencies, where teams have operated in parallel systems.

Things are starting to change for the better, as a growing number of countries, such as Malawi, the Philippines, and Samoa, are starting to integrate their disaster risk management and adaptation programs. Disaster risk management, in its efforts to minimize the impact of natural hazard shocks on communities, is increasingly seen as a critical point of entry for building adaptive capacity. While the timescale of thinking on disaster risk management and adaptation programs may be different, the floods, droughts, and cyclones are the same. The World Bank is now supporting dozens of countries in their

adaptation programs, and many are drawing on disaster risk management expertise.

Social protection programs, which have grown hugely throughout the developing world over the past decade are also increasingly playing a key role in addressing the challenges of adaptation and disaster risk management. I witnessed this close-up after the 2004 tsunami in Aceh, when I was Country Director for the World Bank in Indonesia. A system of community-linked cash transfers, which had been established during the economic crisis six years earlier, and subsequently strengthened, became a central delivery mechanism in the rebuilding of communities, livelihoods and infrastructure in Aceh. This experience also showed that these systems can't be set up overnight. They need to be up and running and well-tuned so they can respond quickly when needed. Today, as part of the \$1 billion Pilot Program for Climate Resilience, the World Bank and its Regional Bank partners are supporting countries like Bangladesh, Niger, and Tajikistan to use social protection in their long-term adaptation programs.

Progress is being made, but we have a way to go. As funds for climate adaptation rise, and the Green Fund is designed, it is vital that the role of social protection systems receives strong support. We hope that the findings presented here advance this dialogue and move us forward to a new and better way of doing business.

A handwritten signature in black ink, appearing to read 'Andrew Steer'.

Andrew Steer  
Special Envoy, Climate Change  
Sustainable Development Network  
World Bank

# Executive summary

## Background

In recent years, there has been growing awareness of the experience of greater integration in the spheres of social protection (SP), climate change adaptation (CCA) and disaster risk reduction (DRR). This has come about partly against a background of greater attention to shocks – that is, from climate change impacts, increased frequency of disasters, sudden yet enduring food price spikes – all of which have generated concern about the implications for the vulnerability of poor people and the need to strengthen people’s resilience. It has also come about partly as a result of the greater recognition of the contributions that SP, CCA and DRR can make

to sustainable development. To date, however, there remain few examples of such integration in practice. This matters because of increasing concerns that SP, CCA and DRR interventions will not work in the long run if they continue to be applied in isolation from each other. Moreover, there is much to gain from deepening integration between these three areas, in terms of reducing vulnerability and poverty even in the face of worsening climate impacts and/or natural hazards.

## Workshop objectives and key themes

To address this emerging agenda, the World Bank, the UK’s Department for International Development, the





Institute of Development Studies, and the UN Economic Commission for Africa (UNECA) convened an international workshop in Addis Ababa (Ethiopia) on “Making Social Protection Work for Pro-poor Disaster Risk Reduction and Climate Change Adaptation”. Bringing together policy makers, practitioners and researchers from the fields of social protection, climate change adaptation and disaster risk reduction, the workshop had two core objectives:

1. To understand better how social protection can be used to strengthen the poor’s resilience to climate and natural disaster risk in developing countries
2. To create a forum for cross-regional learning about good practice for realizing the potential synergies between social protection, disaster risk reduction, and climate change adaptation

To further these objectives, the workshop was organized around four core themes:

1. Creating an enabling environment for cross-sectoral implementation
2. Improving decision making and facilitating knowledge exchange and learning
3. Planning, implementing and evaluating in the context of uncertainty
4. Improving targeting and delivery.

#### Key messages

From the keynote addresses, the working groups that convened around the core themes, and the plenary sessions that invited participants to share and reflect collectively, a number of key messages emerged around

*Continues over page* ➔



integrating social protection, climate change adaptation and disaster risk reduction.

***Integration is a big part of the way forward:*** Integrating social protection, disaster risk reduction, and climate change adaptation more comprehensively may not be easy, but it clearly makes sense. These three communities of practice are all linked by a shared focus on the vulnerability of populations to a variety of shocks and stresses, and the insights they can gain collectively promise to be more effective at reducing vulnerability than working in isolation. The representatives of government, civil society and research communities that were present at the workshop all committed in different ways to deepening the integration between social protection, climate change adaptation and disaster risk reduction with the hope that this can strengthen people's resilience to shocks.

***Breaking out of silos:*** The three domains (social protection, climate change adaptation, and disaster risk reduction) have so far evolved in parallel and have therefore missed substantial opportunities to build upon the potential synergy that can be created between them. Cross-disciplinary and joint planning, implementation and learning are key aspects to breaking out of these silo effects.

***Recognizing where integration is already occurring and learning from it:*** There is a growing body of operational pilots and national-level programs moving toward the operational integration of SP, CCA and DRR. While not yet reflected widely in published literature, they confirm the existence of an empirical rich knowledge among experts, policy makers/analysts and practitioners on the ways to integrate SP, CCA and DRR.

***Not reinventing the wheel:*** Integrating social protection, disaster risk reduction and climate change adaptation is not about finding a wholly new system, but is about sharing knowledge and bringing flexibility into the design of existing programs. What is needed, therefore, is to draw on existing institutional arrangements and use those institutional mechanisms that have been developed over years to build flexibility into programs.

***Bringing a human-centered approach:*** In order to be effective, greater integration would have to engage more fully with the perspectives, priorities and capacities of

poor people. There was a clear sense during the workshop discussion that not enough attention had been paid so far to community-based approaches to facilitate the integration between SP, CCA and DRR. Instead, the frameworks used to conceptualize, plan, implement or evaluate interventions have thus far been too "program-centered." The use of local community risk assessments and participatory planning were both seen as useful to address these concerns.

### **Challenges and constraints**

Whilst enthusiasm for integration was very much in evidence, there was a pragmatic awareness of elemental issues that need to be addressed in order to move the agenda forward.

***Making progress within SP, CCA and DRR:*** Much progress still needs to be made *within* each of these domains, where too many questions remain only partially answered and implementation challenges remain unaddressed. Each of these domains is going through rapid and important internal evolution (mainly for the better) in terms of understanding how to better address and reduce the underlying, structural factors of people's vulnerability. But there is still work to do.

***Potential trade-offs:*** As pointed out by one participant during the working group session on targeting: "We are always reminded about what we can gain, but what about what we could lose, what about necessary trade-offs?" This is an area which requires further reflection, but an example could be negotiating the potential trade-off between a longer-term policy intervention, in line with adaptation thinking, with the more immediate imperatives that disaster risk reduction must address. Other potential trade-offs could result if SP, CCA and DRR practitioners find themselves in competition for limited resources.

***Coordination and capacity:*** There remain significant differences in the language and jargon deployed between SP, CCA and DRR. Disparities in international or even national coordinating bodies, and incoherence of, or competition between, funding mechanisms, are also in evidence. This lack of coordination, which is observed not only at program or project but also at the policy level, is exacerbated by the lack of capacity that affects most developing countries' governmental or non-governmental institutions.

**Overload:** Related to the lack of capacity is the danger of overloading existing programs. By integrating CCA into existing DRR programs, or accounting for potential DRR or CCA risks in ongoing SP programs without at the same time enhancing the human, financial, institutional, and organizational capacities and resources of the implementing agencies, countries are likely to overburden those programs and eventually affect their abilities to deliver benefits to their initial target groups.

#### Next steps

At the workshop, a series of immediate, actionable next steps were proposed.

1. **A virtual network to continue the learning:** This network could take the form of an e-mail list or an e-learning group, to be hosted either at the World Bank or at the Institute of Development Studies. This would permit participants to establish themselves as a core network of practice on integrating social protection, climate change adaptation and disaster risk reduction. International and/or national media could also be used to broaden the dissemination and sharing.
2. **Follow-up events with a specific focus and/or audience:** Country specific events could be organized with broader actors and sectors, including civil society organizations, governmental and non-governmental organizations and academia. The African Development Bank should also be more systematically involved in these events. Another conference in three years' time to review progress would be useful. Other possibilities for follow-up activities include the organization of exchange visits between countries (for example, India and Ethiopia); the establishment of national-level SP working groups to discuss how to incorporate DRR/CCA into policies, programs and projects; and establishment of an international network of practitioners on three thematic areas to discuss and design a strategy of integration and to assist individual countries to integrate DRR/CCA with SP.

3. **Further collaboration at country level:** This collaboration could feasibly revolve around identifying cases of integration that are already taking place, and providing support to take this agenda forward practically. Focus could be on developing evidence-based strategies to achieve goals, verification methods and timing for implementation. A working group on how to synthesize and develop M&E approaches – to encourage common baselines, datasets and evaluative/analysis methods – could be established. Country level guidelines for practitioners could be formulated, along with support to develop capacity for integration of the three communities using a bottom-up approach.

“Climate change, disaster risk management and social protection create a real nexus of crucial issues”

4. **Collaboration on research and collective thinking:** Of particular importance would be the development of indicators of resilience across the three domains. There is also an increasing interest in impact evaluation, with a specific role for behavioral/experimental economics. Research on “Low Carbon Social Protection”, analysis of institutional decision making related to Adaptive Social Protection, and where and on what terms the new sources of climate finance, such as the Green Fund can be used in relation to social protection, should be systematically explored. Another useful activity might be to analyze and document more thoroughly the story of the (lack of) collaboration between SP, CCA and DRR thus far, as an attempt to move us away from the current silo-specific approach that has been characterizing the discussion so far. In that context further development of the games used during the workshop could be envisaged so they can become an “off the shelf tool” for future SP, CCA and DRR events by the World Bank and partners.

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Corn is a Kenyan staple, even though other crops better resist climate impacts



Women laborers enrolled in a workfare program, India



# Introduction

Global shocks and crises, such as the Food-Fuel-Financial (3F) crisis that affected the world in 2008–09, as well as more localized shocks (floods, droughts, hurricanes) that impact poor communities, are changing and deepening the risks already faced by poor and vulnerable people in developing countries. This has profound implications for the food security of those populations, their livelihoods and well-being. To date, efforts to lessen the impacts of these shocks and stresses have largely relied on interventions derived from three different domains: social protection, disaster risk reduction and climate change adaptation.

The concept of Social Protection (SP) has expanded in recent years from a relatively narrow focus on safety nets in the 1980s and 1990s to present-day definitions that involve mechanisms designed to combat longer-term structural poverty as well as interventions to reduce the impact of short-term shocks (Barrientos et al. 2005). Social protection (SP) includes a large range of initiatives that transfer income or assets to the poor, protect the vulnerable against livelihood risks, and enhance the social status and rights of the marginalized (Devereux and Sabates-Wheeler 2004).

The concept of disaster risk reduction (DRR) involves practices and interventions aimed at reducing disaster risks through systematic efforts to analyze and manage the causal factors of disasters, through reduced exposure to hazards, lower levels of vulnerability of people and

property to hazard impacts, wise management of land and the environment, and improved preparedness for adverse events (UNISDR 2009a). As such it has moved beyond ex post humanitarian relief and rehabilitation activities, and now puts increasing emphasis on ex ante interventions aimed at preventing disasters and reducing vulnerability to hazards.

Climate change adaptation (CCA) refers to adjustments in individual, group and institutional behavior in order to reduce society's

vulnerabilities to climate. As the impacts of climate change have become better understood, climate change adaptation has grown from a minor environmental concern to a major challenge for human development (Pielke 1998; Adger et al. 2002; IPCC 2007).

All three approaches (SP, CCA and DRR) are therefore linked by a fundamental concern with reducing vulnerability and building resilience – be it to poverty, disasters or changes in average climate conditions – across a range of timescales, from the short to the longer term. They also share similar characteristics from which to build common ground, including an increasing focus on the political, social and institutional dimensions of vulnerability in addition to the technical and ecological aspects.

“SP, CCA and DRR are concerned with reducing vulnerability and building resilience”

To date, however, despite ongoing efforts to link DRR and CCA communities, there has been little cross-fertilization with social protection policies and practices. This situation matters, because there are increasing concerns that social protection, disaster risk reduction and climate change adaptation will not be sufficient in the long run if they continue to be applied in isolation from one another (Bayer 2008; Bockel et al. 2009; Heltberg et al. 2009; Shepherd 2008).

In March 2011, the World Bank, in collaboration with the Institute of Development Studies, the UK Department for International Development and UNECA, convened an international workshop in Addis Ababa (Ethiopia)

“One hundred and twenty policy makers and practitioners from 20 countries participated in the event”

on “Making Social Protection Work for Pro-poor Disaster Risk Reduction and Climate Change Adaptation”. The workshop reflected the mutual interest that these organizations – and an increasing number of others – share in the promise of integrating social protection, disaster risk reduction and climate change adaptation approaches. It was aimed essentially at policy makers and

practitioners. One hundred and twenty policy makers and practitioners from 20 countries participated in the event.

The objectives of the workshop were to *enhance understanding of policy makers and practitioners on how social protection can be used for climate risk management in developing countries that empowers the poor to build resilient communities and livelihoods; and to create a forum for cross-regional learning about good practices in realizing the potential synergies among social protection, disaster risk reduction, and climate change adaptation.*

The workshop was expected to generate:

- An increased awareness among policy makers and practitioners of the connections between social protection, disaster risk reduction and climate change adaptation, and the potential to create synergies between them;

- An improved understanding of the constraints and challenges currently faced by policy makers and practitioners in combining social protection, disaster risk reduction and climate change adaptation policy and interventions, and the identification of potential lessons and solutions; and,
- A summary of those lessons as a way forward to use social protection interventions to help poor and vulnerable people manage risk and adapt to climate variability and change in developing countries.

The workshop’s geographical focus was South Asia and East Africa, although projects and initiatives from other regions of the world were also featured. Both urban and rural areas were considered.

The 3.5-day workshop was structured in a carefully balanced series of plenary, panels and working group sessions in order to maximize exchange of lessons and good practice between practitioners and policy makers. A large part of the time was organized around group working sessions. To articulate these working groups, four themes that reflect common issues in relation to the implementation of social protection, disaster risk reduction and climate change adaptation policies and interventions were introduced:

1. Creating an enabling environment for cross-sectoral implementation;
2. Improving decision making and facilitating knowledge exchange and learning;
3. Planning, implementing and evaluating in the context of uncertainty; and,
4. Improving targeting and delivery.

In addition, a one-day field trip was organized on the second day of the workshop in order to offer the opportunity for the participants to visit one of four field sites near Addis Ababa that showcase social protection approaches and demonstrate various types of risk and the application of risk management approaches (see Appendix 3 for site details). Participants were thus able to consider the risk management strategies in place, and proposed ways in which elements from the fields of social protection, disaster risk reduction, and climate change adaptation could then be combined to better strengthen the resilience of the poor. The field visits were organized by the World Bank’s Addis Ababa office,



Scott Wallace/World Bank

Rice farmer in central Bangladesh

and the Government of Ethiopia's Productive Safety Net Programme and Household Asset Building Programme. Observations from the field visits were then included in the session discussions.

This report is structured as follows. The next chapter (2) introduces the conceptual and practical issues underlying the workshop. It raises in particular the question, "why attempt to integrate these three domains?" The chapter also presents briefly some experiences and programs currently implemented in developing countries that aim to bring together SP, CCA and DRR. The following chapter (3) reports in detail the content of the discussions that took place in the four working group sessions. For each group, the synthesis is organized around two main priorities: challenges and lessons, thus reflecting partially the structure that was used during the working group sessions. The final chapter (4) summarizes the discussions that took

place during the last panel and plenary sessions of the workshop. These show that workshop participants recognized the importance of SP, CCA and DRR practitioners and policy makers working closer, and of reducing the current silos approach that characterizes the three domains. However, participants also insisted that caution should be taken when integrating SP, CCA and DRR as this integration process could generate negative outcomes that could outweigh the benefits. The workshop agenda, list of participants, and the description of the field visit sites are included in appendices.



Family whose home floods every year, creating hazardous conditions, Colombia



# Framing the issue

*The proposition of this conference is that these three [domains] must talk to each other, perform together, sing together, and be part of a common process. And yet for the most part these three have lived in their own silos: adaptation in ministries of the environment, disaster risk management in ministries of public works or the interior and social protection in ministries of social affairs. – Andrew Steer*

## 2.1. Overview of the current discussion

As recalled by Robin Mearns in the keynote he delivered as an introduction to this workshop, review of the recent literature reveals that a growing agenda is currently emerging around stronger integration of SP, CCA and DRR. The Stern Review (Stern 2006), for instance, called for strong action on climate change and for integrating this into development thinking more broadly, not least because of the probable increases in the frequency and intensity of natural disasters resulting from climate change. The 2007/8 UN Human Development Report (HDR) made a similar point, recommending that climate change adaptation should be at the heart of the “post-2012 Kyoto framework and international partnerships for poverty reduction” (UNDP 2008, 30). The HDR also argued that it would be critical to “expand multilateral provisions for responding to climate-related humanitarian emergencies and supporting post-disaster recovery” (ibid.). Stern later went on to single out social protection as a key component of climate change adaptation and called for integrating “climate risk, and the additional resources required to tackle it, into planning and budgeting for and delivering these development goals” (2009, 37).

In the same year the HDR was released, the World Bank also published a review of the role of major cash transfers in its various post-natural disaster interventions implemented in Turkey, Sri Lanka, the Maldives and Pakistan (Heltberg 2007). It followed this up with a report on the contributions that social policy interventions – such as health, education, community-driven development and in particular social protection interventions – can make to adaptation, and to reducing vulnerability to extreme climate impacts at the household level (Heltberg et al. 2009). Contributing to the growing body of literature, the Swedish Government’s Commission for Climate Change and Development commissioned a briefing paper on social protection and climate change adaptation (Davies et al. 2008).

More recently, Mearns and Norton (2010) have put these considerations into a broader climate change context by advocating the need to bring the social dimensions of climate change center-stage. They argue in favor of addressing the issues of equity and social justice which underpin vulnerability, whether these are climate change impacts or poverty more broadly. Building on the



School gardening program, Kenya

argument that reducing vulnerability to disasters must be a central part of adaptation, Heltberg et al. (2009) argue that social policies have a key role to play in this respect. They highlight in particular the following options:

- Social funds for community-based adaptation;
- Social safety nets for coping with natural disasters and shocks;
- Livelihoods programs which help people retain or rebuild assets bases from which they derive their capacity to generate income;
- Microfinance as an “underserved area” that helps poor people manage risk and smooth consumption; and,
- Weather-based index insurance which can cover the risks of potentially income-generating experiments in

cultivation (even though it is no “panacea”) (Heltberg et al. 2009, 266–72)

“The challenge of resilience is the challenge of measuring against a shifting and uncertain baseline”

To these calls they add another critical consideration, namely that of adapting at many different levels, such that household adaptations are supported by international action that supports social justice and shares the burden of addressing climate change globally. The issue of

scale is at the heart of robust and enduring responses to addressing the underlying vulnerabilities which leave hundreds of millions of poor people at risk to climate

change impacts and chronic poverty (see Mearns and Norton 2010).

Other international development organizations, such as the World Food Programme, the Food and Agriculture Organization and the UN Children’s Fund (UNICEF), have begun to examine linkages between social protection and climate change in a more detailed national context. For example, UNICEF recently released a scoping study of linkages and synergies between climate change and social protection in Cambodia (Stirbu 2010).

## 2.2. The rationale for linking SP, CCA and DRR

As pointed out by Lawrence Haddad and Robin Mearns in their respective introductory addresses, despite operating in different domains, social protection, disaster risk reduction and climate change adaptation all aim to reduce the impacts of shocks on individuals and communities by strengthening household and society resilience, anticipating risks and uncertainties and addressing vulnerabilities. There is also a concern in all three domains, not just with vulnerability to shocks and stresses per se, but with differential impacts on different population groups. This point was also emphasized by Robert Chase in the introductory keynote he gave to this workshop, in the specific context of Ethiopia. Vulnerability varies between men and women (Masika 2002), adults, the elderly and children (Bartlett 2008), the chronic and transient poor (Hulme and Shepherd 2003) urban and rural dwellers (Mitlin and Satterthwaite 2004), to name just a few of the more important distinctions to draw.

In addition to the common objective of vulnerability reduction, the three domains are also increasingly characterized by a concern with the importance of longer-term, proactive interventions. Climate change and disaster risk reduction, for instance, stress the need to increase resilience of livelihoods to both sudden and slow onset climate hazards. Likewise, the relatively new emphasis in disaster risk reduction placed on anticipating, preparing for and preventing adverse impacts from natural hazards is in line with adaptation perspectives. Adaptation is often distinguished from “coping” (see Osbahr et al. 2008), because of its focus on anticipatory,

longer-term action, in the same way that disaster risk reduction should be distinguished from reactive, disaster response interventions. At the same time, there is a longstanding view that humanitarian and longer-term development intervention need to work better together.

Social protection – and in particular its promotive and transformative components (see box 1) – provides a potential bridge to the humanitarian-development divide and also to link disaster risk reduction and climate change adaptation (table 1). This is because it comprises a discrete set of interventions which can reduce vulnerability to poverty and to climate hazards across a range of timescales.


## Box 1 The four dimensions of social protection

Social protection can be understood in terms of four key categories of objectives. Those are:

- Protective measures, which provide relief from deprivation;
- Preventive measures, designed to prevent deprivation;
- Promotive measures, aimed at enhancing income and capabilities; and
- Transformative measures, which seek to address concerns of social justice and exclusion.

Source: Devereux and Sabates Wheeler (2004)

**Table 1. Promoting climate change adaptation and disaster risk reduction through social protection**

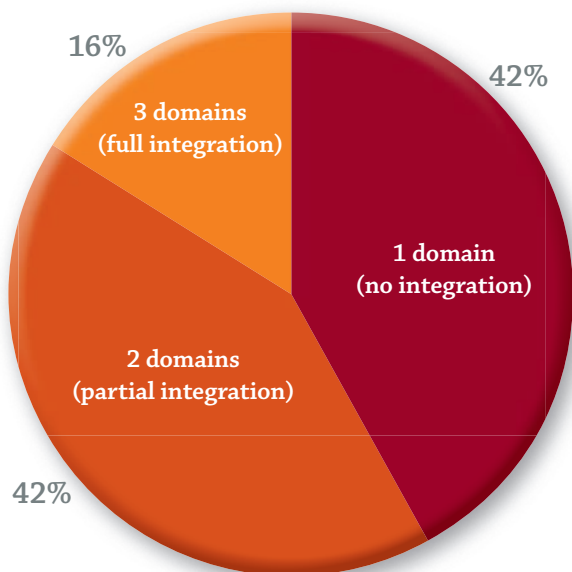
Time frame	SP category	SP instruments	CCA and DRR benefits
Short-term 	Protective (coping strategies)	<ul style="list-style-type: none"> <li>• Social service protection</li> <li>• Basic social transfers (food/cash)</li> <li>• Pension schemes</li> <li>• Public works programs</li> </ul>	<ul style="list-style-type: none"> <li>• Protection of those most vulnerable to climate risks, with low levels of adaptive capacity</li> </ul>
	Preventive (coping strategies)	<ul style="list-style-type: none"> <li>• Social transfers</li> <li>• Livelihood diversification</li> <li>• Weather-indexed crop insurance</li> </ul>	<ul style="list-style-type: none"> <li>• Prevents damaging coping strategies as a result of risks to weather-dependent livelihoods</li> </ul>
	Promotive building adaptive capacity)	<ul style="list-style-type: none"> <li>• Social transfers</li> <li>• Access to credit</li> <li>• Asset transfers/protection</li> <li>• Starter packs (drought/flood resistant)</li> <li>• Access to common property resources</li> <li>• Public works programs</li> </ul>	<ul style="list-style-type: none"> <li>• Promotes resilience through livelihood diversification and security to withstand climate related shocks</li> <li>• Promotes opportunities arising from climate change</li> </ul>
	Transformative (building adaptive capacity)	<ul style="list-style-type: none"> <li>• Promotion of minority rights</li> <li>• Anti-discrimination campaigns</li> <li>• Social funds</li> </ul>	<ul style="list-style-type: none"> <li>• Transforms social relations to combat discrimination underlying social and political vulnerability</li> </ul>
Long-term			

Source: Adapted from Davies et al. 2009

### 2.3. The consequences of working in silos

It is easy to see why there is already considerable interest in linking SP, CCA and DRR. In fact the need to initiate this integration without further delay is well recognized. In practical terms, however, the extent to which this integration is taking place is less advanced. Arnall et al. (2010), for instance, analyzing 124 agricultural programs in five South Asian countries – Afghanistan, Bangladesh, India, Nepal and Pakistan – found that 42 percent of these programs include interventions that integrate two domains, and only 16 percent present objectives that integrate the three domains (figure 1).

**Figure 1. Degrees of integration between SP, CCA and DRR in 124 programs in South Asia**



Source: Adapted from Arnall et al. 2010.

Arnall's analysis confirms what Andrew Steer pointed out in his address to the conference: that practitioners and policy makers from the three domains have not yet managed to coordinate effectively among themselves and that they are still mainly working in silos (see table 2 for a brief breakdown of each silo). Several potential explanations for this situation can be brought forward.

First, in most countries, SP, CCA and DRR typically have separate institutional "homes", often ministries of Environment for CCA, the Ministry of "Social Affairs" for SP, and ministries of the Interior or civil protection

agencies for DRR, each with their own inter-sectoral coordination groups, each with their own channels of funding, and each with separate entry points in different international agreements (for example, UNFCCC for CCA or Hyogo Framework for Action for DRR). This background impedes good communication and contributes to an environment where each domain "talks" to itself and little collaboration emerges between the three domains.

Another important impediment to the integration of SP, CCA and DRR is financing. As explained by Lawrence Haddad in his presentation, financial barriers relate both to the insufficiency of funds and to the nature of the funds available, which are identified as inappropriate for the required cross-sectoral, multilevel and flexible framework. While political momentum exists to create new institutional systems, lack of dedicated resources from national budgets (and of trained personnel to implement plans) hampers the operation of such systems. Countries with strong DRR mechanisms and political commitment toward integrated efforts highlight the lack of financial support, appropriate processes, frameworks and program guidelines for integration of DRR in CCA at policy levels and lack of capacity on climate risk management as the main drawbacks for convergence.

Timescales are another important issue. Although all three domains recognize the necessity to go beyond short-term interventions, there is not yet a complete convergence between social protection, disaster risk reduction and climate change adaptation in terms of timescale. Arguably the focus in disaster risk reduction is on the relatively short term compared to adaptation, which by many definitions is preoccupied with longer-term time frames. This is potentially challenging. As the World Bank's World Development Report 2010 points out, "Climate change policies require tradeoffs between short-term actions and long-term benefits, between individual choices and global consequences" (World Bank 2010, 52). Longer-term well-being may require shorter-term sacrifices, and it would be useful to have greater clarity on the implications of this for integrating activities with sometimes markedly different activities which focus on, and play out across, markedly different timescales.

**Table 2.** Key characteristics of social protection, adaptation and DRR

	Social protection	Adaptation	DRR
<b>Core disciplinary grounding</b>	Development & welfare economics	Environment and physical sciences, more recently from social sciences	Physical sciences and engineering, increasingly more from social sciences
<b>Dominant focus</b>	Implementation of measures to manage risk	Enabling processes of adaptation	Prevention of disaster events and preparedness to respond
<b>Main shocks and stresses addressed</b>	Multiple – idiosyncratic and covariant	Climate-related	All natural hazard-related, including hydro meteorological, biological and geophysical
<b>International coordination</b>	Informal, OECD task group	UNFCCC – Nairobi work program	UNISDR Hyogo Framework for Action
<b>Main funding</b>	<i>Ad hoc</i> multilateral and bilateral, NGOs, national community- and faith-based organizations	Coordinated international funds: Global Environment Facility, UNFCCC/Kyoto funds, Fast-start finance, <i>Ad hoc</i> bilateral	Coordinated international funding; multilateral and bilateral, UNISDR, GFDRR, UNDP, Red Cross/Red Crescent, <i>ad hoc</i> civil sponsored, bilateral

Source: Adapted from Davies et al. 2008.

The consequences of this lack of effective collaboration are multiple. As discussed by Lawrence Haddad in his keynote, these include duplication of efforts, administrative inefficiencies, or even competition among various groups, which could not only hamper their respective efforts, but possibly compromise the overall effective use of resources.

At a more technical level as well, there are risks that non-collaboration leads to some counterproductive effects. For instance, the rapid expansion of climate change-related efforts may waste time and risk reinventing older approaches if they neglect learning from the experiences, methods and tools developed for DRR. On the other hand, efforts on DRR that do not take account of the impacts of climate change on the frequency and magnitude of hazards, exposure and vulnerability may not only fail to achieve their objectives, but may even increase vulnerability, for instance when flood defenses provide a false sense of security, but will fail to provide lasting protection against rising flood risk triggered by long-term climate changes.

## 2.4. Concrete examples of integration between SP, CCA and DRR

While difficulties and challenges are numerous (see section 2.3), it is also important to recognize the emerging body of operational pilots and national-level programs that is moving toward the operational integration of SP, CCA and DRR. While not yet reflected widely in published literature, they confirm the existence of rich empirical knowledge among experts, policy makers/analysts and practitioners on the ways to integrate SP, CCA and DRR. This point was highlighted by Robin Mearns in his presentation when he talked about the “important pool of ‘tacit’ knowledge existing among practitioners.” Some of those current initiatives are reviewed below.

### 2.4.1. Disaster risk reduction and climate change adaptation

Several countries have initiated DRR-CCA links in policy and institutional terms and there are some signs of convergence. In the Philippines, the government enacted new legislation, called the Climate Change Act of 2009,

which integrates disaster risk reduction measures into climate change adaptation plans, development and poverty reduction programs. Disaster risk reduction is embedded into the institutional framework for the national and local climate change policy. Under this new Act, a Climate Change Commission has been created as the governmental policy-making body in charge of questions related to climate change. Its primary function is to ensure the mainstreaming of climate change, in synergy with disaster risk reduction, into national, sectoral and local development plans and programs. The Act also gives local governments the primary responsibility for planning and implementing local climate change action plans, which will be consistent with national frameworks (UNISDR 2009b).

In Malawi, DRR components have been mainstreamed in the environmental management policies in the country with the objective of reducing underlying risk factors. DRR has also been mainstreamed into the National Adaptation Program of Action (NAPA) in which DRR activities have been prioritized for implementation to reduce the vulnerability of communities.

In Samoa, the government has undertaken a cross-sectoral approach that has facilitated coordination of disaster risk management and climate change adaptation.

In its nationwide disaster management planning, Samoa has strategically addressed risk reduction and adaptation as complementary issues that are addressed together at both national and community levels. The NAPA shares implementation priorities and activities with the National Disaster Management Plan and both policy areas – disaster risk management and climate change adaptation – reside in the same Ministry of Environment and Natural Resources (UNISDR 2009b).

In the Maldives, the government has recently initiated a process to develop a Strategic National Action Plan (SNAP) on disaster risk reduction and climate change adaptation. It aims to promote collaboration among policy makers, experts and practitioners of disaster risk reduction and climate change adaptation in order to develop a comprehensive risk management approach. Stocktaking of existing programs and multi-sectoral consultations with local governments has been conducted to assess the gaps and challenges. In addition to supporting the development of the SNAP, the Maldives government has committed to conduct a partners' forum on translating the plan to action and to host a leaders' forum to place the issue of DRR and CCA at the top of the global agenda (The Republic of the Maldives 2009).

Edwin Huffman/World Bank



Rice field preparation, Philippines

A number of these efforts not only involve government entities, but also engage civil society. In Vietnam for instance, World Vision and its local partners have focused on the preparation of Disaster Risk Management Plans at community level, along with the promotion of diversified income sources to minimize the livelihood impact of losing crops or fishing equipment in extreme weather events. This has been done through provision of loans and revolving funds provided to the communities and managed by the Vietnam Women's Union in cooperation with World Vision Vietnam (World Vision 2009).

In northwestern Kenya, Oxfam undertook a cash-for-food pilot program. The pilots targeted up to 10,000 people with timely and predictable cash transfers each month for between six and nine months. The work focused on infrastructure projects, which were identified by the community and were both labor-intensive and technically sound. These projects also contributed to reducing vulnerability – for example, by maintaining water sources. Those who could not work, such as elderly people, were provided direct assistance. The cash was provided alongside emergency food relief (when available), which ensured that the cash was used to support livelihoods development rather than all being spent on food (Oxfam 2009).

#### **2.4.2. Social protection and disaster risk reduction**

Initiatives combining Social Protection and Disaster Risk Reduction are comparatively more common, partly reflecting the strong tradition of using safety nets as DRR mechanisms. In South Asia for instance, the Institute for Social and Environmental Transition (ISET) project “From Risk to Resilience” is addressing social vulnerability as part of a proactive disaster risk management strategy to meet the needs of vulnerable people across South Asia. ISET is using a similar approach in the “Adaptive Strategies for Responding to Drought and Flood” project in India and Nepal that assesses economic linkages of households and communities as well as physical and natural assets, and surveys the adaptive capacity of those communities. Bangladesh's flagship DRR program, the “Comprehensive Disaster Management Program” (CDMP), also adopts multiple interventions to address both the immediate and underlying causes of vulnerability to disasters (CDMP 2008). All of these projects have strong transformational elements to them, as opposed to the more common preventive and promotional aspects.

### **Box 2 The Mander Triangle program**

The USAID-funded “Enhanced Livelihoods in the Mander Triangle” (ELMT) program is led by a consortium of INGOs in Ethiopia, Kenya, and Somalia, and works closely with more than 20 local partners. Its goal is to increase the self-reliance and resiliency of the target population through improved livelihoods in drought-prone pastoral areas. It expects to achieve this through six main objectives:

1. Protection of livestock-based livelihoods in the event of an emergency;
2. Enhancement of livelihoods through improved livestock production, health, and marketing;
3. Enhancement of natural resource management;
4. Enhancement of livelihoods by strengthened alternatives in complementary livelihood strategies;
5. Strengthening capacity of customary institutions in peace-building, civil governance and conflict mitigation;
6. Providing pastoralists with a “voice” in dryland policy formulation and strengthening of implementation at all levels.

*Source:* USAID 2010.

In East Africa, the combination of DRR and SP impacts is often found in programs designed specifically for pastoral regions. Due to the nature of pastoral livelihoods and the geographic and climatic features of arid and semi-arid areas, pastoral populations are some of the most vulnerable groups in the region. In that context, the Enhanced Livelihoods in the Mander Triangle (ELMT) is one example of these programs incorporating SP and DRR (box 2).

A sub-program of the ELMT program is the “Pastoral Livelihoods Initiative” (PLI) in Ethiopia. General activities by PLI to support pastoral communities include the development and strengthening of cereal banks. Cereal banks both provide grain at critical times, and are self-sustaining as they make money from purchasing lower-cost grains from the highlands. These activities particularly benefit women and women-headed households who receive business skills training for managing the grain reserves. The training of voluntary, community-based animal health workers that provide

services free to users allows the poor to access necessary livelihoods support services, promotes healthy and sustainable livelihoods, and protects animals and livelihoods from destruction when shocks hit (USAID at <http://www.elmt-relpa.org/aesito/elmt>).

### 2.4.3. Programs integrating SP-CCA-DRR approaches

Initiatives that aim to integrate SP, CCA and DRR are emerging. In Malawi, CARE International through the “Drought Mitigation through Irrigation and Conservation Agriculture Extension” (DICE) program is working with vulnerable communities on the southwestern shore escarpment of Lake Malawi to mitigate the impact of drought and flooding, and prevent crop failures through the promotion of small-scale, sustainable and replicable irrigation systems. Greater access to water combined with improved land conservation practices will help mitigate the effects of flooding. DICE offers, therefore, potential impacts in all three domains (SP, CCA and DRR) in that it



Francis Dobbs/World Bank

Fishing villages on the shores of Lake Malawi

targets the most marginalized and vulnerable households with inputs and improvements that reduce their risk in the face of disaster and shock with a potentially long-term solution, providing possible adaptation solutions (CARE 2009).

## Box 3 Rwanda's Vision 2020 Umurenge Program (VUP)

Vision 2020 Umurenge Program (VUP) is an SP program in Rwanda managed and implemented by the Ministry of Local Government (MINALOC). The goal of VUP is to help reduce extreme poverty. Implementation began in 2008 with cash transfers for public works to extremely poor households. As of mid-2011, VUP is active in the four poorest sectors in all 30 districts (120 sectors in all), and there are plans to expand coverage year-by-year (there are 416 sectors in Rwanda).

Targeting of beneficiaries is done by classifying households using a community-based system called *Ubedehe*. Periodically, *Ubedehe* information for each sector is recorded as social maps, which are hand-drawn community maps that indicate where different types of households are located. MINALOC recently conducted a national *Ubedehe* exercise to categorize households as part of a community-based management information system (MIS).

There are three types of VUP benefits: a) direct support payments to the poorest households without able-bodied members; b) public works for poor households with an able-bodied member; and c) access to (subsidized) credit (and other financial services). VUP-funded public works projects are dominated by

anti-erosive ditches and radical terracing of hillsides, which explicitly aim at environmental protection. Such public works have clear disaster risk reduction/food security and climate change adaptation impacts as they reduce the exposure to natural hazards (for example, droughts and floods), improve soil productivity, and also expand the amount of cultivatable land. As such, social protection public works can reduce vulnerability and build resilience and increase incomes and food security in a virtuous cycle that links social protection with disaster risk reduction/food security and climate change adaptation. VUP beneficiaries are expected to “graduate” from the program over time on a sustainable basis.

For the fiscal year 2011/12, VUP has requested budget for: a) establishment of a “Risk Management Fund” which will make additional funds available for VUP sectors that face major hazards; and b) sector level budgets for direct support and public works based on the poverty and vulnerability profiles of the respective sectors. The fund is small, about 2 percent of the VUP budget, but it enables the risk management scheme to be piloted.

Source: Siegel et al. 2011.



## Box 4 Ethiopian Productive Safety Net Programme (PSNP)

For the last two decades, Ethiopia has relied on emergency food-based interventions to meet national food deficits. However, such interventions were rendered ineffective due to recurrent droughts, which resulted in a gradual deterioration of rural households' food security status. As a response, proactive social protection measures were introduced to try to break the cycle of hunger and food-based emergency assistance. In particular the Government of Ethiopia and a joint donor group initiated the Productive Safety Net Programme (PSNP) in 2005. The program is designed to address the needs of food insecure households through multi-year predictable resource transfers rather than emergency humanitarian aid. It aims to provide transfers to the food insecure population in chronically food-insecure districts in a way that prevents asset depletion at the household level and creates assets at the community level.

The PSNP has two components: labor intensive public works and direct support. Those households who have able-bodied adults participate in public works to enhance community assets, such as building schools, health posts, and roads before receiving the transfers. Households who are labor poor (the aged, disabled, chronically ill, etc.) are exempted from public works requirements and are entitled to receive direct transfers either in the form of food or cash. Currently, the majority of the beneficiaries of the program (86.1 percent) are public works participants. The PSNP is now the largest social protection scheme in sub-Saharan Africa (outside South Africa) with at least 7.2 million participants, accounting for more than 11 percent of Ethiopia's population and covering at least 262 of the total 500 *Woredas* or districts in the country.

In addition to its direct effect on food security, the PSNP is now recognized for generating indirect effects. These indirect effects largely hinge on the regular and predictable nature of the cash transfers, resulting in increased consumption levels, enhanced risk management, and increased investment in agriculture. Fifteen percent of

PSNP participants, for instance, use their transfers to invest in farming, and purchase livestock.

An innovative feature of PSNP is its flexibility. Households can choose whether to receive transfers in the form of cash or food. Although this calls for more sophisticated institutional capacity, such flexibility has proved extremely helpful in responding to rapidly rising food prices, when more households opted to receive transfers in the form of food. The PSNP is also innovative in terms of promoting gender equity and women's empowerment, in that it provides flexible working hours for women and recognizes life-cycle vulnerabilities by offering women in labor-constrained households direct support (through cash or food transfers) instead of waged manual labor during pregnancy and nursing.

Source: Devereux et al. 2008; DFID 2009.

Woman involved in a food-for-work program, Ethiopia





Like many other countries in Africa, Rwanda is being increasingly affected by climate change-related events

Rwanda is another example of an African country where SP, CCA and DRR are becoming integrated – at least at policy level. In Rwanda the government has recently established its own social protection program entitled

“The participants enriched my understanding... and I invite you to Rwanda to see what we’re doing”

Justine Gatsinzi, Rwanda

“Vision 2020 Umurenge” (VUP) (box 3) that includes transfers, community infrastructure development, credit and training for small businesses, and support to labor-poor beneficiaries. In addition the National Social Protection Policy explicitly acknowledged the necessity to account for disaster and climate change impacts. Like Ethiopia and its Productive

Safety Net Programme (PSNP) (box 4), Rwanda has recognized that a holistic approach is necessary to achieve the goals of providing for the poorest while preparing for the future. There remain, of course, gaps in understanding and planning for the modified world that climate change may

bring about, but those emerging programs are the first steps toward this goal. Strategically, mainstreaming CCA and DRR throughout SP programming will help to ensure community and household asset building programs are doing this in stable and sustainable environments, ultimately increasing impact and efficacy.

There is also evidence of a wider policy environment that is conducive to greater integration of SP, CCA and DRR emerging in Asia, where a large number of organizations associated with social protection, disaster interventions and climate change adaptation provide high visibility to these approaches, and where recurrent climate-related disasters have resulted in efforts to increase effectiveness in vulnerability-reducing interventions. Some were reviewed and assessed in a systematic manner by Arnall et al. (2010). A more specific example from Mongolia is provided in Box 5. These various programs and policies demonstrate the great potential of such integration, and there has been increasing interest both in the donor and research communities to better document the different aspects of this integration process.

## Box 5 Climate risk management: the case of livestock in Mongolia

Livestock husbandry accounts for some 87 percent of agricultural GDP and employs some 40 percent of the agricultural workforce in Mongolia. Livestock's importance to rural livelihoods increased dramatically during the 1990s with the transition from collectivized farming to family-based herding. Between 1990 and 2000 the number of herding households increased from 75,000 to 190,000. Livestock provides rural households with an important but vulnerable source of income and food security, as Mongolian herders are subject to weather-related shocks, such as droughts, and severe winter-spring colds known as *dzuds*. For instance, between 1999 and 2002, a series of *dzuds* led to the loss of one-third of the national herd, seriously impacting farmers' livelihoods and the national economy. Levels of livestock mortality associated with *dzuds* have therefore major effects on rural poverty, and many of the households that had entered herding during the 1990s were stripped of their principal assets.

Climate-related losses can be grouped under different risk types. A first type is characterized by high frequency, low loss events. Such events are localized but occur in many parts of the country in virtually all years. The Sustainable Livelihoods Program (SLP) funded by the World Bank was designed to support activities that reduce losses related to this first type of risk. These rely on pastoral risk management implemented by local herder communities and local authorities and include: community-based natural resource management, land use and contingency reserve planning; financing of local public and club goods to improve preparedness for winter (for example, hay and fodder production and fodder storage); demonstration of new technologies to improve resilience; distance learning for herders on pasture management and herd management to improve winter preparation; and testing new institutional arrangements for pastoral risk management. In addition, livelihood diversification into less climate-sensitive income earning activities are facilitated through access to microfinance; short-term employment opportunities are created through community-managed public investments in small-scale infrastructure; and public investments in health, education and

transportation are provided to facilitate access to markets and increase employment opportunities.

The second type of climate-related losses is characterized by lower frequency, but stronger events. Livestock losses from such events are significant, occurring every seven to 10 years or so, and may be relatively localized or more widespread. These are not easily absorbed by herders. Additional tools required for risk transfer have therefore been developed. These include an index-based insurance that allows herders to transfer some risk to the private insurance market (between 6 percent and 30 percent of losses), backed by international reinsurance. The Index-Based Livestock Insurance (IBLI) Project has been successfully piloted since 2005 and is currently being scaled up to achieve nationwide coverage by 2012. Insurance payouts are based not on actual losses at the level of individual households, but on aggregate losses at the district level exceeding predetermined risk thresholds. Reaching smaller, more vulnerable herders remains a challenge. This can be tackled by facilitating marketing through herder groups, keeping premium rates low, and linking insurance with credit to make it more affordable to herders.

Finally, rare catastrophic events can occur. These, however, are "non-insurable" as losses are too high. These type of events would require direct targeted interventions supported by the government for catastrophe losses (30 percent mortality or higher). A combination of approaches may be required at this level, such as public catastrophe coverage and targeted social safety nets.

Other, complementary measures to increase climate resilience through the SLP also include support for an emerging policy framework, such as regulatory and other incentives to limit herd size to manageable levels. This requires collective action and joint responsibility for pasture management. Finally, the Government of Mongolia also needs to develop a comprehensive approach to climate risk management linked to adequate and structured financing, following the current approach.

Source: Belete 2007.



Laborers on their way to a food-for-work site, Ethiopia

# Workshop thematic group discussions

Despite the encouraging examples presented above, the review of the overall situation reveals that many other programs or policies have still not been systematically successful at integrating SP, CCA and DRR. There are a number of key issues at the practical level, which became the focus of the discussions in the Addis workshop. Four themes were selected, each one reflecting common challenges in relation to the implementation of social protection, disaster risk reduction or climate change adaptation initiatives. The four themes were:

1. Creating an enabling environment for cross-sectoral implementation
2. Improving decision making and facilitating knowledge exchange and learning
3. Planning, implementing and evaluating in the context of uncertainty
4. Improving targeting and delivery

The details of the discussions that took place in the four working groups where those themes were debated are presented below.

## 1. Creating an enabling environment for cross-sectoral implementation

The first theme, “Creating an enabling environment for cross-sectoral implementation”, emerged from the

recognition that policy and interventions targeting poor and vulnerable people in a changing climate require better interaction between the institutions responsible for social protection, disaster risk reduction and climate change

adaptation at national and sub-national (provincial and district) levels. The session was organized mostly around the “Farmers, Food and Financial Aid” game, developed by Pablo Suarez and Janot Mendler de Suarez, which allowed participants to experience through a simulation exercise the interplay of decisions made at different levels; the complexities and benefits of an integrated SP/CCA/DRR approach; and the challenge of decision making under uncertainty. Box 6 provides a fuller description of the rationale behind and the results of the exercise.

During the simulation game, participants were asked to identify the challenges, experiences and lessons most pertinent to integrating social protection, disaster risk reduction and climate change adaptation. These reflections are summarized in Table 3 (over the page) and discussed more expansively below.

“There are a number of key issues at the practical level, which became the focus of the discussions in the Addis workshop”

**Table 3.** Challenges, experiences and lessons relating to theme 1 as identified by participants from different institutions

Institution	Challenge	Experience	Lesson
World Food Programme	Synchronizing social protection (e.g. food or cash for work) with the resources (financial, technical) to ensure high quality disaster risk reduction or climate change adaptation	Designing a shelter and livelihoods recovery program with DRR integrated from the beginning	<ul style="list-style-type: none"> <li>• The combination of “tools” generates a better impact but requires a much more demanding coordination and partnership approach</li> <li>• Funding mechanisms can act as forces for coherence to break barriers</li> </ul>
Department for International Development (DFID), Bangladesh Country Office	Stopping the turf war between project implementers which happens in the guise of coordination. Each actor does their own assessments, wealth mapping, etc.	Community-based disaster risk management UNDP program in Bangladesh (CDMP)	<ul style="list-style-type: none"> <li>• Always involve the poor and recognize that your programs are just one other thing for people to consider in a changing environment of autonomous adaptation</li> </ul>
Ministry of Labor and Social Affairs, Federal Democratic Republic of Ethiopia (FDRE)	There is an inevitable challenge in social protection in that it is not affordable, it perpetuates dependency	We have established a forum consisting of 24 ministries and agencies to implement a national plan of action on poor elderly persons	<ul style="list-style-type: none"> <li>• Lesson from PSNP that poor people can be productive if they are supported financially and technically</li> </ul>
UNICEF Kenya	Getting different institutions to work together	Preparing messages for communities on how to deal with floods and flood-related disease outbreaks – getting different government agencies involved in the exercise	<ul style="list-style-type: none"> <li>• Do not assume anything. The most obvious linkages are not capitalized on</li> </ul>
DFID UK	Defining the differences – why and for whom?	Working across ministries to define SP and build understanding/common platform	<ul style="list-style-type: none"> <li>• Common understandings are key for strategy</li> </ul>
Department of Disaster Management Affairs, Government of the Republic of Malawi	Lack of policies that incorporate issues of SP, CCA and DRR	Sector working group on involving SP, CCA and DRR partners. The opportunities and interests are there	<ul style="list-style-type: none"> <li>• Need for advocacy to create political will from the policy movers</li> </ul>
Oxfam Ethiopia			<ul style="list-style-type: none"> <li>• Involve farmers in designing and evaluating development programs</li> <li>• Importance of bundling insurance credit</li> <li>• Microfinance institutions (farmers’ coops) and insurance companies</li> <li>• Sustainability</li> </ul>
EU Delegation to Ethiopia	When putting SP, CCA and DRR together, easier to define and understand CCA and DRR than SP; SP is much broader and complex and, more than the others, “context sensitive”	This workshop has limited participation of representatives from the different sectors from the same country	Avoid making working across sectors more complicated than it can be!

Institution	Challenge	Experience	Lesson
Ministry of Social Development, Federal Government of Mexico	Integrate objective and political interests	Having to move operational issues to planning decisions	Understanding tools to align incentives
World Bank	Implementation capacity at various levels – weak coordination among stakeholders – PSNP	PSNP <ul style="list-style-type: none"> <li>implemented through various levels – federal, regional, zonal – and by different ministries</li> <li>coordination in a donors’ funding program through one system – pooled funding; use of same system; M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>Political buy-in</li> <li>Country ownership, capacity building</li> <li>Start at large scale, not with a pilot</li> </ul>
Tearfund Ethiopia	Anchoring community managed DRR processes in community institutions	One community in southern Ethiopia identified their key vulnerabilities as being: lack of cooperation, poor saving habits, poor road access and dependence on chemical fertilizers	<ul style="list-style-type: none"> <li>Accountability for DRR at community level</li> </ul>
Tearfund Ethiopia	How to link local institutions’ SHGs (self-help groups) with the formal financial environment	SHGs provide ideal mechanisms/ approach to bring about holistic transformation – the key is in relationships	<ul style="list-style-type: none"> <li>Be careful not to get sucked back into a welfare/dependency mentality. Seek answers to the question, “why can they not do it for themselves”? Support learning to learn</li> </ul>
Environmental Protection Authority, FDRE	Very weak institutional collaboration	Preparation of a national climate change adaptation strategy	<ul style="list-style-type: none"> <li>Transparency is crucial for success</li> </ul>
World Bank	Providing concrete, simple and sustainable adaptation measures in drought-prone pastoral societies	Index-based livestock insurance in Mongolia – legal, financial, pastoral, weather	<ul style="list-style-type: none"> <li>Simple is best!</li> </ul>
EU Drought Management Initiative, Kenya	Problem with early warning systems at community level because taking timely action in community not possible because EWS is too centralized	Early response important to minimize depletion of assets	<ul style="list-style-type: none"> <li>Coordination structures should stretch down to grassroots in order to involve the whole community in DRR</li> </ul>
Institute of Development Studies (UK)	Identifying and understanding the trade-offs between social protection, adaptation and disaster risk reduction	Davies et al. (2008)	<ul style="list-style-type: none"> <li>Get people across different line ministries and sectors talking to each other</li> </ul>

While the table reveals a number of challenges, experiences and lessons that are context-specific, participants felt that several challenges shared some generic elements related to:

- Institutions
- Trade-offs and differences between approaches
- Capacity, coordination and implementation
- Politics and policies; and
- Scale/level

In terms of experience, participants’ own involvement in programs and/or projects reflects current research findings on the difficulties of achieving full integration: 50 percent reported having worked with non-integrated programs; 36 percent with programs that integrate two domains, and only 14 percent with programs that integrate the three domains.

## Box 6 “Farmers, Food and Financial Aid Game”

Pablo Suarez, co-designer of the simulation game and facilitator of the session, described the exercise as follows:

“Farmers, Food and Financial Aid” is a simulation exercise about droughts, decisions, and development that combines collaboration and competition across geographic scales. About 20 subsistence farmers, grouped in three villages, face chronic food insecurity due to unreliable rains. Government officials need to allocate scarce resources to either investments in public infrastructure or to food aid. In collaboration with a global donor, they try to support farmers through a “food for work” program and occasional emergency appeals that, together, are often good enough for ensuring survival of all farmers.

But sometimes a regional drought reduces harvests so much that food deficits cannot be resolved... Farmers would starve and have to leave their village, unless an innovative risk management scheme is established. A new program called “Insurance for Work” is established

which allows farmers to trade a month of labor (dedicated to irrigation and other forms to reduce disaster risk) in exchange for the safety of some food in times of drought. Farmers can devise collective strategies. Like in a farmer’s life, in this game decisions have consequences. Will you succeed at accumulating the most surplus? Or will you be among the ones who run out of food and must leave the village? (Suarez and Mendler de Suarez 2011).

The simulation exercise allowed participants to focus on the decisions that farmers have to make when faced with uncertain and often precarious circumstances.

One of its most useful features was to aid understanding on when social protection, either in the form of food-for-work programs, or weather-indexed crop insurance, would a) be chosen as a viable option by farmers and b) was likely to reduce vulnerability to climate impacts. The game’s rules captured the trade-offs for subsistence farming that could be entailed from committing labor to food-for-work and insurance-for-work schemes. At the same time, the rules demonstrated that if the trade-offs could be mitigated, then these social protection instruments were capable of reducing vulnerability to disasters and climate

impacts in a vivid and highly tangible way. This was perhaps the game’s most potent contribution: it made a strong case both for the potential benefits of integrating SP, CCA and DRR and highlighted some of the complexities and difficulties that could arise from integration. Not least amongst these is trust: the game very much brought out

the collective action dilemmas that will be key to the success of integrating these three domains. Or, as one of the participants put it, “Everyone has to trust each other and the government. How do we get to do that?”

What the simulation had, perhaps, less to say about was the question of how to bring about integration. For instance, the group generated few insights into the practical and logistical considerations of fostering better communication and collaboration between people working in different line ministries and separate communities of practice.

### 12 months: How to allocate your work?





### 1.1. Challenges

Although it was agreed that benefits and synergies can be expected from integrating SP, CCA and DRR, participants in this group remarked that trade-offs and differences between the three approaches need to be acknowledged and were perceived as representing major challenges. In fact, identifying, understanding, and acknowledging those trade-offs and differences was recognized to be an important first step toward strengthening the ability to overcome those issues.

The participants pointed out the still relatively weak collaboration across institutions and the difficulties of getting those different institutions working together as an important limitation. Difficulties to link local level self-help groups with formal financial institutions, as well as anchoring community-managed DRR processes in community institutions were cited as examples of institutional constraints.

In relation to capacity, coordination and implementation, group participants stressed the need to provide concrete, simple and sustainable adaptation measures. They also recognized that for SP an inevitable challenge is that it is not always affordable and may create dependency. This may represent in some cases a substantial challenge in terms of implementation.

This last point could certainly be related to the politics of SP. Under this “politics and policies” dimension,

participants stressed the negative effect of the “turf war” that occurs between project implementers often to the detriment of coordination. Even in the absence of turf issues, lack of coordination leads to overlap or contradicting analysis, for instance when each organization undertakes its own (separate) assessment, wealth or vulnerability mapping. The participants agreed that this lack of coordination goes beyond programs or projects. It can also be observed at the policy level, where very few national policies can be identified that account for and incorporate simultaneously issues of SP, CCA and DRR.

Finally, a last “entry point” identified in those challenges was related to the scale/level issue. Of special importance in this domain was the fact that although implementation capacity is a limiting factor across all scales, with weak coordination observed among stakeholders at all levels, the community/local level is particularly limited. Anchoring community-managed DRR processes in local institutions, for instance, is critical but challenging. Participants in the group reported, for instance, how one problem with early warning systems at community level is that they are difficult to implement and coordinate because these systems are often too centralized, making timely action in the community difficult.

### 1.2. Lessons

Reflecting on the major challenges identified above, and relying on their individual experiences, the participants identified a series of lessons. These are presented below (with no specific relation between order and level of importance).

With respect to coordination, one primary lesson – derived in particular from the series of scale/level issues mentioned above – was the fact that coordination structures should stretch down to grassroots level and ensure the involvement of the whole community in DRR and CCA interventions. There was also agreement that although combinations of tools and instruments are generally recognized to generate better impacts, they also require a much higher level of coordination and strong partnership. Getting people across different line ministries and sectors talking to each other was therefore seen as critical, along with a common understanding and interpretation of the problem.

Another important domain where lessons can be drawn is governance. The participants in the group insisted



Mathan Ratinam/Parsons The New School for Design

Participants from the conference, Ethiopia

that political buy-in and country ownership are initial key prerequisites for projects or programs, irrespective of whether or not they are integrated across one, two or the three domains. In addition, transparency in the decision-making process and the appropriate allocation of resources is crucial for the long-term success and (political) viability of any program – again, irrespective of its level of integration. Finally, accountability – and in particular downward accountability toward the recipients at the local level – is fundamental.

In terms of implementing integration the main lesson was “keep it simple.” Cross-sectoral initiatives can easily become complicated. There is therefore a need to understand well the tools and instruments to be implemented in order to align incentives and ensure that cross-sectoral and/or integrated approaches remain focused and simple. Wherever possible, starting at a “higher” (provincial or national) level (as opposed to piloting at the local level) was also thought to be a good principle, based on one participant’s experience with Ethiopia’s Productive Safety Nets Programme (PSNP).

In line with the point made above about downward accountability, the participants also stressed the importance of involving local level recipients (for example, farmers) in designing and evaluating development programs, and of keeping in mind that these SP, CCA, or DRR programs are just one other thing for people to consider in a changing environment of autonomous adaptation. In that respect, lessons from the Ethiopian PSNP show that poor people can be productive if they receive appropriate financial and technical support. Participants insisted that practitioners need therefore to make sure they don’t fall into a welfare/paternalistic mentality. A good guide in that respect that was suggested is to always seek the answers to the question, “why can’t they do it for themselves?” In this regard, a key finding of this thematic group which echoed the conclusion of other thematic groups is the benefit of embracing a community-led approach which identifies, targets, and aims to empower poor households.

Finally, the participants pointed out some important lessons in terms of funding. In direct relation to the main objective of the workshop, they first recognized that while funding (or lack thereof) may be one primary obstacle for better integration of SP, CCA and DRR interventions,

funding mechanisms – if appropriately designed – can actually act as a powerful force to enhance coherence, break barriers, and foster collaboration across sectors and domains. At a more technical level, microfinance institutions (for example, farmers’ cooperatives), insurance companies, and access to funding mechanisms such as bundling insurance credit can play a critical role in reducing household vulnerability to the combined impacts of disasters, climate change and structural inequality.

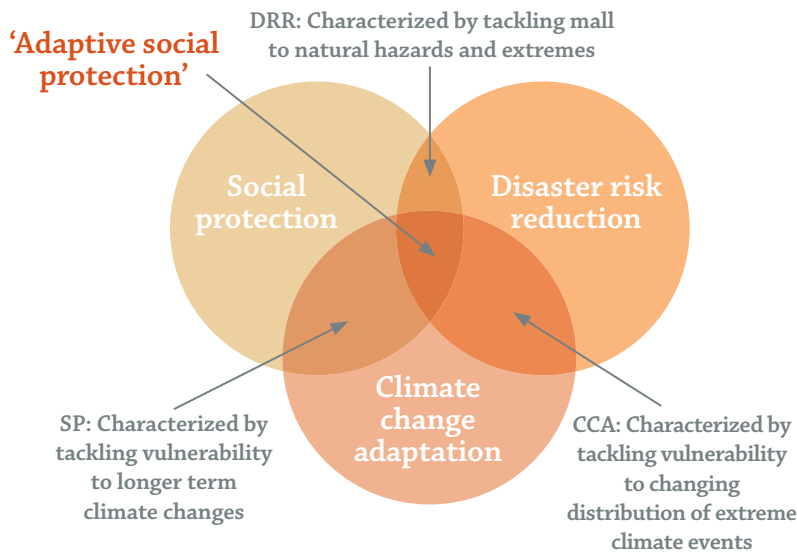
## 2. Improving decision making and facilitating knowledge exchange and learning

The second theme of the workshop focused on the question of how decision making can be improved, knowledge exchanged, and learning facilitated in order to foster integration of SP, CCA and DRR. Participants in the group shared stories with each other based on their experience in building community resilience to climate and disaster risk. This exercise confirmed that there was an extensive amount of practical experience that could inform policy. The group chose to focus their discussions on two key questions:

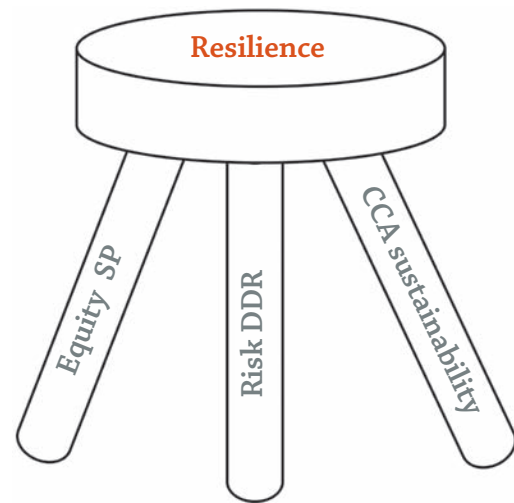
- How can practitioners create and share knowledge in ways that will break down the communication and structural barriers between SP, CCA and DRR?
- How can practitioners create and share knowledge in ways that will inspire governments and donors to embrace more meaningful and longer-term partnerships with the poor to build their resilience to current and future risks?

As part of this reflection the group revisited the way the integration between the three domains is conceived and graphically represented. They suggested that the classic Venn diagram (figure 2a) that is used, for instance, by the ASP program (for example, Davies et al. 2009) is not the most useful representation as it implies that synergy only emerges at the intersection between the three domains. The group felt that it was more useful to think about a larger area of collaboration and convergence that was perhaps not easily definable but based on individual communities’ own vision of safety, security and well-being. The group visualized this convergence in several ways, including through the diagram of the three-legged stool, below, in which each domain was contributing to resilience.

**Figure 2a.** The conventional way to represent the interactions between the three domains

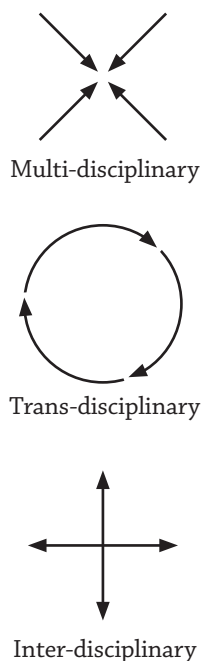


**Figure 2b.** An alternative discussed by the group



Secondly, the group explored different modes of convergence, including multi-disciplinary, trans-disciplinary, and inter-disciplinary approaches (figure 3), and discussed various ways to share this collaborative knowledge based on its source and target audience. These included using narrative or qualitative methods, empirical methods, or some other way borrowed from other disciplines.

**Figure 3.** Different modes of convergences discussed by the group participants which can ensure communication between the three domains



Finally, the group developed an agenda for this fourth tribe of “resilience builders” focused on the objective of giving voice to the poor to tell their stories as well as building an evidence base on effective resilience building. The group felt that “resilience builders” needed to rely on all three domains, so that the urgency and visibility of the climate change adaptation agenda could fully benefit from the tangibility and operational experience coming from social protection and disaster risk reduction. In the course of developing this agenda for resilience builders, participants identified a number of challenges and lessons in relation to the theme of the group.

**2.1. Challenges**

One key issue highlighted by the participants in this group was the tendency of donors to seize on an issue and to adopt narrow, short-term approaches to its solutions. Once the “fad” passes, however, programs often lack the resources to achieve sustainable outcomes. As a result, governments and NGOs receiving funds from donors may have a tendency to adjust their ongoing programs to try to fit into these donor fads, which may lead sometimes to a certain degree of distortion, incoherence, or lack of long-term planning.

There was also a concern among participants that climate change funding would also follow this pattern, with a glut of funding and donor interest for a few years followed by a sharp decline in interest and support once the spotlight moved from this issue to another one. Some argued

however that issues of climate change are “with us for a while.” In these conditions a dilemma is how to move the thinking from one of a sense of urgency and need for quick visible results to something more measured and longer-term (while recognizing there was a need not to delay action on climate change).

## 2.2. Lessons

The need to build a stronger case for more effectively linking SP, CCA and DRR – that is, the mutual benefits and vested interests – was highlighted in the group, especially by government agencies, as was the

“I need to work with what I have. We should be careful not to be reinventing institutions”

Ramiro Ornelas, Mexico

importance of understanding where these agendas do not overlap or complement each other. The participants recognized that finding ways to understand how each of the disciplines could draw from the other and strengthen their own respective programming approaches to contribute to resilience building – even in areas that were not common to all – would be useful. The language (jargon) and technical concepts used in each profession varies, and this needs to be addressed, though not necessarily through a common language or “Esperanto” related to vulnerability.

There was considerable discussion in the group around the continued difficulties in getting local to national approaches to work more effectively in practice. Governments, donors and NGOs talk a lot about participatory and inclusive approaches but do not always achieve this. Building up programs around the institutions, approaches and entry points of the poor themselves was seen as an important way forward; avoiding fragmentation of programming between the three areas and over time was also seen as important. This very much echoed the message delivered by Vijay Kumar in his keynote speech that the key to poverty reduction, disaster risk reduction and climate change adaptation is building institutions of the poor. He emphasized that poor people will bring about convergence on their own as there is no distinction among the three domains at the household level.

At the technical level, many of the approaches used to achieve the objectives of each of the three domains are similar; in that sense it seems that the use of various jargons, frameworks, and labeling is more important in selling programs – with similar issues often relabeled or repackaged to suit donor agendas, for example, environmental management initiatives becoming DRR or CCA.

All of the case studies discussed by the participants featured good efforts to coordinate between different government and/or NGO stakeholders; while the results were not perfect, they have been reasonable. All noted the time and resources that must be invested during the early stages of programming to understand the local political economy and cultural context and to reach a shared understanding between communities, governments, implementers, and donors. Facilitating this dialogue was seen as a key investment to achieve a more relevant, acceptable and sustainable programming approach – but there are often budget constraints and pressures to shortcut this process.

## 3. Planning, implementing and evaluating in the context of uncertainty

The third theme of the workshop focused on issues related to planning, implementing and evaluating in the context of uncertainty. A challenge for any poverty and vulnerability reduction initiative, including social protection, is to ensure the appropriateness and effectiveness of the interventions put in place to maximize impact on the ground. Traditionally this is achieved through monitoring and evaluation that focuses on measuring progress against baselines, indicators and pre-determined results. Climate change and disaster risk, however, present a series of challenges to this process. In particular, there is a need to account for the “additionality” of climate change impacts; difficulties related to the attribution of impacts; and uncertainty about the location, timing and intensity of future climate events and the related need to avoid maladaptation. Evaluating disaster risk reduction faces similar challenges related to attribution and timing of pre-disaster evaluations: the best place to evaluate evidence of disaster risk reduction is still after a disaster. Under this theme the participants were asked to consider these challenges, and the implications for how relevant policy and programs are planned, implemented, and subsequently evaluated.

### 3.1. Challenge

This working group started its deliberations by recognizing that there are conceptual reasons to anticipate that the combination of SP, CCA and DRR programs and tools can provide better results for clients (the poor and vulnerable) than each field operating alone. Despite this, a number of conceptual and practical obstacles for integration were identified.

**Need to adopt a human-centric approach.** There are many frameworks to embrace and explore the links between SP, CCA and DRR. Some approaches focus on processes (planning and implementation phases) such as the Sustainable Livelihoods Framework or the Food and Livelihood Security Framework, while others emphasize outcomes – such as the Famine

Early Warning System or the various poverty and vulnerability profiles.

In the end, participants concurred that they did not have to agree on a framework, but that adopting a human-centric approach was important to facilitate the connections between SP, CCA and DRR in practice. This implies recognizing that people know what they are trying to achieve, and therefore should be at the center of the efforts. A particularly good example of that approach is the experience of a program in India, where communities and in particular women are at the center (box 7). Taking as a premise that people will protect themselves (autonomous adaptation), the question then becomes: What is the appropriate role of different development actors to help people improve coping and adaptation strategies both individually and collectively?

## Box 7 India's experience in community and women's empowerment

In India, although the Constitution guarantees social protections to all citizens, the level of rural poverty and inequality is among the highest in the world (the poorest of the poor in India number about 350–400 million). Many people are marginalized based on their caste, religion and gender. In this context, the objective of the National Rural Livelihood Mission (NRLM) is to empower the poor by building community-level institutions, based on women's self-help groups, which are federated upwards to improve access to public and private assets including micro-credit, livelihood support services, insurance, education, and social safety nets. In the State of Andhra Pradesh (AP) for instance, more than ten million women are organized into 900,000 self-help groups (SHGs) coordinated under a multi-level federation system at village, sub-district and district levels. Overall 2 million trained women at the grassroots level manage the SHGs at village and upper levels; 180,000 para-professionals operate at village level and are accountable to the women's groups; 20,000 community resource persons are involved, scaling up and deepening social mobilization. The AP program also supports a vast range of gender-sensitive agriculture activities, including eco-agriculture initiatives. A large number of these activities rely on a decentralized, accountable extension system and on locally available natural resources.

The NRLM is paying increasing attention to building climate resilience. In 2011 for instance, the World Bank approved the Rajasthan Rural Livelihoods Project (RRLP), which is the first of the state-level livelihoods support projects in India explicitly to include a climate resilience component. This component includes community level groundwater management, diversification of farm and non-farm livelihoods, and support for migration (remittances from circular and temporary wage labor migration) as a complement to other support measures at the village and landscape levels. Climate risk management tools such as weather-based agricultural insurance is also being added to the project.

At the policy level, convergence is sought with other government programs dealing with social protection and landscape restoration. For instance schemes under the National Rural Employment Guarantee Act (NREGA) provide up to 100 days of wage employment per year to all eligible members of poor households through public works such as water harvesting structures, reforestation, and exclosures to control livestock grazing. This dual approach to building climate resilience delivers tangible results in improved livelihood security for the poor both in the short term (through wage employment) and the long term (landscape restoration), and is made possible by the strong underlying foundation of empowering local institutions.



Field visit to Sire Woreda,  
Ethiopia

**Approaching things in terms of programs limits integration between SP, CCA and DRR.** Participants insisted that SP interventions are only part of the measures to manage the shocks that climate change may bring about. Certainly, public works for natural resource management can do a lot to improve food security. However, further steps can be taken to reduce the risk of starvation and other threats. According to the climate change experts in the group, climate projections need to be factored in while designing public works programs and more coordinated efforts need to be initiated to make programs and projects more climate-resilient.

CCA and DRR experts also acknowledged limitations in their role. DRR, for instance, mainly provides public goods, often with a top-down approach, when perhaps resources should be demand-driven and geared primarily toward individuals (as in SP).

More generally, the participants in the group agreed that there is no need to be too overly concerned with instruments and frameworks. Instead, vulnerable people should be the core focus, and there should be more appropriate sequencing and synchronizing of approaches in order to achieve synergies. While pondering if SP should be the starting point for designing an adaptation program, the words of Allister McGregor from IDS, echo the need to adopt a human-centric mind map to explore integration:

*Let's be modest about social protection. Social Protection may have a role. One of the challenges is what are the limits of it? What can't it do? There are lots of other things affecting how people are able to adapt [to uncertainty]. The question is 'what is the starting point?' Integration can be consistently achieved by continually reminding ourselves of the human focus.*



**Each discipline focuses on different risks and stressors.**

There are certain nuances to risks that each field focuses on. SP, with its mandate to reduce chronic poverty deals with both idiosyncratic (illness, injury or death of a family member; a family break-up; or a business failure) and covariate shocks (natural disasters or financial crises). Meanwhile, DRR focuses on natural hazard risks (hydrometeorological, geological and biological), and CCA is concerned with climatic risks (changes in climate variability and extreme events).

SP, CCA and DRR also hold to different meanings of need. Even though all three domains share the common purpose of reducing vulnerability, participants stressed that the three domains may differ on the undesirable outcome to which households are vulnerable. There are many possible negative outcomes, including consumption poverty, food insecurity, natural hazard events, or adverse climate change impacts. SP, CCA and DRR do not necessarily put

those in the same order of priority. This casts doubts as to whether these three domains concentrate on the same group of people. Those exposed to disasters and to food insecurity overlap, but hardly ever completely. Evidence from Nepal was cited showing that only 15–20 percent of people vulnerable to climate impacts were not considered food insecure.

The strategies to withstand the sources of stress and risk would also vary by discipline. The risk of poverty due to highly unsettled and low-paid employment requires policies that improve capabilities and grant access to labor, commodity and service markets. By contrast, households require liquid assets, especially savings, and insurance to deal with climatic and geological shocks, which are often short-lived – and somewhat unpredictable.

**Planning and evaluating in uncertain contexts and for uncertain outcomes.** It was widely recognized that

governments and communities will have to plan under increasing uncertainty in the future. The design and sustainability of SP, CCA and DRR programs will have to consider changes in weather patterns that change the probability of events, most notably rainfall and temperature.

On the evaluation side, participants insisted that attribution is crucial to understanding the contribution of specific interventions to vulnerability reduction (unpack co-benefits). Impact evaluation techniques can help on this matter. Nevertheless, when the evaluation requires looking over long time horizons, there might be complications for undertaking the analysis. In particular it remains hard to explain how quickly, if at all, households will adapt to a changing climate and what policies or technologies will enable effective adaptation. Addressing this identification problem requires defining and constructing adaptation indicators at baseline and their projections after climate change. And even having household and community data before and after climate change takes place, cannot always be used to support the attribution of causality: there are always lots of other things affecting how people are able to adapt.

For this reason, investing in better data platforms for evaluations should help with improving the ways in which communities may have access to more appropriate information in the face of uncertainty. Unfortunately, as pointed out by the group, the data that informs each approach is often quite different: DRR focuses on weather data, while SP requires data that affects people's livelihoods. Hence, the data collected should include longitudinal information on weather and natural disasters; panel surveys of household production, consumption, migration, health, assets and well-being; and surveys of community responses in selected locations. In addition data should be spatially referenced, and a mix of quantitative and qualitative information should be collected at regular intervals over a long period and organized using a geographic information system (GIS) and Serial Digital Interface (SDI) that can be accessed by a wide range of researchers and practitioners.

**Balancing learning and accountability.** Donors need to balance their demands to hold governments accountable (evidence to prove success or failure) with the flexibility

to encourage good adaptation models when channeling funds. Being aware that SP, CCA and DRR interventions generate different results across different places and different timescales can serve this purpose. This awareness should be followed by secure multi-annual financing. Ensuring that sufficient financing is secured over a sufficiently long time frame can encourage governments to adopt a learning-by-doing approach without fears of being penalized.

Program implementation needs to take into account people's risks and incentives. Since risk is pervasive across poor livelihoods, it is crucial to narrow down which sources of risk governments should focus on. One participant illustrated how in Kenya local community definitions of drought do not necessarily correspond with those of the government's Early Warning Systems. As a result of not listening to local definitions of drought, the government or donors arrive late or with inappropriate interventions. A bottom-up consultation system could help governments to take into consideration (and benefit from) local knowledge.

### 3.2. Lessons

**Collaboration.** The participants in the group pointed out that collaboration of SP, CCA and DRR does not make sense in a number of areas, and remarked that forcing integration might become burdensome and entail high transaction costs. They agreed, however, that the working agendas of SP, CCA and DRR clearly overlap in other areas, such as food security in rural areas. Hence, when the recipients face food insecurity and weather/climate risks is important, there is greater scope for collaboration. The whole point is therefore to try to maximize overlaps by looking for one to leverage the other (that is, leverages of synergies). For instance, bringing DRR and CCA experts into a monitoring and evaluation SP team can give a better handle on how to evaluate management of disaster risk, and strengthened capacity to evaluate the adaptation function of social protection. It would also help to identify spillovers, both spatially and in terms of people, such as non-experts; and to evaluate medium to long-term impacts.

Overall, the participants in the group expressed appreciation of each others' work and aimed to collaborate whenever it makes sense, keeping in mind that the





Participants in the field visit to Sire Woreda, Ethiopia

objective of such collaboration should be to get resources to people that need them and prevent mal-adaptation.

**Planning.** Striving for an integrated planning process is necessary in order to maximize collaboration. This should involve donors, government actors and communities, including informal institutions such as religious groups, peasant institutions, and management user groups. In that respect enough time should be spent identifying relevant stakeholders and bringing them into the process. Planning can go wrong if the identification exercise is not taken seriously.

Cross-disciplinary and joint planning require building multidisciplinary teams rather than working in silos. For instance, with the challenge of climate change, Tajikistan, Bangladesh and Niger are trying to adopt such approaches while designing the countries' Strategic Programs for Climate Resilience, leveraged by investments under the Pilot Program for Climate

Resilience (PPCR). However, there are still some fears that whoever leads the design of the program pillars will tailor them to their own sectoral knowledge. Balancing the pool of planners and practitioners from the outset is therefore crucial.

The participants in the group stressed the need to rely on local community risk assessments and participatory planning to truly understand people's needs, and assess whether the proposed activities are suitable for adaptation. Watershed management in the PSNP is a good example of bottom-up driven planning. Communities are asked to map their needs and challenges, assisted by national level guidelines. Everybody in the community understands local matters, and they are informed by technicians if needed. There are mechanisms in place to take the information flows from communities into government planning and design. This experimental bottom-up planning process could be improved further, however. According to a group participant, when asked,

some community members did not like the assets built in their villages, citing as the main reason not being involved in the planning process.

**Implementation.** It was agreed that a key element in terms of implementation is to invest heavily in coordination (for instance, establishing coordination mechanisms among implementing agencies) and budget accordingly. As mentioned above, it is essential to jointly involve relevant stakeholders in the planning

“Rather than big integration, what’s feasible in particular contexts?”

phase at the outset, so as to foster incentives for collaboration during the implementation phase of a project (and pave the way for achieving better results).

The participants highlighted the importance of devolving systems of implementation to devolved/ decentralized entities (for example,

local formal and/or informal authorities) in order to foster ownership and improve local responses. The recent experience of Thailand on devolving responsibilities to local people was highlighted. While there used to be a very top-down system of local governments in Thailand, strongly controlled by the Ministry of the Interior and line ministries down to formal local government structures, former Prime Minister, Thaksin Shinawatra bypassed this structure (which was a power base for central administration) and established village committees including funding structures managed by committees outside the old system. Communities in rural areas largely supported the initiative. The new government is, however, trying to dismantle the system and regain control.

More generally, participants remarked that facilitating the participation of local community-based organizations, particularly during the selection of beneficiaries and resource disbursements, is highly advisable. They also highlighted that building technical capacity that benefits teams in the other fields, and investing in locating people across institutions with mixed backgrounds and skills on SP, CCA and DRR, could lower transaction costs during collaboration. Encouraging knowledge sharing across fields is essential.

More can be done to address uncertainty, such as building systems that are flexible. Some uncertainties are not

within the normal range of risks that communities are used to. Examples are the heat wave that happened in Russia, and the cold snap that hit the Caribbean and northern Mexico early in 2011. In the context of uncertainty, communities will need to prepare for a range of climate scenarios rather than one specific one. Integrating SP, CCA and DRR approaches can help to bring flexibility. For example, DRR work can focus more specifically on reducing the sensitivity and exposure to particular shocks and stresses, while livelihoods work has focused on adaptive capacity, particularly looking at assets and diversification of income.

**Monitoring and Evaluation.** Climate change impacts need to be explicitly assessed and monitored in relation to human development outcomes. In that context setting up longitudinal monitoring systems on weather and natural hazard events and their socioeconomic impacts and responses were recognized to be key priorities. Meteorologists have been monitoring weather variables systematically over many years, and biologists have been monitoring species and ecosystems. In contrast social scientists have little or no comparable systematic information on the impact of climate on human societies and how households, communities, and institutions respond to it over time.

An alternative (or possibly complementary) method to these longitudinal monitoring systems is offered by modeling approaches. One option could aim to better predict poverty and vulnerability effects by combining agronomic models, climate predictions, and distributive analysis at spatial, sectoral and household levels through survey data, and for different social groups.

As far as evaluation is concerned, a suggestion emerged to bring DRR and CCA perspectives into SP evaluations with the aim of setting realistic time frames for expected results. SP usually concentrates on the short term, as humanitarian relief does in the field of disaster risk management. Conversely, adaptation is concerned with longer time frames. The PSNP was mentioned to illustrate this point and the potential issues it raises: while it was not surprising that the 2008 evaluation of the program – based exclusively on its transfer component – showed positive impacts, the evaluation would have certainly been different had it been evaluated on the newly-introduced

DRR and CCA components, which are likely to need longer timescales to show tangible results.

For both monitoring and evaluation (and even for research analysis), the collection and use of data and methods that serve SP, CCA and DRR communities altogether should be encouraged. In the future, it is important to incorporate “risk and social protection” modules into household surveys, like the World Bank Living Standard Monitoring Surveys (LSMS). Geo-referenced household, community and district-level information needs to be linked to data of disaster occurrence such as rain and water flow data, or ground shaking motions in earthquakes. By doing this, poverty maps can become shared datasets for identifying climate impacts and profiling at-risk and vulnerable populations. This kind of data would be an important public good and could facilitate real-time monitoring of impacts and responses to natural hazard events.

#### 4. Improving targeting and delivery

The fourth theme discussed during the workshop focused on targeting and delivery. A major challenge for poverty and/or vulnerability reduction initiatives is to reach different groups of people with specific needs with different types of interventions. The experience gained from the approaches and instruments used by social protection practitioners in this domain provide important lessons on how we can both identify and reach different populations displaying differentiated forms and degrees of vulnerabilities. At the same time, climate change is likely to alter the suitability of certain interventions provided to those populations. Under this theme participants drew on their experiences to examine how the targeting and delivery of interventions aimed at reducing the vulnerability of different groups associated with climate variability and change can be improved.

Mikkel Ostergaard/Panos Pictures



Livestock are critical assets for rural households in Ethiopia but are increasingly affected by climate change



Participants talk to community members on field trip, Ethiopia

With no intention to propose perfect definitions, the participants felt that prior to engaging in discussion, a useful first step would be to agree on a conceptual framework and in particular to clarify what the three domains (SP, CCA and DRR) and the terms “targeting” and “delivery” meant. It was agreed that SP is associated with interventions and policies aiming at reducing vulnerability throughout people’s lives, addressing chronic poverty, and responding to idiosyncratic shocks, with possibly some long-term role in improving equity and rights and enhancing individual social status. In contrast DRR is about reducing covariate vulnerability related to natural disasters, understanding and addressing risk exposure and external hazards, and building resilience/ coping strategies at the community level. CCA is about responding to variations in climate through pro-active long-term adaptation (as opposed to short-term reactive coping), seizing the opportunities of climate change but recognizing that CC will have mainly negative effects,

understanding and eliminating the causes of climate risks and building resilience to CC-induced shocks and incremental changes (trends).

With this understanding, the linkage between SP, CCA and DRR was recognized to be mainly around reducing vulnerability as opposed to reducing poverty – which does not necessarily concern all beneficiaries of CCA or DRR interventions. The three approaches also overlap through their ambition to enhance capacity to deal with risks. But they all have their own constituency, jargon and tools. Each operates at multiple levels – although SP certainly focuses more specifically on the individual or household level while DRR and CCA operate primarily at community, provincial or even national levels.

The participants in the group agreed that although targeting and delivery are intrinsically linked to one another, they can be distinguished. Targeting was defined as “identifying the ‘right people in the right areas’

depending on the objective(s)” while delivery was defined as “reaching the ‘right people in the right areas at the right time with the right instruments’ depending on the objective(s)”. In both cases there is a notion, or issue, of choices (“who are the right people in the right area?”).

#### 4.1. Challenges

The group identified a series of challenges, which are presented below. Certainly the main challenge is the potential contradictions between SP, CCA and DRR. The divergence of scale has already been highlighted above: while SP focuses specifically on individuals or households, both DRR and CCA (which, however, also draw on household or individual datasets), tend often to consider issues at higher levels. “Targeting trap” or mal-adaptation is another potential issue: namely the fact that SP may target – and possibly increase the resilience of – households or communities in a location which is prone to long-term climatic degradation, while CCA might instead promote alternative livelihoods such as resettlement to environmentally less marginal areas. One concrete example mentioned was pastoralist communities in Ethiopia where adult men in the middle-aged generation often migrate for several months in search of work, leaving behind the most vulnerable (young, women, elderly people). These groups are targeted by SP interventions which may effectively reduce their vulnerability, providing therefore an incentive to stay and possibly creating a “trap” for those individuals in areas where in fact there is very little long-term hope. On the other hand resettlement programs which can help those communities to move to less drought-prone areas, may, however, propose resettlement in areas offering very poor public services or infrastructures (no school or water supply), or characterized by high (urban) crime rates – exposing these communities to other forms of vulnerability and risks.

Other forms of contradiction between SP, DRR and CCA were identified in relation to targeting and delivery.

**Targeting.** Irrespective of whether SP should combine some DRR and/or CCA elements, targeting in itself is already relatively delicate. In Bosnia, for instance, a recent evaluation of an SP program revealed that about 27 percent of the benefits are actually going to elite members of the community. The problem appeared however very

difficult to tackle as this “leakage” may be part of the political “costs” for the program to be “politically viable.”

Another important technical challenge regarding targeting is the continuous tension between setting criteria that are often defined at national level and the need to capture and reflect the specificity of the local situation. Some participants argued that part of the solution is to adopt a more decentralized approach.

Decentralized or not, a fundamental challenge is how to make targeting flexible enough to adjust to the fluctuating character of today’s world while at the same time recognizing that predictability in delivering SP is important. Participants in the group were able to identify examples of programs that have attempted to address this flexibility issue. The Tanzania Social Action Fund (TASAF), for instance, has a design that allows for a geographical retargeting every year at district level similar to the Vision 2020 Umurenge Program (VUP) in Rwanda, which also has a one-year retargeting process. In addition, the VUP also includes a risk management fund that can be used to respond to disasters and other emergencies (see box 3 above).

Targeting is partially an issue of limited resources. Governments or agencies often decide to target, say, the poorest 10 percent of a population, not because these 10 percent are the only potential “legitimate” recipients of the program, but simply because it cannot afford to include all those who should in theory receive benefits. The increasing number of people who will be affected by climate change-related shocks or degrading trends in the future will, however, probably make it even more necessary to have efficient and flexible targeting mechanisms. In that regard, the integration of SP, CCA and DRR is expected to make the situation even more complicated.

Beyond those contradictions and tensions, participants recognized that integrating SP, CCA and DRR may also be associated with some negative outcomes. Although no specific example was provided, it is theoretically

“We need to reach the right people in the right areas at the right time with the right instruments”

easy to conceive that, while integrating CCA or DRR objectives into an existing SP program may improve or strengthen the resilience of the beneficiaries to climate or disaster risk, it may also lead the agency or organization implementing the program to shift or refocus (deliberately or inadvertently) its funds and attention to more climate change-affected areas, possibly leading to the exclusion of some of the households who were initially benefiting from that SP program. Ultimately this scenario reveals the potentially divergent interpretations by the three domains of who are the most vulnerable.

**Delivery.** Efficient delivery results from the long chain of decisions and actions that constitute a whole program cycle, starting with planning all the way to evaluation and feedback. Failing to “reach the right people in the right areas at the right time with the right instruments” can therefore be the consequence of many different factors and upstream problems. Those include: rigidity of bureaucracy/regulations; resource limitations (including limited time); competing/shifting priorities, lack of planning and/or failures of coordination. Even the question of how to promote delivery mechanisms so that a specific instrument is tailored and adapted to

“We are always reminded about what we can gain, but what about what we could lose, what about necessary trade-offs?”

to deliver regular, predictable assistance in response to unpredictable and changing needs? How to create scalable delivery systems, particularly in low capacity contexts? Clearly, just as increasing variability makes targeting an issue, unpredictability also makes delivery very challenging. In effect, unpredictability may even jeopardize the success of a whole program, or cancel out previous positive effects. A good example is the decreased precipitation that affected Ethiopia in 2008. The drought that followed affected the vast majority of the country

diverse types of livelihoods (for example, migrant population) may be seen as originating from earlier processes such as planning.

In addition to those general issues, participants also identified some more specific issues which are likely to impact the effectiveness of program delivery. How

– but among those most affected were the households who had slowly managed to (re)build their assets through the benefits they received from the PSNP prior to 2008. The challenge is therefore to build flexible and adaptable systems that can adjust their delivery mechanisms to changing conditions. This last point is actually one of the strongest arguments in favor of a closer collaboration between SP, CCA and DRR. Unless SP programs integrate climate variability and disaster risks in their design and are able, for instance, to scale up and down and/or ensure a rapid response to an unexpected event, they are at risk of becoming increasingly ineffective and unable to fulfill their initial purposes.

#### 4.2. Lessons

To inform appropriate targeting and delivery processes in what would be an integrated SP/CCA/DRR program, we need different ways of conceptualizing and identifying vulnerability – including gender analysis. One of the fundamental limitations of the current approaches is the sector-specific definition of who is vulnerable and therefore who should be targeted. Drawing more on community perceptions of vulnerability – where the distinction between SP/CCA/DRR does not exist – would be very useful in this regard. It would also help to narrow the gap that exists between SP which tends to focus on individuals and households, and CCA and DRR which operate at higher levels (community, district, province, or even country level).

Participants pointed out that a combination of different targeting and delivery mechanisms may be required to deliver on all three objectives. SP programs, for instance, need to incorporate more climate-related risk analysis in their targeting mechanisms. To address these longer-term CCA objectives, there is a need to design SP interventions that are “climate smart”, that is, SP interventions that aim at reducing climate (or disaster) -related risk and promoting alternative livelihoods. It is also necessary to move beyond the simplistic graduation objective and to recognize that some forms of vulnerability may not be reduced or alleviated through short-term interventions.

More globally, participants recognized that there is a need to create flexible targeting and delivery systems: targeting/retargeting mechanisms, appeals systems, contingency budgets, risk financing, etc., and to rely on



Participants at the Addis Ababa workshop debating the way forward during the panel sessions, Ethiopia

delivery mechanisms that overcome rigid bureaucratic institutions. One solution such as in the VUP in Rwanda is to rely on independent (outsourced) delivering bodies.

One single type of intervention is very unlikely to tackle all three domains. What one needs instead is to rely on a combination of interventions and tools (cash transfers, household assets (credit), public works that aim to promote environmental resilience, etc.), each of them with a specific objective. Also important is to build on existing programs, policies and institutional frameworks to address these multiple objectives. There is no need to start from scratch or to reinvent the wheel. Instead, participants insisted, drawing on existing knowledge, experience, and already successful programs is the way forward.

Having stressed this point, participants also recognized that integrating SP, CCA and DRR will create new needs for building capacities, knowledge, skills, etc., all linked to

novel multi-sectoral ways of working. This multi-sectoral approach is also very likely to create contradictions and possibly conflicts between intervention objectives, national and local knowledge, concepts of environment, perception of risks, etc. Last but not least, the political economy dimension of these changes should not be under-estimated. Competition between institutions (or even within institutions) for limited funding will certainly create additional obstacles and/or disincentives to cooperate.



Group of women participating in Productive Safety Net Programme, Ethiopia



# The way forward

*“We have to do a lot of communication, advocacy and sharing lessons from different countries, making sure we put people at the center”*

– Amadeus Kamagenge, Tanzania Social Action Fund

## 1. Responses and key messages

The last morning of the workshop was devoted to a series of panel discussions where government officials from several developing countries (Mexico, Rwanda, Tanzania, Vietnam and Yemen) and from different institutions (academics, international development agencies, donors and INGOs) were invited to react and share their views on the ways some of the main lessons identified during the workshop should be moved forward.

### **Key messages from across the working groups**

The report-back presentations from the thematic working groups revealed a number of issues common to all four themes. We synthesize these into four broad messages below:

***Collapse the silos:*** In the words of Andrew Steer: “A fundamental premise of this workshop was that these three [domains] must talk to each other, perform together, sing together, and be part of a common process. And yet for the most part these three have lived in their own silos: adaptation in ministries of the environment,

disaster risk management in ministries of public works or the interior and social protection in ministries of social affairs”. The discussions during this workshop confirmed that cross-disciplinary and joint planning, implementation and learning are going to be key aspects of breaking out of the silos.

***Do not reinvent the wheel:*** In the view of Ramiro Ornelas of Mexico’s Ministry of Social Development, “I need to work with what I have. We should be careful not to be reinventing institutions.” Participants unanimously recognized that SP-DRR-CCA integration is not about finding a wholly new system, but about sharing knowledge and bringing flexibility into the design of existing programs. What is needed, therefore, is to draw on existing institutional arrangements (instead of establishing new ones) and use those institutional mechanisms that have been developed over years to build flexibility into programs.

***Recognize where integration is already occurring and learn from it:*** As Alison Rusinow of HelpAge International pointed out, “perhaps NGOs have been doing this [integration] for a while...there are things already happening which bring these things [SP, CCA and DRR] together, but we have to document them so that others can scale up.” There are precedents for integration; not least the integrated rural development approach which, as Allister McGregor of the Institute of Development Studies

argued was premised on bringing together systematically a variety of different projects. He cautioned, however, that, “Rather than big integration, what’s feasible in particular contexts” would be a necessary focus if the program barriers that keep people in silos were now to be overcome. Furthermore, integration for the sake of integration is to be avoided: it may do more harm than good if “forced” or used in situations where it is not necessary.

**Bring a human-centered approach:** As one participant observed, “Households cope with high levels of everyday risk without knowing [the distinction between] SP, CCA and DRR. We need to learn from them.” There was a clear sense during the discussion that not enough attention had been paid so far to community-based approaches to facilitate the integration between SP, CCA and DRR.

“In the Tanzanian case, I foresee we need something like what we got from here”

Amadeus Kamagenge, Tanzania

Instead, the frameworks used to conceptualize, plan, implement or evaluate interventions have thus far been too “program-centered.”

#### Government responses to the workshop

These concluding discussions struck a healthy balance between enthusiasm for

integrating SP, CCA and DRR on the one hand, and on the other hand, a sense of realism around the challenges that remained. The enthusiasm was clearly evident among developing country governments’ participants, who were invited to give their views on whether the workshop had produced insights and understandings applicable in their own work. The following participant responses capture the change in their thinking:

- *...the challenges and opportunities I have shared here I will take back home to share with other ministries, so some messages, a product of this workshop, which I didn’t come with as expectation, I have been linked with...[as a result] there is likely to be some partnership and thoughts on activities for climate proofing. The participants enriched my understanding of the need to do social protection, climate change adaptation and disaster risk reduction, and I invite you to Rwanda to see what we’re doing.* Justine Gatsinzi, National Coordinator, Vision 2020 Umurenge

Program (VUP), Ministry of Local Government, Rwanda.

- *How to put together these three tribes? I am going to try a process-driven strategy, which has to be client-centered. A lot has been done in México, but one [issue] I don’t know so much is climate change, so I’m going to sit down with colleagues to see how we can work together, link everyone with what they’re doing and take it to the 30 million people I’m working with – it’s a long term strategy.* Ramiro Ornelas, Director General of Attention to Vulnerable Groups, Secretariat of Social Development, Federal Government of México.
- *In the Tanzanian case, I foresee we need something like what we got from here, a means of continued learning and sharing, to see what’s happening in other countries (...) this kind of engagement would be very helpful.* Amadeus Kamagenge, Training, Research and Participation Specialist, Tanzania Social Action Fund.

## 2. Challenges and constraints

Enthusiasm and support for the aim of deeper integration of SP, CCA and DRR aside, the concluding discussions also revealed participants’ awareness of the numerous challenges and constraints entailed. These are explored below.

### 2.1 What are the incentives to collaborate?

The discussants of the panel sessions underlined that important challenges remain both at the conceptual and practical level and that it should therefore not be concluded too quickly that the integration of SP, CCA and DRR is a change that will be easy to implement and/or will not meet any resistance.

**Making progress within SP, CCA and DRR:** It is important to recognize that much progress still needs to be made *within* each of these domains, where too many questions remain only partially answered and implementation challenges remain unaddressed. Each of these domains is going through rapid and important internal evolution (mainly for the better) in terms of understanding how to better address and reduce the underlying, structural factors of people’s vulnerability – as opposed to simply the symptoms of these factors of vulnerability – and this raises obviously a number of questions and debates within these domains (see for



Irrigated gardens as part of an anti-desertification program, Niger

example, Barrientos and Hulme 2008; Heltberg et al. 2009; Wisner 2011).

**Potential trade-offs:** It should therefore not come as a surprise that some degree of concern and/or skepticism was perceptible among some of the participants when asked to reflect upon the integration of the three domains together. As pointed out by one participant during the working group session on targeting: “We are always reminded about what we can gain, but what about what we could lose, what about necessary trade-offs?”

Part of this concern may also reflect some form of individual or institutional resistance to change. Change can be difficult to accept especially when people or organizations have been struggling to get their initiatives or programs recognized and funded in the first place, or when those programs eventually start showing some positive results. Even for those who are already convinced of the potential benefits of integration, these changes may challenge and disturb existing ways of working; or

be perceived as likely to reduce effectiveness of delivery, jeopardize graduation, or raise technical and practical questions.

**Contradictions and conflicts:** The fact that in some cases the integration of two or three of these domains will have to be planned and implemented without necessarily attracting additional funds or resources – thus generating additional competition for limited funding – is certainly contributing to the concern expressed openly by certain practitioners. Some would argue that the ability of programs to deliver is usually closely related to funding levels (be it from government or donor) and that there is a risk that re-allocation of funds to cover costs of additional interventions may jeopardize the financial sustainability of some existing programs.

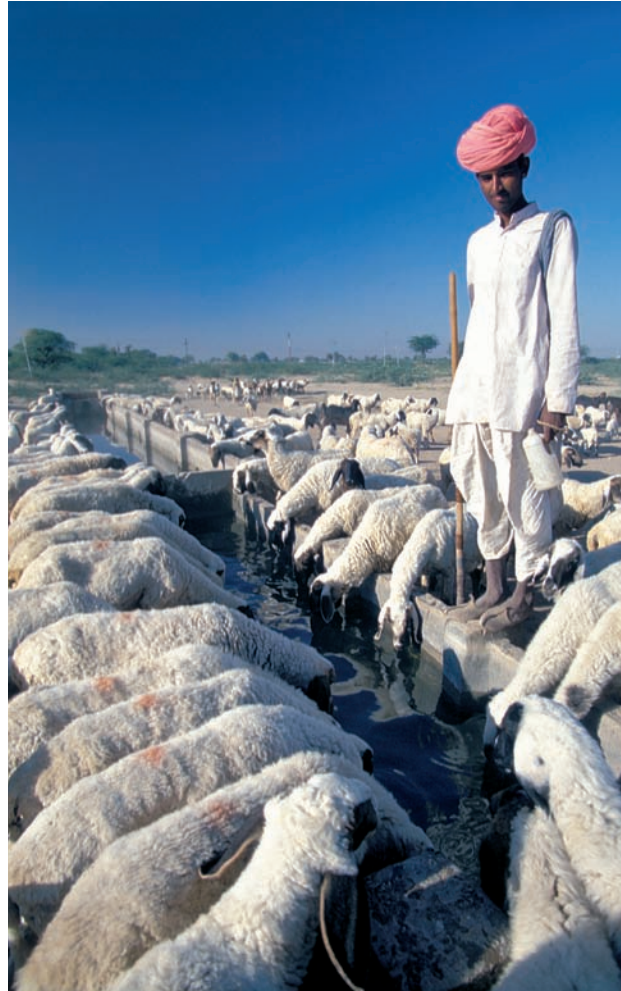
Beyond the financial aspects, other factors need to be included in the equation, starting with conceptual considerations. On several occasions during the plenary discussions, participants pointed out potential

contradictions and conflicts between the three domains, some of which have already been highlighted in the previous chapter. The divergence of spatial scale is an important one: while SP focuses specifically on individuals or households, both DRR and CCA tend to operate at higher societal levels (community, district or provincial, up to national or even international levels).

**Reconciling the short and long term:** Similarly, the fact that SP interventions are in some cases driven by short- or medium-term safety net or graduation objectives, or that DRR for a large part has concentrated so far on post-disaster rehabilitation and relief interventions, while CCA mainly focuses on medium-to-long-term adaptation, underlines some fundamental tensions which may turn out to be difficult to reconcile. Some would, however, remark that this timescale divergence is progressively fading, as both SP and DRR now stress the importance to engage with the more structural dimensions of risk and vulnerability through longer-term oriented interventions.

Perhaps more fundamentally, some concerns emerged that SP, DRR and CCA may not systematically complement, or even work against, each other. The “targeting trap” was already mentioned during the group sessions. Similarly the short-term objective of rehabilitation to reconstruct livelihoods and infrastructures as they were prior to a disaster may encourage communities to feel that “everything is back to what it was before” and underestimate the need to adapt or the risks of future disaster impacts.

**Coordination and capacity:** At a more pragmatic level, numerous challenges were also highlighted. Prior to the workshop, differences in terminology and jargon resulting from the separate core disciplines from which the three domains have emerged, disparities in international or even national coordinating bodies, and incoherency or competitions in funding mechanisms, had already been identified (see table 2 above). These were mentioned again by participants in the plenary session, along with the critical issue of coordination. This lack of coordination, which is observed not only at program or project but also at the policy level, is exacerbated by the lack of capacity that affects most developing countries’ governmental or non-governmental institutions.



Curt Carnemark/World Bank

Young shepherd with his sheep herd, India

**Overload:** Related to the lack of capacity is the danger of overloading existing programs. By integrating CCA into existing DRR programs, or accounting for potential DRR or CCA risks in ongoing SP programs without at the same time enhancing the human, financial, institutional, and organizational capacities and resources of the implementing agencies, countries are likely to overburden those programs and eventually affect their abilities to deliver benefits to their initial target groups.

### 3. Make benefits outweigh constraints

If awareness of difficulties and barriers was abundantly put in evidence, so too was a great deal of thinking on how these might be overcome. Several propositions were put forward during the final panel sessions. These are summarized below.

**Documenting and evaluating integration in “emic” terms:** First the participants recognized that while there is a need to understand the real concerns and possible limitations of integrating SP, CCA and DRR, there is also a need to better document the impact of synergy between the three approaches. Relatively little is known to date about how to fully integrate these domains in real-life, vulnerability-reducing programs and projects on the ground. Greater investment in research, evaluations and impact assessments is urgently required. On evaluation Lawrence Haddad pointed out that there will probably be a need for a “revolution” in the way evaluation is currently implemented. Like many others he advocated for a greater focus on subjective (emic) perception of risks – as opposed to current approaches which rely essentially on objective (etic) indicators. Experimental economics and psychology have much to say, he argued, on how people perceive and adapt to risk. Similarly, the potential of the WeD framework (applying a three-dimensional well-being approach – see for example, McGregor 2007; White 2010) to evaluate more comprehensively the impacts of SP, CCA or DRR interventions on people’s well-being has been demonstrated (for example, MacAuslan and Riemenschneider 2011).

**A human-centered approach:** More globally, there was a clear sense that not enough attention had been paid so far to community-based approaches to facilitate the integration between SP, CCA and DRR. This resonates with another major conclusion of the workshop, namely the fact that the frameworks used to conceptualize, plan, implement or evaluate interventions have so far been too “program-centered” and not “people, or client-centered” enough. One potential explanation for this focus on programs that was suggested during the plenary session is the increasing insistence by donors on budget transparency and good governance, which often leads to a strong focus on indicators at program level – as opposed to indicators at recipient/household level.

**“Getting real” is good:** Overall, raising the question of whether integrating SP with DRR and CCA will “do more harm than good” may turn out to be unwarranted, but participants agreed that there are certainly circumstances under which the synergy between the three domains may not be systematic and should therefore not be taken for granted. The identification of the conditions under

which those unfavorable combinations may occur is a priority. This is in itself a major step forward as it indicates the emergence of a “healthier” and more constructive – discussion that goes beyond a pure rhetorical discourse asserting the benefit of combining SP, CCA and DRR.

**Building on what we have:** The third major conclusion of the plenary discussion is that the SP/CCA/DRR integration is not about reinventing the wheel but about sharing knowledge and bringing flexibility into existing programs’ design. The PSNP in Ethiopia, for instance, started as a program aimed at addressing food insecurity and progressively built on this component to include climate vulnerability and eventually become climate smart.

**Recognizing the “political economy” of the process:** The process of building or adding those complementary elements requires a good understanding and knowledge of what it means for each discipline. It is not simply a question of including additional objectives, it is also a question of making additional resources available. This last point led Stephen Devereux and others to point out the “political economy” dimension of the process – that is, the recognition that (re)allocations of resources are usually not free of costs and may end up creating tension or conflicts between various groups of stakeholders. There is, therefore, a clear need to make sure that all those stakeholders are included in the process, including donors and government agencies.

**Poverty, vulnerability and the paradox of economic growth:** The final point in these reflections is related to a remark made by Andrew Steer in his introductory video address. He

pointed out that “There is now wide recognition that while the poor of the world have done almost nothing to cause the [climate change] problem, they will certainly bear the biggest burden of pain from its impact.” In reaction to this point, participants certainly acknowledged the paradox associated with the current economic growth paradigm. On the one hand, economic growth is seen by many as the most effective way to alleviate poverty at a global level. On the other hand the high carbon model associated with economic growth is also recognized to

“Households cope with high levels of everyday risk... We need to learn from them”



Group of farmers attending a disaster risk prevention meeting, India

be the major source of climate change and subsequent disasters (drought, flood, ice melting, and sea level rise) that are already affecting the populations of those same developing countries. Although this issue was not an explicit focus of the workshop, many participants felt that, if one believes in the pro-poor dimension of SP, CCA and DRR, one cannot simply ignore this paradox. By this logic, there should therefore be strong advocacy for a shift in the current paradigm – as highlighted by the participants of a previous workshop organized in 2008 (World Bank 2008). Until this happens, however, the urgency is to help those in developing countries to build resilience and reduce their exposures to multiple sources of vulnerability. Managing to combine SP, CCA and DRR objectives into effective programs would be a critical step in this direction.

#### 4. Next steps

In one of the final exercises in the workshop, participants were invited to comment on immediate, actionable next steps to pursue as a result of the workshop. These comments can be grouped into four broad categories of response:

##### **A virtual network to continue the learning:**

This would permit participants to establish themselves as a *core network of practice* on integrating social protection, climate change adaptation and disaster risk reduction. Concrete suggestions include:

- a. Creating an e-mail distribution list;
- b. Establishing an e-learning group;

- c. Running a virtual network of practitioners hosted by the World Bank or the Institute of Development Studies, possibly with joint funding from donors, which would focus on:
  - i. Strengthening and widening the network, taking workshop participants as the core/nucleus
  - ii. Developing and maintaining a web page or platform to house and facilitate the network;
- d. Using the international and national media as a means of sharing good concepts and practice more widely.

**Follow-up events with a specific focus and/or audience:**

There were a significant number of suggestions about potential follow-up events, many of which identified necessary audiences to reach, the mechanisms for deepening integration, as well as the priorities for action. Some examples include:

- a. Design and implement events for community self-organization, country-specific, community-level, academic and other development bank actors;
- b. Organize a follow-up meeting in a few years to review progress and identify what has been learned and implemented from the recommendations proposed from the Addis conference;
- c. Establish a social protection working group to discuss further how to incorporate disaster risk reduction and climate change adaptation into policies, programs and projects;
- d. Create an international network of practitioners from the three thematic areas, which could devise a strategy of integration and assist individual countries to integrate;
- e. Create a working group on how to synthesize and develop monitoring and evaluation approaches – encourage common baselines, datasets and evaluative/analysis methods;
- f. Encourage policy makers to consider the priorities illuminated by a 3P approach (promotion, prevention and protection);
- g. Challenge the current paradigm on economic growth and propose changing the systems to a more self-reliant planet friendly system

**Further collaboration at country level:**

This would be a logical next step in operationalizing the agenda developed throughout the conference, and was one

which many participants had already started to consider in practical terms. Some suggestions included:

- a. Set up regional working groups with the objective to initiate the “road testing” of integrated approaches;
- b. Form self-help groups, as an effective approach to releasing the potential of people themselves and allowing them to step out of poverty. It would provide the people with institutions which allow not only the integration of SP, CCA and DRR, but all other disciplines;
- c. Pilot further integration with country representatives as agents of change;
- d. Develop in-country guidelines and capacity building expertise for integration of the three communities bottom-up, as opposed to top-bottom agenda;
- e. Organize exchange visits between countries and programs, for example, India and Ethiopia.

**Collaboration on research and collective thinking:**

Whilst a consensus had clearly been reached at the workshop that integration of SP, CCA and DRR is a promising agenda, it was also evident that not enough is known about how to pursue it effectively. Not surprisingly a number of suggestions were made for further research. These include:

- a. Formulate resilience indicators;
- b. Fund 3–4 major programs to explore the current practice of integration (or lack therein) of SP/DRR/CCA “on the ground”, and document the value added in terms of effectiveness and human development impact;
- c. Produce a glossary indicating overlaps and differences between the three fields;
- d. Analyze in greater detail institutional decision making related to ASP;
- e. Follow up on recent academic literature on decision making to explore how to integrate the three domains in ways that work, recognizing actual incentives, cognitive and behavioral biases, etc. of people and institutions;
- f. Analyze where and on what terms the so-called funding of climate financing is coming from, in order to form a clearer picture of the resource availability implications for the integration agenda;
- g. Support the creation of local and national thinktanks so as to reduce reliance on “international” consultants.



Participant of the Addis Ababa international workshop, during one of the group sessions, Ethiopia



# Appendices

## Appendix 1 Workshop agenda

### Monday, March 14, 2011

- 08:00–09:00 Registration and coffee, Africa Hall, UNECA
- 09:30–09:40 Arrival of H.E. Girma W/Giorgis, President, the Federal Democratic Republic of Ethiopia
- 09:40–09:45 Opening remarks **Jennifer Kargbo**, Deputy Executive Secretary, UN Economic Commission for Africa (UNECA)
- 09:45–10:00 Welcome address **H.E. Girma W/Giorgis**, President, the Federal Democratic Republic of Ethiopia
- 10:00–10:15 Special video address **Andrew Steer**, Special Envoy for Climate Change, World Bank  
With introduction by **Robert S. Chase**, Sector Leader, Human Development, World Bank, Ethiopia
- 10:15–10:35 Inaugural address **Dr. Tewolde B. G. Egziabher**, Director-General, Environmental Protection Agency, Ethiopia
- 10:35–10:55 Keynote address **Vijay Kumar**, Joint Secretary, Ministry of Rural Development, India
- 10:55–11:25 *Coffee break*
- 11:25–11:45 Introduction and conceptual overview **Lawrence Haddad**, Director, Institute of Development Studies
- 12:00–12:15 Workshop objectives **Robin Mearns**, Lead Social Development Specialist, World Bank
- 12:15–12:30 Overview of workshop structure and ground rules **Steve Ashley**, Facilitator
- 12:30–13:30 *Lunch*
- 13:30–14:00 “Weather or Not?” A Game of Forecasts and Actions. Facilitated by **Pablo Suarez**,  
Red Cross Red Crescent Climate Centre
- 14:00–14:30 Introduction to thematic working groups
- i. *creating an enabling environment for cross-sectoral implementation;*
  - ii. *improving decision making and facilitating knowledge exchange and learning;*
  - iii. *planning, implementing and evaluating in the context of uncertainty; and,*
  - iv. *improving targeting and delivery.*
- 14:30–15:30 Working groups Introductions, *sharing of expectations and objective setting*
- 15:30–16:00 *Coffee break*
- 16:00–16:45 Plenary session *Working groups will share their expectations and plans*
- 16:45–17:15 Introduction to field visits **Wolter Soer**, PSNP Program Coordinator, World Bank and **Steve Ashley**, Facilitator
- 17:30–19:00 *Cocktail reception*

**Tuesday, March 15, 2011***Field sites visit.*

1. *Sire Woreda, Oromiya Region*
2. *Lemo Woreda, Hadiya Zone, SNNPR*
3. *Chilimo Participatory Forest Management Project (PFM)*
4. *Solar Cookers and Community Forest Plantation Project: Partnership for Integrated Sustainable Development Association, Debre Zeit*

**Wednesday, March 16, 2011**

- 08:30–09:00 Introduction to the day **Steve Ashley**, Facilitator
- 09:00–10:30 Working group discussions
- 10:30–11:00 *Coffee break*
- 11:00–12:30 Working group discussions continued
- 12:30–14:00 *Lunch*  
*Building Resilience and Opportunity: The World Bank Social Protection and Labor Strategy 2012–2022*  
*World Bank's process to prepare a new global Social Protection and Labor Strategy, and an Africa regional SP strategy presented by Laura Rawlings, Lead Social Protection Specialist, and Robert Chase.*
- 14:00–15:30 Working group discussions continued
- 15:30–16:00 *Coffee*
- 16:00–18:00 Working group discussions continued
- 19:00–22:00 *Conference Dinner Sheraton Hotel*

**Thursday, March 17, 2011**

- 08:30–10:30 Report back by working groups to plenary and discussion **Steve Ashley**, Facilitator
- 10:30–11:00 *Coffee break*
- 11:00–12:00 The way forward: reflections from government (*Panel discussion*):  
**Justine Gatsinzi**, National Program Coordinator, Vision 2020 Umurenge Program, Rwanda  
**Ramiro Ornelas**, Director General for Vulnerable Groups, Ministry of Social Development, Mexico  
**Amadeus Kamagenge**, Director, Tanzania Social Action Fund, Tanzania  
**Nguyen Huu Phuc**, Director, National Center for Disaster Management, MARD, Vietnam
- 12:00–13:00 The way forward: an institutional perspective (*Panel discussion*):  
**Johan Schaar**, Director, Policy Division, Swedish International Development Agency (Sida)  
**Richard Choularton**, Senior Policy Officer, World Food Programme  
**Alison Rusinow**, Senior Advisor, HelpAge International  
**Allister J. McGregor**, Head of Vulnerability and Poverty Reduction Team, IDS
- 13:00–13:15 Workshop closure
- 13:15–14:30 *Farewell lunch*

## Appendix 2 List of participants

No.	Surname	First name	Job title	Organization	Country
1	Abate	Asferchew	Environmental Specialist	World Bank	Addis Ababa, Ethiopia
2	Abate	Kalkidan	Assistant	UNECA	Addis Ababa, Ethiopia
3	Abdisa	Yodit	Regional Specialist Disaster Risk Reduction	UNICEF	Nairobi, Kenya
4	Aberra	Gullilat	PISDA Manager	Partnership for Integrated Sustainable Development Association	Addis Ababa, Ethiopia
5	Agbohlah	Senyo	Governance and Public Administration Fellow	UNECA	Addis Ababa, Ethiopia
6	Ahmad	Nilufar	Senior Gender Specialist	World Bank	Washington DC, USA
7	Anderson	Simon	Head of Climate Change	IIED	London, UK
8	Argaw	Merese	Regional DRMFS Head		
9	Arnold	Catherine	Social Protection Adviser	DFID	London, UK
10	Arnold	Margaret	Senior Social Development Specialist	World Bank	Washington DC, USA
11	Asfaw	Araya	Director	Horn of Africa Regional Env Ctr/AAU	Addis Ababa, Ethiopia
12	Ashley	Steve	Director	The IDLgroup	Bristol, UK
13	Ayalew	Berhanu	Special Advisor of the Director General	Environmental Protection Authority	Addis Ababa, Ethiopia
14	Balbo	Claire		ISDR	Addis Ababa, Ethiopia
15	Baleher	Assefa	Director Developmental Social Welfare	Ministry of Labour and Social Affairs	Addis Ababa, Ethiopia
16	Banerjee	Aditi	Disaster Risk Management Analyst	World Bank	Washington DC, USA
17	Bekele	Seleshi	Senior Water and Climate Change Specialist	UNECA	Addis Ababa, Ethiopia
18	Belay	Sophia	Micro Insurance Coordinator	OXFAM	Addis Ababa, Ethiopia
19	Belete	Nathan	Senior Economist	World Bank	New Delhi, India
20	Béné	Christophe	Coordinator ASP Programme	Institute of Development Studies (IDS)	Brighton, UK
21	Berhan	Tewolde	Director General	Environmental Protection Authority	Addis Ababa, Ethiopia
22	Bezabhe	Habtu	Acting Director	Ministry of Agriculture	Addis Ababa, Ethiopia
23	Bisrat	Konjit	Assistant	UNECA	Addis Ababa, Ethiopia
24	Bosworth	Joanne	Senior Social Policy Specialist	UNICEF	Nairobi, Kenya
25	Burton	Cynthia	Facilitator	Independent Consultant	Australia
26	Campbell	Ian	Public Works Specialist	World Bank Ethiopia Office	Washington DC, USA
27	Chase	Robert	Lead Economist Human Development	World Bank	Addis Ababa, Ethiopia
28	Chen	Hongbo	Associate Professor	Chinese Academy of Social Sciences	Beijing, China
29	Chipeta	Paul W	Director of Operations	Local Development Fund TST	Lilongwe, Malawi
30	Choularton	Richard	Senior Policy Officer	UNWFP	Rome, Italy

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31	Coll-Black	Sarah	Social Protection Specialist	World Bank	Nairobi, Kenya
32	Costella	Cecilia	Consultant	World Bank	Washington DC, USA
33	Cuccillato	Emanuele	Advisor	DFID	Beijing, China
34	Dadi	Tadesse	Programme Support Advisor	Tearfund	Addis Ababa, Ethiopia
35	de la Fuente	Alejandro	Social Development Economist	World Bank	Washington DC, USA
36	Dessie	Lavie	Assistant	UNECA	Addis Ababa, Ethiopia
37	Devereux	Stephen	Fellow	Institute of Development Studies (IDS)	Brighton, UK
38	di Chiara	Carlo	Task Manager	EU Delegation to Ethiopia	Addis Ababa, Ethiopia
39	Etherington	Keith	Country Representative	Tearfund	Addis Ababa, Ethiopia
40	Fajber	Liz	Research Advisor	DFID	London, UK
41	Fekadu	Shimelis	Climate Change and Environment Team Leader	UNDP-Ethiopia	Addis Ababa, Ethiopia
42	Gatsinzi	Justine	National Coordinator, Vision 2020 Umurenge Program (VUP)	Ministry of Local Government	Kigali, Rwanda
43	Gebremichael	Melaku	Social Protection Specialist	World Bank	Addis Ababa, Ethiopia
44	Gebru	Fithanegest	Program Officer	UNWFP	Addis Ababa, Ethiopia
45	Geurt	Geert	Head Development Cooperation		
46	Gherington	Raul	Country Representative	Tearfund	Addis Ababa, Ethiopia
47	Girmay	Belay	Head of Protocol of H.E. President of FDRE	President's Office	Addis Ababa, Ethiopia
48	Haddad	Lawrence	Director	Institute of Development Studies (IDS)	Brighton, UK
49	Harris	Katie	Programme Coordinator	Institute of Development Studies (IDS)	Brighton, UK
50	Heltberg	Rasmus	Senior Techn. Specialist	World Bank	Washington DC, USA
51	Hobson	Matt	Coordinator	World Bank	Addis Ababa, Ethiopia
52	Hocklander	Scott	Chief Assistant and Livelihood Transition Office	USAID	Addis Ababa, Ethiopia
53	Hussein	Ayuba Sani	Social Protection Advisor	Irish Aid	Addis Ababa, Ethiopia
54	Hypher	Nicola	Policy Advisor-Social Protection	Save the Children UK	London, UK
55	Jacob	Julien	Senior FSL Advisor	ACF international	Spain, Madrid
56	Jeba	Tamiru	Director, Planning and Change Management	Ministry of Labour and Social Affairs	Addis Ababa, Ethiopia
57	Kamagenge	Amadeus	Training, Research and Participation Specialist	TASAF	Dar es Salaam, Tanzania
58	Kargbo	Jennifer	Deputy Executive Secretary	UNECA	Addis Ababa, Ethiopia
59	Kassa	Saba	Individual Contractor	UNECA	Addis Ababa, Ethiopia
60	Krebber	Iris	Food Security Advisor	DFID	London, UK

61	Kumar	Thallam Vijay	Joint Secretary	Ministry of Rural Development	New Delhi, India
62	Kumar	Animesh	Program Leader, Disaster Risk Profiling	WFP/DRMFSS	Addis Ababa, Ethiopia
63	Laike	Acklog	Programme Officer	Embassy of Sweden	Addis Ababa, Ethiopia
64	Latif	Jalal Abdel	Section Chief	UNECA/GPAD	Addis Ababa, Ethiopia
65	Luminari	Luigi	Technical Advisor	DMI/EC	Nairobi, Kenya
66	Manda	Joanne	Climate Change Advisor	DFID Bangladesh	Dhaka, Bangladesh
67	Marks	Naomi	Communication Consultant	Institute of Development Studies (IDS)	Brighton, UK
68	Mason	Kirsty	SDA DFID	DIFD	London, UK
69	McGregor	Allister	Team Leader, Vulnerability and Poverty Reduction	Institute of Development Studies (IDS)	Brighton, UK
70	Mearns	Robin	Lead Social Development Specialist	World Bank	Washington DC, USA
71	Mesfin	Emebet	Governance and Public Administration Officer	UNECA	Addis Ababa, Ethiopia
72	Mohammed	Ahmed	Disaster Risk Management Specialist	The World Bank, Ethiopia	Addis Ababa, Ethiopia
73	Mohammed	Muderis Abdulahi	Social Protection Specialist	World Bank	Addis Ababa, Ethiopia
74	Molla	Meaza	Staff Assistant	UNECA	Addis Ababa, Ethiopia
75	Morel	Julien	Food Assistance and Social Protection Advisor	Action Contre la Faim	Paris, France
76	Muhangi	Peter	Head of Hunger Reduction	Save the Children UK	Addis Ababa, Ethiopia
77	Mwakalimi	Stern	Relief and Rehabilitation Officer	Department of Disaster Management Affairs	Lilongwe, Malawi
78	Mwamanga	Ladislaus	Ag. Executive Director	TASAF	Daresaalam, Tanzania
79	Naqvi	Maniza	Senior Social Protection Specialist	World Bank	Washington DC, USA
80	Narbeth	Simon	Social Development Advisor	DFID	Khartoum, Sudan
81	Newsham	Andy	Fellow	IDS	Brighton, UK
82	Nguyen	Phuc	Director	National Disaster Management. Center of Gov.	Vietnam
83	Nkhoma	Dyce Kapumula	Principal Relief and Rehabilitation Officer	Dept. of Disaster Management Affairs	Lilongwe, Malawi
84	Noaman	Anwar	PPCR Coordinator Yemen	EPA	Sanaa, Yemen
85	Omol	Shadrack	Chief, Emergency	UNICEF	Addis Ababa, Ethiopia
86	Ornelas	Ramiro	General Director	Ministry of Social Development	Mexico
87	Pajazetovic	Mustafa	Team Assistant	World Bank	Washington DC, USA
88	Pearson	Roger	Senior Social Policy Specialist	UNICEF	Addis Ababa, Ethiopia
89	Percy	Fiona	Coordinator Adaptation Learning Programme	CARE International	Nairobi, Kenya
90	Price	Christopher	Advisor	DFID	Nairobi, Kenya

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91	Ranaivumanana	Guy	Governance and Public Administration	UNECA	Addis Ababa, Ethiopia
92	Ratinam	Mathanraj	Professor	Parsons the New School for Design	New York, USA
93	Rawlings	Laura	Lead Social Protection Specialist	World Bank	Washington DC, USA
94	Riedacker	Arthur	Consultant/ACPC	UNECA	Ivry, France
95	Rigaud	Kanta Kumari	Lead Adaptation Specialist	World Bank	Washington DC, USA
96	Rusinow	Alison	Country Director Ethiopia	HelpAge International	Addis Ababa, Ethiopia
97	Sandiford	Stephen	Team Leader, Food Security	CIDA	Addis Ababa, Ethiopia
98	Schaar	Johan	Director	SIDA	Stockholm, Sweden
99	Schirmer	Susanne	ASP Coordinator	Institute of Development Studies (IDS)	Brighton, UK
100	Scholneberges	Johannes	Deputy Program Director SLM	GTZ	Addis Ababa, Ethiopia
101	Shiferaw	Kassahun	Clerk	UNECA	Addis Ababa, Ethiopia
102	Siegel	Paul	Consultant	World Bank	Washington DC, USA
103	Silva Villanueva	Paula	Consultant	Institute of Development Studies (IDS)	Brighton, UK
104	Soer	Wolter	Program Coordinator Africa Social Protection Team (PSNP)	World Bank	Addis Ababa, Ethiopia
105	Sokona	Youba	Coordinator of ACPC	UNECA	Addis Ababa, Ethiopia
106	Solorzano	Ana	Research Student	Institute of Development Studies (IDS)	Brighton, UK
107	Suarez	Pablo	Associate Director of Program	Red Cross Red Crescent Climate Centre	Wayland, USA
108	Teshome	Takele	Program Analyst	UNDP-Ethiopia	Addis Ababa, Ethiopia
109	Wainwright	Colleen	Head of Development	Irish Aid	Addis Ababa, Ethiopia
110	Warner	Koko	Head of Section, Academic Officer	United Nations University	Bonn, Germany
111	Webley	Katy	Director Policy and Programmes	Save the Children UK	Addis Ababa, Ethiopia
112	Wickrema	Sonali	Head of Programme	WFP	Addis Ababa, Ethiopia
113	Wignarajah	Praveen	Climate Advisor	DFID Ethiopia	Addis Ababa, Ethiopia
114	Woldemichael	Berhanu	Director, Food Security Coordination Directorate	Ministry of Agriculture	Addis Ababa, Ethiopia
115	Woldeyohannes	Alemseged	Program Specialist Social Protection	UNOPS	Addis Ababa, Ethiopia
116	Woyessa	Getu	Program Operation Manager	FARM-Africa Ethiopia	Addis Ababa, Ethiopia
117	Wu	Xiangyang	Associate Research Fellow	The Chinese Academy of Social Science	Beijing, China
118	Wukaw	Begashaw	PW Specialist	World Bank	Addis Ababa, Ethiopia
119	Yadessa	Geremew	Food Security Project Manager	Tearfund UK, North Sudan Programme	Addis Ababa, Ethiopia

## Appendix 3 Description of the four field visit sites

### 1. Sire Woreda, Oromiya Region

Sire sits in the eastern part of Ethiopia. The population of the *Woreda* is estimated at 87,170. The community's livelihood derives mainly from rained agriculture (wheat, teff and maize). The main cash crops are garlic/onion and soybean. Livestock (cattle, goats, sheep and camel) is also significant. In recent years, rainfall irregularities have become very common, affecting food security among both cultivators and herders in this area. Crop failure from drought is common, and chronic and transitory food insecurity has been increasing over recent years. Sire is now known as a food deficit area.

Sire will demonstrate how a social protection program, in the form of the PSNP, provides access to a predictable source of income in a place where livelihoods depend on unpredictable weather patterns. Currently, there are about 7,409 PSNP beneficiaries. Sire will also show how livelihood-focused programs are complementing the PSNP, focusing on building sustainable livelihoods through diversifying income sources and increasing productive asset bases. In 2009, there was an emergency in this *Woreda* (crop production deficit due to irregular rainfall) which triggered the implementation of the risk financing mechanism of the PSNP which saw PSNP transfers extended to clients by one month.

### 2. Lemo Woreda, Hadiya Zone, SNNPR

Lemo *Woreda* is located in Hadiya zone where major disasters are happening on a yearly basis. The *Woreda* is characterized by frequent drought. Over 133,000 people reside in the *Woreda*. The PSNP is supporting 10,456 people every year.

Lemo is an example of a *Woreda* in which a social protection program could be further strengthened to support adaptation capacity and disaster risk reduction as it aims to reduce the need for emergency relief in response to shocks. Participants can also explore how the Risk Financing Mechanism of the PSNP has been implemented in this *Woreda* and whether the *Woreda* has tailored the PSNP to meet its needs. For example, has the contingency budget been used to expand the PSNP caseload in times of disaster? The *Woreda* poses the

question: should public works activities in this area be based on soil and water conservation only or should they also be tailored to reducing risks and mitigating effects of climate change in other ways? This is also an area where participants can consider the role of increased capacity building related to contingency planning that would help the community mitigate the impacts of climate change (degradation of natural resources, food prices and employment risks, displacement, etc). As the PSNP is implemented by government in this *Woreda*, the visit will also allow participants a chance to see how this social protection program is also building institutional capacity of local government to address climate change through the incorporation of DRR and adaptation approaches.

### 3. Chilimo Participatory Forest Management Project (PFM)

The Chilimo Forest (also known as Chilimo-Gaji Forest) is a dry Afro-Montane forest in the West Shoa zone in Dendi *Woreda*, with an estimated forest cover of 5,000 ha. The forest is rich in biodiversity with a variety of tree species, over 180 species of bird and 21 species of mammal. A number of rivers, including the Awash, start from within the Chilimo Forest. The people living in the forest, many of whom are descendants of migrants that originally came to work in the sawmills, are farmers working with both crops and livestock. About 3,000 households with an estimated total population size of 15,000 live inside and on the periphery of Chilimo Forest.

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PSNP participant from  
Sire Woreda, Ethiopia



FARM-Africa began activities to promote Participatory Forest Management (PFM) in Chilimo Forest with two objectives: conservation and sustainable management of the existing natural forest; and improvement of the livelihoods of the local community. Since then, Chilimo Forest has become an example of good-practice in PFM. Local communities at Chilimo have organized themselves as forest user groups (FUGs) and manage the forest themselves. Project impacts include: forest regeneration both within the natural forest and in degraded areas

“Participants will see ways in which women have been empowered, particularly related to the environment and livelihoods”

where as a result of area closures, environmental awareness, household income improved, alternative livelihoods made available, forest products value increased through limited access and improved forest conditions, and social equity with increased participation and status of women and the *Menja1* who were once ostracized. Chilimo presents

conference participants with an example of adaptive social protection, with an emphasis on transforming productive livelihoods as well as protecting, and adapting to changing climate conditions as opposed to reinforcing negative coping mechanisms. It will allow conference participants an opportunity to reflect on themes of ownership, awareness, rights, diversification and institutional capacity.

#### **4. Solar Cookers and Community Forest Plantation Project: Partnership for Integrated Sustainable Development Association (local NGO) Initiative**

Solar Cooking Netherlands (SCN) teamed up with Partnership for Integrated Sustainable Development Association (PISDA), a local non-governmental organization, to introduce solar cooking in four rural villages around Debre Zeit in the Oromiya Region. Approximately 1,000 female heads of households were targeted to adopt the carton Solar CookKit system, designed by engineers from the Dutch Delft University and introduced to Ethiopia by Solar Cooking Netherlands PISDA. The target group is now producing the solar cookers and hay boxes (to keep the food warm until early evening) at the PISDA compound in Debre Zeit.

The CookKit is a cheap solar cooker, in which rice, pasta, lentils, vegetables, chicken, goat, and baby food can be prepared and, equally important, water can be pasteurized. In bright sunlight the food is ready within 2–3 hours. The CookKit is made from cardboard, lined with aluminum foil. A lightweight 4-liter, flat black-painted pan is placed in the CookKit, in a heat resistant plastic bag.

The community now uses the sun for cooking when possible and firewood efficient stoves or plant oil cookers are used during rainy or cloudy days. Women have also created firewood lots (managed enclosures) to increase the availability of woody biomass for cooking. Since it is mainly women who do the cooking in the household, the time they need to spend gathering wood has decreased, and their safety has increased, as they need not venture far to seek firewood. Participants will see ways in which women have been empowered, particularly related to the environment and livelihoods. For example, a savings and credit system is being developed, and women are growing *Jatropha* hedgerows that yield nuts for the production and sale of fuel oil. In short, there is an increased focus on income diversification that will build resilience among this group. Participants will be exposed to the linkages between risk reduction, social protection and climate change adaptation in this practical, inexpensive project example that both reduces vulnerability and reduces stress on the environment while contributing to social and economic justice through: 1) reduced desertification; 2) reduced deforestation and emissions from burning fuel; 3) reduced risk of respiratory illness resulting from inhaling smoke from indoor fires; 4) reduced risk of gastrointestinal illness from drinking impure water (water can be boiled in the solar cookers); 5) reduced risk of attack in certain danger zones (women need not venture far to seek firewood); and 6) improved quality of life for those without access to energy.



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