

Civil Society Guide

to National Social Protection Floors



**FRIEDRICH
EBERT** 
STIFTUNG

Imprint

Friedrich-Ebert-Stiftung | Global Policy and Development
Hiroshimastr. 28 | 10785 Berlin | Germany

Responsible:

Dr. Cäcilie Schildberg | Social Justice and Gender

Phone ++49-30-269-25-7461 | Fax: ++49-30-269-35-9246

<http://www.fes.de/GPol/en>

To order publications:

Sandra.Richter@fes.de

Commercial use of all media published by the Friedrich-Ebert-Stiftung (FES) is not permitted without the written consent of the FES.

ISBN 978-3-95861-107-8

Civil Society Guide

to National Social Protection Floors

INDEX

Preface	6
Introduction	8
Acknowledgement	11
CHAPTER 1	
Which Floors for Social Protection, and Why?	12
CHAPTER 2	
Roles of Civil Society and SPFs	30
CHAPTER 3	
How to Start – Awareness Raising and Advocacy	50
CHAPTER 4	
Following Through: Implementation, Monitoring and Evaluation	65
Tools	77
Abbreviations	78
References	79
Contributors	81
Recommendation (R.202) concerning National Floors of Social Protection	82
Glossary	89

List of boxes, figures and tables:

BOX 1: Main international source for social security as a human right	15
BOX 2: Options to complete the Social Protection Floor in Vietnam	18
BOX 3: Your steps in building networks and alliances	40
BOX 4: Case study – The evolution of social protection in Bolivia	54
BOX 5: Case Study – Evidence based social protection advocacy in Uganda	57
BOX 6: Steps in understanding the social protection policy process	58
BOX 7: Steps in clarifying the target audience and process for advocacy	59
BOX 8: Example of a Civil Society Social Protection Network at continental level	62
BOX 9: Steps in developing and delivering policy messages	63
BOX 10: Key steps in developing a monitoring and evaluation framework for SPF advocacy	64
BOX 11: Universal Periodic Review of national policies of the Human Rights Council	70
BOX 12: SMART Management Technique	74

Figure 1: <i>Intermediate scenario. Old-Age pension for elderly not covered by contributory scheme, child benefit for all poor children, working-age income security</i>	20
Figure 2: <i>Examples of cost and effects of SPF elements in developing countries</i>	21
Figure 3: <i>Two-dimensional strategy for the extension of social security</i>	26
Figure 4: <i>Steps in the advocacy process</i>	53
Figure 5: <i>Basic flow and principles of monitoring and evaluation systems</i>	72

Table 1: <i>Developing an advocacy audience map – an example</i>	60
Table 2: <i>The 10 step UNSPF Initiative Implementation Plan</i>	67
Table 3: <i>A suggested core set of indicators and benchmarks for a SPF monitoring and evaluation system</i>	75

PREFACE

These are challenging times. We have not only been witnessing economic and financial crises since 2008, but also a deep crisis of social justice. Levels of inequality are rising to such an extent both in advanced and in developing countries that we expect that by 2016 the richest one percent of the world's population will possess more wealth than the other 99%. Since the economic crisis erupted in 2008, more people have been falling under poverty because of slow or inadequate policy responses. Young people today are faced with a more uncertain future than the generation of their parents. No society can afford to ignore this human crisis.

An important element of the policy responses required for combating poverty, inequality and economic downturns are social protection measures. Social protection is one of the foundations for inclusive, equitable and sustainable development and it enables people to fully enjoy their human rights and fundamental freedoms. Well-designed social protection systems ensure decent work and raise living standards, as a result, they support domestic consumption and increase productivity. And despite what many may think, a floor of protection – as a first step in building up a comprehensive and rights-based social protection system – is affordable, as experiences in various countries have shown.

Social Protection Floors (SPFs) aim to provide social protection for all citizens. The adoption of the Recommendation 202 on National Floors of Social Protection in 2012 by world countries constitutes a breakthrough in the establishment of a long overdue policy concept that provides guidance to states on how to build up a comprehensive national social protection system on the solid foundation of a floor, with adequate consultation and national dialogue with all relevant partners.

While the main responsibility for the provision of comprehensive social protection or social security systems lies with the states, civil society organizations and trade unions play an important role in supporting an adequate design, implementation and monitoring, as well as advocating for the rights and the empowerment of people.

PREFACE

This Civil Society Guide for National Social Protection Floors makes an important contribution towards strengthening the role of civil society and trade unions in the design and implementation of effective social protection systems, holding their governments accountable for their responsibility to provide social security for all.

I would like to thank the Friedrich-Ebert-Stiftung for taking the initiative to develop this Guide together with their partners and the Global Coalition for Social Protection Floors. We hope that civil society organisations, as well as trade unions, will find it useful.

Geneva, 5 March 2015



Isabel Ortiz

Director, Social Protection Department

International Labour Organisation (ILO), Geneva, 5 March 2015

INTRODUCTION

Social Protection Floors: Enabling Social Justice

On the one hand the world as a whole is getting richer materially and financially, while at the same time that wealth is being distributed more and more unequally. The rise in inequalities between countries, as well as within many, even industrialized, countries, is negatively affecting equal access to health, employment, education, knowledge and environmental goods and services, such as clean air and fresh water.

In light of the international economic crisis a common understanding amongst international policymakers emerged, acknowledging that social protection is not only a human right but also an economic necessity in that it serves as an automatic stabilizer during times of crisis. To some extent this international support for social protection was the admission of policy makers that the lack of social protection systems in many countries worsened the social fallout of the crisis. It became clear that far from being just a cost factor in national budgets, because of their overall importance social protection systems should form part of national development strategies. Moreover, contrary to the widespread belief that social protection is too expensive for poor or developing countries, first experiences in developing countries with the implementation of a social protection floor (SPF) prove that social protection is affordable and that it can foster development and growth.

The real challenge facing us now is to ensure that the lessons learned during the crisis are not quickly forgotten again before action is taken. In 2012 the international community reached a consensus on social protection for the first time as 184 countries committed themselves to implementing floors of social protection for all their citizens. Three years later, the fiscal crisis has made governments turn back towards restrictive social policies. They do not seem to have the will to invest in long-term strategies for building up social protection systems. In this situation it is of utmost importance that the demand for social justice be articulated and carried out by the people themselves. National coalitions of trade unions and civil society must hold their national governments accountable for their promises and push them into action. But how can this be done?

The idea of a Civil Society Guide to National Social Protection Floors

In 2012 the Friedrich-Ebert-Stiftung office in Geneva organised a workshop with a variety of civil society organisations and trade unions. The outcome of this workshop was a joint statement of a group of NGOs, promoting the adoption of a strong recommendation on Social Protection Floors (SPFs) at the International Labour Conference in the summer of 2012. After the adoption of this recommendation by the constituencies of the ILO, a core team of NGOs committed themselves to continue to work together on these issues. They established the Global Coalition for Social Protection Floors, a global network of over 80 civil society organizations that supports and advocates for SPFs at the national and international level.

But once the adoption of the recommendation, known as Recommendation 202, was achieved, it quickly became clear that the center of activity must be relocated from the international to the national, or even local, level because it is there that a floor of social protection must be implemented.

Even though the state carries the main responsibility for providing social security systems, we feel that the support of civil society and trade unions in the implementation of SPFs is crucial. Civil society actors and trade unions can contribute not only through their technical expertise but also by providing information and by monitoring the process. Recommendation 202 concerning National Floors of Social Protection explicitly mentions the involvement of NGOs as additional partners for the national dialogue and the monitoring process. Such a reference to civil society should not be taken for granted. It shows the importance of supporting NGOs to be part of the implementation processes at the national level.

Therefore, the Friedrich-Ebert-Foundation, in cooperation with the ILO, organised three regional workshops in Cambodia, Argentina and Morocco involving mainly NGOs, trade unions and experts on social protection from each region. The aim of these regional workshops was to get a better insight into the achievements and the challenges that civil society organisations face in their work for social protection and the SPF idea. During these regional conferences many partners expressed the need for more information on the possible roles and areas of engagement for civil society and trade unions during the national SPF implementation processes. And so the idea to develop a Civil Society Guide for National Social Protection Floors was born.

Aim and design of the Guide

In order to support the demand for social justice, this Guide is intended to help civil society organizations to:

- ✓ take on the cause for SPFs and to foster the commitment to SPFs among new NGOs and other social actors,
- ✓ get a better understanding of their role within the concept of SPFs,
- ✓ learn from practical examples from other countries and regions,
- ✓ learn from the examples of actors and good practices for national and international networking,
- ✓ attain useful information, for example about the rights and possibilities of civil society to be involved in the development of national strategies of social protection and monitoring.

The guide consists **of four chapters**. Each chapter can be read independently from the others, depending on the knowledge and experiences of the reader and the national context.

The **first chapter** gives an explanation of the SPF concept and its origins and provides the reader with the arguments in favor of social protection. **Chapter two** presents and discusses the roles civil society can play in the context of SPFs. An introductory part clarifies the term civil society and its relationship to other actors. How civil society actors can become active in the field of SPFs, which steps are necessary to build up a solid ground for engagement, and how to set up a national dialogue on SPFs are all described in **chapter three**. **Chapter four** describes the role of CSOs in assuring that the principles of SPFs are abided by throughout the implementation process and maintained after SPFs are implemented. Participation in monitoring and evaluation are key areas of engagement for civil society actors.

At the end of the Guide we have attached the text of Recommendation 202. This text is an indispensable reference for any engagement on SPFs and provides guidance for policy makers as well as civil society actors.

The Guide mainly addresses NGOs, national trade unions and other social actors from backgrounds that differ geographically and thematically and also with regard to their experiences and resources. Because of these differences the Guide uses a very general approach in describing how NGOs can become active advocates for SPFs and how they can to push for national dialogues on social protection floors. Practical examples from different countries are in-

cluded to concretely illustrate theoretical explanations. The Guide is a work in progress which will be developed further and enriched with more examples, useful information and instruments. We call upon civil society organisations to send us examples of best practices. We ask them to let us know in how far they found this Guide to be useful and if they think it should be modified or extended.

With this Guide we hope to encourage CSOs and trade unions to take their responsibility for guaranteeing the right for social protection seriously and to push for national legislation. Moreover, we want to contribute to a correct understanding of the concept of Social Protection Floors, a concept which has often been interpreted in a minimalistic way that ignores the principles set out in Recommendation 202.

ACKNOWLEDGEMENT

This guide is based on the results of three regional conferences in Cambodia, Buenos Aires and Morocco and a final workshop in Berlin which we held together with the Global Coalition for Social Protection Floors. I would like to express my sincere thanks to our partners and offices that were involved in the regional conferences during which the idea to develop such a guide was born. Without the strong support of our regional partners and offices we would not have been able to collect the information necessary for this guide. Furthermore, I would like to express our deep gratitude to the members of the Global Coalition for Social Protection Floors who structured and defined with us the content of the guide. Two of its authors are even members of the Coalition. And finally, I would like to thank the ILO, and especially Isabel Ortiz and her Department for Social Protection, who for many years have been our close partners and important supporters of our work on Social Protection Floors in so many different ways. Last but not least, I would like to thank Silke Georgi from Sozialhelden e.V. for her great support and proofreading of the guide.



Dr. Cäcilie Schildberg
*Friedrich-Ebert-Stiftung
Social Justice and Gender*

WHICH FLOORS FOR SOCIAL PROTECTION, AND WHY?

Michael Cichon

Summary

MAKING THE CASE FOR SOCIAL SECURITY

(a) Social security is a human right: Almost all states have accepted the obligation to extend social security to all Article 9 of the International Covenant on Economic, Social and Cultural Rights (ICESCR).

(b) Social security is a social necessity: Effective national social security systems are powerful tools to provide income security, to prevent and reduce poverty and inequality, and to promote social inclusion and dignity.

(c) Social security is an economic necessity: Social security, when well designed and linked to other policies, enhances productivity, employability and supports economic development. It is a necessary prerequisite for economic development and social progress and contributes as an effective automatic stabilizer in times of crisis to mitigate the economic and social impact of economic downturns, to enhance resilience, and achieve faster recovery towards inclusive growth.

(d) Social protection is affordable: Almost all countries can afford at least a minimum level of social protection as studies show. The initial gross annual cost of a comprehensive overall basic social protection package is projected to be in the range of 2.2-5.7 per cent of GDP.

THE SOCIAL PROTECTION FLOOR CONCEPT

The obligation to extend social security which is anchored in the understanding of human rights by the 164 states was nearly forgotten in the course of the last decades. The obligation was so abstract that it was hard to translate it into concrete policy demands and objectives on a national level. And yet, with Recommendation No. R. 202, a clear definition of the human right to social protection exist.

The four guarantees consist of a basic level of income security during childhood, adult years and old age, and access to essential health care for all residents. But the Recommendation does not just deal with the basic floor of protection; it also requires countries to build higher levels of protection as soon as possible. It is therefore a guide on how the 184 member states should build a comprehensive overall national social protection system on the solid basis of a floor.

THE CRITICAL ROLE OF CIVIL SOCIETY IN INITIALISING NATIONAL SPF POLICY DIALOGUES

There is only one principal conduit by which R.202 can influence national policies. It can help to create national policy space for social protection floors and grounds in the moral authority of a global consensus. Civil society and trade unions are natural agents of political will, natural advocates for the rights and the empowerment of people. They can use R.202 to build strong cases for more social justice, more participation and more opportunities through social protection.

Background: The world remains an unfair place

Although we can claim progress with respect to the benchmarks set for social development by the Millennium Development Goals, the world remains an unfair, unequal, insecure and unhealthy place for virtually half its population. About 30 percent of the global population has no access to adequate health care, forty percent of the global population lives in abject poverty (less than \$ 2 (US) per day), which is the cruelest form of insecurity. Every second child is poor and between five and ten million children die every year of preventable causes. Millions of elderly die too early for the same reason. Inequality is on the rise in many parts of the world. The globally accepted poverty lines of \$ 1.25 or \$ 2.00 (US) per capita and day in purchasing power parities remain shamefully low in an increasingly wealthy world.

Social progress is uneven, unacceptably modest and slow. To be born today in some countries in Africa mean that your life expectancy is at least three decades less than that of your contemporaries in Canada for example. Your rich neighbor behind the high walls of the gated community may have 50 times your income at his or her disposal. And it could be that up to 70% of the people around you live in poverty.

And yet we know of a powerful tool to tackle inequality and poverty directly: income transfers. For thousands of years – for as long as people have been living together – they have shared income within families and communities. But if in-

secure income is shared in small and low income risk pools the overall effect on poverty remains small. Social protection systems are a way to formalise income transfers and share income in bigger and richer risk pools. On a global level, the world would need less than 1% of the global GDP to provide a guaranteed minimum level of income and access to essential health care for all who live in or who are at a permanent risk of poverty. On a national level, financing the same level of basic social security from the GDP of poor countries would cost a multiple that percentage of their GDP. Financing the same level of income security and access to health in small communities or extended families where nearly everybody lives on income close to the poverty line might be simply impossible.

Furthermore, we would probably need between 2 and 6% of the national GDP to provide a basic insurance against social insecurity for all people in the majority of the developing countries. Most of these resources can and must be mobilised on a national level. Only a handful of countries would probably need some temporary help from the global community to design, organise and finance their social protection systems, with a priority lying in their social protection floors. After decades of being in the shadow of the global debate on development policies, social protection systems emerged during the first decade of the new millennium as tools with which to invest in people and inclusive growth.

However, it was the global financial and economic crisis that led policy makers around the world to explicitly acknowledge the role of social protection systems as social and economic stabilisers. The support for social protection as instrument in development policies and crisis management grew dramatically in the UN, the International Financial Institutions, the G20 and many national governments. During the critical window between 2009 and 2012, before the emergence of austerity policies, a remarkable albeit fragile global consensus on social protection policy emerged. The ILO seized the opportunity in 2012 to cast that consensus into agreeably “soft stone”, by adopting a piece of international law and hence global social governance, i.e. the Recommendation No.202 on National Floors of Social Protection.

Why Social Protection?

The primary goal of Social Protection Floors is to improve the quality of life of people experiencing poverty or those in situations of vulnerability. The aim is to advocate for the integration of human development, social justice, and the provision of a minimum set of social services.

Social security is a human right.

The International Covenant on Economic, Social and Cultural Rights (ICESCR) is the main international treaty that stipulates social security as a human right. It was adopted by the United Nations General Assembly on 16. December 1966 and entered into force on 3. January 1976. It commits the states to work toward the granting of economic, social and cultural rights (ESCR), including labour rights, the right to health, the right to education, and the right to an adequate standard of living. Up to now 162 states ratified the ICESCR and further 7 states, including the United States of America, signed it.

BOX 1: MAIN INTERNATIONAL SOURCE FOR SOCIAL SECURITY AS A HUMAN RIGHT

It is obvious that adequate standards of living are not exclusively created by social security, i.e. by income transfers in cash or in kind. However, reading the above texts in conjunction, it becomes clear that States Parties have to underwrite the right to an adequate standard of living and take an appropriate range of “steps” to ensure the right to an adequate standard of living. One type of such steps is obviously to extend at least a minimum level of social security to all. That obligation – while accepted by the 162 states – was nearly forgotten in the course of the last decades. The reason may have been that the right was formulated in such an abstract way that it was hard to translate it into concrete policy demands and objectives on the national level. What was needed was an authoritative internationally recognized instrument that translated the obligation into a list of realistic policy measures. That instrument is R. 202.

R. 202 – and it is worth noting its correct title: Recommendation concerning national floors of social protection (Social Protection Floors Recommendation)” – explicitly links the instrument to Articles 22 and 25 of the UNDHR and Articles 9, 11 and 12 of the ICESCR, in order to exclude any contradiction between the Recommendation and the older human rights texts.

Social security is a social necessity.

National social security systems are very powerful tools. When they are effectively implemented they provide income security, prevent and reduce poverty and inequality and they promote social inclusion and dignity. They are an important investment in the well-being of workers and the general population. By enhancing access to health care and providing income security they increase levels of education and reduce child labour, even eliminating it in its worst forms. Social

security systems strengthen a country's social cohesion, thereby contributing to social peace, inclusive societies and decent standards of living for all.

Every successful industrialized country in Asia, Europe, North America and Oceania has implemented a fairly extensive social security system. Countries such as Denmark, France, Germany, Norway, Sweden and the Netherlands, which spend the most money on social programmes, also have the most successful economies in the world. These economies have long been open economies and have competed internationally for many decades. It is important to note that they all began implementing their social protection systems at a time when they were quite poor, towards the end of the nineteenth century.

It is estimated that the level of poverty and inequality in OECD countries would be nearly twice as high as they are now if these countries did not have such social protection systems. Evidence from OECD countries suggests that high levels of social expenditure result in low levels of poverty, both for the working-age population and for those who are retired. In middle- and low-income countries there are strong indications that social security programmes bring about a reduction in poverty and inequality.¹ Evaluations of national social transfer programmes show that even modest cash transfer programmes can reduce poverty and inequality significantly, in the short as well as in the long run.²

Social security is an economic necessity.

The economic and social development of industrialized countries during the last century has shown that social security and labour market institutions are an integral part of successful market economies.

Social security systems can bring about structural changes in the economy and society. When properly designed and combined with labour market policies, social security benefits can facilitate the transition from informal to formal employment and thus improve overall levels of productive employment in economies. A series of studies on South Africa shows that social assistance expenditure has promoted investment, economic growth and job creation, and that the trade balance has improved thereby. Because low-income households tend to spend a high proportions of their income on domestic goods and services and an increase in their income will have a positive impact on domestic industries. Social expenditures also have a direct impact on education and especially on the school enrolment of girls. Higher education leads to an increasingly productive labour force and a higher GDP growth rate.

1 F. Gassmann and C. Behrendt: *Cash benefits in low-income countries: Simulating the effects on poverty reduction for Senegal and Tanzania*, Issues in Social Protection Discussion Paper No. 15 (Geneva, 2006).

2 ILO: *Extending social security to all*, op. cit.

Social protection programmes which are well designed have a direct impact on productivity in different ways: by reducing or even preventing social exclusion, by lessening constraints that often hinder the development of small or individual enterprises, and most importantly, by supporting a healthy and educated workforce. This does not mean that more social transfers always lead to enhance economic performance. But well-designed benefit schemes can certainly have an impact on economic performance.

The ability of social security systems to function as a stabilizer during crises has been widely acknowledged during the current global financial and economic recession. The evidence that countries with effective social security systems can react quicker and more effectively to a crisis is very convincing. The current crisis has also shown that the most effective social security instruments to lessen the social fall-out of the crisis are unemployment or partial unemployment benefits. ILO analyses show that increased spending on social and economic stabilizers has helped to save as many jobs as discretionary ad hoc stimulus packages have.³

Social protection systems are affordable nearly everywhere

For a long time, many development planners assumed that many developing countries could not afford social security benefits. However, this is not true. Recent ILO estimates on the cost of a minimum package of social security benefits in low-income countries have shown that it is affordable even in the poorest countries. Two ILO costing studies on seven sub-Saharan African and five Asian countries provided an estimate of the costs of a basic social protection package in low-income countries over the coming decades. The package included basic child benefits, universal access to basic health care, an employment guarantee scheme of 100 days for the poor in the working-age range, and a basic old-age and disability pension. The studies show that the initial gross annual cost of the overall basic social protection package is projected to be in the range of 2.2–5.7 per cent of GDP in 2010. This projected cost does not include such basic health care which is already financed now.

Even though the cost of a basic social protection package appears to be within reach for many low-income countries, it will have to be implemented gradually in most cases. Some of these countries may require the international donor community to help them for a suitable transition period. Low-income countries may also be able to re-allocate their existing resources (e.g. away

3 ILO: *Accelerating a job-rich recovery in G20 countries: Building on experience*, An ILO report, with substantive contributions from OECD, to the Meeting of G20 Labour and Employment Ministers, 20–21 April 2010, Washington, DC (Geneva, 2010); ILO: *Extending social security to all* (Geneva, 2010); ILO: *Recovery and growth with decent work* (Geneva, 2010).

from military expenditure or broad based subsidies that have a regressive effect on the income distribution) by gradually increasing social protection expenditure towards an eventual target of, for example, 20 per cent of total government expenditure.

ILO micro-simulation results for the United Republic of Tanzania and for Senegal show that the introduction of basic old-age cash benefits can have a significant impact on poverty reduction. These simulations estimated the cost for establishing old-age and disability pension benefits at a level of 70 per cent of the food poverty line per eligible individual. The results of the simulations show that in the United Republic of Tanzania a universal old-age pension would cut poverty rates by 36 per cent for older men and women and by 24 per cent for individuals living in households with elderly family members. In Senegal old-age and disability pensions are also expected to have more of an impact on older people, especially older women and their family members.

The ILO has undertaken a series of studies that show that many developing countries could ensure basic social protection guarantees for all residents at much lower cost than the 2.2 to 5.7% of GDP range mentioned above but still need a rational policy to phase in the completion of their basic social protection system. The results of the case study carried out on Vietnam are displayed in Box 2.

BOX 2: OPTIONS TO COMPLETE THE SOCIAL PROTECTION FLOOR IN VIETNAM

The last decade has seen the development of a fairly extensive set of social protection policies in Vietnam. These include a mandatory social insurance scheme for workers, a health insurance system both for formal workers and for the poor using various strategies targeting vulnerable groups excluded from the labour market. Vietnam also embedded several social protection interventions within different National Target Programmes (NTPs) targeted at specific vulnerable groups, areas and sectors to provide access to basic social services.

The ILO, on behalf of the global UN SPF Initiative, assessed the existing social protection system of Vietnam and designed several alternative scenarios to close the SPF gaps. For each scenario some assumptions were made on the types and levels of transfers in cash and in kind in order to be able to estimate the costs.

For the elderly an enhanced social pension was suggested; one that increases the benefit level from the current level of VND 270,000 (approximately

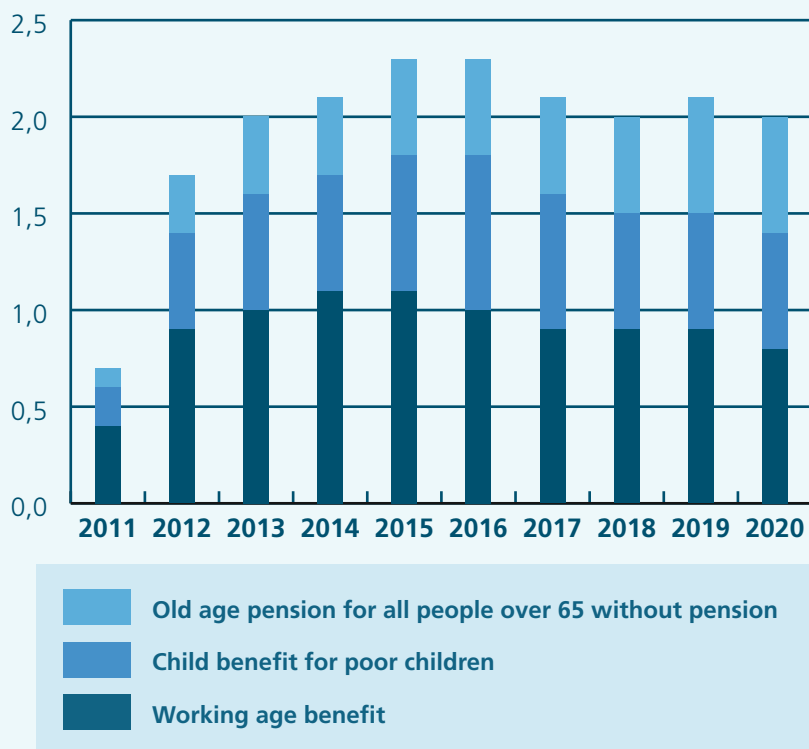
US\$ 13), to the poverty line of VND 400,000 (US\$19.4) in rural areas and VND 500,000 (US\$ 24.2) in urban areas. Furthermore, the age threshold was lowered from 80 to 65 years. Gradual implementation and two different scenarios were assumed: one scenario would provide the social pension to people not covered by the existing formal sector pension scheme, with a maximum cost of 0.6 per cent of GDP; the other scenario would provide 50 per cent of the benefit to those receiving the formal sector pension as a step toward building a universal non-contributory scheme; the latter would cost up to 0.8 per cent of GDP. A social pension would reduce poverty among the elderly population from its current level of 14.5 to 12.2 per cent.

In addition, a package for children under 16 years of age was considered, one which would be composed of an allowance of between 25 and 50 per cent of the minimum wage, additional education services and one meal per day, and would be implemented gradually over five years. The ILO designed two scenarios for poor children: one benefit would be capped at two children per household. This would cost 0.47 per cent of the GDP. The other scenario was without any cap and would cost a maximum of nearly 0.87 per cent of GDP by 2016. The former would reduce child poverty from 20.8 to 12.2 per cent, while the latter would cut it drastically to 2.2 per cent. The difference in the reduction rates is due to the often large number of children in poor households.

Finally, for the working-age population, the ILO proposed the gradual implementation of an employment guarantee of 100 days, similar to the Mahatma Gandhi National Rural Employment Guarantee Act of India, which guarantees 100 days of work per household and year paid at the minimum wage level in public works schemes to all households who demand it. Implemented over a period of four years, it would be combined with social assistance for the disabled, training services to facilitate a return to employment and the creation of micro-enterprises. It would reduce the working-age population poverty rate from 12.1 to 5.3 per cent and the disabled poverty rate from 25.8 to 9.4 per cent with a maximum cost of 1.14 per cent of GDP.

After gradual implementation, the cost for an intermediate combination of all three benefits would peak around 2016, i.e. once fully implemented, at about 2.3 per cent of GDP.

Figure 1: Intermediate scenario. Old-Age pension for elderly not covered by contributory scheme, child benefit for all poor children, working-age income security



The possibility of adding SPF benefits that would close coverage gaps immediately appears unlikely, especially in view of the latest government announcements that Vietnam might have to go through a longer recovery period than was assumed last spring.

However, fiscal space may be opening up around the middle of the decade that would allow a gradual strengthening of various elements of the SPF. None of the individual measures appear so expensive that they would increase the expected annual deficit to more than 3 per cent; provided the level of overall revenue can be restored to its pre-crisis level.

Even more convincing than theoretical exercises is real life experience. There are more and more examples of a successful implementation of basic social security packages in the developing world.

Further reading:

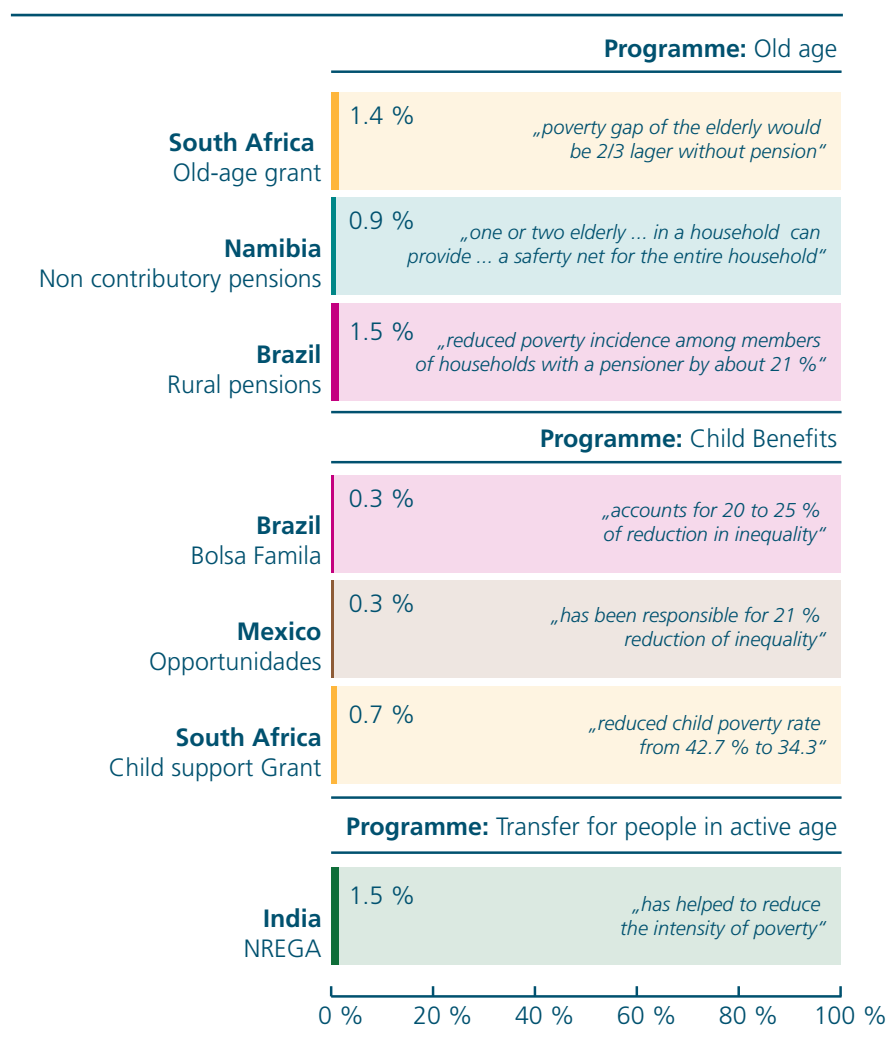
Successful Social Protection Floor Experiences, in: UNDP/ILO: Sharing innovative experiences, Vol. 18, New York 2011

CHAPTER 1

There are many ways of achieving affordable basic social security coverage in middle- or low-income countries as a first step of a national strategy towards a wider and more complete and comprehensive national social security system. For example through:

- ✓ an extension of contributory social insurance for the formal sector in combination with tax financed and means-tested social assistance for the informal sector
- ✓ subsidized social insurance coverage for the poor in order to enable them to participate in the hitherto formal sector schemes
- ✓ the establishment of tax-financed universal or conditional schemes, also called social transfer schemes.

Figure 2: Examples of cost (in % of GDP) and effects of SPF elements in developing countries (around 2008/2009)



Each approach has of course its advantages and its limitations and the choice will depend on national values, past experience and institutional frameworks. The evidence as displayed in figure 2 shows that progress towards extending social security is possible almost everywhere.

Further reading:

ILO: World Social Security Report 2010/ 2011 and World Social Protection Report 2014/ 2015

The size of social security investments, and coincidentally, the level of social security coverage of the population depends significantly on the prevailing political and social will of governments, taxpayers, and the electorate). To a large extent this element defines the fiscal space available to finance social security, as opposed to other programmes. All countries, whatever their level of income, enjoy a measure of freedom in defining their policies. As shown in the ILO's *World Social Security Report 2010/11*, there is a very weak correlation between levels of GDP and the size of government. Countries at similar income levels can differ significantly with respect to the "size" of government (measured by size of public finance). In many cases this is a result of different, often historically influenced, societal preferences. In some cases, however, where government expenditure is very low this may simply indicate the authorities' low capacity to raise and collect taxes and other revenue. In such countries the main challenge is to introduce and enforce tax reforms to increase fiscal resources, including enhancing the effectiveness and efficiency of tax collection. But it may also mean that it is necessary to revise spending programmes, making them more responsive to societal preferences in order to increase the public's willingness to pay taxes.

There are some cases in which the fiscal space for social transfers cannot easily be extended in the very short run. Each case must be individually assessed in detail. However, the "policy space" for financial manoeuvring may be wider than is often assumed. Policy decisions regarding the financing of social security systems and negotiations seeking consensus between the different stakeholders in the public expenditure portfolio are carried out in a manner specific to each country. In this context it should be noted that domestic revenues in Africa increased by about US \$230 billion between 2002 and 2007. In sub-Saharan Africa alone, the share of domestic public revenues in GDP increased by 4 percentage points between 2002 and 2007. Given a sufficient policy priority, it does not seem unrealistic to phase in a package of modest social security benefits over the course of a decade, at a net cost of about 4 per cent of GDP. However, this is only possible if people accept the price that must be paid for closing social protection gaps. National residents have to accept investments in good governance and the need to pay taxes for living in more equitable, secure societies with a better infrastructure.

The origins and contents of ILO Recommendation R.202

It took decades after the passing of the UDHR and the ICESCR before social protection emerged as a prominent instrument of social and economic development policy.

The emergence of the social protection floor concept

Only in 2001 the International Labour Conference demand a greater focus on the extension of social security coverage to the uncovered groups of the population. Perhaps inspired by the demonstrable success of the Mexican Oportunidades Programme starting in the late 1990s, the Bolsa Familia and its precursor programmes in Brazil, as well as the bold Thai Universal Health Care scheme of 2002, a series of ILO policy papers and regional conferences⁴ showed that with an investment of between 2 and 6 % of GDP even low income countries could probably afford some basic form of universal income security and health care.

Starting in the debate to improve national social protection systems gained some momentum and even made it into the Chair's conclusions of the G8 summit in 2007⁵. However, it took the Global Financial and Economic Crisis to trigger a social policy breakthrough. The Crisis clearly shook the certainties and accepted wisdom of economics and economic policies. It was suddenly widely accepted that social and economic development could be at risk without sound social policies and strong social protection systems. Policy makers were aware that the failure of supervision of the financial sector on a national and international level had permitted the crisis to happen. The social fallout could not be ignored and hence policy makers hailed social security systems as economic and social stabilizers.

International agencies used the opportunity to adjust their development strategies. It is not accidental that the EC, the G20, UNICEF, the World Bank and the International Labour Organization (ILO), all have developed new social protection strategies seeking to promote more inclusive growth⁶ in 2012. All these strategies are broadly compatible and at least no longer openly contradict each other. Subtle differences do remain, such as the absence of a rights based justification of social protection in the new World Bank strategy.

4 Figures and calculations can be found in ILO (2008), Pal et al. (2005), Mizunoya, S. et al. (2006).

5 See ILO: The new consensus, Geneva 2001 and G8 Summit: CHAIR'S SUMMARY Heiligendamm, 8 June 2007

6 See World Bank (2012), UNICEF (2012), EU (2012)

At the UN a new developmental social protection concept – the social protection floor – emerged. The term social protection floor was first used as the title of one of nine crisis initiatives of the UN system during a meeting of the UN Chief Executives Board for Programmes in April 2009. The ILO and WHO were jointly charged with leading the Social Protection Floor Initiative (UNSPF Initiative). The initiative was joined by 19 UN agencies and a number of major bilateral donors and NGOs. While the other eight Crisis initiatives soon turned into routine UN business, the Social Protection Floor Initiative became a player in the global social policy arena. For about three years it was the broadest and most active UN social protection initiative that the UN agencies have ever undertaken jointly.

Further reading:
ILO and WHO:
Social protection
floor for a fair and
inclusive globaliza-
tion-Report of the
Advisory Group
chaired by Michelle
Bachelet, Geneva
2011

In the summer of 2010 the ILO convened a high level advisory board for the SPF initiative which was chaired by the former Chilean President Michelle Bachelet before her second term in office. The Bachelet Advisory Group issued the first version of its report in the summer of 2011 (Bachelet 2011). The report made the case for social protection floors stating that they support the realization of human rights and promote social justice, are an effective tool for combating poverty and inequality, help to accelerate progress towards achieving the Millenium Development Goals and beyond, are affordable even in low-income countries, help to address the social and economic impact of crises and global economic imbalances and are an important tool for gender empowerment.

With the support of a coalition of UN agencies, notably the WHO and UNICEF, the ILO used the tailwinds of the crisis to move the policy agenda ahead towards global social governance through social security standard setting – a governance tool that had neglected for almost a quarter of a century. The ILO obtained a mandate from the 100th Labour Conference in 2011 to develop a new international social protection standard.

The speed of action was triggered by the fear that the fragile political consensual reaction to a particular economic and financial crisis might fade away too quickly without leaving behind a trace in the global governance system. In June 2012 ILO members unanimously accepted the Recommendation R.202 *Concerning National Floors of Social Protection*.

The haste was fully justified. Soon the window of good will to achieve a real improvement of social protection worldwide started closing again. As soon as the economic and financial crisis turned – predictably – into a fiscal crisis, austerity measures recommended by macro-economic strategists took the top

slot on the political agenda again and social protection spending⁷ came under attack again in many countries.

The ILO recommendation R.202 *Concerning National Floors of Social Protection*, which was adopted unanimously by the 101st International Labour Conference after intense and constructive debate, is an instrument of international law that all 184 member states of the ILO should take into account when drafting national social legislation.

The contents of R.202

R.202 is a short document and yet its actual content and the potential range of its political repercussions seem largely unknown.

The objectives⁸ of R. 202 are set out in paragraph 1 recommending members to⁹:

- a) Establish and maintain, as applicable, social protection floors as a fundamental element of national social security systems, and
- b) implement social protection floors within strategies for the extension of social security that progressively ensure higher levels of social security to as many people as possible, guided by ILO social security standards.

National social protection floors should comprise at least the following four social security guarantees:

- ✓ access to a nationally defined set of goods and services, constituting essential health care, including maternity care, that meets the criteria of availability accessibility, acceptability and quality,
- ✓ basic income security for children, at least at a nationally defined minimum level, providing access to nutrition, education, care and any other necessary goods and services;
- ✓ basic income security, at least at a nationally defined minimum level, for persons in active age who are unable to earn sufficient income, in particular in cases of sickness, unemployment, maternity and disability; and
- ✓ basic income security, at least at a nationally defined minimum level, for older persons.

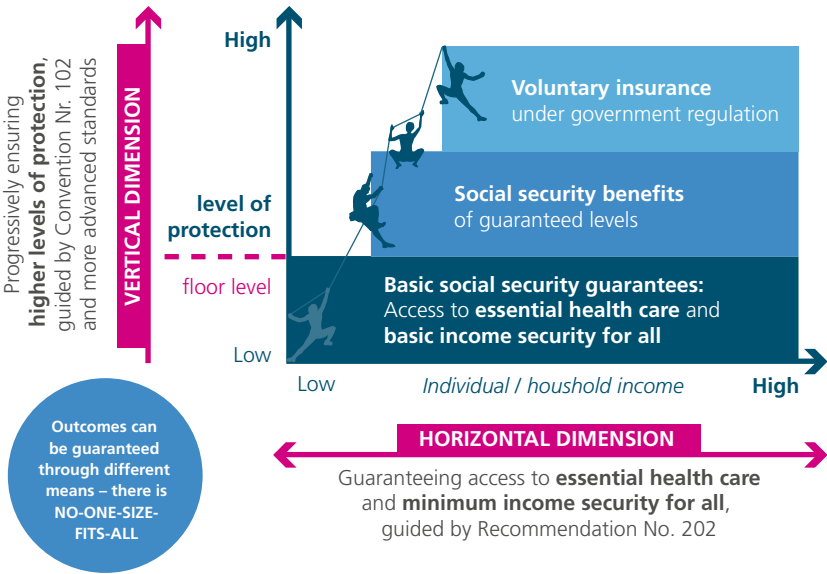
7 For evidence on the nature of fiscal austerity measures taken in 2010/11 see Ortiz et al (2011) and Roy and Ramos (2012)

8 The following paragraphs heavily draw on the section from Cichon, M: The Social Protection Floors Recommendation: Can a five page document change the course of social history?, *International Social Security Review*, Vol. 66, 3-4/2013

9 Text of the Recommendation as published in : ILO: The strategy of the International Labour Organisation – Social security for all, Geneva 2012, p. 33

The term “social security guarantees” underlines the fact that the focus is on the outcome in terms of the level of social security that can be achieved by different types of benefits and benefit schemes rather than on concrete means or benefits. But R. 202 clearly formulates a protection objective: According to Article 4 of the Recommendation “these guarantees should ensure that all in need have access to essential health care and basic income security which together secure effective access to goods and services defined as necessary at the national level. The Recommendation also puts the floors of protection into the context of wider social security extension strategies which countries are required to adopt.

Figure 3: Two-dimensional strategy for the extension of social security



Source: ILO (2012)

What is often overlooked is that the Recommendation identifies a comprehensive set of principles for national social security systems for the first time. The potential consequences of the policy guidance provided by R. 202 are much wider reaching and much more concrete than one would expect at first sight from a five or six page document.

Further reading:
ILO: Social Security for all – building social protection floors and comprehensive social security systems. The strategy of the International Labour Organisation, Geneva 2012

The 18 principles in Article 3 of R. 202 governing national social protection systems contain challenging instructions. These principles essentially describe the characteristics of national social protection systems to be implemented under the primary responsibility of the state. These principles range from

- ✓ the universality of protection, over
- ✓ the adequacy of protection,
- ✓ the obligation to define benefits by law,
- ✓ non-discrimination and gender equality
- ✓ the diversity of methods and approaches,
- ✓ the need for tripartite participation and public consultation on benefit levels and conditions,
- ✓ the respect for dignity of people covered,
- ✓ efficient complaints procedures,
- ✓ transparency, to
- ✓ the financial, fiscal and economic sustainability.

See the full text of the Recommendation 202 in Annex

In their entirety the principles define rather high performance standards for national social protection systems (see the attached Recommendation).

And these performance standards should – in theory at least – require a re-thinking of many national policies. The following example using the adequacy and predictability principle may suffice to prove this point. Some of the social security reforms of recent decades, such as the pension reforms in Latin America and in Eastern Europe during the 1980s and 1990s might have to be reviewed with respect to the principles of adequacy and predictability. In defined contribution pension systems where benefit levels depend to a considerable extent on the accidental performance of financial markets, benefits cannot be guaranteed to be adequate and are certainly unpredictable. These pension system are therefore – without additional benefit level guarantees – not compatible with the core principle of R .202.

And yet, advocates of R.202 are often confronted with the criticism that it is a minimalist document clashing with already existing higher levels of protection and hence implicitly with demands for adequate standards of living for all. Nothing could be further from the truth. The Recommendation does indeed provide explicit core content of the core obligations¹⁰ for the human right to social security as specified in the Human Rights Instruments. That content was missing for many decades.

10 As described in language very similar to the Recommendation by the COMMITTEE ON ECONOMIC, SOCIAL AND CULTURAL RIGHTS, Thirty-ninth session, 5-23 November 2007, GENERAL COMMENT No.

19 The right to social security (art. 9), section 5. Paragraph 59

Even more, the Social Protection Floors Recommendation has a triple function:

- ✓ it defines a floor of minimum guarantees,
- ✓ sets out a codex of security principles and
- ✓ requires a floor-plan for dynamic national strategies towards higher levels of protection of the 184 ILO member states.

From paper to practice

With R. 202 the global community has unanimously defined both a bill of rights for the individual and a comprehensive set of social protection obligations and objectives for all societies. R. 202, however, is not a binding international legal instrument. It remains a recommendation to 184 countries.

Social policy strategists in national governments, social partner organisations, civil society and international institutions seem to have reached some basic consensus on the role of social protection in development strategies. It becomes increasingly clear that the international wave of support for social protection was triggered substantially by an albeit fleeting bad conscience of policy makers. They were aware that the failure of national supervision and the virtual absence of international supervision of the financial sector had permitted the crisis to happen. The social fallout could not be ignored and hence policy makers hailed and resorted to social security systems as economic and social stabilizers. International agencies used the opportunity to adjust their development strategies.

However, there are serious signs that the window of good will to achieve a real improvement of social protection worldwide is already closing. When the economic and financial crisis turned into a fiscal crisis austerity measures recommended by macro-economic strategists took the top slot on the political agenda again and social protection spending¹¹ came under attack again in many countries.

In such a situation there is only one principal conduit by which R.202 can influence national policies. It can help to create or protect national policy space for social protection policies. This is of particular importance when governments turn back towards restrictive social policies. The global consensus creates a moral legitimacy and thus a political shield for national demands¹².

11 For evidence on the nature of fiscal austerity measures taken in 2010/11 see Ortiz et al (2011) and Roy and Ramos (2012)

12 In the UK Robert Walker and others are already using the principles of R. 202 to publicly influence the UK welfare reform, see Walker (2013).

The demand for social justice has to be articulated and carried by the people themselves. The global community has taken the case and the global policy compromise that was required to unanimously accept R. 202, as far as it could. The center of action now has to become local. Civil society and trade unions are natural agents of political will. They can use R.202 to build strong cases for more social justice, more participation and more opportunities through social protection. National coalitions of trade unions and civil society need to take their governments by their word and start monitoring the extent to which the four social security guarantees of the SPF are being implemented on the national level and – if necessary – demand that SPF gaps be closed.

But as with all tools, R 202. has to be used skillfully to ensure effective and creative action. There are very concrete things that national coalitions striving for more social protection can do on the national and international level. The Recommendation provides a concrete anchor for national action. The Recommendation demands national monitoring of *“progress in the implementing national social protection floors and in achieving other objectives of national social security extensions strategies through appropriate nationally defined mechanisms”* (para. 19). Monitoring and benchmarking national situations against that of countries in similar socio-economic situation can help to create the policy space that is needed to extent or complete the National Social Protection Floors. National civil society organizations and trade unions are in the best position to undertake or contribute to that national monitoring by using their knowledge and understanding of real life situations. Effective monitoring should always be bottom-up rather than top-down. National coalitions for social protection can easily determine whether or not all children, working-age adults and people in old age enjoy a minimum level of income security that ensures access to essential goods and services and whether everybody has access to minimum health care. National coalitions can document gaps and even calculate the cost of closing these gaps, and they can indicate where resources can be found. **In order to do so credibly,**

- ✓ analytical techniques have to be learned and applied,
- ✓ cost benefit analyses have to be undertaken,
- ✓ benefits have to be calculated,
- ✓ coverage extension have to be estimated,
- ✓ effects on poverty and inequality evaluated,
- ✓ laws have to be analysed,
- ✓ bills have to be written and
- ✓ complex organisations have to be governed and controlled.

That diagnostic and analytical work can then be used to pressure governments and decision makers into action. However, in order to be successful, major investments in terms of time and effort have to be made.

Further reading:

ILO: World Social
Security Report
2014 / 2015

ROLES OF CIVIL SOCIETY AND SPFS

Mariana Lomé

Summary

NGOs form part of a greater collective called civil society. They are often among the most effective and visible actors of civil society. For this reason they can play a key role in building capacities that help other organizations representing the most vulnerable populations become protagonists in the design and implementation of SPFs.

NGOs help not only in providing direct support for these needs, but also by influencing public policies that can bring about structural changes.

Unions are among the actors with whom NGOs should make it a point to establish a common agenda.

CRUCIAL PREPARATORY ACTIVITIES FOR CSO INVOLVEMENT IN SPF IMPLEMENTATION PROCESSES ARE:

- ✓ building alliances with trade unions and other like-minded organisations
- ✓ creating early awareness and political sensitivity of policy makers and the public by taking a CSO/trade union consensus as often as possible into existing political processes
- ✓ investing in the analytical technical capacity of CSO and union representatives who will participate in the national awareness raising and dialogue process

CSO STRATEGIES THAT HAVE SHOWN THEMSELVES TO BE USEFUL FOR GETTING A TOPIC ON THE PUBLIC AGENDA:

- ✓ Generation and Spreading of Information
- ✓ Lobbying and Social Pressure
- ✓ Creating Educational Materials and Capacity-Building Space
- ✓ Use of Mass Media and Social Networks
- ✓ Campaigns, Citizen Mobilization and Public Demonstrations
- ✓ Requests for Public Information, Participation in Public Hearings and Presentation of Legal Resources

What constitutes Civil Society?

As previously stated in this manual, countries that are planning to guarantee their populations access to a set of minimal provisions have a great amount of work and a significant challenge before them. Obviously, the main responsibility for bringing about these minimal provisions falls on the states. For a variety of reasons, however, the additional involvement of civil society in this goal is important and necessary. This involvement also presents civil society with an opportunity.

In order to understand why civil society's involvement in this initiative is fundamental it is important to know what constitutes civil society.

Civil society can be defined as "an arena for the expression of multiple voices, movements and organizations that intervene in questions of public interest outside of (but not necessarily independent of) the state." (Roitter 2010)

The CIVICUS Index for Civil Society defines it as "the arena, outside of the family, the state and the market, in which persons associate voluntarily on the basis of common interests." (www.civicus.org)

Civil society is made up of traditional union and rural labor movements, professional organizations, corporate organizations (such as business chambers) that represent the interests of economic sectors, religiously affiliated organizations, and spontaneous demonstrations organized by citizens for the purpose of defending their rights, especially during times of crisis. Civil society is also made up of groups that arise within neighborhoods, such as homeless shelters, meal centers, barter clubs, consumers, housing and squatters' groups.

Both definitions of civil society and their manifestations in real life allow us to see why such great expectations are often placed on this area of social action. This is the domain of action by the citizenry and of initiatives that stir people's concerns and aspirations. Here the leaders, the organizations and the movements who aim to change what is not working are born. Nevertheless, and paradoxically, as extremely valuable as this arena is to some, to others it is invisible and intangible.

These definitions also make clear the greatest challenge facing those who consider themselves a part of civil society and those who hope that civil society will actively intervene in a movement or collective strategy: the fact that this is a dynamic arena in a state of constant redefinition, one whose very

CIVICUS is an international alliance dedicated to strengthening citizen action and civil society around the world by:

- Protecting the rights of civil society
- Strengthening civil society good practices
- Increasing the influence of civil society

www.civicus.org

nature makes it incapable of establishing itself as a coordinated group with a well-defined, formalized set of strategies. The persons, groups, organizations and movements belonging to civil society are not identified in their entirety or defined amongst themselves. Many among them are not fully aware that they belong to civil society, or even what it means to belong to this entity that can play a key role in making an impact on the reality of a country.

For many researchers, and for the purpose of this publication, the concept of civil society may be too broad or vague. Therefore, we will focus in more detail in one of the manifestations of civil society that has been most studied and appears more structured. We are talking about the concept of Third Sector, which has allowed define with some precision some characteristics of the organizations that comprise it.

They are independent of the state and of government. And since they do not belong to the market either, they are considered non-profit organizations. This means that although they may generate revenues these revenues are not distributed among shareholders but must be reinvested into the work of the organization. Since they belong neither to the state nor to the market, both of which are considered to be sectors, that is why they are often referred to as the “Third Sector” (Salamon et al, 1997).

This definition established these attributes for them (after Salamon 1993):

- ✓ they are organized,
- ✓ they are self-governing and independent, and
- ✓ membership or affiliation is voluntary.

Although they can be found in a wide variety of sizes, with differing reach, structures and strategies, these organizations can be grouped into a number of areas of involvement (Roitter 2010)

- ✓ protecting and spreading certain values (strengthening democracy, monitoring human and social rights, preserving public spaces, protecting the environment, building citizenship, protecting consumers’ rights);
- ✓ providing services (social, recreational, leisure, sports, cultural, educational, health); and
- ✓ expressing sectoral interests (business, union, professional).

They adopt diverse forms (legal or structural) and while keeping to the general definition, we can define several sub-sectors of as follows, regarding the examples of the kinds of entities that are considered internationally as a part of this sector (UN 2006):

- “(a) **Non-profit service providers**, such as hospitals, higher education institutions, day-care centres, schools, social service providers and environmental groups;
- (b) **Non-governmental organizations** promoting economic development or poverty reduction in less developed areas;
- (c) **Arts and culture organizations**, including museums, performing arts centres, orchestras, ensembles and historical or literary societies;
- (d) **Sports clubs** involved in amateur sport, training, physical fitness and competitions;
- (e) **Advocacy groups** that work to promote civil and other rights, or advocate the social and political interests of general or special constituencies;
- (f) **Foundations**, i.e., entities that have at their disposal assets or an endowment and, using the income generated by that asset, either make grants to other organizations or carry out their own projects and programs;
- (g) **Community-based or grass-roots associations** that are member-based and offer services to or advocate for members of a particular neighborhood, community or village;
- (h) **Political parties** that support the placing of particular candidates into political office;
- (i) **Social clubs**, including touring clubs and country clubs, that provide services and recreation opportunities to individual members and communities;
- (j) **Unions, business and professional associations** that promote and safeguard labour, business or professional interests;
- (k) **Religious congregations**, such as parishes, synagogues, mosques, temples and shrines, which promote religious beliefs and administer religious services and rituals. However, an official state church incorporated into the state administration, particularly one supported by obligatory taxes, would not meet the “institutionally separate from government” criterion and thus would be excluded from the sector. It should be noted that religious congregations are different from religiously affiliated service agencies in such fields as health, education and social services. Similarly, service organizations related to a state church might still be considered to be within the non-profit sector, as long as they are separate institutional units and meet all the definitional criteria.”

In addition, these organizations can be grouped either formally or informally into larger entities, such as forums, federations, confederations and networks.

Non-Governmental Organizations: Diversity and Challenges

In this section we will focus on organizations known as Non-Governmental Organizations (NGOs), as a group of them presented at the International Labour Conference (ILO – Summer 2012) a joint statement. From that statement the Global Coalition for Social Protection Floors was created in order to promote and lobby for these SPF as implemented worldwide. Given the role of the NGOs in this initiative, we will analyze how their mandates, strengths and strategies may accompany this goal.

Further information:

<http://www.social-protectionfloorscoalition.org/>

THE GLOBAL COALITION FOR SOCIAL PROTECTION FLOORS (GCSPF)

The Global Coalition for Social Protection Floors promotes the right of all people residing in a country to social security, regardless of documentation. They promote social protection floors as key instruments to achieve the overarching social goal of the global development agenda. Social protection is one of the foundations for inclusive, equitable and sustainable development. It can simultaneously address the economic, social and environmental dimensions of sustainability and preservation of livelihoods. GCSPF has up to now 82 members and provides a good example for network-building and lobbying for SPFs at the international level. The members agreed upon the following four objectives:

- ✓ to seek to influence international debates on a social protection floor and raise awareness of the ILO Recommendation, based on the joint statement presented to the 101st International Labour Conference (particularly relating to the post-2015 MDGs agenda);
- ✓ to create a platform for learning experiences among civil society organisations worldwide, including contributing to the development of tools;
- ✓ to collaborate with national and regional social protection platforms and/or coalitions, where these exist, particularly those whose efforts seek to promote uptake of SPF objectives; and,
- ✓ to advocate for the formation of inclusive coalitions, where these do not exist, aimed at promoting the design, implementation, monitoring and evaluation of social protection floors.

We can further define NGOs from the perspective of activism and the ideals they help to promote and that are espoused by their members. Both volunteers and paid workers in NGOs embrace their work and the challenges they face with singular commitment. This is true even when, as is the case in many countries, doing so can mean placing their very lives in danger.

From the perspective of their members or the vision of their creators, NGOs are arenas born out of a dream of helping to make a better world, or out of a need to overcome a painful situation and to be there for others who find themselves enduring the same situation. They strive to make it easier to enjoy artistic and cultural expression or to stand up for those who do not have a voice or who cannot raise it, such as children, refugees, the ill, the excluded, endangered species and ecosystems.

They are organizations whose members intensely live the mission for which they were created. This can generate incredible results when weighed against the organizations' resources, which are often scant in terms of quantity and quality. The other side of the NGO coin is the informality with which these achievements are brought about, the tenuousness of the organizational structure and the uncertainty of revenues. These characteristics often dissuade members from committing to long-term visions and strategies.

With respect to the impact that these organizations can have on establishing social protection floors in their respective countries, it is essential that they work together with the unions. This is of great importance for several reasons.

First, along with governments and employers, unions are part of the International Labour Organization's (ILO) tripartite governing model. They bring their role as representatives of the grassroots into an alliance with NGOs and they carry political weight with governments and with the ILO.

AMONG NGO'S STRENGTHS ARE THE FOLLOWING:

- ✓ the possibility to know in detail the needs and precise expectations of the communities they serve, due to the close ties they have with them in their work;
- ✓ visibility through leaders who sometimes assume heroic or inspiring roles, generating confidence and incentives that move society to rally around a cause; and
- ✓ their adaptability to their surroundings.

SOME OF THEIR WEAKNESSES ARE:

- ✓ the proliferation of organizations with overlapping objectives and structures, which causes a duplication of expenses and wastes effort and generates competition among organizations for ever-decreasing international or private funds;
- ✓ their financial insecurity, which places long-term visions and strategies at risk and endangers the independence of NGO agendas vis-à-vis the interests of possible financiers. It also means that time and energy must be invested to ensure mere survival, often to the detriment of strategies designed to achieve better results;
- ✓ the heterogeneity of the NGOs and the short-term vision that many of them have, especially those depending on external financing, greatly hinder an essential attribute that such organizations ought to strive for in order to develop: namely, the capacity to coordinate their efforts and to cooperate with similar or complementary organization in order to have a greater impact on public policies; and
- ✓ a lack of transparency and true representation in cases where directors are not elected according to democratic processes and frequently remain in positions of power too long, promoting their personal interests and losing contact with the needs of those they say they are helping.

Secondly, and keeping in mind that one of the keys of attaining SPFs is the generation of decent work, unions are the ideal ally for designing training and integration programs for people in vulnerable employment situations.

Thirdly, given that they rely on membership dues, union financing mechanisms are more stable than those of NGOs. A plus in any coordinated effort with NGOs, this financial stability would aid in the design of long-term strategies.

A working agenda coordinated between NGOs and unions could be helpful in:

- ✓ Transforming support strategies. Often support strategies are created in response to a particular crisis, only to establish themselves as the only form of support provided for the longer term. Such strategies have not shown to contribute much to the reduction of poverty. On the contrary, they often end up reproducing conditions of dependence and exclusion.
- ✓ Working together to give a voice and ability to the most vulnerable populations.
- ✓ Reducing cultural gaps that cause exclusion, keeping in mind that exclusion is not only a question of economic nature. As Sen points (Sen, 2000:12) “The incapacity to relate to others or take part in the life of the community can directly impoverish the life of a person”.
- ✓ Gaining prominence within the public agenda in order to effectively influence the adoption of SPF and the implementation of policies aimed at the creation of decent work.
- ✓ Developing a sustainable partnership over time, in order to monitor and maintain the integrity of adopted measures.
- ✓ Creating arenas for vulnerable populations and their organizations, in order to build up skills and provide access to information about their rights, thereby providing them with the tools they need to join the SPF dialogue.
- ✓ Promoting the inclusion of NGOs in national discussions, thereby increasing their participation in decision-making processes.
- ✓ Generating reliable information that demonstrates the feasibility of social protection floors and the proposed strategies for creating decent work. (see Salcedo Novoa 2014)
- ✓ Spreading innovative initiatives, especially the ones which show that the ownership of the beneficiaries is possible, successful and replicable.

Is there a favorable context for organizations of civil society to develop their task?

The 2014 CIVICUS State of Civil Society Report includes three observations presenting serious challenges on the global level.

“Government perceptions of civil society are an important factor here. Officials may consider some roles of civil society to be legitimate, but not others. Charitable organizations and CSOs [civil society organizations] that deliver vital services, which governments are unable to provide, are rarely challenged. However, when CSOs question policy implications or undertake advocacy to influence government actions, they tend to face challenges to their legitimacy. When CSOs are vocal in opposing government policies, accusations of being partisan or being tools of vested interests and foreign governments tend to fly thick and fast.” (Civicus 2014)

“If protesters in different countries are borrowing tactics from each other, then governments too are replicating bad practices. Repressive legislation is being cloned from one country to another. In May 2013, in his second thematic report, UN Special Rapporteur Maina Kiai drew particular attention to a surge in copycat legislation preventing foreign funding, underscoring that a key component of the right to associate was also the right to seek, receive and use resources from domestic, foreign and international sources.” (Civicus 2014)

The report adds:

“The International Center for Not-for-Profit Law notes, “With foreign funding entirely cut off to them, many organizations with advocacy missions will likely face dissolution.” (Civicus 2014)

We must remember that because they play a key role in the strengthening of democracy, NGOs are included in international treaties, in particular those developed by the United Nations.

That body’s General Assembly, through its Human Rights Council, declared the following rights, which make it possible for NGOs to carry out their activities, to be essential democratic elements:

- ✓ the freedom of association of organizations;
- ✓ the freedom of expression and opinion;
- ✓ the opportunity to participate in public decisions;
- ✓ the right to defend human rights; and
- ✓ the freedom to demonstrate peacefully.

More advanced and mature NGOs play a very important role by sharing their experience with newer organizations or with organizations that represent groups with less visibility and experience. Learning from experienced NGOs empowers other organizations to continue their activities based on these rights.

Key Roles of Civil Society Organizations within the Context of Social Protection Floors: What Must Be Done

In this section we will discuss the key roles for which NGOs must develop skills, alliances and activities that will have a positive influence on the attainment of SPFs.

However, before setting out basic recommendations for each of these strategies, we must discuss a fundamental challenge with which NGOs must come to grips if they are to be successful in their activities for advocacy or impact. This is the development and strengthening of skills for establishing alliances, networks and coalitions. These skills will give them more weight both in the perception of those actors they seek to influence and of society in general and are strategic prerequisites for a successful role in SPF implementation processes:

For example, long lasting damage can be done and future attempts to create a comprehensive national social protection system can be compromised or delayed if processes that should lead to social protection floors are halted for political reasons. If proponents of austerity policies were to question the affordability of social protection floors by casting doubt on the facts and analyses that the policy development process is built on, then the overall process could easily be stalled or derailed. CSOs and trade unions have to be strategically prepared in order to pre-empt or counteract and they have to be technically able to contradict such political arguments and debase attempts to derail the social protection development process.

Political consensi, particularly with regard to long term strategies, can be fragile. Creating expectations without the necessary capacities and resources can be damaging to the credibility of the concept of social protection as a whole. It is therefore important that CSOs and unions maintain a long-lasting consensus and stick to a strategic approach that is both sustainable and enforceable. They must also ensure that they have the political mandate and the know-how to accompany the implementation process at every step.

1. Building national political platforms

A crucial preparatory move is to build national political platforms or coalitions in which CSOs, trade unions and other like-minded pressure groups can act unanimously. One crucial principle should be to “build up and –if at all possible – do not to destroy”. It is politically always easier to build or complete a national social protection system by building new elements on top of or around already existing schemes rather than to try to create a system by abolishing already existing schemes. Questioning existing systems from which certain groups already benefit always causes dissent which in turn jeopardizes the maintenance of a consensus on a minimum level of social protection for all. In such a case it is important to emphasize that the SPF is intended as a starting floor on which to build, not as a final goal. While it is important to examine existing systems rigorously, framing a social protection floor as contribution to the logical cohesion between already existing programs may soften any potential opposition by governments or state officials. One might even alienate potential trade union allies who fear that they will lose out on their already existing levels of social protection.

BOX 3: YOUR STEPS IN BUILDING NETWORKS AND ALLIANCES:

- ✓ Discuss the objective of establishing a network or alliance with a core group of two or three people from organisations other than your own, paying special attention to the pros and cons of taking this step. Explore in some detail what you hope to achieve and how.
- ✓ Ask each organisation that is planning to become a member of the network or alliance to detail how they expect the network or alliance to help them to reach their goal. Prospective members should be encouraged to be as explicit and honest as possible.
- ✓ Each organisation should then be asked how it intends to contribute to the network, based on specific competencies and comparative advantages such as financial resources, mobilisation skills, strengths in advocacy, documentation, etc.
- ✓ Undertake a quick assessment of the competencies that are needed for the network to be able to achieve its goals. Based on this assessment and on a review of the results of step 3 above, determine the “missing competencies and resources”. Acquiring that which is missing through a new membership drive or a capacity-building process should be one of the objectives for the network or alliance.
- ✓ Pay special attention to identifying partners that can complement each other’s resources and capacities, particularly those that can help in influencing “influencers” or “decision-makers”.

- ✓ Make sure that all prospective network members openly share with others their “non-negotiable positions”, if these exist. For example, it is conceivable that a prospective member may be totally opposed to the social protection modality of cash transfers, believing that this encourages “laziness” but at the same time that member may be supportive of other forms of social protection, such as those which are described as “productive safety nets”.
- ✓ Establish a simple mechanism for leaving the alliance. Members should know that they do not have to subscribe to the network’s membership forever. Flexibility should be applied when one or more members decide that they do not want to continue being part of the alliance.

Once a policy platform is agreed upon, two more preparatory activities are indispensable. One is strategic the other one technical

2. Create early awareness and political sensitivity

A crucial preparatory activity is to create early awareness and political sensitivity of policy makers and the public by taking a CSO/trade union consensus as often as possible into existing political processes (such as, for example, in national discussions on social policies, for example, in the context of regular meetings of national economic and social councils) even before an official SPF process has been formally created. Policy space can be created in many ways, repetition of the same message in many different fora and avenues is one of them.

3. Capacity building of CSOs

The third crucial preparatory activity is to invest in the analytical technical capacity of CSO and union representatives who will participate in the national awareness raising and dialogue process.

Demanding more than a symbolic role in a major social policy implementation process, means accepting a part of the political and technical responsibility for the maintenance of the process. The latter has its price. The price to pay is heavy investment in their own technical capacity and credibility. Without credible analytical and policy design capacity CSOs will not be able to play a constructive role in the process.

We have to assume that the resources of any organization or coalition are finite. So, it is valuable to map out the social actors who are key to achieving the desired results and to identify the possible strategies for reaching them.

The first and more effective strategy to prepare for influencing others is to strengthen the capabilities of the organizations that will work together on the project. Key capabilities that should be strengthened include:

- ✓ at the personal level: leadership development, political skills and tools for effective communication;
- ✓ at the organizational level: transparent administration, systematization of information and processes, rendering of accounts, a culture of planning and evaluation, care for and consolidation of the institutional image; and
- ✓ at the level of networking or forming coalitions: trust-building, transparency in decision-making processes, skills for managing conflicts and developing consensus.

For more details
see chapter 3

These crucial considerations should be incorporated into a broad social protection strategy that is devised early on in national coalitions of CSOs and trade unions.

What follows is a list of strategies that have shown to be useful for getting a topic on the public agenda and for helping decision makers to take the desired route.

The Generation and Spreading of Information

The generation and spreading of information is often the fundamental task of NGOs. In the specific case of SPFs, it is doubly important: first, it is necessary to have reliable, realistic data on the goals and the strategy for reaching that goal. According to the ILO's statement on SPFs, the percentage of GDP necessary for providing coverage of minimum benefits of social protection in each country can be measured. Not all strategies for social change have a specific and measurable goal, as in this case, and this is a great strength of the SPFs concept.

The second factor that makes the SPFs concept doubly important is that NGOs often have difficulty arriving at a shared agenda in other areas of interaction. What often happens is that each organization establishes objectives based on more or less precise diagnostics and then sets out to implement its projects.

Although two or more organizations may aim for the same goals, without a common baseline for making their diagnoses, or unified means for reaching those goals, the organizations' efforts become diluted. This causes organizations to perceive their efforts as drops of water lost in an ocean. The ability to rely on a common, coordinated set of data designed for achieving social protection floors has the potential of providing NGOs with a clear point of departure for a common agenda. Universities and research centers are important allies when it comes to generating reliable data that will lend legitimacy and consistency to NGO proposals.

Lobbying and Social Pressure

Once rigorous, reliable data has been produced, the moment arrives for sharing it with decision makers. Making informal contacts with legislators and their advisors in order to share relevant data with them is a slow and silent process. However, it will ensure that the needs of affected groups are brought to the attention of those in charge of writing and supporting the enactment of measures for the implementation of public policies.

Aside from the production of relevant information, lobbying requires tracking down and identifying the decision makers with whom to make contact. It is therefore important, when contact with members of parliament is necessary, to first gather information about legislators, such as which legislative projects each has presented, the committees on which each works, and so on. It is also important to identify the correct person to contact in each institution, to create trust with him or her and to be transparent when communicating the objectives in question. Since this communication is not always carried out in public, it is important to maintain the organization's or coalition's integrity by having witnesses present at meetings with decision makers and putting any agreements reached in writing. In this way, the results of meetings cannot be distorted or interpreted by other actors as being manipulative or intransparent. Also, thanks and appreciation should be expressed publicly for the successful results of such meetings.

Creating Educational Materials and Capacity-Building Space

NGOs have become adept in this area because educational materials are often of interest to possible financiers who see them as something concrete that they

can support. Relevant here is the importance of correctly identifying beforehand the parties at whom such materials are directed. NGO representatives often assume that the entire NGO community possesses the same information as those who are most involved in an issue. They therefore forget to provide their information to other NGOs—such as neighborhood groups, community action committees, or groups providing services to specific populations—so that these groups that maintain support strategies can also be well-informed.

Another target audience that NGOs must not lose sight of is that of journalists. They must be supplied with materials that are clear, graphic and contain a mix of information consisting of, for example, real-life stories, striking statistical information and statements on the issue by internationally known leaders. Such information will help journalists bring issues to the attention of their editors and convince them of the value of writing and publicizing articles on the issue.

In relation to the issue of SPFs, it is particularly relevant to educate people in vulnerable situations of their rights. In this way, these populations can take up the issue and can provide feedback to the NGOs on their real-life, on-the-ground perceptions and expectations.

The Use of Mass Media and Social Networks

In this area, the prior production of relevant informational materials is once again of particular value. These materials can be adapted to reach a wide audience, thereby placing the issue on the public agenda. Today social networks make up an especially accessible and strategic arena, one which organizations can manage directly without having to depend on the issue catching the attention of the mass media. In fact, nowadays much of the mass media takes its news from social networks!

Campaigns, Citizen Mobilization and Public Demonstrations

Special consideration must be given to this strategy, since with it NGOs have the opportunity to empower citizens to become visible and to make themselves heard. On the one hand, by mobilization, citizens have an arena in which they can commit themselves to their rights and can publicly exercise them in a way that goes beyond voting at election time. On the other hand, in the activities of the citizens NGOs can see if their objectives are understood, validated and shared by

those citizens. This also provides a clear response to detractors of NGOs who may assert that the claims of NGOs are not representative of the people.

A good example for successful civil society and trade union engagement provides the **Action Committee for Social Security (KAJS) in Indonesia** which in 2011 (after 18-months of campaigning) successfully pushed the government into implementing a Social Security Law from 2004. (see e.g.: <http://fairforall.org/2011/08/15/social-security-comes-a-step-closer-for-millions-of-indonesian-workers/>)

Creativity, innovation and the use of social networks are vital to this strategy. Celebrities and other public personalities behind the cause provide an excellent resource for spreading the word and for winning over allies.

Activities most often used by NGOs and social movements are:

- ✓ demonstrations and protests in visible, public places;
- ✓ hunger strikes;
- ✓ boycotts of products or services; and
- ✓ sit-ins or occupations at the headquarters or branches of relevant authorities.

Of course, and having mentioned in the preceding paragraphs global trends in attitudes of certain governments regarding the manifestations of civil society, it is important to assess the relevance of carrying out these actions and take all measures that the local context requires not to jeopardize the integrity of the participants. In that sense, and when national conditions guaranteeing the rights are not given, are particularly strategic situations where international scrutiny is placed on the country (due to an international meeting, an important visit, a worldwide event), so that testimony serves to protect participants and actions to achieve greater impact.

Requests for Public Information, Participation in Public Hearings and Presentation of Legal Resources

All these strategies may already be provided for by the legislation of many countries, but they may in fact be “dead letter” or unenforced, laws. NGOs must therefore resurrect them and create situations that demonstrate that such tools do exist. The success or failure of such a demonstration is not relevant; what is important is that in either case the situation created becomes a news item or a lobbying tool, especially with regard to legislators in opposition parties.

Not every activity can be carried out by any NGO. Certain activities require NGO with a specialization, one to which other NGOs can turn to generate joint action. Examples of such activities are: Publishing the number of days that it took for an institution to supply public documents, or submitting a legal procedure in support of a citizen or a community who has filed a lawsuit.

The Contribution of NGOs to the Development of National Dialogues on SPFs

From 2011 to 2013 the ILO developed a series of exercises called Assessment-based National Dialogue Exercises (ABNDs) (Schmitt and Chadwick, 2014), in collaboration with governments, civil-society and academic organizations and agencies of the UN working on the Social Protection Floor Initiative. These exercises led the way to the development of a methodology for assessing the main weaknesses and gaps in the system of social protection of each country and for making recommendations for the design and implementation of measures aimed at closing those gaps.

For more details
on **Assessment
Based National
Dialogue (ABND)**
see page 77

Following the “Social protection assessment based national dialogue: A good practice guide” (Schmitt and De, 2013), the ABND exercise involved three main steps:

Step 1: Building the assessment matrix

Step 2: Costing policy options using the Rapid Assessment Protocol (RAP) model

Step 3: Finalization and endorsement

STEP 1 – Building the assessment matrix

“The assessment matrix lists and describes the existing social security schemes for each of the four SPF guarantees, identifies policy gaps and implementation issues, and provides policy recommendations to further design and implement social protection provisions with the aim of guaranteeing, at a minimum, the SPF to all residents and children.” (Schmitt et al, 2013:31).

This Step’s objective is to answering the following questions in a context of workshops involving all relevant stakeholders:

- ✓ What is the social security situation in the country for each of the four SPF guarantees (access to health care, income security for children, income security for the working age, and income security for the elderly)?
- ✓ For each guarantee, what are the different schemes? What are the planned schemes?

- ✓ For each scheme, what is the population covered? What are the types of transfers (in cash, in kind, access to services)? What are the levels of benefits?
- ✓ Are some parts of the population excluded by law (policy gaps)?
- ✓ Are some parts of the population excluded in practice (implementation issues related to inclusion and exclusion errors, budgetary constraints, or mismanagement)?
- ✓ What could be recommended to close the policy gaps and solve implementation issues?

According with these authors, the recommendations may be of two types:

- ✓ Recommendations related to the expansion of the social protection floor, such as cover more people; increase levels of benefits of existing non-contributory schemes and introduce new non-contributory benefits or programmes. The cost of implementing such recommendations can be assessed using the ILO RAP model.
- ✓ Other recommendations that will require in—depth studies beyond the ABND exercise, such as new or expanded mandatory or voluntary social insurance, recommendations related to the operations and coordination between schemes or qualitative recommendations.

STEP 2 – Costing policy options using the RAP model

As Schmitt and De put, “Once the recommendations have been transformed into scenarios, the costs of the proposed social protection provisions are then estimated and projected over a ten-year period using the ILO RAP model. This costing exercise can serve as a basis for discussions on the fiscal space and government budget reallocations. In turn, the results of the costing exercise can help prioritize between possible social protection policy options.” (Schmitt and De 2013)

The ILO RAP model is an Excel tool that collect data as:

- ✓ Population projections that includes data per single age and sex
- ✓ Labour participation rates (male and female labour participation rates per age group)
- ✓ Economically active population
- ✓ Macroeconomic framework
- ✓ General government operations

For more details on **Rapid Assessment Protocol (RAP)** see page 77

This Step requires also that participants describe each policy option, choose detailed parameters, and calculate the cost introducing the policy options. The importance of access to reliable information highlights the need for these meetings to include key social actors who can provide reliable information and technical capacity to interpret it so that all participants can engage with equal opportunities.

The results of these exercises have to be expressed in national currency and as a percentage of GDP. The authors recommend combining low and high benefit packages in order to propose several options to the government.

STEP 3 – Finalization and endorsement

Schmitt and De describe this step as the moment when recommendations are shared with government representatives, workers and employers, and civil society organizations and a validation takes place. They say “The technical validation includes the confirmation of the description of the social security situation, the endorsement of the proposed scenarios, and the validation of the parameters and assumptions used in the cost calculations. The technical validation process can be quite lengthy and time consuming given the number of relevant actors (and particularly the number of relevant ministries: health, education, labour, social affairs, planning, finance, and so on). Using a national coordination mechanism helps to accelerate and ease the process.

In addition to the technical validation, a political endorsement of at least some of the policy recommendations proposed in the report needs to be reached. This can only be achieved by communicating and advocating for the recommendations at the ministerial level. Finding a champion that will advocate for these recommendations at the highest level may be an efficient strategy.” (Schmitt et al, 2013:35)

For an **overview on existing tools**, see: <http://www.socialprotection-floor-gateway.org/24.htm>

As in any participatory process, the ABND require certain guarantees to produce the expected results, which can be summarized as follows:

- ✓ The convening organizations must have credibility and legitimacy, showing diversity in their profiles and transmitting openness and plurality.
- ✓ Key stakeholders should be invited from the outset, to feel part of the initiative and not mere attendees.
- ✓ The context for the recommendations and reports produced are taken into account in the design of future public policy should be, as far as possible, warranted and agreed from the outset with the relevant authorities.
- ✓ In each country according to its context, the preparatory workshops, dialogue, and meetings to produce final reports must take the time and ways to ensure informed participation by all stakeholders.

We can emphasize the capabilities that NGOs must possess in order for them to effectively advocate for their values and ideals during these meetings:

NGOs that attend these dialogues have the responsibility of bringing to them the voice of those in civil society who are excluded from such meetings:

- ✓ Grass-roots organizations
- ✓ Indigenous peoples' organizations
- ✓ Neighborhood or community organizations
- ✓ Newly formed groups who work for emerging causes but who do not yet have the necessary visibility

To this effect it is very important to call upon the NGOs ability to connect with each other, to relieve among their target populations which are the organizations that best represent their interests and meet their needs, and to ensure that those that have not yet achieved visibility can be informed about these meetings and the way to participate in them. Thus, the participating NGOs of the National Dialogues will have access to the information held by neighborhood and grassroots organizations, usually in close contact with the recipients of social protection programs.

NGOs that are part of the SPF initiative can organize capacity-building workshops and produce simple, graphic materials to share with organizations that do not typically have access to arenas of global participation.

During the diagnostic phase, NGOs can play a vital role by inviting other actors who do not have ties to the authorities organizing the dialogue. For example, certain research and social innovation centers at universities do not have the objective of influencing public policy and therefore their discoveries and research work are usually shared only within academic or educational circles.

The more diverse the platforms or collective arenas of the participating NGOs, the more varied the frames of reference, definitions and field data that is gathered. This may result in the additional task of reworking and redefining information in order to integrate it within a common framework, but doing so guarantees that the picture that emerges from the diagnosis is as complete as possible.

NGOs must be on the lookout for omissions, pressure or other irregularities in the Dialogue process and be ready to report these to the media and on social networks. Some of these aspects will be dealt with in more depth in the following chapters of this manual.

HOW TO START – AWARENESS RAISING AND ADVOCACY

Charles Lwanga-Ntale

Summary

This chapter describes how civil society actors can become active in the field of SPFs, which steps they could adopt in order to build solid foundations for engagement, and what measures they might take to establish and implement national dialogue processes on SPFs. This chapter also proposes possible interventions for supporting SPF processes. At the very outset it is important to distinguish advocacy in general from specific “policy advocacy”. The latter, which is the main concern of this manual, is the deliberate process of influencing the formulation, modification, alteration, implementation and/or discarding of public policy. In this case “policy” is defined as a plan, course of action or set of regulations adopted by a government or other institution and which is designed to influence and determine decisions or procedures. “Public policy” refers to those instruments and actions adopted by governments and which define the framework within which social and other actors can act. In this context advocacy involves delivering messages that are intended to influence the actions of policy-makers. The main audiences of policy advocacy typically comprise of local, national and regional governments, as well as donors. The hallmark of SPFs is “people-centred” and “rights-based” advocacy. The former seeks to empower those who are marginalized to speak for themselves, while the latter recognises that people are not passive beneficiaries of state provision. On the contrary, the state is obligated to guarantee all of their human rights, including their right to social protection, in a transparent and accountable manner.

The meaning and purpose of awareness raising and advocacy and the implications for SPFs

The main purpose of awareness raising and advocacy for SPFs is to promote understanding and acceptance among the general public, civil society organisations, policy-makers, donors, as well as other political leaders and technical professionals. Raising awareness means increasing the attention paid to an issue of interest and, through this, ensuring that the significance of such an issue is recognized. Advocacy, on the other hand, seeks to influence others by using persuasion, dialogue, and reason to affect change. The aim of advocacy

for SPFs is to persuade people to make changes in policy, practice, systems or structures with respect to adoption of SPFs. This means establishing or making changes to policies that favour social protection especially for the poor and vulnerable. Hence in social development the main aim of awareness raising and advocacy is to change policies, positions or actions. By making an advocacy issue, such as increased adoption of SPFs, visible and accepted, opportunities are created for reforming policies or influencing the way in which the implementation of such policies is enforced. The underlying rationale for most advocacy processes, therefore, is to have “targeted persuasion”, implying specific awareness raising and advocacy efforts which focus on particular decision-makers or audiences and whose messages are packaged in ways that are most relevant for those audiences.

The rationale for social protection awareness-raising and advocacy

The need for social protection floors is motivated by two main factors: Poverty and vulnerability which prevent a large proportion of people from accessing, or benefiting from, mainstream development interventions, and the absence of appropriate programmes and instruments that lessen the impacts of risk and vulnerability. Other reasons for proposing the adoption of SPFs include undernourishment and malnutrition, limited access to health and education and having a limited voice and influence. Thus it is important for civil society organisations that work on social protection, particularly on SPFs, to have awareness-raising and advocacy at the heart of their programmes.

What are mainstream development interventions?

Mainstream development interventions are those development programmes which are designed and delivered with the assumption that all (or the majority) of the population will automatically benefit from them. For example when a primary education programme is established in a given country situation the common assumption is that most or all of pupils of primary school-going age will be able to access such a programme. In reality, however, many pupils may not be able to benefit from the programme if, for example, they either cannot afford to pay scholastic materials, buy a uniform or find food to eat during school time. The provision of a “mainstream” education programme such as this would therefore need to be bolstered by a social protection instrument such as school feeding.

Further reading:
Cichon/Behrendt/
Wodsak: The UN
Social Protection
Floor Initiative –
Turning the Tide at
the ILO Conference
2011, Friedrich-
Ebert-Stiftung
(ed.), Berlin 2011

However, there are also other reasons for awareness-raising and advocacy. First, because the concept of “Social Protection Floors” is relatively new it needs to be clarified and made more visible for it to be given the consideration that it deserves among policy makers. By raising the profile of SPF or framing a discussion on social protection issues it helps to put indirect pressure on policy makers so they will address risk, vulnerability and poverty and give these topics adequate attention and resources. Secondly, even among those who are familiar with the concept, there are many who are not yet convinced that SPFs are the right way to address the multiple challenges posed by persistent poverty and vulnerability. Unless these sceptics are targeted with convincing arguments, chances are that they might stand in the way of effective uptake of social protection in the future. Thirdly, previous efforts to achieve social protection objectives through “behind-the-scenes initiatives” or through technical arguments have not yet produced any noticeable change. This suggests that there is a need for initiatives which are based on more visible advocacy. In order to address these challenges, advocacy needs to occur at different levels which feed into the SPF aims of representing, promoting and giving visibility to social protection at sub-national, national and global levels. This includes influencing the social protection agenda by identifying critical issues, while at the same time developing and advocating for solutions, positioning the social protection floor as an important mechanism for addressing critical needs and creating the basis for more effective partnerships.

The advocacy landscape, process and key steps for SPFs

The advocacy process can be divided into four broad sequences. The first is making a decision to engage in advocacy for SPFs. This step would also include developing a good understanding of what SPFs are about. The second step in the process relates to analysis and building of the evidence base for SPFs, while the third one is networking, communication and engagement. The final step in the sequence is monitoring and evaluation of the SPFs impact. It should be noted that there may be instances when these steps do not always follow the same logical order, or when they are interactive in nature – moving in both forward and backward directions. In this manual these sequences have been sub-divided into seven key steps as shown in figure 4 below.

Figure 4: Steps in the advocacy process



Developing a shared understanding of the issue and agreeing upon the advocacy objective

The first step towards effective social protection advocacy is having a well-founded and common understanding of the issue at hand among a wide range of stakeholders, especially the groups for whom the advocacy is being undertaken. In most countries, especially developing ones, interest in social protection stems to a large extent from the resurgence of economic crises, new forms of risks, growing vulnerability, and the absence of suitable responses. At local, national and other levels social and economic insecurity is the result of a declining capacity to secure one's livelihood, growing inequality, an increasingly liberalised economic environment and a global demographic transition which implies long-term changes in dependency ratios. (Conway and Foster 2001)

Sometimes this problem is aggravated by too many different social protection interventions being carried out as pilots.

However, for advocacy to succeed, information on the rationale for SPFs needs to be obtained from the constituents themselves, namely people who are affected by the problem. This is because policy makers, especially elected officials, are interested in the views of their constituents with regard to an issue. In this way advocacy should help to provide insights about the consequences of not addressing the issue or not making constituents' voices heard with policy-makers exploring which policies would work best to address the issues.

In order to further understand the nature of the problem one can also draw from the experiences of other institutions. The ILO, for example, adopted a technical convention in 1970 concerning Minimum Wage Fixing, with Special Reference to Developing Countries (this entered into force on 29th April 1972) with each ratifying member of the organisation undertaking to establish a system of minimum wages¹³. Similarly, the ILO and WHO stress the importance of such requirements as essential services – which aim to ensure the availability, continuity, and access to public services such as water and sanitation, health, education and family-focused social work support and social transfers – a basic set of essential social transfers, in cash and in kind, paid to the poor and vulnerable to enhance food security and nutrition, provide minimum income security and access to essential services, including education and health care. (ILO and WHO, 2009) All these requirements are essential for SPFs to be effective.

BOX 4: CASE STUDY – THE EVOLUTION OF SOCIAL PROTECTION IN BOLIVIA

Social protection policies in Bolivia, aimed at managing risk and vulnerability, gained importance in the country in the last two decades. In part, this is the result of several years of advocacy work by NGOs and activists. Between the years 1991 and 2001, policy reforms in the key sectors of education, health, pensions, and state decentralisation were actively implemented, leading to increased investments in education, health and basic sanitation services.

The main components for the country's approach to social protection included:

(a) Policies that are aimed at making key public services accessible and universal. As part of this effort the Social Investment Fund (Fondo de Inversión Social, FIS) was created in 1991 to improve the coverage and quality of health, education and basic sanitation services

.....
¹³ <http://www.ilo.org/dyn/normlex/>

(b) The National Maternal and Child Insurance (Seguro Nacional de Maternidad y Niñez) was created by Supreme Decree in 1996 and aimed at giving medical attention to mothers and children under 5. This insurance was replaced by the Basic Health Insurance (Seguro Básico de Salud) in 1998, with larger coverage (i.e. reaching more people);

(c) Implementation of an individual capitalisation system to finance social security. This was achieved through the pension reform of 1996, which fully replaced the traditional pay-as-you-go system, and a universal allowance for older people, created in 1997 as part of the pension and capitalisation reform (Bono Solidario, Bonosol).

During the period 2002 – 2004 social protection was fully integrated into Bolivia's Poverty Reduction Strategy (Estrategia Boliviana de Reducción de la Pobreza, EBRP) which had the goal of increasing security and protection for the poor. Specifically, in 2004, a Social Protection Network (Red de Protección Social, RPS) was created to spearhead the implementation of programmes and projects for the poorest and to promote collaboration and coordination of governmental and non-governmental programmes.

This arrangement had three main components, namely the:

1. Universal Maternal and Infant Insurance (Seguro Universal Materno Infantil, SUMI), of 2002 which replaced the National Maternal and Child Insurance;
2. National Plan for Emergency Employment (Plan Nacional de Empleo y de Emergencia, PLANE), which generated temporary employment for the unemployed during the period 2001 and 2006 and was jointly financed by domestic and external resources; and,
3. Programme to Combat Poverty and Support Social Investment (Programa contra la Pobreza y Apoyo a la Inversión Social, PROPAIS) which sought to finance small labour-intensive infrastructure and community projects in the poorest municipalities of the country.

Later, in 2009, an Oxfam-led social protection effort throughout the country (the Platform of Social Organisations Against Climate Change) led to an increased demand for an agricultural insurance scheme to lessen climate risks. It also led to the development of a policy for universal agricultural insurance, benefitting close to 1 million people.

Bolivia's experience is a good example of what can be achieved when a government takes the lead in promoting social protection. It also reveals the im-

portance of involving a wide cross-section of stakeholders, of implementing capacity enhancement, and of making use of local and global knowledge and connections. The lesson here is that by engaging in advocacy and dialogue at both the government and civil society level a greater impact can be achieved. Another lesson is that for success to be achieved, advocacy processes ought to be facilitated by a credible institution – one that is able to enhance visibility of the advocacy issue.

Building the base for advocacy

Good facts are some of the most important building blocks for the success of social protection awareness creation or advocacy. Facts making the case for SPFs are usually come from data or research should be related to the rationale for social protection – addressing risk, vulnerability and poverty. Data or research must be translated into information and messages, and must be presented in formats that policy makers can understand and use. In this way, the facts can be made to “speak” the language of policy makers, community leaders, advocates, the public and the media.

Steps in building the case for social protection advocacy:

- ✓ First, determine what motivates and moves policy makers or particular social protection advocacy audiences. In order to achieve this you should assess what the audience is likely to gain from the proposed advocacy. For example, your advocacy audience may be interested in promoting the wider acceptance of primary schooling and your research may have revealed that the lack of school meals is one of the main barriers to achieving this objective. Introduction of school meals, a key social protection instrument, may in this regard be accepted by the audience as a tool to promote increased pupil enrolment and hence acceptance of primary schooling.
- ✓ Identify the incentives for policy makers and other audiences to improve their focus on social protection as a key interrupter of poverty.
- ✓ Identify data and facts that can be used to support your arguments and, through deeper analysis, convert the data and facts into easy-to-understand information, making sure that you build a good “story” from the information.
- ✓ Identify the potential alignment between that which motivates and moves the target audience and the advocacy goals.

BOX 5: CASE STUDY – EVIDENCE BASED SOCIAL PROTECTION ADVOCACY IN UGANDA

During the early 2000s, the thrust behind social protection advocacy in Uganda was grounded in the rigorous analysis of poverty and vulnerability with social and spatial aspects of susceptibility, respectively referring to “vulnerable groups” and geographical location of the poor, serving as an entry point for understanding the diversity of poverty and the varied needs for social protection. Later in 2007, as part of the design process for the country’s Cash Transfer Pilot, a poverty and vulnerability assessment provided the evidence against which a rationale for social protection was built.

Subsequently, networks of Civil Society Organisations, such as the Uganda Social Protection Platform, and member organisations collaborated with think tanks and other research institutions to carry out research and adduce evidence of the usefulness of Social Protection interventions.

For more **best practice examples** and helpful guidance of CSO engagement for SPFs, see: Social Protection for all – an action guide, published by Solidar and The Global Network, Brussels 2012

As already pointed out, data will carry more meaning and will only help to influence the policy debate if it is translated into understandable information and messages. Policy advocates should keep in mind that decision-makers do not always make their decisions based solely on objective data or good research. This is because for them, selecting one policy option over another also involves negotiating among various actors. And yet, without relevant data and analysis policy advocacy is very difficult.

Understanding and mapping the decision-making process

As an SPF advocate you must ensure that you have a good understanding of the decision-making process that you are attempting to influence. The more you know about the process, the more you will know about how best to persuade policy-makers. It is important to familiarize yourself with: (a) the formal rules and procedures of the decision-making process as stated by law; and (b) the informal “behind-the scenes-practices” or alternative courses of action that exist wholly outside the official process.

Box 6 below outlines steps that may be used in developing an understanding of the social protection policy process:

BOX 6: STEPS IN UNDERSTANDING THE SOCIAL PROTECTION POLICY PROCESS:

- ✓ Identify the institution/s or policy-making bodies that are expected to be involved in making the decision you are trying to influence (social protection uptake). Clarify which of these are “recommending institutions” and which specific one has ultimate responsibility for making the decision (note here that in most countries the key decisions tend to lie between the ministries that are responsible for Finance; Social Development; and Social Services).
- ✓ Clarify the process which the decision-making institution goes through. Make sure that each step (and what is involved in the step) is clear to you. Ensure that the time and timing of initial decisions for each of the steps is also clear.
- ✓ Find out about the informal workings or “behind the scenes actions” for the decision-making process.
- ✓ Identify the key decision makers at each stage and the basis that they use to make decisions.
- ✓ Identify which steps are: (a) open to outside input; (b) the specific stages in the process that you can influence; and (c) the preferred methods for influencing each of the stages.

Identifying the target audience and planning steps for advocacy

After an advocate has identified issues for action and chosen an advocacy objective, the next step is to build support to turn the objective into reality. For this, the audience which will need to be convinced to take action and to help in reaching the advocacy objective must be identified. This process involves ascertaining what the audience knows and how it feels about the advocacy objective. It is also important to understand the attitudes, norms and informal rules of the audience. There are several reasons why, at the very outset, the target audience for SPF advocacy needs to be identified. First, it is important to understand where the impulses of social protection policy come from and who is involved. A quick stakeholder review suggests that much of the current social protection agenda is designed and financed by external actors. This includes bilateral and multilateral donors, international NGOs and academics and consultants. Domestic constituencies, including national governments, local civil society organisations, citizens’ groups and other local players play a limited role in shaping social protection policy. This makes it difficult for domestic constituencies to “own” the policies or to even feel accountable for their delivery and or their impact. As a consequence, there is a slow uptake of the policies and the financial sustainability of social programmes is negatively affected.

A critical element in the success of any advocacy effort is a thorough understanding of the opportunities that exist for influencing the policy process at the sub-national, national, regional or international levels. This understanding enables those who are undertaking advocacy to know how the policy process works, who is involved in decision-making, and what can realistically be expected from engagement with them.

Remember that policymaking – a course of action dealing with a problem or matter of concern – occurs within a complex web of interacting forces. It involves multiple sources of information and knowledge, complex power relationships, beliefs, and changing institutional arrangements. These factors affect three key processes. The first relates to “problem recognition”. Here the advocacy group acknowledges that a particular problem, for example an absence of mechanisms to protect the poor from sliding into poverty, exists. The second relates to the formulation and refinement of policy proposals. The third process on the other hand relates to the political environment in which policy change needs to happen. In the latter case, the political environment, in particular, advocacy may benefit from using a combination of facts, analysis, and persuasion. In other instances positions and/or conclusions will be reached by bargaining, voting or delaying decisions. With regard to poverty, risk and vulnerability it may not be easy to determine the processes by which a country formulates and implements social protection policies, particularly if the government’s decision making process is complex or in transition from a top-down to a more decentralized process. It is important, however, to identify as accurately as possible the various factors that affect policy development decisions so that appropriate strategies can be adopted to influence the policymaking process.

BOX 7: STEPS IN CLARIFYING THE TARGET AUDIENCE AND PROCESS FOR ADVOCACY:

- ✓ Do basic research on the proposed advocacy audience to establish their knowledge, attitudes and beliefs. Begin by segmenting (grouping) the decision makers, influential leaders, NGOs, or professional associations. By the end of this step you will have sub-groups with similar characteristics.
- ✓ Separate the audiences into “primary” and “secondary” sub-groups. The primary audience will include decision makers with the authority to directly affect the SPF outcome for the advocacy. Secondary audiences will be individuals and groups that can influence the SP decision makers (or primary audience).

- ✓ The opinions and actions of these influential people are important in achieving the advocacy objective in so far as they affect the opinions and actions of the decision makers. Some members of a primary audience can also be a secondary audience if they can influence other decision makers. For example, the Minister for Social Policy and that of the Ministry of Finance and Planning might influence one another's opinions, and in this case they may both be considered to be a primary audience (targets).
- ✓ Do a mapping of the different advocacy audiences that you plan to engage.

Table 1: Developing an advocacy audience map – an example

ADVOCACY OBJECTIVE: ENACT A POLICY TO BRING SOCIAL PROTECTION PROGRAMMES UNDER ONE ROOF.			
Primary target audience	Audience's knowledge about issue/objective	Audience's beliefs and attitudes about issue/objective	Issues that the audience cares about (may be unrelated to your issue)
Minister of Finance & Planning	Does not know much about social protection	Social protection is wasteful of the scarce resources which could otherwise be invested in productive activities.	Increased agricultural productivity, foreign direct investment, broadened tax base.
Minister of Gender, Labour & Social Development	Knows the inefficiencies that are brought about by the uncoordinated implementation of numerous social protection projects.	Does not believe that coordination of social protection projects is a high enough priority.	Increased funding for the social sector
Civil Society Advocacy Group	Knows the added value and potential savings which could be realised if social protection projects were better coordinated.	Feels that the current multiple social protection projects are just political projects designed to satisfy particular voting constituencies.	Increased and improved scope to the poor.
National newspapers	Research needed.	Research needed.	Elections and political scandals

Table 1 below is an example of an unpublished audience map developed by Development Research and Training, a key member of the Uganda Civil Society Platform for Social Protection, which aimed for the enactment of a policy to bring social protection programmes in the country under one roof.

Building alliances and networks

There are many reasons why building networks and alliances is crucial for the success of advocacy by Civil Society Organizations (CSO) in the field of social protection. First, sometimes there is limited understanding on the part of advocacy organisations themselves (or even policy makers) of the concept of social protection. In this regard networks and alliances are useful for (a) building a critical mass of organisations that are knowledgeable about the concept; (b) accessing ideas and information; and (c) benefitting from the power in numbers. This also involves taking advantage of the fact that policy makers prefer to speak to several CSOs at the same time rather than to each one individually. Networks and alliances are very effective in building collective action and a common voice, promoting collaboration and coordination at different levels, bringing a wide range of stakeholders together for a common good, sharing information and knowledge, learning from each other and for building relationships and commitment among CSOs.

Before you consider establishing a network or alliance, you should take some time for planning; beginning with clarifying why you want to work with others. Remember that if you do not have clarity about what, why, how, when and with whom you want to work, then others will find it very difficult to believe in what you are asking them to take part in.

It is also better to *start with a small core group and to expand it gradually*. Similarly, think carefully about what you need a network or alliance for. For example, is it for access to information through networking? Do you need to coordinate with others, for example, to plan activities together for maximum impact? Are you looking for close cooperation whereby allies pool part of their resources and divide up their work based on a shared campaign platform? It is important that all parties involved agree on the degree of commitment required so that the partners' expectations coincide (see steps on building alliances in chapter 2).

BOX 8: EXAMPLE OF A CIVIL SOCIETY SOCIAL PROTECTION NETWORK AT CONTINENTAL LEVEL

The Africa Platform for Social Protection (APSP) is a Pan African network of individuals and organizations committed to promoting and strengthening the social contract between states and citizens. It was established in 2008 with the aim of: (a) supporting the establishment and strengthening of CSO social protection platforms; (b) collaborating with CSO's in carrying out research to show evidence of success of Social Protection programmes and sharing best practices; (c) encouraging grassroots NGOs to demand for Social Protection from below; (d) working with regional and continental organisations such as the African Union, Africa Commission for Human and People's Rights and the Regional Economic Commissions (RECS) in order to push the Social protection agenda forward; (e) seeking collaborative engagements with governments in order to share experiences and knowledge on Social Protection; and (f) working with other stakeholders at global level to increase resources to support Social Protection programmes. APSP exists to create partnerships with Civil Society and other organizations to engage with Governments, Regional and Continental Bodies and International Development Agencies (IDAs) to develop and implement innovative Social Protection policies, strategies and programmes in order to make a difference in people's lives in Africa.

Developing and Delivering Policy Messages

After developing an audience map for SP advocacy, the next step is to develop and deliver policy messages that are suitable for each audience. A message should include: (a) a key statement, (b) evidence that has been adduced, (c) an example, (d) a goal and (e) the action that is desired. The key statement is the central idea in the message, or an analysis of the cause of the problem. The statement outlines: (i) why change is important; and (ii) the evidence on which the analysis is based. In the meantime an example adds a practical dimension when communicating the message while the goal highlights what the advocate wants to achieve (i.e. the ultimate result of the advocacy effort).

A suitable format or mechanism will need to be developed for delivering the chosen messages. The objective here is to tailor messages with content and in formats that yield maximum impact. It is vital that the message which is developed is a concise and persuasive statement about the advocacy goal of SPF uptake. Given that the underlying purpose of the message is to create action,

the message should also include the specific action that the target audience is expected to take. In the case at hand this could be the adoption of the SPF as a fundamental basis for a given country's development policy.

BOX 9: STEPS IN DEVELOPING AND DELIVERING POLICY MESSAGES

- ✓ **Clarifying your ideas:** Brainstorm on the ideas that you want to convey to your audience. Use these ideas and any other information that you may have to develop arguments that you will use to persuade your audience. The message should attempt to answer the following questions:
 - ✓ Specifically what do you want to achieve by engaging in SP advocacy? What about for the SPF?
 - ✓ What are the positive results of taking the kind of action that you are proposing and/or what are the negative consequences of inaction?
 - ✓ How do you propose to achieve your advocacy goal?
 - ✓ What action do you want the audience to take?
- ✓ **Choosing your words:** Carefully choose the words that you plan to use to get your message to the audience. These must be clearly and effectively. Be careful not to use offensive or threatening language, and avoid using jargon. Please remember that sometimes what is not said delivers a more powerful message than what is said.
- ✓ **Deciding on a fitting messenger:** Identify a suitable person or group of persons to deliver your message. The person who delivers your message (messenger) must be credible to the audience. However good the message is it will be unlikely to convince the audience if the messenger is not believable.
- ✓ **Deciding a format and suitable timing for delivery of the message:** Decide which format would be most effective or deliver maximum. The choice of a method will depend on the type of advocacy audience and level of sophistication which is needed. For example, a Government Minister may prefer to have a scheduled meeting followed by a letter. On the other hand a Parliamentary Committee may get more value from a policy brief which could be explained in a focused presentation. Further, where a meeting takes place or the timing of the message also matters.

Evaluating progress and achievements

Given that the primary goal of Social Protection Floors is to improve the quality of life of people, the evaluation of progress should focus on assessing whether this goal is being achieved.

In order to be able to evaluate correctly if progress is being achieved, the evaluation should be planned at the start of the advocacy process – beginning with the conceptualisation and development of the advocacy strategy. In particular it should be noted that Monitoring and Evaluation (M&E) for advocacy are distinguishable by such elements as time-frames, strategies and milestones. In addition some players in advocacy for SPF may only be contributing to the achievement of the advocacy goal while others may be the primary reason for the changes that happen.

BOX 10: KEY STEPS IN DEVELOPING A MONITORING AND EVALUATION FRAMEWORK FOR SPF ADVOCACY:

- ✓ First, identify who the users of the information to be generated by the M&E framework will be and how these people or institutions intend to use the information. Bear in mind that information generated by the M&E framework itself could also be used directly in the advocacy process. For example if the monitoring and evaluation process revealed that research assistants for key policy makers are the people who most influence policy-makers' decisions then it would be prudent for this category of people to be directly targeted in the advocacy process itself. Remember also, that the ultimate beneficiaries of SPF advocacy should be placed at the centre of the framework as this engenders ownership and accountability.
- ✓ Secondly, using the advocacy goal that was set earlier, decide how you will measure progress towards that goal. For example, if your goal is increased media coverage of social protection in the national press, you might decide to measure it by counting the number of targeted news outlets that have positively covered a social protection story in a given period.
- ✓ Decide on the M&E design and a methodological plan for how information will be collected, processed and disseminated. A decision may, for example, be made here to combine quantitative with qualitative data collection.
- ✓ Undertake research to ascertain whether there is firm or anecdotal evidence that your target audiences have changed their attitudes or behaviour.
- ✓ Use a wide variety of tools to assess progress: information sheets, posters, policy briefs, multimedia packs such as CDs and DVDs, reports and technical papers, etc.

FOLLOWING THROUGH: IMPLEMENTATION, MONITORING AND EVALUATION

David Cichon

- ✓ Civil society input is important throughout the implementation phase
- ✓ Maintaining long term political consensus can be difficult on a national basis as well as among the CSOs and yet it is a prerequisite for the success of the implementation process
- ✓ Monitoring and evaluating (M&E) government policies and programs are indispensable input into the policy design and implementation process
- ✓ Local, national and international collaborations can raise capacities for M&E and can maintain political will.
- ✓ Civil society organisations have played a crucial role in pushing governments to action around the world
- ✓ UN and international NGO methodologies, as well as the expected SPF monitoring Index and nationally modified methodologies, are valuable and readily available resources.
- ✓ Fairly substantial CSO and trade union investment is needed to be able to enter competently into existing social policy formulation and reporting processes, formal SPF dialogues and to build technical expertise on M&E methodologies
- ✓ The SPF coalition should consider the creation of a technical help desk to support CSOs and trade unions to develop their own M&E system

Summary

When SPF advocacy and campaigning efforts have succeeded in starting a national dialogue, and this has led to the creation of a national task force on social protection floors, then the focus of civil society organisations' involvement should shift. Support for the implementation, monitoring and evaluating programs and policy initiatives aimed at creating a national social protection floor for all. This is an ongoing process and the involvement of civil society is important every step of the way.

A framework that has been developed by the Joint UN Social Protection Floor Initiative for the implementation of SPFs will be used here to provide an overview of 'ideal' implementation scenarios and to illustrate how CSOs can engage in the process (ILO and WHO 2009). The central role of CSOs at every point in the implementation process cannot be overemphasized.

This chapter aims to illustrate the pivotal contribution that CSO activism offers by looking at the role of CSOs during the policy process and in the monitoring and evaluation of social security systems. This will be followed by a description of intervention points, instruments and good practices available to CSOs during the different stages of the implementation process.

Civil Society Organisations and intervention points in the SPF implementation Process

Just as national implementation processes vary across the globe, so do the approaches taken to monitoring and evaluating the progress towards implementation. Nevertheless, civil society organisations can learn from the experiences of their international allies and from research that has been conducted in other countries. NGOs, trade unions and other organisations are already successfully contributing to the implementation of policy initiatives in a variety of ways and in a number of policy areas throughout the world.

Despite the obvious variations in domestic structures and in power relations between civil society and state institutions, this chapter proposes a single implementation framework as a starting point for each domestic SPF implementation strategy. The framework is based on the United Nations Social Protection Floor Initiative's *Country Operations Manual* (ILO and WHO 2009). Building on the structure of the UNSPF-I framework provides us with an internationally recognized point of departure. In using it we can develop a roadmap of intervention points within the overall process where CSOs are potentially influential and powerful. It also allows us to imagine this discussion as part of a larger whole.

The following table lists the 10 classical steps that key players in the implementation process (CSOs and trade unions, governments and international organisations) should take in this process. These 10 steps were identified in 2009 as being crucial for the implementation of national SPF policies. CSOs and unions have a role to play at every point along the way and they should demand that they be able to fulfill that role. Otherwise the implementation process has an inherent risk of being derailed.

CHAPTER 4

Table 2: The 10 step UNSPF Initiative Implementation Plan¹⁴

AIMS AND OBJECTIVES	ACTIONS	ACTORS
Raise awareness	- Formulate clear SPF messages tailored to different audiences - Coordinate and unify action by UN agencies, sensitize partners (NGOs, donors, etc.) and motivate national key players (ministers, parliamentarians, etc.)	- CSOs and unions - International organisations - Governments
Establish a joint SPF Task Force	Identify key stakeholders and mobilize them to participate in the national SPF task force	- Civil Society and unions - Governments
Take stock of present social situation	- Map regional, gender and group specific income security; analyze social exclusion and systemic poverty - Map regional, gender and group specific deficits in access to basic healthcare	- Overall analysis: CSOs and unions, governments and international organisations - Detailed analysis; governments
Take stock of existing social security systems	- Take stock of existing social security institutions and programs – including gaps in social protection and quality analysis. - Analyse existing political strategies and policies concerned with the expansion of social security coverage - And/or: Analyse perceived gaps and ongoing policy debates	- CSOs and unions - International organisations - Governments
Develop preliminary SPF concepts through national dialogue	Draft an SPF proposal to meet the country's priority SP needs which is suitable for phased implementation	- CSOs and unions - Governments

14 The 10 steps are a modified list of the original steps in the UN SPF manual

AIMS AND OBJECTIVES	ACTIONS	ACTORS
Evaluate costs of potential scenarios and identify financing options	• Evaluate demographic, needs, financial and fiscal projections • Analyze SP budget • Analyze existing fiscal space • Evaluate financing strategies (reallocation of expenditures, improved revenue collection, efficiency gains, tax and contribution increases, grants)	• Overall analysis: CSOs and unions, International organisations and governments • Detailed analysis: governments
Re-evaluate initial concepts with regard to costs and financing	• Return to step 4 or implement step 7	• Governments • CSOs and unions
Develop political consensus	• Formulate advice on policy design, strategies, plans and support for drafting legislation	• CSOs and unions • International organisations • Governments
Implementation	• Identify technical and financial support needs • Give technical and financial support	• CSOs and unions • International organisation • Governments
Monitoring and evaluation	• Establish monitoring and evaluation mechanisms • Measure progress • If necessary carry out corrective actions and/or re-orientation of SPF policies	• CSOs and unions • Governments

Source: based on UN SPF Initiative (2009)

The creation of a social protection floor can be, and in most cases will be, a long process, one that stretches more often than not beyond the term of any one government. If the CSOs' contributions to the implementation process are to be successful, preparatory work must begin before the above 10 step process is started. Experience with many other national and international human rights campaigns has shown the importance of this.

For more details
see chapter 2
and 3

Building a social protection floor does not necessarily involve creating an entirely new network of policies, but rather linking existing policy processes to create meaningful synergies between existing and new social protection initiatives.

Drafts of national reports are often discussed with civil society and trade unions, who then can try and launch some policy initiatives in that context. The most important examples of such systems are the *United Nations Development Assistance Frameworks* (UNDAFs), *Millennium Development Goal (MDG) reports*, *Poverty Reduction Strategy Papers* (PRSPs) and the *UN Common Country Assessments* (CCA) framework. All or most of these reports contain „policy matrices“ in some form or another, i.e. political programs, which are developed by governments in increasingly well-established processes. They may take the shape of actual policy plans or at least promises that can be used and quoted to create and maintain national policy space.

Although large parts of these reports in many countries are still written by international experts – even if this is often officially denied as they are supposed to be nationally owned – one can assume that the reporting process will gain in political importance. The pre-reporting national policy coordination and consultation processes will acquire more national political weight. Such processes can be used to formulate policies consistent with SPF policies and to advance national dialogues on the SPF concepts even before SPF task forces are formally created. These processes are at least formally participatory and interest groups generally have access to them. Globally, and particularly within the UN system, civil society organisations have become not only an additional force to promote sustainable social change, but also a fundamental building block of such change.

Although countries have developed policies related to basic health coverage, unemployment benefits and maternity or illness coverage, they have not always created coherent social development strategies. Once national stock-taking has shown what policies and programs already exist in a country, civil society organizations can propose coherent social protection systems.

For more details
on **EquiFrame**
see page 77

The *EquiFrame* example shows how national and international collaborations and the active involvement of CSOs can lead to better and more inclusive policies. International human rights mechanisms provide many such examples. The United Nations Human Rights Council, for example, has a proud tradition of incorporating domestic CSO's in the monitoring processes and of empowering organisations to work closer to the international community. The global human rights framework relies on the work of national human rights institutions by design. National human rights institutions (NHRIs) are quasi-state actors charged with monitoring their host state's compliance with international standards, reporting on systemic abuses of human rights and contributing to national policies for incorporating international treaties.

The social protection floor has a strong foundation in the United Nations Universal Declaration on Human Rights and the Covenant on Economic Social and Cultural Rights. Lessons can be learned from the way civil society organisations have pushed for the ratification of international human rights treaties in the context of the Universal Periodic Reviews (UPRs) of national policies of the Human Rights Council and how this has helped shape the domestic policy process.

BOX 11: UNIVERSAL PERIODIC REVIEW OF NATIONAL POLICIES OF THE HUMAN RIGHTS COUNCIL

The Office of the High Commissioner for Human Rights (OHCHR) states on its website: "Through the Universal Periodic Review, the Human Rights Council will review, on a periodic basis, the fulfilment by each of the 193 United Nations Member States of their human rights obligations and commitments. A review of a State is based on a national report prepared by the State under review; a compilation of United Nations information on the State under review prepared by the Office of the United Nations High Commissioner for Human Rights (OHCHR); and a summary of information submitted by other stakeholders (including civil society actors), also prepared by OHCHR [...]. The UPR process provides for the participation of all relevant stakeholders, including non-governmental organizations (NGOs) and national human rights institutions (NHRIs). Civil society actors and NHRIs can submit information which can be added to the "other stakeholders" report which is considered during the review. Information they provide can be referred to [...] in the interactive discussion during the review [...] NGOs can attend the UPR Working Group sessions and can make statements at the regular session of the Human Rights Council when the outcome of the State reviews are considered."

Reporting mechanisms associated with international human rights treaties can provide an immeasurable force for positive and sustained input into the domestic policy process when they are in the hands of active and well equipped CSOs. The Universal Periodic Review, for example, incorporates civil society contributions into the United Nations Human Rights Council's recommendations to governments.

Creating technical credibility by investments in evaluation and monitoring capacity

Civil society organisations and trade unions may lack the technical know-how, experience and resources to adequately support the often long and complicated policy implementation and monitoring processes. But in order to be able to play an active part throughout the policy implementation process, it is important to develop the capacity for rigorous and continuous evaluation and monitoring of existing systems of social protection.

The evaluation and monitoring of projects, organisations or policy processes ultimately comes down to the systematic collection of information in order to measure progress. Information can be collected through a series of different methodologies such as one to one interviews, documentation reviews, and large surveys of beneficiaries and non-beneficiaries of social protection programs. This information can then be analyzed using statistical models or more qualitative reports. CSOs and trade unions need not invent new evaluation and monitoring techniques but should make use of existing tools, adapt these to the specific SPF needs and train their staff to use them as operative policy shaping tools.

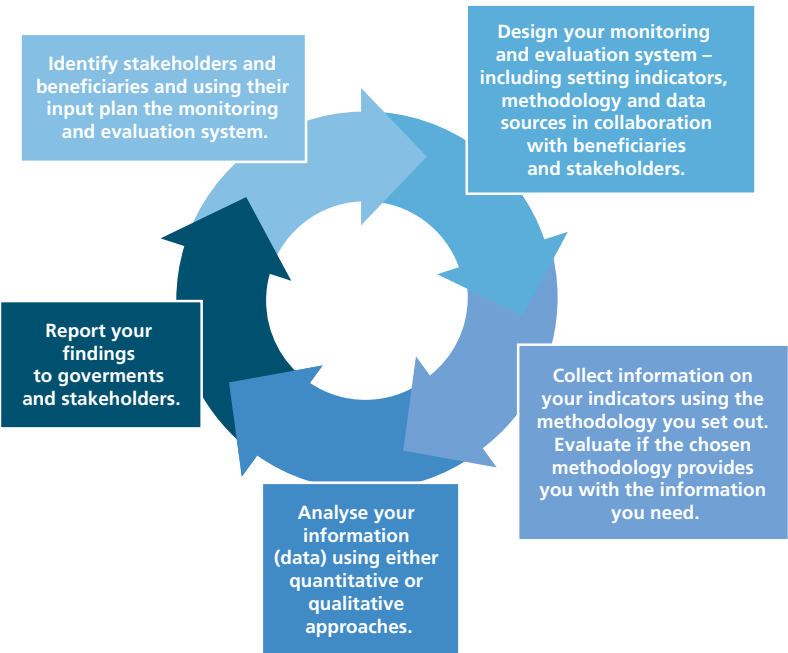
The ultimate aim of any monitoring and evaluation process is to make a project or process more effective and to determine its impact. It is vital that through the entire process, from planning to reporting, the stakeholders and beneficiaries are heavily involved and that the monitoring and evaluation of systems and political processes becomes a permanent feature of the implementation process.

In the context of SPF implementation, M&E can take a variety of different approaches and can even be employed at different stages of the process. Civil society organisations can for example take the role of external evaluators during the policy design process. They can and should monitor and evaluate their own work with regard to SPFs. And most importantly, they should monitor and eval-

uate social security projects and programs that are already in place or are being newly implemented, so as to increase their efficiency, effectiveness and impact. Where civil society organisations do not have the capacity or the access needed to monitor or evaluate SPF progress, they should nevertheless urge providers and governments to build their own M&E systems. Helpful guides for NGOs, governments and development practitioners are readily available (see box below).

Although monitoring and evaluation are usually used congruently, they are somewhat distinct concepts used to gain different insights. Monitoring is a continuous process that, simply put, aims to provide all relevant stakeholders with information on the progress and achievements of the project. Evaluation, on the other hand, focuses on a systematic assessment (during or after completion) of projects with regard to their aims and objectives. It tries to assess the impact, outcomes and wider implications of the project or organisations rather than the progress. Nevertheless these two management techniques go hand in hand and in combination can improve the effectiveness, efficiency and impact of any activity significantly. Both can be seen as simple processes based on indicators, data collection and analysis (see figure 5) .

Figure 5: Basic flow and principles of monitoring and evaluation systems



Examples of Monitoring Tools and Experiences

A variety of monitoring and evaluation tools have already been developed on the international and the national level. The methodologies used and the experiences made with these tools can be very valuable for civil society organisations involved in SPF monitoring and evaluation.

National Monitoring and Evaluation Experiences

In South Africa the Study in Poverty and Inequality Institute (SPII), in collaboration with the South African Human Rights Commission (SAHRC), developed a methodology to assess the development and implementation of policies for social and economic rights, including social security. The methodology is based on international best practice. It “combines various approaches to monitoring socio-economic rights including policy and budget analysis and statistical indicators”, to, as stated in SPII, “build up empirical information to allow the SAHRC and civil society to assess progress made to date, as well as provide government with information on the effectiveness of their policy programs”(Dawson 2013).

This example shows how cooperation between civil society, research institutes and national human rights institutions can be an effective way to increase collective capacity for monitoring and evaluation.

Furthermore, it shows how the information and results obtained in the monitoring and evaluation process can be used to influence government and international policy making. This is where CSO involvement becomes not just important but fundamental. Governments often simply do not know how successful their policies and programs are. Monitoring and evaluating their activities with immediate beneficiaries may provide new information for them. This is most effective if the research is based on solid methodology and evidence and if the results are placed in the context of a global statistical picture which compares the situations in comparable countries.

International monitoring and evaluation experiences

United Nations organisations and CSOs have developed various tools to provide information on broad social and developmental situations and to enable diagnosis of the pre-existing social security structures. These can enable non-governmental agencies to produce meaningful input for the points 3, 4, and 5 of the implementation framework presented above.

Usefull

Webpages:

www.cippec.org

www.helppage.org/global-agewatch

www.socialwatch.org

The ILO in particular has developed a social protection assessment tool. Through the tool, Assessment Based National Dialogue (ABND), civil society can rapidly produce an initial assessment of the existing social protection legislation and preliminary estimates of costs to close protection gaps. Experience has shown that if data is available an initial analysis based on the ABND can be conducted by sufficiently trained individuals within a month. This makes it into a valuable tool for civil society actors as it provides a low cost, fast methodological instrument that can support advocacy efforts from a very early stage in the implementation process.

Furthermore, the Social Protection Interagency Coordination Board (SPIAC-B), which is led by both the ILO and the World Bank and includes a number of international organisations and CSOs, is developing a series of more detailed analytical tools.

Core Content of SPF monitoring

The Global Coalition for Social Protection Floors is also developing a specific SPF monitoring tool (see box). National coalitions will be able to use that tool and combine it with principles developed in the manuals mentioned above.

While meticulous evaluation and monitoring processes are crucial, it is of utmost importance to first define the core content of the methodology to be used. Core content elements of every monitoring and evaluation methodology are the identification of indicators to be monitored and benchmarks against which the observed indicator values are evaluated. The key principles for the definition of the core content are – in yet another modification of the famous **SMART management technique** – as follows:

BOX 12: SMART MANAGEMENT TECHNIQUE:

- S: SIMPLE** (the overall concept of the evaluation and monitoring as well as the individual indicators should remain simple)
- M: MEASURABLE** (indicators and benchmarks should be quantifiable)
- A: AVAILABLE** (indicator data should be readily available without major, special data gathering efforts)
- R: REALISTIC** (benchmark should be realistic)
- T: TIME FRAMED** (data collection should be achievable within a reasonable time)

For more details
on **SPF-Performance-Index**
see page 77

CHAPTER 4

Table 3: A suggested core set of indicators and benchmarks for a SPF monitoring and evaluation system

THE SOCIAL SECURITY GUARANTEES OF THE SPF	CORE INDICATORS	BENCHMARK
Health	According to your observation: - percentage of people who can access essential health services when needed, - average percentage of out-of-pocket contribution to the cost per out-patient visit or inpatient admission	100 % of resident population 0 %
Income security for children (benefits in cash or in kind provided on behalf of children, children as defined in national legislation)	According to your observation: - percentage of children who have access to income support in cash or in kind when needed, - percentage of average poverty gap closed by an SP transfer ?	100 % of all children who are poor before receiving social protection benefits 100 % of average gap
Income security for people in active age	According to your observation: - percentage of adults in active age who have access to income support in cash or in kind when needed, - percentage of average poverty gap closed by an SP transfer ?	100 % of poor adults 100 % of gap
Income security for older persons	According to your observation: - percentage of persons in old age (by national definition) who have access to income support in cash or in kind when needed, - percentage of average poverty gap closed by an SP transfer ?	100 % of people in old age or of poor people in old age 100 % of gap

We suggest that the definition of the four social security guarantees of Recommendation 202 should be used on a 1:1 basis to develop four categories of indicators, i.e. one on health security and three on income security. In each of the four indicator categories one sub-indicator should show the degree of coverage of the population in need and a second sub-indicator should show the quality of that coverage. Accordingly, table 3 suggests a set of eight indicators which may need to be modified according to national data availability.

The eight indicators can easily be combined into one summary score which would allow inter-country comparisons. For more detailed national analyses of national SPF policies each of the eight “macro-indicators” can be split into a number of partial indicators that permit more detailed policy recommendations. The GCSPF should be able to provide expert support for a final set of national indicators that will capture the main features of existing national SPF provisions.

Assessment Based National Dialogue (ABND): The Assessment Based National Dialogue (ABND) on Social Protection aims at identifying priority areas for the Government's intervention in the field of social protection and estimating the cost of these interventions. It provides an opportunity for all the stakeholders in the country to come together and have discussions on the existing social security situation and formulate priority policy options. The discussions take place at national workshops, through consultations and technical sessions, see: <http://www.ilo.org/gimi/gess/ShowTheme.action?th.themeld=3825>

Rapid Assessment Protocol (RAP): RAP provides a step by step approach to conducting an assessment that includes a stock taking and mapping of social protection, a preliminary analysis, and the identification of priority areas for intervention. This assessment can serve as the basis for discussing and simulating alternative financing options and fiscal space. For more information, see presentation on the RAP's origins and features: <http://www.social-protection.org/gimi/gess/ShowRessource.action?resource.ressourceId=23847>

EquiFrame is a tool for Evaluating and Promoting the Inclusion of Vulnerable Groups and Core Concepts of Human Rights in Health Policy Documents http://www.global-health.tcd.ie/docs/EquiFrame%20Manual_May19_2011.pdf

The forthcoming global **SPF-Performance-Index** aims at:

- measure and benchmark national SPF protection gaps and hence government shortcomings in social protection policy
- understand gaps between country's current performance and the optimal level of performance as described by the SPF standards
- evaluate progress of member states in closing the SPF gaps over time

The Index will be first published in Summer 2015 by Friedrich-Ebert-Stiftung and will be also available then online: ICSW (www.icsw.org), FES (www.fes.de/gpol), Global Coalition (www.socialprotectionfloorscoalition.org)

ABBREVIATIONS

ABND	Assessment Based National Dialogue
APSP	African Platform for Social Protection
CA-Frameworks	Country Assistant Frameworks
CIVICUS	World Alliance for Citizen Participation (www.civicus.org)
CSO	Civil Society Organisation
FES	Friedrich-Ebert-Stiftung
GCSPF	Global Coalition for Social Protection Floors
GDP	gross domestic product
ICESCR	International Covenant on Economic, Social and Cultural Rights, 1966
ILO	International Labour Organisation
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
NGO	non-governmental organization
NHRI	National Human Rights Institution
OHCHR	Office of the United Nations High Commissioner for Human Rights
PRSP	Poverty Reduction Strategy Paper
RAP	Rapid Assessment Protocol
SAHRC	South African Human Rights Commission
SDG	Sustainable Development Goals
SP	Social Protection
SPF	Social Protection Floor
SPII	Study in Poverty and Inequality Institute
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNICEF	United Nations International Children's Emergency Fund
URP	Universal Periodic Review
WHO	World Health Organisation

CHAPTER 1

Bachelet, M. et al: Report of the SPF Advisory Group: Social Protection Floor for a fair and inclusive Globalization, Geneva 2011

Cichon, M.: The Social Protection Floors Recommendation: Can a five page document change the course of social history? *International Social Security Review*, Vol. 66, Issue 3–4, pp. 21–43, 2013

Global Coalition for Social Protection Floors: A social protection floor for everyone: a universal rights-based development goal, mimeo, February 2014

EU (2012): The Role of Social Protection in EU Development Policies, Communication 2012

International Labour Office (ILO): »Can Low Income Countries Afford Basic Social Security?«, *Social Security Policy Briefing*, Paper 3; Geneva 2008

International Labour Office (ILO): *Social Security for all: Building social protection floors and comprehensive social security systems*, Geneva, 2012

International Labour Office (ILO): *World Social Security Report 2010/ 2011 and World Social Protection Report 2014/ 2015* (online available under: <http://ilo.org/global/research/global-reports/world-social-security-report/lang--en/index.htm>)

ORTIZ, I. and CUMMINS, M: *The Age of Austerity: A Review of Public Expenditures and Adjustment Measures in 181 Countries*. New York and Geneva, 2013

Successful Social Protection Floor Experiences, in: *UNDP/ILO: Sharing innovative experiences*, Vol. 18, New York 2011

United Nations Children's Fund (UNICEF): *Integrated Social Protection Systems. Enhancing Equity for Children*, New York 2012

World Bank: *Resilience, equity and opportunity: Social Protection and Labour Strategy*, Washington, 2012

CHAPTER 2

CIVICUS. 2014. *State of Civil Society Report 2014*. CIVICUS-World Alliance for Citizen Participation www.civicus.org

Roitter, Mario. 2010. Aproximaciones teóricas y algunos debates en torno a la idea de Tercer Sector. In *Índice de Desarrollo Humano*. Buenos Aires: Fundación Banco Provincia

Salamon, Lester M. 1993. *The Global Associational Revolution: The Rise of the Third Sector on the World Scene*, Occasional Paper No. 15, The Johns Hopkins University, Institute for Policy Studies, Baltimore

Salamon, Lester, M. and Helmut K Anheier. 1997. *Defining the Non-Profit Sector: A Cross-National Analysis*. Manchester and New York: Manchester University Press

Salcedo Novoa, Diana. 2014. El papel de las ONG y organizaciones sindicales en la implementación del piso de protección social en Colombia: Una hoja de ruta. *Revista Cultura y Trabajo*. Edition 90, February 2014. Medellín: Escuela Nacional Sindical. www.ens.org.co (accessed October 2, 2014)

Schmitt, V. and Loveleen De. 2013. *Social Protection assessment based national dialogue: A good practices guide*. ILO Decent Work Technical Support Team for East and South-East Asia and the Pacific. - Bangkok: ILO. This publication includes an e-box available at: <http://www.social-protection.org/gimi/pages/abnd/>

Schmitt, V. and R. Chadwick. 2014. *Social protection assessment-based national dialogue exercises: Cambodia, Indonesia, Thailand, Viet Nam*. *International Social Security Review*, 67: 95–119. doi: 10.1111/issr.12032

Sen, Amartya. 2000. *Social Exclusion: Concept, application and scrutiny*. Social Development. Manila: Asian Development Bank

United Nations. 2003. *Handbook on Non-Profit Institutions in the System of National Accounts*. New York: United Nations Publications

CHAPTER 3

Arce, Javier Monterrey (2013): *Social protection systems in Latin America and the Caribbean: Plurinational State of Bolivia, Economic Commission for Latin America and the Caribbean (ECLAC), LC/W.553, United Nations, September 2013. Santiago, Chile – United Nations*

Cichon/Behrendt/Wodsak: *The UN Social Protection Floor Initiative – Turning the Tide at the ILO Conference 2011, Friedrich-Ebert-Stiftung (ed.), Berlin 2011*

International Labour Organisation (2003): *Fundamental Rights at Work and International Labour Standards. ILO, Geneva, 2003*

ILO (No Date): *The United Nations Social Protection Floor Joint Team in Thailand – A replicable experience for other UN Country Teams. ILO and UNSPF Joint Team in Thailand, led by the International Labour Organization (ILO). www.social-protection.org/*

ILO & World Health Organisation, 2009: *“The Social Protection Floor”, Geneva, October, 2009*

Lwanga-Ntale, C. (2013): *Barriers to social protection uptake in East Africa – A set of hitherto forgotten factors. ESR Review, Vol 14 No. 2 2013. The Community Law Centre at the University of the Western Cape*

Norton, A., Conway, T. & Foster, M. (2001): *Social Protection Concepts and Approaches – Implications for policy and practice in International Development. Working Paper 143, Centre for Aid and Public Expenditure, Overseas Development Institute, London, February 2001*

OECD, 2007, *Society at a glance: OECD Social Indicators, 2006 edition, OECD, Paris*

Oxfam GB August 2013: *Leveraging for change: Advocating for a universal agricultural insurance scheme in Bolivia*

Sharma, R.R. (n.d.): *An Introduction to Advocacy – Training Guide. Support for Analysis and Research in Africa (SARA). Health and Human Resources Analysis for Africa (HHRAA), U.S. Agency for International Development, Africa Bureau, Office of Sustainable Development*

Social Protection for all – an action guide, published by Solidar and The Global Network, Brussels 2012 (online available under: http://www.solidar.org/IMG/pdf/decent-work_toolkit_en_short_web.pdf)

The Africa Platform for Social Protection. <http://africapsp.org/index.php>

CHAPTER 4

The Social Protection Floor Initiative, 2009, Manual and Strategic Framework for Joint UN Country Operations, ILO and WHO [available online at <http://www.socialsecurityextension.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=14484>]

4th Asian Roundtable on Social Security, 2013, Sharpening Labour's Role in Advancing Social Protection for All in Asia, Asian Monitor Resource Centre [available online at http://www.amrc.org.hk/system/files/4th%20AROSS%20book_0.pdf]

Amin, M., MacLachlan et. Al, 2011, ‘EquiFrame: A framework for analysis of the inclusion of human rights and vulnerable groups in health policies’ *Health and Human Rights: An International Journal*, 13(2)

More Information on EquiFrame can be found in the Manual: Mannan, H., Amin, M., MacLachlan, M., & EquiAble Consortium, 2011, *The EquiFrame Manual*, [available online at http://www.global-health.tcd.ie/docs/EquiFrame%20Manual_May19_2011.pdf]

Hannah Dawson, 2013, *Monitoring the Right to Social Security, Studies in Poverty and Inequality Institute*, [available online at http://spii.org.za/wp-content/uploads/2014/02/Policy-brief-1_Monitoring-rights_Social-Security.pdf]

ABOUT THE AUTHORS:

David Cichon is PhD Student in sociology at Trinity College Dublin in Ireland, where he researches the role of civil society actors in international social policy making.

Michael Cichon is President of International Council on Social Welfare (ICSW) and professor of social protection at the Maastricht Graduate School of Governance at United Nations University.

Mariana Lomé is Director and professor of the Postgraduate Program on Nonprofit Organizations at San Andrés University, Buenos Aires, Argentina

Charles Lwanga-Ntale is regional Director (Africa) of Development Initiatives (DI) in Nairobi, Kenya and Associate Director for Eastern Africa for the Chronic Poverty Advisory Network.

Cäcilie Schildberg is responsible for topics of global social justice and coordinates the gender-equal approaches to globalization within the department for Global Policy and Development of the Friedrich-Ebert-Stiftung in Berlin.

Recommendation 202

RECOMMENDATION CONCERNING NATIONAL FLOORS OF SOCIAL PROTECTION

The General Conference of the International Labour Organization,
Having been convened at Geneva by the Governing Body of the International
Labour Office, and having met in its 101st Session on 30 May 2012, and
Reaffirming that the right to social security is a human right, and
Acknowledging that the right to social security is, along with promoting
employment, an economic and social necessity for development and
progress, and

Recognizing that social security is an important tool to prevent and reduce
poverty, inequality, social exclusion and social insecurity, to promote equal
opportunity and gender and racial equality, and to support the transition
from informal to formal employment, and

Considering that social security is an investment in people that empowers
them to adjust to changes in the economy and in the labour market, and
that social security systems act as automatic social and economic
stabilizers, help stimulate aggregate demand in times of crisis and beyond,
and help support a transition to a more sustainable economy, and

Considering that the prioritization of policies aimed at sustainable long-term
growth associated with social inclusion helps overcome extreme poverty
and reduces social inequalities and differences within and among regions,
and

Recognizing that the transition to formal employment and the establishment
of sustainable social security systems are mutually supportive, and
Recalling that the Declaration of Philadelphia recognizes the solemn obliga-
tion of the International Labour Organization to contribute to “achiev[ing]
... the extension of social security measures to provide a basic income to all
in need of such protection and comprehensive medical care”, and

Considering the Universal Declaration of Human Rights, in particular Articles
22 and 25, and the International Covenant on Economic, Social and Cul-
tural Rights, in particular Articles 9, 11 and 12, and

Considering also ILO social security standards, in particular the
Social Security (Minimum Standards) Convention, 1952 (No. 102),
the Income Security Recommendation, 1944 (No. 67), and the Medical
Care Recommendation, 1944 (No. 69), and noting that these standards

are of continuing relevance and continue to be important references for social security systems, and

Recalling that the ILO Declaration on Social Justice for a Fair Globalization recognizes that “the commitments and efforts of Members and the Organization to implement the ILO’s constitutional mandate, including through international labour standards, and to place full and productive employment and decent work at the centre of economic and social policies, should be based on ... (ii) developing and enhancing measures of social protection ... which are sustainable and adapted to national circumstances, including ... the extension of social security to all”, and

Considering the resolution and Conclusions concerning the recurrent discussion on social protection (social security) adopted by the International Labour Conference at its 100th Session (2011), which recognize the need for a Recommendation complementing existing ILO social security standards and providing guidance to Members in building social protection floors tailored to national circumstances and levels of development, as part of comprehensive social security systems, and

Having decided upon the adoption of certain proposals with regard to social protection floors, which are the subject of the fourth item on the agenda of the session, and

Having determined that these proposals shall take the form of a Recommendation;

adopts this fourteenth day of June of the year two thousand and twelve the following Recommendation, which may be cited as the Social Protection Floors Recommendation, 2012.

I. OBJECTIVES, SCOPE AND PRINCIPLES

1. This Recommendation provides guidance to Members to:
 - (a) establish and maintain, as applicable, social protection floors as a fundamental element of their national social security systems; and
 - (b) implement social protection floors within strategies for the extension of social security that progressively ensure higher levels of social security to as many people as possible, guided by ILO social security standards.
2. For the purpose of this Recommendation, social protection floors are nationally defined sets of basic social security guarantees which secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion.
3. Recognizing the overall and primary responsibility of the State in giving effect to this Recommendation, Members should apply the following principles:

- (a) universality of protection, based on social solidarity;
- (b) entitlement to benefits prescribed by national law;
- (c) adequacy and predictability of benefits;
- (d) non-discrimination, gender equality and responsiveness to special needs;
- (e) social inclusion, including of persons in the informal economy;
- (f) respect for the rights and dignity of people covered by the social security guarantees;
- (g) progressive realization, including by setting targets and time frames;
- (h) solidarity in financing while seeking to achieve an optimal balance between the responsibilities and interests among those who finance and benefit from social security schemes;
- (i) consideration of diversity of methods and approaches, including of financing mechanisms and delivery systems;
- (j) transparent, accountable and sound financial management and administration;
- (k) financial, fiscal and economic sustainability with due regard to social justice and equity;
- (l) coherence with social, economic and employment policies;
- (m) coherence across institutions responsible for delivery of social protection;
- (n) high-quality public services that enhance the delivery of social security systems;
- (o) efficiency and accessibility of complaint and appeal procedures;
- (p) regular monitoring of implementation, and periodic evaluation;
- (q) full respect for collective bargaining and freedom of association for all workers; and
- (r) tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned.

II. NATIONAL SOCIAL PROTECTION FLOORS

4. Members should, in accordance with national circumstances, establish as quickly as possible and maintain their social protection floors comprising basic social security guarantees. The guarantees should ensure at a minimum that, over the life cycle, all in need have access to essential health care and to basic income security which together secure effective access to goods and services defined as necessary at the national level.
5. The social protection floors referred to in Paragraph 4 should comprise at least the following basic social security guarantees: (a) access to a nation-

ally defined set of goods and services, constituting essential health care, including maternity care, that meets the criteria of availability, accessibility, acceptability and quality;

(b) basic income security for children, at least at a nationally defined minimum level, providing access to nutrition, education, care and any other necessary goods and services;

(c) basic income security, at least at a nationally defined minimum level, for persons in active age who are unable to earn sufficient income, in particular in cases of sickness, unemployment, maternity and disability; and

(d) basic income security, at least at a nationally defined minimum level, for older persons.

6. Subject to their existing international obligations, Members should provide the basic social security guarantees referred to in this Recommendation to at least all residents and children, as defined in national laws and regulations.
7. Basic social security guarantees should be established by law. National laws and regulations should specify the range, qualifying conditions and levels of the benefits giving effect to these guarantees. Impartial, transparent, effective, simple, rapid, accessible and inexpensive complaint and appeal procedures should also be specified. Access to complaint and appeal procedures should be free of charge to the applicant. Systems should be in place that enhance compliance with national legal frameworks.
8. When defining the basic social security guarantees, Members should give due consideration to the following:
 - (a) persons in need of health care should not face hardship and an increased risk of poverty due to the financial consequences of accessing essential health care. Free prenatal and postnatal medical care for the most vulnerable should also be considered;
 - (b) basic income security should allow life in dignity. Nationally defined minimum levels of income may correspond to the monetary value of a set of necessary goods and services, national poverty lines, income thresholds for social assistance or other comparable thresholds established by national law or practice, and may take into account regional differences;
 - (c) the levels of basic social security guarantees should be regularly reviewed through a transparent procedure that is established by national laws, regulations or practice, as appropriate; and
 - (d) in regard to the establishment and review of the levels of these guarantees, tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned, should be ensured.

9. (1) In providing the basic social security guarantees, Members should consider different approaches with a view to implementing the most effective and efficient combination of benefits and schemes in the national context.
(2) Benefits may include child and family benefits, sickness and health-care benefits, maternity benefits, disability benefits, old-age benefits, survivors' benefits, unemployment benefits and employment guarantees, and employment injury benefits as well as any other social benefits in cash or in kind.
(3) Schemes providing such benefits may include universal benefit schemes, social insurance schemes, social assistance schemes, negative income tax schemes, public employment schemes and employment support schemes.
10. In designing and implementing national social protection floors, Members should:
 - (a) combine preventive, promotional and active measures, benefits and social services;
 - (b) promote productive economic activity and formal employment through considering policies that include public procurement, government credit provisions, labour inspection, labour market policies and tax incentives, and that promote education, vocational training, productive skills and employability; and
 - (c) ensure coordination with other policies that enhance formal employment, income generation, education, literacy, vocational training, skills and employability, that reduce precariousness, and that promote secure work, entrepreneurship and sustainable enterprises within a decent work framework.
11. (1) Members should consider using a variety of different methods to mobilize the necessary resources to ensure financial, fiscal and economic sustainability of national social protection floors, taking into account the contributory capacities of different population groups. Such methods may include, individually or in combination, effective enforcement of tax and contribution obligations, reprioritizing expenditure, or a broader and sufficiently progressive revenue base.
(2) In applying such methods, Members should consider the need to implement measures to prevent fraud, tax evasion and non-payment of contributions.
12. National social protection floors should be financed by national resources. Members whose economic and fiscal capacities are insufficient to implement the guarantees may seek international cooperation and support that complement their own efforts.

III. NATIONAL STRATEGIES FOR THE EXTENSION OF SOCIAL SECURITY

13. (1) Members should formulate and implement national social security extension strategies, based on national consultations through effective social dialogue and social participation. National strategies should:
 - (a) prioritize the implementation of social protection floors as a starting point for countries that do not have a minimum level of social security guarantees, and as a fundamental element of their national social security systems; and
 - (b) seek to provide higher levels of protection to as many people as possible, reflecting economic and fiscal capacities of Members, and as soon as possible.
- (2) For this purpose, Members should progressively build and maintain comprehensive and adequate social security systems coherent with national policy objectives and seek to coordinate social security policies with other public policies.
14. When formulating and implementing national social security extension strategies, Members should:
 - (a) set objectives reflecting national priorities;
 - (b) identify gaps in, and barriers to, protection;
 - (c) seek to close gaps in protection through appropriate and effectively coordinated schemes, whether contributory or non-contributory, or both, including through the extension of existing contributory schemes to all concerned persons with contributory capacity;
 - (d) complement social security with active labour market policies, including vocational training or other measures, as appropriate;
 - (e) specify financial requirements and resources as well as the time frame and sequencing for the progressive achievement of the objectives; and
 - (f) raise awareness about their social protection floors and their extension strategies, and undertake information programmes, including through social dialogue.
15. Social security extension strategies should apply to persons both in the formal and informal economy and support the growth of formal employment and the reduction of informality, and should be consistent with, and conducive to, the implementation of the social, economic and environmental development plans of Members.
16. Social security extension strategies should ensure support for disadvantaged groups and people with special needs.
17. When building comprehensive social security systems reflecting national objectives, priorities and economic and fiscal capacities, Members should aim to achieve the range and levels of benefits set out in the Social Security

(Minimum Standards) Convention, 1952 (No. 102), or in other ILO social security Conventions and Recommendations setting out more advanced standards.

18. Members should consider ratifying, as early as national circumstances allow, the Social Security (Minimum Standards) Convention, 1952 (No. 102). Furthermore, Members should consider ratifying, or giving effect to, as applicable, other ILO social security Conventions and Recommendations setting out more advanced standards.

IV. MONITORING

19. Members should monitor progress in implementing social protection floors and achieving other objectives of national social security extension strategies through appropriate nationally defined mechanisms, including tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned.
20. Members should regularly convene national consultations to assess progress and discuss policies for the further horizontal and vertical extension of social security.
21. For the purpose of Paragraph 19, Members should regularly collect, compile, analyse and publish an appropriate range of social security data, statistics and indicators, disaggregated, in particular, by gender.
22. In developing or revising the concepts, definitions and methodology used in the production of social security data, statistics and indicators, Members should take into consideration relevant guidance provided by the International Labour Organization, in particular, as appropriate, the resolution concerning the development of social security statistics adopted by the Ninth International Conference of Labour Statisticians.
23. Members should establish a legal framework to secure and protect private individual information contained in their social security data systems.
24. (1) Members are encouraged to exchange information, experiences and expertise on social security strategies, policies and practices among themselves and with the International Labour Office.
(2) In implementing this Recommendation, Members may seek technical assistance from the International Labour Organization and other relevant international organizations in accordance with their respective mandates.

GLOSSARY

The glossary was taken from the World Social Protection Report 2014/2015. It focuses on the basic concepts, definitions and methodology guiding the analytical work of the ILO on social security. It does not set out to assert any universal definitions; its purpose is rather simply to clarify terms and concepts as they are used in this report and in the ILO.

CASH TRANSFER PROGRAMME.

Non-contributory scheme or programme providing cash benefits to individuals or households, usually financed out of taxation, other government revenue, or external grants or loans.

Cash transfer programmes¹⁵ may or may not include a means test. Cash transfer programmes that provide cash to families subject to the condition that they fulfil specific behavioural requirements are referred to as conditional cash transfer programmes (CCTs). This may mean, for example, that beneficiaries must ensure their children attend school regularly, or that they utilize basic preventative nutrition and health-care services.

CONTRIBUTORY SCHEME.

Scheme in which contributions made by protected persons directly determine entitlement to benefits (acquired rights). The most common form of contributory social security schemes is a statutory social insurance scheme, usually covering workers in formal wage employment and, in some countries, the self-employed. Other common types of contributory schemes, providing – in the absence of social insurance – a certain level of protection include national provident funds, which usually pay a lump sum to beneficiaries when particular contingencies occur (typically old age, invalidity or death). In the case of social insurance schemes for those in waged or salaried employment, contributions are usually paid by both employees and employers (though in general, employment injury schemes are fully financed by employers). Contributory schemes can be wholly financed through contributions, but often are partly financed from taxation or other sources; this may be done through a subsidy to cover the deficit, or through a general subsidy supplanting contributions altogether, or by subsidizing only specific groups of contributors or beneficiaries (e.g. those not contributing because they are caring for children, studying, in military service or unemployed, or have too low a level of income to fully contribute, or receive benefits below a certain threshold because of low contributions in the past).

Original source of glossary:

World Social Protection Report 2014/2015 – Building economic recovery, inclusive development and social justice, International Labour Office – Geneva ILO, 2014; pp. 164–168. Copyright © 2014 International Labour Organization. Reproduced with permission.

¹⁵ Strictly speaking, this term would encompass all social transfers provided in cash, including fully or partially contributory transfers, yet it is usually understood as limited to non-contributory transfers

EMPLOYMENT GUARANTEE SCHEME.

Public employment programme which provides a guaranteed number of workdays a year to poor households, generally providing wages at a relatively low level (typically at the minimum wage level if this is adequately defined).

MEANS-TESTED SCHEME.

A scheme that provides benefits upon proof of need and targets certain categories of persons or households whose means fall below a certain threshold, often referred to as social assistance schemes. A means test is used to assess whether the individual's or household's own resources (income and/or assets) are below a defined threshold and determine whether the applicants are eligible for a benefit at all, and if so at what level benefit will be provided. In some countries, proxy means tests are used: that is, eligibility is determined without actually assessing income or assets, on the basis of other household characteristics (proxies) that are deemed more easily observable. Means-tested schemes may also include entitlement conditions and obligations, such as work requirements, participation in health checkups or (for children) school attendance. Some means-tested schemes also include other interventions that are delivered on top of the actual income transfer itself.

NON-CONTRIBUTORY SCHEMES.

Non-contributory schemes, including non-means-tested and means-tested schemes, normally require no direct contribution from beneficiaries or their employers as a condition of entitlement to receive relevant benefits. The term covers a broad range of schemes, including universal schemes for all residents (such as a national health services), categorical schemes for certain broad groups of the population (e.g. for children below a certain age or older persons above a certain age), and means-tested schemes (such as social assistance schemes). Non-contributory schemes are usually financed through taxes or other state revenues, or, in certain cases, through external grants or loans.

PUBLIC EMPLOYMENT PROGRAMME.

Government programme offering employment opportunities to certain categories of persons who are unable to find other employment. Public employment programmes include employment guarantee schemes and "cash for work" and "food for work" programmes (see box 3.2).

SOCIAL ASSISTANCE SCHEME/PROGRAMME.

A scheme that provides benefits to vulnerable groups of the population, especially households living in poverty. Most social assistance schemes are means-tested.

SOCIAL INSURANCE SCHEME.

Contributory social protection scheme that guarantees protection through an insurance mechanism, based on: (1) the prior payment of contributions, i.e. before the occurrence of the insured contingency; (2) risk-sharing or “pooling”; and (3) the notion of a guarantee. The contributions paid by (or for) insured persons are pooled together and the resulting fund is used to cover the expenses incurred exclusively by those persons affected by the occurrence of the relevant (clearly defined) contingency or contingencies. Contrary to commercial insurance, risk-pooling in social insurance is based on the principle of solidarity as opposed to individually calculated risk premiums. Many contributory social security schemes are presented and described as “insurance” schemes (usually “social insurance schemes”), despite being in actual fact of mixed character, with some non-contributory elements in entitlements to benefits; this allows for a more equitable distribution of benefits, particularly for those with low incomes and short or broken work careers, among others. These non-contributory elements take various forms, being financed either by other contributors (redistribution within the scheme) or by the State.

SOCIAL PROTECTION.

The term “social protection” is used in institutions across the world with a wider variety of meanings than “social security”. It is often interpreted as having a broader character than social security (including, in particular, protection provided between members of the family or members of a local community), but it is also used in some contexts with a narrower meaning (understood as comprising only measures addressed to the poorest, most vulnerable or excluded members of society). Thus, in many contexts the two terms, “social security” and “social protection”, may be largely interchangeable, and the ILO certainly uses both in discourse with its constituents and in the provision of relevant advice to them. In this report, reference is made to “social protection” both as an alternative expression for “social security” and to denote the protection provided by social security in case of social risks and needs.

SOCIAL PROTECTION FLOOR.

ILO Recommendation No. 202 sets out that member States should establish and maintain national social protection floors as a nationally defined set of basic social security guarantees which secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion (ILO, 2012a). These guarantees should ensure at a minimum that, over the life cycle, all in need have access to at least essential health care and basic income security. These together ensure effective access to essential goods and services defined as

necessary at the national level. More specifically, national social protection floors should comprise at least the following four social security guarantees, as defined at the national level:

- (a) access to essential health care, including maternity care;
- (b) basic income security for children, providing access to nutrition, education, care and any other necessary goods and services;
- (c) basic income security for persons in active age who are unable to earn sufficient income, in particular in cases of sickness, unemployment, maternity and disability; and
- (d) basic income security for older persons.¹⁶

Such guarantees should be provided to all residents and all children, as defined in national laws and regulations, and subject to existing international obligations. Recommendation No. 202 also states that basic social security guarantees should be established by law. National laws and regulations should specify the range, qualifying conditions and levels of the benefits giving effect to these guarantees, and provide for effective and accessible complaint and appeal procedures. Social protection floors correspond in many ways to the existing notion of “core obligations”, to ensure the realization of, at the very least, minimum essential levels of rights embodied in human rights treaties (OHCHR, 2013).

SOCIAL PROTECTION PROGRAMME/SCHEME (SOCIAL SECURITY PROGRAMME/SCHEME).

Distinct framework of rules to provide social protection benefits to entitled beneficiaries. Such rules would specify the geographical and personal scope of the programme (target group), entitlement conditions, the type of benefits, benefit amounts (cash transfers), periodicity and other benefit characteristics, as well as the financing (contributions, general taxation, other sources), governance and administration of the programme. While “programme” may refer to a wide range of programmes, the term “scheme” is usually used in a more specific sense referring to a programme that is anchored in national legislation and characterized by at least a certain degree of “formality”. A programme/scheme can be supported by one or more social security institutions governing the provision of benefits and their financing. It should, in general, be possible to draw up a separate account of receipts and expenditure for each social protection programme. It is often the case that a social protection programme provides protection against a single risk or need, and covers a single specific group of beneficiaries. Typically, however, one institution will administer more than one benefit programme.

¹⁶ Recommendation No. 202, Para. 5.

SOCIAL SECURITY.

The fundamental right to social security is set out in the Universal Declaration on Human Rights (1948) and other international legal instruments. The notion of social security adopted here covers all measures providing benefits, whether in cash or in kind, to secure protection, inter alia, from

- ✓ lack of work-related income (or insufficient income) caused by sickness, disability, maternity, employment injury, unemployment, old age, or death of a family member;
- ✓ lack of (affordable) access to health care;
- ✓ insufficient family support, particularly for children and adult dependants;
- ✓ general poverty and social exclusion.

Social security thus has two main (functional) dimensions, namely “income security” and “availability of medical care”, reflected in the Declaration of Philadelphia (1944), which forms part of the ILO’s Constitution: “social security measures to provide a basic income to all in need of such protection and comprehensive medical care” (III(f)).¹⁷ Recommendation No. 202 sets out that, at least, access to essential health care and basic income security over the life cycle should be guaranteed as part of nationally defined social protection floors, and that higher levels of protection should be progressively achieved by national social security systems in line with Convention No. 102 and other ILO instruments.

Access to social security is essentially a public responsibility, and is typically provided through public institutions, financed from either contributions or taxes or both. However, the delivery of social security can be and often is mandated to private entities. Moreover, there exist many privately run institutions (of an insurance, self-help, community-based or mutual character) which can partially assume selected roles usually played by social security, such as the operation of occupational pension schemes, that complement and may

¹⁷ These two main dimensions are also identified in the ILO Income Security Recommendation, 1944 (No. 67), and the Medical Care Recommendation, 1944 (No. 69), respectively, as “essential element[s] of social security”. These Recommendations envisage that, first, “income security schemes should relieve want and prevent destitution by restoring, up to a reasonable level, income which is lost by reason of inability to work (including old age) or to obtain remunerative work or by reason of the death of a breadwinner” (Recommendation No. 67, Guiding principles, Para. 1); and, second, that “a medical care service should meet the need of the individual for care by members of the medical and allied professions” and “the medical care service should cover all members of the community” (Recommendation No. 69, Paras 1 and 8). Recommendation No. 202 also reflects these two elements in the basic social protection guarantees that should form part of national social protection floors (for more detail, see box 1.1)

largely substitute for elements of public social security schemes. Entitlements to social security are conditional either on the payment of social security contributions for prescribed periods (contributory schemes, most often structured as social insurance arrangements) or on a requirement, sometimes described as “residency plus”, under which benefits are provided to all residents of the country who also meet certain other criteria (non-contributory schemes). Such criteria may make benefit entitlements conditional on age, health, labour market participation, income or other determinants of social or economic status and/or even conformity with certain behavioural requirements. Two main features distinguish social security from other social arrangements. First, benefits are provided to beneficiaries without any simultaneous reciprocal obligation (thus it does not, for example, represent remuneration for work or other services delivered). Second, it is not based on an individual agreement between the protected person and the provider (as is, for example, a life insurance contract); the agreement applies to a wider group of people and so has a collective character. Depending on the category of applicable conditions, a distinction is also made between non-means-tested schemes (where the conditions of benefit entitlement are not related to the total level of income or wealth of the beneficiary and her or his family) and means-tested schemes (where entitlement is granted only to those with income or wealth below a prescribed threshold). A special category of “conditional” schemes includes those which, in addition to other conditions, require beneficiaries (and/or their relatives or families) to participate in prescribed public programmes (for example, specified health or educational programmes).

SOCIAL SECURITY SYSTEM/SOCIAL PROTECTION SYSTEM.

Totality of social security/protection schemes and programmes in a country, taking into account that the latter term is often used in a broader sense than the former. All the social security schemes and institutions in a country are inevitably interlinked and complementary in their objectives, functions and financing, and thus form a national social security system. For reasons of effectiveness and efficiency, it is essential that there is close coordination within the system, and that – not least for coordination and planning purposes – the receipts and expenditure accounts of all the schemes are compiled into one social security budget for the country so that its future expenditure and financing of the schemes comprising the social security system are planned in an integrated way.

SOCIAL TRANSFER.

All social security benefits comprise transfers, either in cash or in kind: i.e. they represent a transfer of income, goods or services (e.g. health-care services). This transfer may be from the active to the old, the healthy to the sick, or the affluent to the poor, among others. The recipients of such transfers may be in a position to receive them from a specific social security scheme because they have contributed to such a scheme (contributory scheme), or because they are residents (universal schemes for all residents), or because they fulfil specific age criteria (categorical schemes), or specific resource conditions (social assistance schemes), or because they fulfil several of these conditions at the same time. In addition, it is a requirement in some schemes (employment guarantee schemes, public employment programmes) that beneficiaries accomplish specific tasks or (conditional cash transfer programmes) adopt specific behaviours. In any given country, several schemes of different types generally coexist and may provide benefits for similar contingencies to different population groups.

TARGETED SCHEME/PROGRAMME.

See social assistance scheme.

UNIVERSAL SCHEME/CATEGORICAL SCHEME.

Strictly speaking, universal schemes provide benefits under the single condition of residence. However, the term is also often used to describe categorical schemes that provide benefits to certain broad categories of the population without a means-test. The most frequent forms of those schemes are those that transfer income to older persons above a certain age or children below a certain age. Some categorical schemes also target households with specific structures (one-parent households, for example) or occupational groups (such as rural workers). In some schemes, entitlement to benefits may be conditional on performing or accomplishing certain tasks. Most categorical schemes are tax-financed.

