

Joint Programme Document

A. COVER PAGE

- 1. Fund Name:** Joint SDG Fund
- 2. MPTFO Project Reference Number** *(leave blank / automatically populated in Atlas)*
- 3. Joint programme title:** Ensuring inclusive and risk-informed shock-responsive social protection resulting in more resilient communities in Bangsamoro Autonomous Region in Muslim Mindanao (BARMM)
- 4. Short title:** Ensuring inclusive RISRSP resulting in more resilient communities in BARMM
- 5. Country and region:** The Philippines, Asia and the Pacific
- 6. Resident Coordinator:** Gustavo Gonzalez, UN Resident Coordinator
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- 9. Short description:**

Recognizing the important role of social protection in bridging the triple nexus (humanitarian, development and peace building) and addressing the recommendations from the Landscape Analysis of Risk Informed Shock Responsive Social Protection (RISR SP) in the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM) conducted in August 2019, the UN joint programme seeks to address the risks and vulnerabilities that the Bangsamoro people, especially the poorest, most vulnerable and marginalized, face in times of natural and human-induced disasters, that perpetuate the cycle of poverty. The FAO and UNICEF, with the guidance of the UN Resident Coordinator in the Philippines, will work closely with the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM) through the Bangsamoro transition government, as lead, together with the Bangsamoro Development and Planning Authority (BDPA), Ministry of Social Services and Development (MSSD), Ministry of Interior and Local Government (MILG), Ministry of Agriculture, Fisheries and Agrarian Reform (MAFAR), and Ministry of Indigenous Peoples' Affairs (MIPA), to create an enabling environment that will institutionalize a risk-informed shock-responsive social protection system to help build the resilience of the most vulnerable populations. It shall focus on three key interventions, as agreed with the BARMM government: i) mainstream RISR SP in the Bangsamoro Development Plan (BRDP), which will serve as a catalyst for the development of a regional social protection

operational framework that is risk-informed shock-responsive that has the potential to directly benefit the existing 396,000 Pantawid Pamilyang Pilipino Program (4Ps) households beneficiaries in BARMM during emergencies and cover additional 10% of the exclusion error of Listahanan 3¹ to receive social assistance during emergencies under this Joint Programme, thus enabling the horizontal expansion of social assistance programs. The projected 10% additional households may include women, children, rural workers, and Indigenous Peoples; and members of the former combatants to be determined upon the release of Listahanan 3; ii) build capacity of BARMM institutions to analyze and monitor both natural and human-induced risks and improve synergy and coordination between social protection programmes, climate change adaptation and disaster preparedness and management; and iii) improve the poverty registry system to include risk and hazard vulnerability assessments, predictive analytics, inclusive targeting and effective monitoring. Innovative tools that will be developed will be simulated in partnership with BARMM institutions, CSOs, development partners and claim holders, using existing relevant social protection programs (such as, but not limited to, sustainable livelihood program, social pension or the 4Ps Conditional Cash Transfer) in the delivery of assistance to cover additional vulnerable households, as proof of concept. It shall also maximize the potential to leverage the regional government’s own financing (US\$64 million and 5 per cent of the net national internal revenue as annual block grant), and develop recommendations to unlock institutional funding bottlenecks on budget allocation, beneficiary enrollment and payments from ongoing loan financing of other development partners such as World Bank and Asian Development Bank to the 4Ps Conditional Cash Transfer (CCT).

10. Keywords:

Social Protection
Resilience Building
Shock Responsive
Adaptive Social Protection

Risk Informed
Climate Change
Humanitarian response
Disaster Risk Reduction and Management

11. Overview of budget

Joint SDG Fund contribution	USD 1,740,000
Co-funding 1 FAO – <i>ECHO funded project Scaling up Forecast-based Financing/Early Warning Early Action (FbF/EWEA) and Shock Responsive Social Protection (SRSP) with innovative use of climate risk information for disaster resilience in ASEAN</i>	USD 120,000.00
Co-funding 2 UNICEF	USD 100,000.00
TOTAL	USD 1,960,000.00

¹ Listahanan is the national poverty registry implemented by the Department of Social Welfare and Development (DSWD). Using a proxy means test (PMT) model, it identifies who and where the poor households in the country. Updated every four years, Listahanan commenced its 3rd update in September 2019 with results expected to be released in mid-2020. As with any PMT model, it is expected that Listahanan 3 will have exclusion errors of about 20-30%. While the national government attempted to reduce exclusion errors in the design, the errors no matter how marginal, nevertheless, will result in other groups of people left behind.

12. Timeframe:

Start date	End date	Duration (in months)
February 1, 2020	March 31, 2022	Twenty-six (26) months

13. Gender Marker: 2 points in average

14. Target groups (including groups left behind or at risk of being left behind)

List of marginalized and vulnerable groups	Direct Influence	Indirect Influence
Women	X	
Children	X	
Girls		X
Youth		X
Persons with disabilities		X
Older persons		X
Minorities (incl. ethnic, religious, linguistic...)		X
Indigenous peoples	X	
Rural workers	X	
Refugees & asylum seekers		X
Internally displaced persons		X
Other groups: ex-combatants	X	

15. Human Rights Mechanisms related to the Joint Programme

The UN joint programme in the Philippines is responsive to the recommendations on key human rights mechanisms as follows:

- Committee on Economic, Social and Cultural Rights (E/C.12/PHL/CO/5-6)
- Committed on the Elimination of Discrimination Against Women (CEDAW/C/PHL/CO/7-8)
- Committee on the Rights of Persons with Disabilities (CRPD/C/NPL/CO/R.1)
- Universal Periodic Review (A/HRC/36/12)
- Committee on the Convention on the Rights of the Child (CRC)

16. PUNO and Partners:

16.1 PUNO

Convening agency:

- Food and Agriculture Organization of the United Nations System (FAO)

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SIGNATURE PAGE

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<p>Participating UN Organization (lead/convening) Food and Agriculture Organization of the United Nations (FAO) Ms. Tamara Jean Palis-Duran November 12, 2019 Signature and seal</p>  	
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B. STRATEGIC FRAMEWORK

1. Call for Concept Notes: 1/2019

2. Relevant Joint SDG Fund Outcomes

Outcome 1: Integrated multi-sectoral policies to accelerate SDG achievement implemented with greater scope and scale

3. Overview of the Joint Programme Results

3.1 Outcomes

Joint Programme Outcome Statement

By 2022, the enabling environment for a shock-responsive social protection system is in place in the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM) for more poor and vulnerable households with women, children rural workers, indigenous peoples and ex-combatants to access social protection/social assistance.

The interlinkages between humanitarian, development and peace (“triple nexus”) is demonstrated in this joint project through mutually reinforcing Partnership Framework for Sustainable Development (PFSD) pillars (People, Prosperity and Planet, and Peace). The joint initiative will directly contribute to the People pillar and aligned with the following PFSD intermediate outcomes:

PEOPLE Outcome Statement: The most marginalized, vulnerable and at-risk people and groups benefit from inclusive and quality services and live in a supportive environment wherein their nutrition, food security, and health are ensured and protected.

PFSD Intermediate Outcomes:

People Pillar:

- 1) Government, civil society and private sector at the national and local levels, with clear accountability and functions, delivering inclusive, sustained and resilient services in a coordinated and integrated manner.
- 2) Communities, leaders and “gate keepers” encouraging behavioral practices that promote inclusion of marginalized, vulnerable and at risk people and groups;
- 3) Government at national and sub-national levels implementing harmonized, evidence-based, inclusive policies, which are equitably resourced and monitored.

Prosperity and Planet Pillar:

Government and national and sub-national levels adopting evidence-based policies, structures and mechanisms, using gender-sensitive frameworks that support the integration of climate change, urbanization, and inclusive economic growth, promoting and creating decent and green jobs/livelihoods and resilient and sustainable communities.

Peace Pillar:

- a) Government, civil society stakeholders and the general public recognizing and sharing a common understanding of the diverse cultural history, identity and inequalities of areas affected by conflict; and
- b) Communities/barangays in conflict affected areas establishing risk-informed, gender responsive, and conflict sensitive governance systems.

3.2 Outputs

Joint Programme Outputs:

Output 1.1 Risk-informed and shock responsive social protection policy mainstreamed within the Bangsamoro Regional Development Plan (BRDP);

Output 1.2 BARMM capacity enhanced to analyze and monitor natural and humaninduced risks through improved synergy and coordination between social protection programs, climate-change sensitive interventions, and disaster management; and

Output 1.3 Improved poverty registry to include risk and hazard vulnerability assessments and predictive analytics for inclusive targeting and effective monitoring.

4. SDG Targets directly addressed by the Joint Programme

4.1 List of targets

Goal 1. End Poverty

SDG Target 1.3 Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

Indicator 1.3.1: Proportion of population covered by social protection floors/systems, by sex, distinguishing children, unemployed persons, older persons, persons with disabilities, pregnant women, newborns, work-injury victims and the poor and the vulnerable

Baseline, 2018: 396,000 households currently covered by social assistance programme called Pantawid Familyang Pilipino Program (4Ps)² and Modified Conditional Cash Transfer for Indigenous Peoples in Geographically Isolated and Disadvantaged Areas

By end of 2021: At least 10% of the exclusion error to be identified during the Listahanan 3 poverty registry updating in BARMM receives social assistance under this Joint Programme.

SDG Target 1.5 By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters.

SDG Target 13.1 Strengthen resilience and adaptive capacity to climate related hazards and natural disasters in all countries

Indicator 1.5.4 and 13.3 Proportion of local governments that adopt and implement local disaster risk reduction strategies in line with national disaster risk reduction strategies

Baseline, 2016: All LGUs adopt DRRM but limited implementation

By end of 2021: At least 2 policies, whether regional level or local level, that articulate the adoption of RISR SP focusing on ex ante resilience building

By end of 2021: To include at least 10% of the exclusion error to be identified during the Listahanan 3 poverty registry update, for priority targeting of social assistance programs in BARMM during emergencies under this Joint Programme.

Goal 2. Zero Hunger

SDG Target 2.1 By 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round Indicators

Indicator 2.1.1p1 Proportion of households meeting 100% recommended energy intake (in both normal times and during disaster)

Baseline, 2015: Food and Nutrition Research Institute reported 31%.

By end of 2021: The Food security and nutrition will be included in the poverty and vulnerability index that the joint programme will develop to include more vulnerable and at risk of food insecurity population in the social registry and thus benefiting from social assistance.

4.2 Expected SDG impact

By the end of the joint programme, it is expected that the poor households in BARMM, which stands 515,715 (3,145,861 poor individuals)³ of which 9.6 per cent are small

² Republic of the Philippines, Department of Social Welfare and Development (2018) Key Updates on Pantawid Familyang Pilipino Program as of 31 October 2018, presentation, 2018

³ Based on National Housing Targeting System (NHTS) locally known as Listahanan <https://listahanan.dswd.gov.ph/reports/>, 2017.

farmers, foresters and fisherfolk, will benefit from the integrated policy and institutional capacity building interventions and increase access to social assistance programs that that build their resilience **ex-ante** and improve **ex-post** response. Directly benefitting are the existing 396,000 4Ps in BARMM households beneficiaries. An additional 10% from the exclusion errors of Listahanan 3 poverty registry update will be included for priority targeting in social assistance programs in BARMM under this joint programme in emergencies.

Over-all, BARMM entire population will benefit from the improvement of the social protection assistance programmes if the pathway for establishment of inclusive, riskinformed, resilient and shock-responsive social protection system is made in the transition phase. Scalability will be possible to expand to reach more people during emergencies, and contract when not needed. This systems alignment/integration mainly through linking social protection system to disaster risk reduction, humanitarian response and conflict mitigation that encompasses early warning and early action - is expected to accelerate results for SDGs 1, 2, and 13, and support the key principle of Leaving No One Behind. Peace building would be achieved through acceleration process that tackles deep and widespread poverty and deprivation, driven partly by high vulnerability to climate change and shocks in BARMM.

5. Relevant objective/s from the national SDG framework

- 5.1 Build the socioeconomic resilience of individuals and families by reducing their vulnerability to various risks and disasters as reflected in the Philippine Development Plan (PDP) 2017-2022 – PDP’s Chapter 11. The Philippine Government aims for universal and transformative social protection for all Filipinos. This is directly in line with the Agenda 2030 commitment to leave no one behind in particular “...to address the multidimensional causes of poverty, inequalities and discrimination, and reduce the vulnerabilities of the most marginalized people, including women, refugees, internally displaced persons, migrants, minorities, indigenous peoples, stateless persons, and populations affected by conflict and natural disasters.”
- 5.2 Protect people’s income from various shocks, to build their capacity and to generate adequate support from government and other sectors to ensure that better quality of life is sustained in spite of exposure to risk of different types as reflected in the enhanced Social Protection Operational Framework (SPOF) 2019. The SPOF highlighted the convergence of social protection with disaster risk reduction and management (DRRM) and climate change adaptation (CCA).

6. Brief overview of the Theory of Change of the Joint programme

6.1 Summary:

The long term desired vision of change is - The poorest and most vulnerable population in BARMM are able to mitigate risks, better prepare and appropriately respond to various shocks and stress, with timely access to inclusive, risk-informed and shock responsive social protection systems. The underlying Theory of Change for SDG acceleration revolves around the creation of an enabling environment that will facilitate the establishment of a social protection system that is inclusive, risk-informed, resilient and adaptable. Having a shock-responsive social protection system and enabling policy

frameworks in place is expected to increase the coverage of social assistance programs to those who are poor and vulnerable ex-ante and ex-post emergencies. Inherent to this is its scalability to expand to reach more people during extreme emergencies and contract when not needed. This systems alignment/integration - mainly through linking social protection system to disaster risk-reduction and conflict mitigation that encompasses early warning and early action - is expected to accelerate results for SDGs 1, 2, and 13, with contribution to 5, 10, 11 and 16, and support the key principle of Leaving No One Behind.

6.2 List of main ToC assumptions to be monitored:

The main assumption to be monitored revolves around the strong political commitment of the Bangsamoro Transition Authority (BTA) to institute meaningful change in BARMM through the design and implementation of programmes that are appropriate to the different context of the Bangsamoro people. The 12-point agenda of the Interim Chief Minister, unveiled in 2019 identifies relevant actions:

- Set up programs that will respond to the pressing social and economic challenges in the Bangsamoro such as poverty, education, health, access to clean water and electricity, job opportunity, agricultural productivity.
- Special programs for transitioning combatants and their families apart from regular programs of the government like 4Ps, Philhealth, among others “to ensure that these programs are tailored fit to their needs so that they will become productive members of the society;”

This is the main assumption that defines how the project will proceed in the next two years, which incidentally, is also the transition period of the BARMM government. Consistent with the 12-point agenda above, it is also assumed that BARMM will take the lessons from this joint programme to adapt and finance its own services.

At the national level, the assumption is that national line agencies are willing to adapt existing national programs and services to take into account the BARMM context in view of the autonomy that was recently granted to BARMM and that there is clarity in terms of accountabilities between national and BARMM. There is an ongoing political dialogue to craft the rules and procedures around national – BARMM intergovernmental relations that will define effective, efficient accountabilities between national and BARMM.

7. Trans-boundary and/or regional issues

The leadership of the new BARMM Government has been appointed and the first Parliamentary elections will be held in May 2022. The new Government is therefore referred to as the Bangsamoro Transitional Authority (BTA) with the Chief Minister known as the ‘Interim Chief Minister’, until the 2022 elections. There is a need to balance longterm system building aims with immediate, tangible benefits delivered before the next parliamentary election. The fluid environment in BARMM underscores the need for realism about what is achievable in the short term.

C. JOINT PROGRAMME DESCRIPTION

1. Baseline and Situation Analysis

Between 2009 and 2015, poverty incidence in the Philippines has fallen from 26.3 percent to 21.6 per cent. This translates to just over one in five of the country's population living below the basic needs poverty line.⁴ This is considered an improvement with a reduction of around 5 percentage points. A comparison of first semester 2015 with 2018 national poverty incidence figures also show similar significant declines (from 27.6 to 21.0 percent). Despite these gains, there is increasing geographic disparity, more notable in the Autonomous Region in Muslim Mindanao (ARMM), now called the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM). In terms of basic sectors, small landless farmers, small holder fisher folk, children, self-employed and unpaid family workers, and women, recorded to have higher poverty incidence than the general population. The National Housing Targeting System (NHTS) locally known as *Listahanan* recorded that of the 29.4 million or 42.1% identified as poor in the country, the Autonomous Region in Muslim Mindanao (ARMM) has the highest magnitude of poor individuals (3,145,861). Applying the national percentages, of the poor, 48% are women and 52 % are men, 53% are children – most of the poor children are found in ARMM, 9.6% of poor individuals are farmers, foresters and fisherfolk – majority of whom reside in ARMM, 14% of total poor households belong to IP groups.

Numerous studies have shown that in addition to life-cycle shocks, natural disaster and human induced shocks are the major factors contributing to lingering poverty in the country. The Philippines is one of the world's most natural disaster-prone countries due to a combination of high incidence typhoons, floods, landslides, droughts, volcanoes, earthquakes and the country's considerable vulnerability to these hazards. On the average, the Philippines is hit by 20 typhoons annually. In 2013, Super Typhoon Yolanda, was one of the most powerful tropical cyclones ever recorded. It is the deadliest Philippine typhoon on record, killing at least 6,300 people with an estimated loss of US\$225 million in agriculture. The El Niño and La Niña phenomenon also regularly causes damage to the agriculture and fishing sector. The Food and Agriculture Organization (FAO) of the United Nations reported US\$325 million worth of total damage and production losses in crops due to slow onset climate-change induced disaster from February 2015 to July 2016. An estimated 413,456 farming households were affected and needed support to recommence farming activities for the next cropping season. Sixteen of the country's 18 regions were affected with its impact strongest in Mindanao.

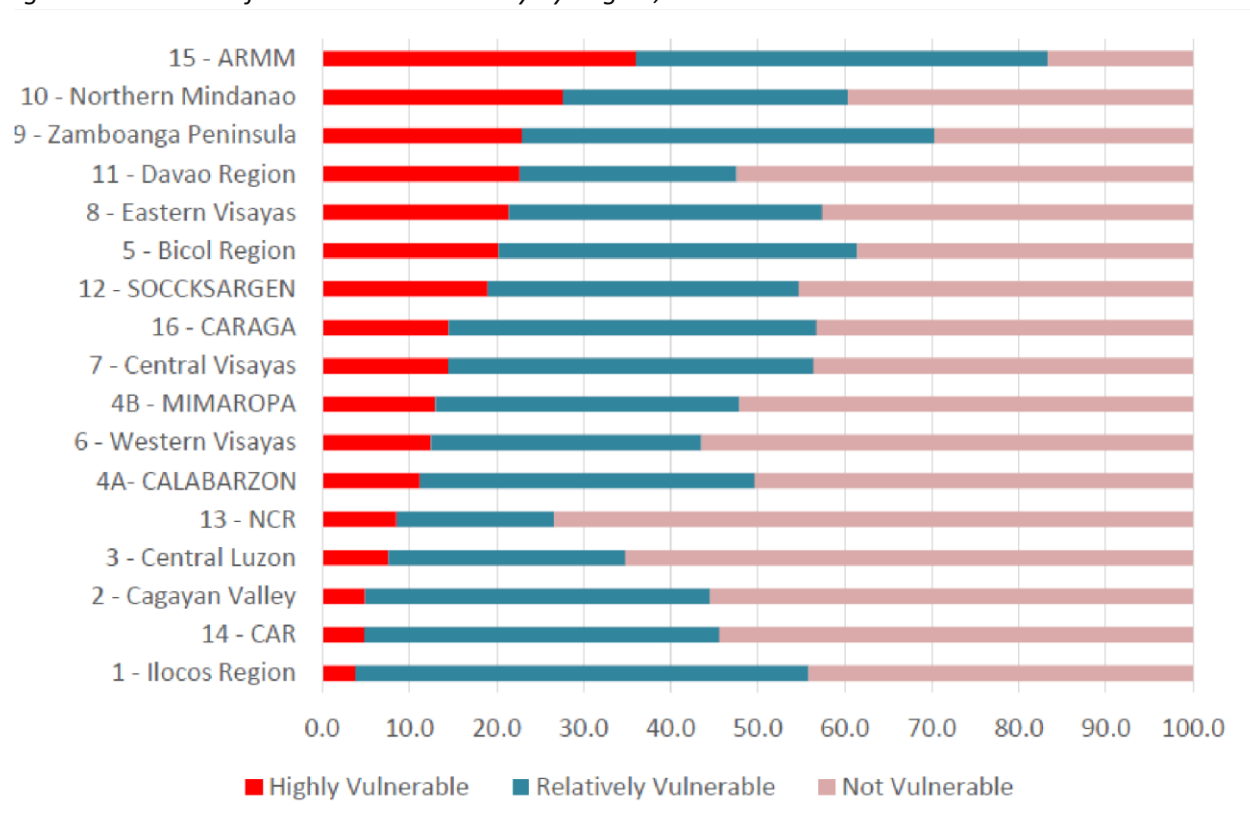
Poverty and Vulnerability in the BARMM region

After more than 30 years of armed conflict between the Government of the Philippines and the Moro Islamic Liberation Front (MILF), the peace agreement called the Comprehensive Agreement on Bangsamoro (CAB) was signed between the two parties on 27 March 2014. Replacing the Autonomous Region in Muslim Mindanao, the Bangsamoro Autonomous Region was formed after voters decided to ratify the Bangsamoro Organic Law in a January 21, 2019 plebiscite.

⁴ Defined as the proportion of the population / families who have a per capita income less than that required to meet basic food and non-food needs.

BARMM is composed of consists of five provinces: Lanao del Sur, Maguindanao and the island provinces of Basilan, Sulu, and Tawi-Tawi. The seat of government is in Cotabato City. In 2015, 54 per cent of the population in the ARMM was living below the poverty line - the highest poverty rate out of all regions in the Philippines and compared to less than 21.6 per cent nationally.⁵ While the incidence of poverty reduced in the Philippines over the last two decades, in the region it doubled. Vulnerability to poverty is the highest in the ARMM region compared to the rest of the Philippines (See Figure 1).

Figure 1. Incidence of Household Vulnerability by Region, 2015



Source: Vulnerability to Poverty in the Philippines, an examination of trends, 2003 to 2015, Ramon, J. et. al. 2018

A 2018 study⁶ found that more than 8 out of every 10 households in ARMM are vulnerable to poverty, with 35 per cent being 'highly vulnerable'. This is because a large proportion of the non-poor population are clustered at, or around, the poverty line, meaning that small or larger shocks can easily push them back into poverty. Shocks affecting income poverty translate into risks to broader human development such as nutrition, education and health. Actions taken by households to help them deal with the effects of declines in income, such as reducing food consumption, withdrawing children from school or selling productive assets ultimately increase vulnerability, reverse hard won development gains and contribute to the transmission of poverty from one generation to the next.

⁵ Philippines Statistics Authority, Official Poverty Statistics of the Philippines, Full Year 2015

⁶ Vulnerability to Poverty in the Philippines: An examination of Trends 2003 to 2015, Philippine Institute for Development Studies.

Most of the population in BARMM live in rural areas. According to the Philippine Statistics Authority in 2010, the urban population in Basilan and Lanao del Sur was around 4 per cent of the total population. In Maguindanao and Tawi-Tawi it was less than 17 per cent and in Sulu 25 per cent. This has an inevitable impact on the provision of services, both in terms of accessibility, human and financial resources. One of the main threats to economic growth and poverty reduction in BARMM is the region's exposure to natural hazards. Four of the five provinces in BARMM are considered the most drought-prone in the country. These are Sulu, Basilan, Maguindanao and Lanao del Sur.⁷ The periodic El Niño Southern Oscillation affects Maguindanao in particular, often resulting in drought, water shortages and crop failure. Around 50 per cent of the time, El Niño is followed by La Niña bringing unusually cold and wet conditions leading to heavy rainfall, flooding, a strong monsoon and more typhoons. Within BARMM, Maguindanao appears to be the province worst affected by natural disasters. Between 2011 and 2016, out of almost 203,000 families affected by disaster in the ARMM region, 82 per cent were in Maguindanao.⁸

BARMM is particularly vulnerable to climate change, which is expected to increase the frequency and severity of extreme weather events. All five provinces are considered to be either "vulnerable" or "highly vulnerable" to El Nino induced drought, temperature increases and rising sea levels, brought about by climate change.⁹ The sea levels in the Philippines are projected to rise by up to 10 centimetres every 10 years, in comparison to the average worldwide sea level rise of 3.1 centimetres per year. Most of the population live in the immediate vicinity of the coast and much of the land in the island provinces is low-lying.

The poorest and most vulnerable households in BARMM are highly exposed to recurring natural hazards and have the least capacity to cope with, or adapt to, the changing climate. Majority of the population rely on agriculture, fishing and forestry for their livelihoods, which accounted for 61 per cent of the ARMM economy.¹⁰ Across the Philippines these groups have higher levels of poverty than the general population. Their incomes are also more dependent on weather and their housing and assets are more exposed. They are also likely to have lower access to savings and borrowing.

Vulnerable groups such as women, children, the elderly and those with disabilities face a range of pre-existing constraints and challenges which are often compounded by natural disasters. For example, natural disasters often negatively impact on access to basic services and can render children more vulnerable to deprivation of their basic rights. Vulnerability in this sense therefore relates not only to low and fluctuating incomes but also to other development indicators. The increasing frequency and severity of natural disasters also means that they can no longer be considered as irregular and unexpected events. Instead, for many communities, disasters are now a regular and predictable feature of their lives. This context poses an additional challenge to the pledge to 'leave no one behind'; it is precisely in situations of frequent and recurring disasters that the largest risk of leaving the poor and vulnerable behind is faced.

A second major driver of poverty and under-development is the region's long experience of conflict. Human-induced shocks such as armed conflict and inter-tribal conflict have added deprivation and isolation for the poorest compounding the complexity of poverty in the region.

⁷ Climate Landscape Analysis for Children in the Philippines (2017), Bornstein, J., Klauth, O & C, UNICEF Philippines

⁸ Situation Analysis of Children in the Autonomous Region in Muslim Mindanao, Coram International, 2017

⁹ Climate Landscape Analysis for Children in the Philippines (2017), Bornstein, J., Klauth, O & C, UNICEF Philippines

¹⁰ Situation Analysis of Children in the Autonomous Region in Muslim Mindanao, Coram International, 2017

Violent conflict between the Philippines state and non-state armed groups stretches back to the time of colonization. However, the conflict situation is now multi-faceted, involving numerous armed groups, as well as clans, criminal gangs and political elites. Violent extremist groups currently active include the Abu Sayyaf Group, Bangsamoro Islamic Freedom Fighters, the Maute Group and Foreign Terrorist Fighters who contribute to insecurity and the continuation of martial law. The predominant form of conflict is however community-based such as 'Rido' or clan feuding. According to International Alert 'violent contestations between and among clans, tribes and local elites, rather than insurgency-related conflict have become the dominant form of violent conflict [in Bangsamoro].¹¹ The various conflicts have had a severe, wide-ranging and lasting impact on the population. Poverty incidence is highest among areas experiencing higher levels of conflict and these also tend to be the areas that have experienced the lowest levels of economic growth and human development.¹²

These conditions have consistently posed significant threats not only to income sources but also to food security and nutrition. Sadly, the poorest, the marginalized and the most vulnerable living in rural areas are especially at risk as many live in hazard prone areas, dependent of natural resources for their livelihoods and have limited access to social assistance.

These challenges in BARMM are consistent with human rights observations as stated in the Committee on Economic, Social and Cultural Rights (E/C.12/PHL/CO/5-6) paragraphs 43 to 50 Concern that high number of persons live in poverty and significant regional disparities, and level of benefits remain insufficient to ensure an adequate standard of living; Concern that poverty among small scale farmers and fishers and landless farmers, in particular, women farmers and paragraphs 13-14 Concern on that indigenous peoples are being displaced, particularly in Mindanao, due to armed and inter-tribal conflicts and natural disasters.

National Social Protection and DRRM Policy Frameworks and Programmes. Refer to Annex 10 for more details.

Social Protection in the Philippines. Social Protection is recognized as a critical strategy to reduce poverty, build resilience and enable development. This is reflected in the Philippine Development Plan 2017-2022 Chapter 11 which aims to build the socioeconomic resilience of individuals and families by reducing their vulnerability to various risks and disasters. In 2019, the Philippines completed its enhanced Social Protection Operational Framework (SPOF). Under the SPOF, social assistance and safety net interventions aim to protect people's income from various shocks, to build their capacity and to generate adequate support from government and other sectors to ensure that better quality of life is sustained in spite of exposure to risk of different types.

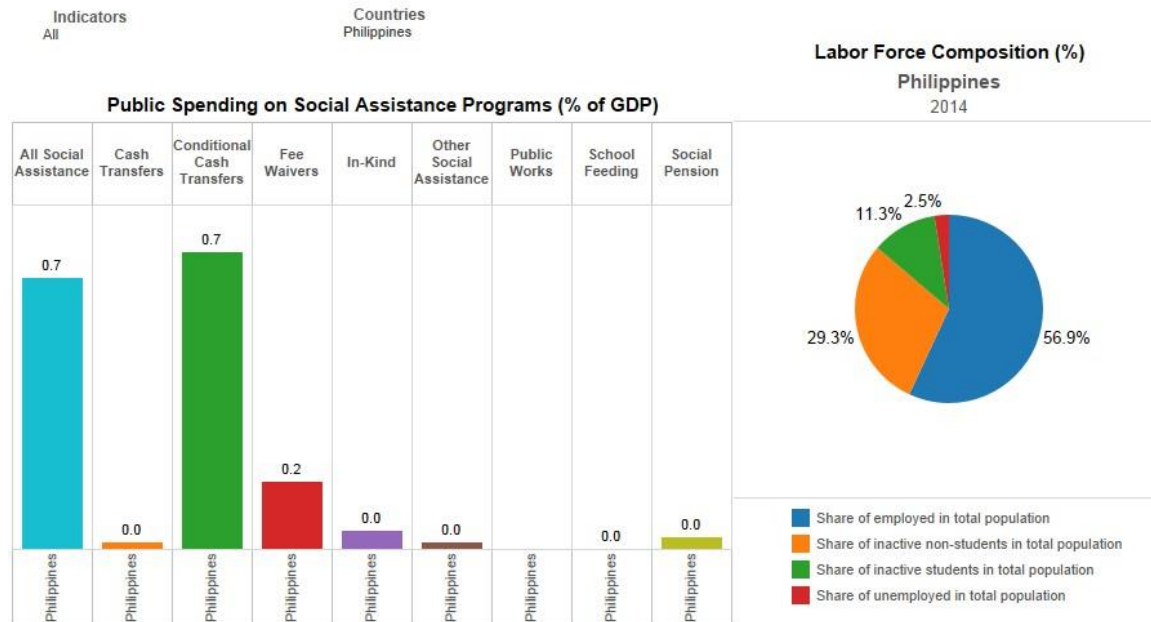
The correlation between the poverty and the integral role of social protection in its development agenda is illustrated in the country's public spending. Social protection is 7 per cent of the country's GDP. Of the different social protection programmes, expenditures for conditional cash transfers targeting the poorest has the biggest allocation underscoring the continuing support for investing in human capital (World Bank/ASPIRE, 2015). See Figure 2.

¹¹ Cited in Strachan, L.A., 2015, Conflict Analysis of Muslim Mindanao, GSDRC, University of Birmingham

¹² Situation Analysis of Children in the Autonomous Region in Muslim Mindanao, Coram International, 2017

In the 2017 Annual General Appropriations, social protection (excluding Health Insurance) pegged a significant budget expenditure increase from to PHP183 billion in 2015 to PHP 418 billion capturing 12.50 percent share in the national budget.

Figure 2: Public Spending on Social Assistance Programs (2015)



Social Protection Programmes used in-country for disaster response. When responding to disasters, social protection programs are also used to complement humanitarian response. Apart from the typical emergency response, there are three different types of social assistance interventions that is used by the Department of Social Welfare and Development (DSWD): a) *Pantawid Pamilyang Pilipino Program (4Ps)*, b) Sustainable Livelihood Program (SLP) using Cash-For-Work, and c) National Community Driven Development Program (NCDD). These programs use various modalities and mechanisms for cash transfers in different stages in post-disaster response. Under social assistance, the 4Ps is the largest conditional cash transfer social assistance intervention in Philippines in terms of value and coverage. It has the widest coverage extending to approximately 4.2 million poor (2015) and vulnerable families nationwide. National Household Targeting System (NHTS) or *Listahanan* is the registry system which identifies who and where are the poor households using a proxy-means test. This is used to target the 4Ps household beneficiaries. The programmes twin development objectives of social assistance (provide immediate financial support) and social development (invest in human capital) includes a health grant of PHP500 per month per household. The transfer is on the condition that pregnant women avail prenatal and postnatal care, and attend Family Development Sessions, and 0-5 years old children receive regular check-ups, vaccinations and deworming pills. It also includes an education grant of PHP300 per month per elementary school child and PHP500 per month per high school child, for 3-18year old children, up to 3 children per household for 10 months per year. The grant is on the condition that the children are enrolled in school or day care centers with at least 85 per cent attendance. Benefits are delivered using Land Bank ATMs and over the counter, once every 2 months. The 4Ps promotes

human capital investment, beneficiary responsibility through education and family sessions, and economic growth by increasing the purchasing power of beneficiaries. The National Economic and Development Authority (NEDA) acknowledged that 4Ps was a major factor in the reduction of poverty from 26.3 per cent in 2012 to 21.6 per cent in 2015. In April 2019, Republic Act No. 11310 was signed institutionalizing the *Pantawid Pamilyang Pilipino Program* (4Ps) programme. The law defined 4Ps as a national poverty reduction strategy and a human capital investment program that provides conditional cash transfer to poor households for a maximum period of seven years. An allocation of Php88 billion was made for 2019 alone.

Through a regional project 'Strengthening capacity of ASEAN Member States to design and implement risk informed and shock responsive social protection (RISRSP)' made in 2018, by the Food and Agriculture Organization (FAO) of the United Nations, United Nations International Children's Fund (UNICEF), World Food Programme (WFP), the International Labour Organization (ILO) and the United Nations Office for Disaster Risk Reduction (UNISDR), it was assessed that the country's 4Ps at its current state does not include risk and vulnerability assessment as a criteria since it was primarily designed as a conditional cash transfer program targeting poor households that focused on improving health and education to build human capital. The 4Ps delivery system however is well established and has been tested both for conditional cash transfers and emergency unconditional cash transfers in the experience of Typhoon Haiyan. Consultations during the project raised the concern of exclusion at the local level by small landless farmers and small holder fisher folk who do not have young families (i.e. children below 18 nor have pregnant members). Farmers and fishers cited that many of them were not eligible because they belonged to an older demographic group many of them reaching their senior years but still experienced extreme poverty on daily basis due to floods, drought, and pests affecting their main sources of income.

Disaster Risk Reduction and Management (DRRM) in the Philippines. Republic Act 10121, "Philippine Disaster Risk Reduction and Management (DRRM) Act of 2010" transforms the Philippines' disaster management system from disaster relief and response towards disaster risk reduction (DRR). The government adopted the National Disaster Risk Reduction and Management Framework and Plan which envisions a country that has "safer, adaptive and disaster-resilient Filipino communities toward sustainable development"; wherein men and women have increased their awareness, understanding on DRRM with the end in view of increasing people's resilience and decreasing their vulnerabilities. This underscored strengthening the capacity of the national government and local government units (LGUs), together with partner stakeholders, to build the resilience of communities and institutionalize measures in reducing climate and disaster risks.

Social Protection, DRRM Policy Frameworks and Humanitarian response in BARMM.

At present, social protection service delivery, DRRM Policy frameworks and humanitarian response efforts in BARMM are structured in line with both the national government policy and legislative context and former ARMM-specific policies. A centralized targeting system – the DSWD's National Household Targeting System for Poverty Reduction (Listahanan) – based on a proxy means test methodology, is used for targeting 4Ps households that are in BARMM provinces. Using Rapid Disaster Needs Assessments (RDANA) and list of affected households from the LGUs, humanitarian response in the Region focuses on *ex post* response (similar to nationwide response) and distribution of survival kits composed of food and non-food packs provided through Local Government Units in coordination with DSWD. In one occasion, Emergency Cash Transfers was used in extreme armed conflict situation in Marawi City siege. Refer to Annex 11 for more details.

1.1 Problem statement

The poorest and most vulnerable population in BARMM are not able access and benefit from timely delivery of social protection programs, specifically social assistance, and are further disadvantaged as they are unable to manage the impact of extreme natural hazard and human induced disasters.

A risk-informed, shock responsive social protection system (RISR SP) uses existing well established systems to help build the resilience of households – with special attention on poor and vulnerable households - through timely and effective support for them to enhance resilience to disasters and shocks. Establishing RISRSP system relates to preparedness, response, and recovery from a disaster.¹³It is also known to save resources if applied before as part of early response rather than emergency response i.e. after as disaster. RISRSP systems can protect and secure socio-economic gains made under development programmes as well as build better coping strategies and prevent negative responses such as reducing food consumption, taking children out of school, and selling productive assets. ¹⁴ Global evidence to a degree, suggests that an enabling environment is necessary to develop effective social protection systems that can be used quickly to respond and help prevent and mitigate impacts.

With focus on economic and social rights and the government’s accountability to deliver on the Sustainable Development Goals, the Joint Programme identified the problem statements using as reference the recommendations from the human rights mechanisms, namely, Committee on Economic, Social and Cultural Rights (E/C.12/PHL/CO/5-6), Committed on the Elimination of Discrimination Against Women (CEDAW/C/PHL/CO/7-8), Committee on the Rights of Persons with Disabilities (CRPD/C/NPL/CO/R.1), Universal Periodic Review (A/HRC/36/12), and the Committee on the Convention on the Rights of the Child. *Refer to Annex 9. Human Rights Mechanisms related to the Joint Programme.*

- ***The overall coverage of social protection programmes is low and unbalanced, compared to need.*** For example, the 4Ps is the largest social protection programme but with 396,000 household beneficiaries,¹⁵ coverage seems to be still insufficient considering the poor conditions in BARMM. The 4Ps is almost ten times larger than the next biggest social welfare programme – Supplementary Feeding (with 35,000 beneficiaries) and 50 times larger than the Social Pension for Indigent Senior Citizens Programme (with 7,255 beneficiaries). Given the breadth and depth of poverty and high levels of both economic and social vulnerabilities, BARMM would benefit from a social protection system offering much broader and more balanced overall coverage.
- ***Disconnect between Social Protection, DRRM and Humanitarian policy from the national to the regional level, with limited cultural and situational attention to the BARMM context.*** Disaster risk reduction and management policy and institutional arrangements are fragmented and there is no separate policy framework for dealing with armed conflict. Whilst LGUs are responsible for DRRM actions in law, compliance with mandated plans is weak; in 2017, around one third of LGUs reportedly did not have a DRRM plan whilst in 2018/2019 only half of LGUs had

¹³ UNISDR, 2009.

¹⁴ Strengthening the capacity of ASEAN member states to design and implement risk-informed and shockresponsive social protection systems for resilience: Regional Synthesis Report, ECHO, FAO WFO, UNCIEF. June 2019

¹⁵ Plus 27,000 beneficiaries for the MCCT-IPGIDA

a DRRM officer.¹⁶ DRRM at the LGU level appears to be relatively better functioning compared to relations with the region, where there is a disconnect between the regional DRRMC and the LGUs which report up to the national DILG. This disconnect between the region and LGUs presents a challenge in terms of deploying national social protection programmes to support shock-response. A range of agencies are involved in emergency response, including LGUs, MSSD, MILG, further contributing to uncoordinated actions on the ground. Although emergency response has recently been absorbed into the Ministry of Interior and Local Government (MILG) this may cause further challenges given the mandate of the MSSD to coordinate emergency response.

A similar observation and recommendation was made under the Universal Periodic Review (A/HRC/36/12) Recommendation 133.30 to 32. Ensure laws, policies and programmes aimed at protecting human rights of women, elderly, persons with disabilities and indigenous peoples are effectively implemented. Although there has been a conceptual appreciation on the contribution of shock responsive social protection and its linkages with development, disaster risk reduction and management, and humanitarian efforts¹⁷, lot of work is still needed to mainstream the SRSP policy agenda into BARMM's development strategy. On the other hand, the National Social Protection Operational Framework, which was developed at the national level, identifies political instability and armed conflict among the risks and vulnerabilities to which social protection must be able to respond. However, there is no specific strategy that looks into social assistance to build resilience of poor households to include IPs, IDPs and ex-combatants - that are affected by human-induced shocks as in the case of BARMM.

- ***There is no reliable data that would inform the policy agenda on how RISRSP systems have the ability to protect and reduce vulnerabilities of basic sectors to natural and human-induced disasters.*** The lack of information for evidence based-decision making is a limitation for RISR SP adoption in the BARMM development agenda. Disaster risk and vulnerability assessments (i.e. who and where are the poorest, what are they vulnerable to, etc.) have not been conducted across each LGU area in BARMM. A thorough understanding of the different risks faced by different geographic areas and population groups is essential to inform strategies for social protection and its eventual scale up. Additional information such as a cost-benefit analysis and financing strategies (i.e. how much is needed, where are the funds going to be sourced and identification of the fiscal space) are also not in place to support a the RISR SP policy agenda.

The Committee on Economic, Social and Cultural Rights (E/C.12/PHL/CO/5-6) Paragraphs 7 and 8 Concern about the lack of reliable data, particularly data related to indigenous peoples, persons with disabilities and people living in poverty and Committee on the Elimination of Discrimination Against Women (Paragraphs 47 and 48) Concern that gender sensitive frameworks have not been translated to practice; prioritize protection of women's rights in situation analysis, needs assessment and intervention related to disaster risk reduction, preparedness and response in natural disasters as well as mitigation of negative impact of climate change, supports the joint programme's problem statement. Gender inequalities in the Region has not been fully

¹⁶ ARMM Transition Plan, Main Report, 2019, P47

¹⁷ This observation was taken from Landscape Analysis of BARMM and bilateral meetings with the BARMM Ministry of Social Services, Ministry of Interior and Local Government and Ministry of Indigenous Peoples Affairs and multistakeholder consultations organized on 15 October 2019.

captured and integrated in policy and programme design, which is a reflection of a lack of understanding of women's roles in BARMM rural communities and in times of disaster management and response.

- **Limited capacity at the Regional and Local Government Unit (LGU) level to undertake shock responsive social protection and analyze risk and use triggers for early warning and action in response to natural and human-induced disasters.** Despite the regularity of natural disasters in the Region, capacities to anticipate *ex ante* and respond *ex post* are not fully explored. Currently, humanitarian response is limited to delivery of *ex post* response to disasters largely using survival food and non-food kits and does not use the national registry nor the 4Ps as a delivery system for cash assistance. To date, noted were pilot projects at the LGU level on Early Warning and Early Action (EWEA) implemented by FAO and development of Standard Operating Procedures (SOPs) for Forecast-based Emergency Preparedness in Maguindanao by WFP. But these have yet to be taken to scale. Capacities at the LGU - Regional and Provincial, Municipal, *barangay* level - remain limited and further pilot testing on predictive analytics used for early warning for natural disasters (i.e. floods, typhoons, drought) have yet to be documented and analyzed for local development policy and planning.

In addition, there is no formal early warning system for conflict. Although data suggests that conflict affects at least as many people, possibly more, than natural disasters.¹⁸¹⁹ Key informants also indicated that exposure to, and likely impacts of violent conflict are more difficult to predict than natural hazards. Based on the BARMM regional consultation, there are existing efforts from non-governmental organizations on using community-based triggers for armed conflict but these have not been fully shared or adopted.

- **Absence of an inclusive poverty registry to include risk and hazard vulnerability assessments for inclusive targeting and effective monitoring.** The Philippines under the Department of Social Welfare and Development (DSWD) has an existing database of poor and disaster affected households under *Listahanan*. In the past, the country has used it, to identify the poor and deliver cash assistance under the 4Ps. In times of emergencies, the DSWD, together with the LGUs, also uses Disaster Assistance and Family Access Card (DAFAC) system to distribute Emergency Cash Transfers system. In addition, LGUs are using the Community-Based Monitoring System (CBMS) for its planning and programmatic interventions. Much has yet to be done on data-sharing and maximizing their potential to be used to facilitate the identification of who are the poor, vulnerable and marginalized. The updating of the *Listahanan* targeting system only happens every four years, thus, it excludes 0-5-year old children since the last update in 2016. In addition, much as *Listahanan* provides an objective list of poor households, it does not use a cross referencing approach whereby instruments such as poverty registry, and technology i.e. geo-hazard mapping can be used to predict who, where will be most affected and the magnitude of the shock. As such, response programs that use *Listahanan* miss the critical window of opportunity due to dependence on one registry system known to have exclusion errors.

¹⁸ The ARMM Transition Plan Main Report (2019) indicates that between 2014 and 2018 ARMM HEART supported

¹⁹ ,000 households due to conflict related disasters compared to 227,000 effected by natural disasters. In terms of displacement, between 2011-2016 more than 196,000 people were displaced due to conflict, compared to almost 203,000 due to natural calamities.

In addition, many IDPs are reportedly without documentation and as such face barriers to accessing services. For example, a protection assessment in 2018 found that around 18,000 people displaced due to the Marawi siege do not have identification cards or birth registration documents.²⁰ In the same breadth, in the experience of Marawi City, the non-utilization of a database makes it difficult to focus resources to the most affected internally displaced persons (IDPs) – poor households with women, children, youth and PWDs. Poor indigenous communities, internally displaced persons and excombatants face additional barriers when it comes to targeting. This observation was also made by Committee on Economic, Social and Cultural Rights (E/C.12/PHL/CO/56) Paragraphs 7 and 8 Concern about the lack of reliable data, particularly data related to indigenous peoples, persons with disabilities and people living in poverty.

1.2 Target groups

The joint programme will operationalize 'leaving no one behind' in line with the Chief Executive Board commitment and guidance by supporting measures to protect vulnerable, marginalized and excluded populations both vertically and horizontally expanding the coverage of social protection. It shall therefore directly target the following groups - poor households with women, children, small rural farmers and fisher folk, and Indigenous Peoples (IPs), Internally Displaced Persons (IDPs), and ex-combatants outside the *Listahanan*. These groups are not mutually exclusive and are likely to be part of the other. For example, poor households are likely to be headed by men or women rural farmer or fisher folk with family members who are women, children and youth, or an Indigenous Person can be internally displaced or an excombatant.

At the core of establishing shock responsive social protection is the improvement of registries to include disaster vulnerability assessments and analytics to identify those who are socially excluded and individuals who are not captured. This means that other groups who would be normally left behind by way of the current registry design will have the opportunity to be included in the system and receive social assistance.

The poorest and most vulnerable households in BARMM who are highly exposed to naturally occurring hazards and have the least capacity to cope with, or adapt to, the changing climate. Majority are small rural workers who rely on agriculture, fishing and forestry for their livelihoods, which accounted for 61 per cent of the ARMM economy.²¹ Across the Philippines, these groups have higher levels of poverty than the general population. Their incomes are also more dependent on weather and for fisher folk their housing and assets are more exposed. They are also likely to have lower access to savings and borrowing.

Vulnerable groups such as women, children, the elderly and those with disabilities face a range of pre-existing constraints and challenges which are often compounded by natural disasters. For example, natural disasters often negatively impact on access to basic services and can render children more vulnerable to deprivation of their basic rights. Vulnerability in this sense therefore relates not only to low and fluctuating incomes but also to other development indicators. The disproportionate impact of disasters on the poor and vulnerable, including

²⁰ Philippines Humanitarian Country Team 2019 Marawi Humanitarian Response Early Recovery and Resources Overview for the Displacement caused by Conflict in Marawi City.

²¹ Situation Analysis of Children in the Autonomous Region in Muslim Mindanao, Coram International, 2017

women and children, small rural workers, requires investments that are explicitly focused on them and aim to address their current and future vulnerabilities.

Most of the population in BARMM live in rural areas. Small farmers, foresters, and fisherfolk. The agriculture sector employed 11.3 million people, accounting for 29.2 percent of all workers, and contributed at least ten percent of the country's gross domestic product. Despite these, small farmers and fisherfolk households seem to have missed out on these opportunities. The Philippine Statistics Authority's 2015 data show that farmers and fisherfolk have consistently been reported as the poorest among the basic sectors from 2006 to 2015.²² There is limited in-country evidence on whether cash transfers have contributed to increasing agriculture production and hence increasing income at the household level, or whether they reduced detrimental coping mechanisms such as selling farm equipment, boats or input to manage risks.

Children from Indigenous communities have some of the worst development outcomes of all children in the Philippines. They suffer severe forms of deprivation, including poor educational and health outcomes and exposure to violence and abuse. For example, it is estimated that in 2014 less than 50 per cent of indigenous children attended public elementary school, and only around 11 per cent completed Grade 6.²³ Indigenous children and their carers tend to be concentrated in disadvantaged areas in the region, and their vulnerability is compounded by gaps in Government services in areas where they live. They may also not speak the common Tagalog language and so struggle to get information about the existence of programmes and services, as well as information on disaster preparedness and forthcoming emergencies.

Children - who are the drivers of Bangsamoro's future growth and prosperity - are amongst the most deprived. With a poverty rate of more than 63 per cent, almost two in every three children lives below the basic needs poverty threshold.²⁴ Not only are children in the region more likely to live in monetary poverty than the rest of the country, but they experience extreme levels of deprivation in terms of nutrition, health and education. For example, in 2013 ARMM's infant mortality rate was reported to be 32/1000, which is significantly higher than the national average of 23/1000. The under-5 mortality rate was the highest in the country at 55/1000 - above the national average of 31/1000.²⁵ In 2015, the prevalence of stunting was found to be at 45 per cent of under-5-year-olds compared to 33 per cent at the national level.²⁶ And in terms of education, ARMM had the highest prevalence of 5- to 15-year-old out of school across all regions in the Philippines, standing at almost 17 per cent compared to a national average of just 5 per cent.²⁷

It is also recognized that the uneducated, poor and marginalized youth in BARMM are vulnerable to radicalization and association with violent extremist groups due to the prevailing deep seated poverty in the region. The recruitment of youth people has been recently reported often lured by extremist organizations with promises of monthly allowances and cash gifts.

²² www.psa.gov.ph/poverty-press-releases/data

²³ Recognition of the Rights of the Indigenous Peoples in the Autonomous Region in Muslim Mindanao for their Empowerment and Sustainable Development, IPDEV, Empowering Indigenous People in the ARMM, 2014

²⁴ Situation Analysis of Children in the Autonomous Region in Muslim Mindanao, (2017) Coram International, UNICEF

²⁵ National Demographic and Health Survey, 2013

²⁶ National Nutrition Survey, 2015

²⁷ Annual Poverty Indicator Survey carried out in 2013

On the conditions of women in BARMM, the current design of the 4Ps program, identifies women as the default guarantee in the household. Much as there is increasing recognition that social protection can address the gender inequalities, there will be a more deliberate effort to looking into the specific challenges that women face in the region. As part of the inception phase, the joint programme will generate more knowledge through research and other analytical pieces of work i.e. assessments, to provide in-depth understanding of the issues of marginalization, social injustice and inequality, affecting rural women, IDPs and excombatants in BARMM. It shall also take into consideration the context of ethnicity and Muslim culture, all of which have nuances in the Region. The 4Ps in BARMM currently covers around 396,000 households. However, there are concerns about exclusion and inclusion errors in the region. While there will be an initial attempt to look into 4Ps to apply the concept of RISR SP, the aim is to aid in increasing the social assistance coverage to include those who are not part of the national registry system.

1.3 SDG targets

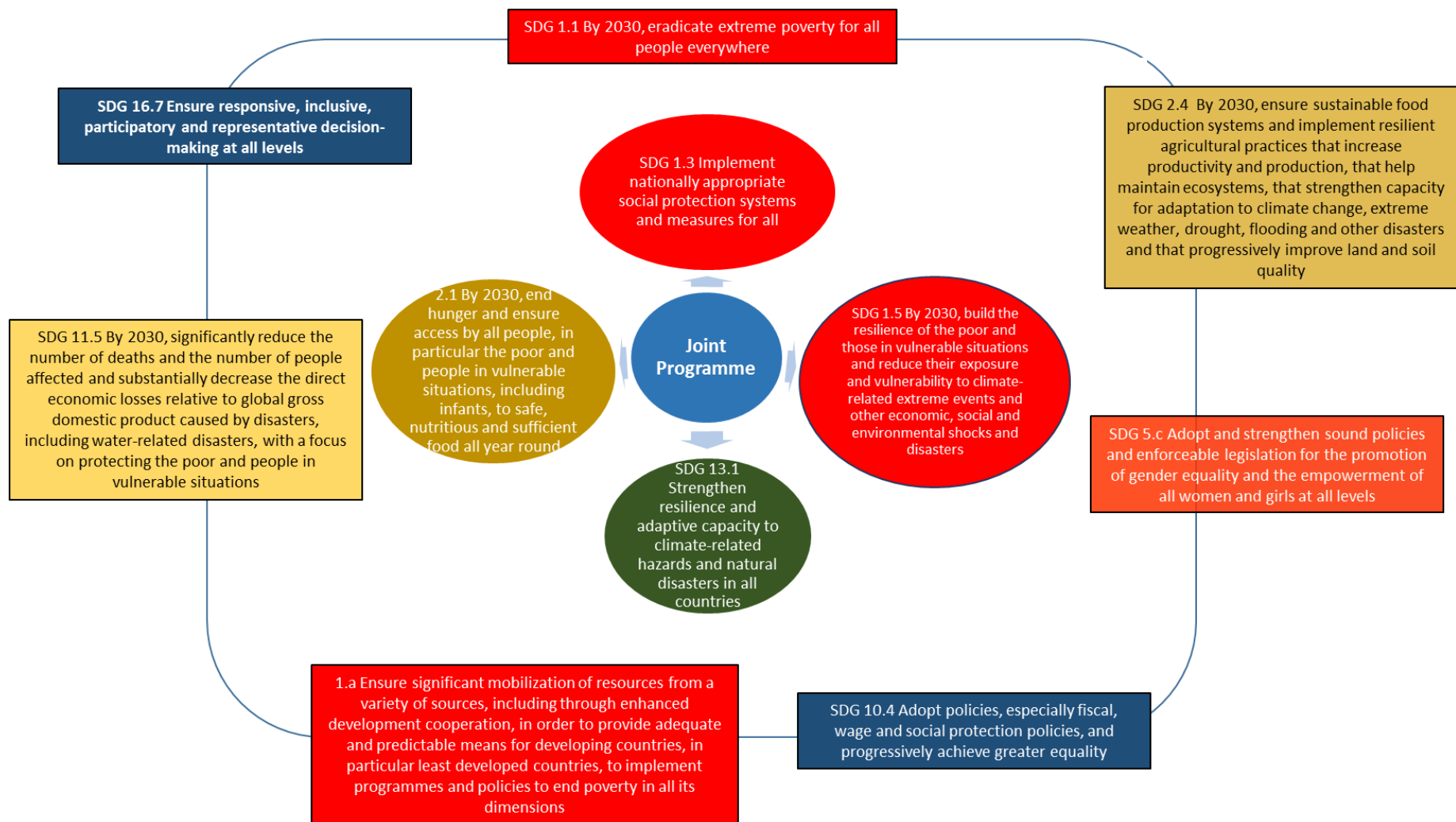
The joint programme will contribute to the following:

Goal 1. End Poverty, Goal 2. End Hunger, Goal 10. and Goal 11. Sustainable Cities and Communities

SDG Target	Measurement	National Baseline	Regional Baseline (2019)	Target by end of UNJP
<p><u>SDG Target 1.3</u> Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable</p>	<p>Indicator 1.3.1 Proportion of population covered by social protection floors/systems, by sex, distinguishing children, unemployed persons, older persons, persons with disabilities, pregnant women, newborns, workinjury victims and the poor and the vulnerable</p>	<p>Existing poverty registry (Listahanan 3) does not include risk and vulnerability assessments which hampers the inclusion of other vulnerable groups in accessing social assistance programs.</p> <p><i>(Listahanan is mandated for targeting of social protection programs.)</i></p>	<p>Current poverty registry (Listahanan 3) does not include risk and vulnerability assessments which hampers the inclusion of other vulnerable groups</p> <p>396,000 households in BARMM currently covered by social assistance programme called Pantawid Familyang Pilipino Program (4Ps).</p>	<p>Set of risks and vulnerability indicators agreed and ready for inclusion in the next round of Listahanan poverty registry update or other similar registries in the BARMM region for a more inclusive targeting system.</p> <p>By end of 2021, Using the risks and vulnerability indicators, improve the use of poverty registry to identify at least 10% of the exclusion error during the Listahanan 3 to receive social assistance under this Joint</p>

				Programme. These additional households may be composed of IPs, IDPs, and former combatants (25,000) that were initially excluded but ranked high in terms of vulnerability.
<p><u>Targets 1.5 and 13.1</u></p> <p>SDG Target 1.5 By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters.</p> <p>SDG Target 13.1 Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries</p>	<p>Indicator 1.5.4 Proportion of local governments that adopt and implement local disaster risk reduction strategies in line with national disaster risk reduction strategies (indicator also found in 13.1.3)</p>	<p>As of October 2019 reporting, proportion across regions range from 45% to 100%, with some data coming from reports dated back in 2015.</p>	<p>While 2016 data reported 100% Local Government Unit (LGU) in ARMM adopt DRRM, the level or degree of adoption and implementation still varies as evident in low utilization of local DRRM funds, and nonsubmission of local DRRM investment plans and other relevant reports.</p>	<p>At least 2 policies, (at regional or local level), that articulate the adoption of RISR SP.</p> <p>BARMM and LGU capacity for VRA and use that to include more vulnerable population in social protection programmes</p>

<p><u>Target 2.1</u> By 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round</p>	<p>Indicators 2.1.1p1 Proportion of households meeting 100% recommended energy intake (in both normal times and during disaster)</p>	<p>In 2015, Food and Nutrition Research Institute reported 31%.</p>	<p>Not available</p>	<p>The Food security and nutrition aspect will be included in the poverty and vulnerability index that the joint programme will develop to include more vulnerable and at-risk-offood insecurity population in the social registry and thus benefiting from social assistance. Relatedly, improved disaster coping ability of government and individual beneficiaries can contribute to stability of livelihoods and incomes thus enhancing food availability and accessibility, as well as food systems resilience, at all times.</p>
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The Philippine government has committed to reduce, in the medium term, the existing poverty rate of 21 per cent (2015) to 14 per cent by 2022 as indicated in the Philippine Development Plan 2017-2022, in support of the achievement of the SDG target of reducing extreme poverty by half in 2030. Aggregate national poverty indicators, however, masked the disparities across the regions, with BARMM having the highest poverty rates and some of the lowest human development indicators. To achieve the national target of 7 per cent reduction in poverty rates by 2022 means identifying those who are most vulnerable and where are they located for effective targeting of social services. Data shows that the most vulnerable people live in BARMM with 8 out of 10 people considered as highly vulnerable.

SDG acceleration to meet poverty targets can be demonstrated through the increase in local governments that adopt and implement local disaster risk reduction strategies in line with national disaster risk reduction strategies. Mainstreaming RISR SP in the Bangsamoro Regional Development Plan and in two pilot areas creates a multiplier effect through the application of innovative tools and adoption of risk informed and shock responsive social protection policy at the regional and at the provincial or municipal level. The joint programme contributes to reducing vulnerabilities by protecting human development gains, livelihoods and assets that would normally be compromised in the event of a co-variate shock. BARMM will be able to improve the use of the national registry to integrate risks and vulnerabilities for inclusive targeting within the region that is suited to its context. The regional government will have a mechanism for early warning and early action to channel social assistance where it is needed ex-ante, thus reducing vulnerabilities of key populations and inequalities in the process. While these could not be readily measured at the national level within the SDG Fund's duration, the impact is likely to be measured in succeeding years. As such, the joint programme is able to contribute to SDG Targets 1.3, 1.5, 2.1 and 13.1.

Ensuring access to social protection and leverage social protection programmes to build resilience and respond to shocks can also generate positive synergies to achieve other SDGs such as escaping poverty (SDG 1.1); resources mobilized to end poverty in all its dimensions (SDG 1.a); sustainable food production systems and resilient agricultural practices (SDG 2.4); gender equality and empowerment of all women (SDG 5.c); policies achieve greater equality (SDG 10.4); reduced number of deaths and affected, and economic losses during disaster (SDG 11.5); and responsive, inclusive, participatory and representative decision-making at all levels (SDG 16.7).

Relatedly, having RISRSP reflected in the BRDP provides the necessary policy cover for all provinces and municipalities in the region to align and adopt their own policies and provide the necessary budgets in their annual investment plans. Previous and more recent program assessments and financial audits on DRRM implementation at the local level reveal several crosscutting issues such as lack of technical capacity and expertise, and limited awareness and flexibility on provisions under the law. The joint programme shall be able to facilitate addressing such gaps to maximize the utilization of available resources for resilience building. In times of disaster, the poor and near-poor are the most vulnerable giving the impetus to reinforce their ability to cope to avoid aggravating the disparity across population. Reducing inequalities will contribute to achieving long lasting peace. The joint programme contributes to SDG 16.7 Ensure responsive, inclusive, participatory and representative decision-making at all levels to reduce conflict risks.

The joint programme will create synergies among different policy objectives to support localizing the above-mentioned SDGs and their implementation in BARMM. It will do so through advocacy for RISR SP, capacity building/workshops and institutional coordination

engaging different BARMM ministries and LGUs. Sharing knowledge and evidence of benefits of integrated policies (social protection, DRM, climate change adaptation) and practices (through RISR SP), the joint programme will facilitate dialogue at local, regional and national levels to advocate for integrated approaches to achieving the SDGs and synergies among them.

Monitoring Progress

The Philippine Statistics Authority (PSA), has the legal mandate to carry out its central role in the SDG Indicators monitoring. This is embodied in the PSA Board Resolution No 4, Series of 2016 enjoined all concerned government instrumentalities to provide the necessary data support to monitor the country's performance vis-à-vis the SDGs based on the indicator framework that shall be determined by the NEDA, PSA and other government agencies. Within the PSA there is an established PSA SDG Team with focal point for specific goals to facilitate coordination of monitoring activities and other SDG-related activities across government agencies.

At the Regional Level, regional Bangsamoro Development Planning Agency (BDPA) will take the lead in monitoring the region's contribution to the national SDG targets. The joint programme will see support from the National Economic and Development Authority and the PSA, to build their capacity.

1.4 Stakeholder mapping

Using a human rights based approach, the joint programme identified the duty bearers, and claim holders who will have equal opportunities to engage throughout the design, implementation and monitoring phases. **Duty bearers** are government institutions both at the national and regional level who are accountable for respecting, protecting, and fulfilling human rights. **Claim holders** are the citizens who have the right to assert and defend their freedoms but may not have control over public resources. This stakeholder mapping will help identify supporting activities that will increase the technical capacity of both the duty bearers and the rights holders. A gender analysis, as complementary and mutually reinforcing to human rights based approach, was undertaken as part of the Landscape Analysis in BARMM.

The Duty Bearers

Bangsamoro transition government represented by the Bangsamoro Transition Authority (BTA) is the concurrent BARMM governance structure. The Regional Government is led by a Chief Minister, who leads the Bangsamoro Transition Authority (BTA). It takes the form of a parliamentary-democratic government headed by a Chief Minister and 80 members of Parliament amongst others. The Bangsamoro government exercises authority over a wide range of issues including, of relevance to social protection:

- Administrative organization
- Policy and legislative formulation
- Revenue raising and budgeting including ability to raise international financing
- Food security
- Development programmes for women, labour, youth, elderly, differently abled and indigenous people
- Disaster risk reduction and management including humanitarian response
- Social services including health and education, social welfare and charities

The BARMM government is developing its own policy and legislative framework which will likely be informed by existing national and former ARMM policies and legislation. The BARMM will have an automatic allocation of the annual block grant from 2020, equivalent to five percent of the net national internal revenue of the Bureau of Internal Revenue and the Bureau of Customs. The region's share in government revenue taxes, fees, charges, and taxes imposed on natural resources will increase to 75 percent from the current 70 percent. The new BARMM Government has been appointed and the first Parliamentary elections will be held in May 2022. The new Government is therefore referred to as the Bangsamoro Transitional Authority with the Chief Minister known as the 'Interim Chief Minister', until the 2022 elections.

The Regional Ministries which will be involved in the joint programme at various levels and capacities are:

1. Bangsamoro Development and Planning Authority (BDPA)
2. Ministry of Interior and Local Governance (MILG)
3. Ministry of Ministry of Social Services and Development (MSSD)
4. Ministry of Indigenous Peoples Affairs (MIPA)
5. Ministry of Agriculture, Fisheries and Agrarian Reform (MAFAR)
6. Ministry of Finance Budget and Management (MFBM)

Challenges. Based on the BARMM consultations and the Landscape Analysis, the Office of the Chief Minister and Ministries, have the power and influence to support RISR SP agenda. However, among the challenges identified is that of reorganization which includes the creation of new ministries, merger of existing into 'super' ministries and shifting of some departments and agencies from one ministry to another. Additional challenges which characterized governance in the former ARMM Region are likely to continue to affect social protection and DRRM for some time. This includes multiple types of service delivery arrangements,²⁸ unclear lines of accountability between the national government, BARMM and LGUs,²⁹ conflicting local government legal codes, complex power dynamics between the Region and LGUs, the limited reach of the regional government into some remote areas, and uncertainty over the medium-term management and financing of national social protection programmes.³⁰

Insufficient staff and limited technical expertise are identified as impediments to effective social protection and DRRM. The MSSD currently has only 240 permanent staff³¹ across the region to deliver front line social welfare services.³² The 4Ps has around 1 front line worker for every 700 beneficiaries.³³ A 2018 study by the World Bank assessing 4Ps implementation in the former ARMM found that "A core determinant that... contribute(s) to non-compliance is the absence of proper training for RPMOs, program implementers, and program partners."³³ Whilst capacity is likely to increase under the new administration this will require more resources and time.

Analysis:

- **The political transition creates a window for policy change.** Strengthening and extending social services is one of the priorities of the Chief Minister.³⁴ This presents an opportunity to significantly strengthen and extend the social protection system with shock-response built in from the outset.
- **The long-term risks to development posed by disasters and the need for cross-sectoral, coordinated action is well recognised.** As the ARMM Transition Plan states: *Disasters diminish human capital, destroy physical and business assets, force communities into subsistence jobs and trap countless others into poverty given limited social safety nets and asset insurance...a dedicated humanitarian team, and a strategy of adopting the convergence of actions and services are required to rapidly restore normalcy to the situation on the ground.*
- **There is some appreciation within government of RISR social protection, and some of its key components.** The BARMM MSSD has requested a briefing from development partners on the concept of RISRSP, suggesting an openness to the approach. Some government staff from regional down to barangay level clearly

²⁸ The ARMM Transition Report, Main Report (2019) identifies eight different types of service delivery arrangements.

²⁹ For example, Municipal and Provincial governments report to the national DILG rather than the ARMM / BARMM MILG

³⁰ Some key informants indicated that some national programmes such as Supplementary Feeding would be devolved to the BARMM government.

³¹ Complemented by 1,269 'non-plantilla' staff

³² ARMM Transition Plan, Main Report, P147

³³ PSRC. 2016. Comparative Study of Regional Differences in Pantawid Pamilyang Pilipino Program Implementation, World Bank Group 33 ibid

³⁴ The Chief Minister's 12 point-plan identifies the setting up of programmes to respond "to the pressing social and economic challenges in the Bangsamoro region such as poverty..." as a priority.

articulated the positive role that cash transfers can play in development and humanitarian programming. Several informants expressed support of the notion of making *ex-ante* transfers in advance of a predicted crisis. This is a good basis on which to build.

- **The creation of new institutional structures presents opportunities for developing more effective risk informed and shock responsive social protection.** For example, the BARMM transition plan proposes, as one option, the establishment of a dedicated Office of Disaster Risk Reduction and Management. It is envisaged that this would bring together the responsibilities currently split between the different Ministries. Although the details are not yet clear, this may help streamline and harmonize DRRM actions and enable them to be better connected to the social protection system over the longer term.³⁵ Similarly, the creation of a new Ministry of Indigenous People’s Affairs strengthens opportunities for better addressing the specific needs of marginalised groups.

At the National level:

- **National Economic and Development Authority (NEDA)** is the lead agency responsible for the formulation of the Philippine Development Plan (PDP) in coordination with the different sectors and national government agencies, and regional development councils. It coordinates and monitors Official Development Assistance (ODA) among international Financing Institutions (IFIs) and international development partners. It provides guidance on the country’s commitments to the SDGs.
- The **Department of Social Welfare and Development (DSWD)** is the lead agency in social welfare development, policy development, and program implementation. The DSWD is responsible for, among others, (i) formulating policies and plans which provide direction to intermediaries and other implementers in the development and delivery of social welfare and development services; and (ii) providing social protection to the poor, vulnerable, and disadvantaged sector. It spearheaded the process of enhancing the Social Protection Operations Framework (2019). The DSWD, under its promotive section, implements the flagship Conditional Cash Transfer (CCT) programme locally called *Pantawid Pamilyang Pilipino Program or 4Ps*, Modified Conditional Cash Transfer (MCCT) program, Sustainable Livelihood Program (SLP) and the National Community Driven Development Program (NCDDP) also known as *KALAHI-CIDSS*³⁶. Also, within its mandate, DSWD provides social protection for the poor, vulnerable and disadvantaged sector, and gives augmentation funds to local government units to deliver social welfare development (SWD) services to depressed municipalities and barangays and provide protective services to individuals, families and communities in crisis. DSWD also plays an important role in responding to disasters. As a member of the country’s National Disaster Risk Reduction Management Council (NDRRMC), DSWD is also the national lead on disaster response (other agencies are responsible for disaster prevention, preparedness and rehabilitation).

³⁵ The national DRRM strategy is also in the process of being updated and includes risk informed and shockresponsive social protection as one strategic priority.

³⁶ *Kapit Bisig Laban sa Kahirapan* – Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS) ³⁷ Making predictions on potential disaster events to prepare humanitarian response using mathematical theories, scientific processes, and spatial technologies based on current and historical data.

DSWD also has in-house technical capacity on Disaster Monitoring and Information System (DROMIS) which uses predictive analytics³⁷ for humanitarian response (PAHR) and has been issuing Disaster Assistance Family Access Cards (DAFAC) filled up after a disaster in evacuation centres and IDP camps. In terms of coordination, using the cluster approach, DSWD co-leads three humanitarian clusters, with the bulk of its disaster response provisioning – in the early phases – provided in kind rather than in cash.

- **National Disaster Risk Reduction and Management Council (NDRRMC)** is on the helm of the DRRM system, being the highest policy-making body on disaster risk management of the country. It also advises the President on the status of all aspects and thrust of DRM work in the country, particularly on preparedness, prevention, mitigation, response, and rehabilitation. It can provide guidance on national DRM policies that affect and or contribute to SRSP in BARMM and LGUs.
- **Philippine Atmospheric, Geophysical and Astronomical Services (PAGASA)** is the National Meteorological and Hydrological Services agency of the Republic of the Philippines mandated to provide protection against natural calamities and to insure the safety, well-being and economic security of all the people, and for the promotion of national progress by undertaking scientific and technological services in meteorology, hydrology, climatology, astronomy and other geophysical sciences. PAGASA's regional office will be involved in the development of local indicators and triggers for natural induced disasters local Early Warning systems.

The Claim Holders

Target Groups identified under the joint programme were interviewed as part of the process of developing the national RISRSP Roadmap and the Landscape Analysis in BARMM. It was found that poverty groups at the national level are more organized than those at the region. Nevertheless, there are organized groups of 4Ps households, women, children, youth, small rural farmers and fisher folk, Persons with disabilities, Indigenous Peoples, Internally Displaced Persons and ex-combatants – who are represented by Civil Society Organizations and non-Governmental Organizations (NGOs) at the BARMM level.

Enhancing capacities to meet obligations: A paradigm shift will be needed across duty bearers - the BARMM leadership and key ministries as well as the National Line Agencies - to re-orient focus from responding to shocks after the occurrence to anticipating and managing shocks. This will require a series of training Workshops on risk-informed shock responsive social protection, and the development of tools that are sensitive to cultural and development context in the region. Capacity building interventions will focus more on the building the confidence of government to adopt the policy agenda based on evidence. It will also reinforce their accountability to deliver on the commitments made as part of their mandate and assurances of change in the region.

Humanitarian and DRRM NGOs and CSOs will also be part of the Training Workshops with emphasis on their role in RISRSP and as guardians of claim holders. As part of the process, capacities of target groups will be strengthened to focus on building their confidence to

participate and engage both at the policy and technical level. Their contributions to the process will be invaluable as their experiences and potential solutions at the community-level are based on actual scenarios of shocks they face on a regular basis. Activities may include regular consultations and dialogue, participation to Technical Working group meetings, involvement in monitoring and evaluation missions as part of delivering the joint programme Outputs.

Bringing together their fields of expertise, depth of experience and sphere of influence, FAO and UNICEF will cascade coaching and mentoring sessions for Regional and local officials in BARMM on RISRSP, including relevant partners at the national level that have the ability to contribute to the development agenda in BARMM.

2. Programme Strategy

Studies around the world have shown conclusive evidence that the use of social protection, more specifically social assistance, have been instrumental in addressing poverty, vulnerability and inequality by enabling poor households to mitigate the food security, nutrition, education, and health challenges within their life cycle. Its utilization has been known to be flexible enough to also be used as part of disaster risk-reduction, preparedness as well as humanitarian assistance.

A shock-responsive and risk-informed social protection system ultimately aims is to help reduce the vulnerabilities and increase the capacities of at-risk populations to cope with, adapt, and prepare for the hazardous impact of shocks and disasters. This entails a shift of emphasis and focus from *ex post* to *ex ante*. When designing a RISR SP programme, there are four components needed: delivery mechanisms, information system, coordination and capacity, and financing. *Delivery systems* are the tools, processes and administrative means that the programme uses for identifying, enrolling, targeting, reaching and continually interacting with beneficiaries. *Information systems* identify which households should be targeted after a shock and where, and when combined with early warning systems, it can be used to model the impact of shocks on households of different groups - and therefore be used to predict and plan appropriate programmatic responses to future events. *Coordination and capacity* requires that Disaster Risk Management (DRM) and social protection structures, processes and institutions work together to maximize their impact and avoid duplication of interventions alongside emergency response efforts. Financing is adequate resources are established and committed in advance, whether through DRM funds, disaster insurance, emergency fund and/or contingency funds which can then be triggered when a crisis occurs facilitating a rapid financial support through social protection programmes. See *Annex 12: Shock responsive social protection, design and Implementation components*.

The Philippines has been at the forefront of the agenda to transform social protection systems to become shock responsive. It has already adopted its Social Protection Operational Framework at the national level. However, the framework does not capture the specific conditions that are reflective at the level of BARMM. It is anticipated that the next three years (2019 – 2021) of transition into an autonomous region will be an opportunity to design its development agenda in addressing the unique context that defines the region.

2.1. Overall strategy

The establishment of the BARMM transition government as an autonomous political entity, presents an important opportunity for the government and the people of BARMM to define a development agenda, that is gender-responsive and is tailored to the local context taking into consideration the causes of deep-seated poverty, deprivation and vulnerability that has characterized the region for generations. The political transition and creation of new institutional structures creates an opportunity for policy change. Furthermore, plans to develop its own Development Plan and financial position in the coming years through a block grant from the national government reported approximately at PhP60 to 62 billion pesos (5 per cent of the national revenue collections) provides the regional government flexibility to scale up service delivery and develop programmes and services appropriate for the BARMM context.

It is within this context that the joint programme will introduce risk-informed and shock responsive social protection. The long-term goal is for the poorest and most vulnerable population in BARMM to be able to mitigate risks, better prepare and appropriately respond to various shocks and stress through a robust social protection system. The programme strategy will focus on “quick wins” that will have a longer lasting impact by creating an enabling environment to set the groundwork for a shock responsive social protection system in BARMM. As part of the process, discussions with BARMM will include: a) political commitment - the extent of support and the motivations; b) policy architecture – how will the policy agenda be reflected in regional development plans as it relates to national frameworks; c) institutional coordination arrangements - what types of coordinating mechanisms will be created to advocate RISRSP; d) test information systems and expand registry – what are the objective data sources for predicting the impact and use of scientific data for establishing triggers, who will benefit and have access to social assistance, and d) financing arrangements - investigate the sources, reliability and sustainability of financing beyond the joint programme.

In setting the foundation, the joint programme will use the following strategies: 1) policy advocacy to influence plans and budgets within the BARMM government and relevant stakeholders, 2) evidence generation through proof of concept (e.g. simulations, demonstration of actual implementation including the conduct of relevant studies) and 3) capacity building of stakeholders on risk informed and shock responsive social protection. Using these three strategies, the joint program will pursue the following: the first is to mainstream RISRSP policy agenda within the BARMM Regional Development Plan by gathering data and evidence to demonstrate how an RISRSP system has the ability to protect and reduce vulnerabilities to human-induced natural disasters, to include vulnerability assessment, costbenefit analysis and financial strategies. Second, at the BARMM local government level, it will build the capacity of stakeholders in BARMM to analyze and monitor natural and humaninduced risks through improved synergy and coordination between social protection programs, climate-change sensitive interventions, and disaster management protocols. And third, it will improve poverty registry to include risk and hazard vulnerability assessments and predictive analytics for inclusive targeting and effective monitoring.

This over-all approach is **transformational** because, SRSP interventions will be embedded into the Regional Development Plan. Building on this foundation, it will have the potential to scale up once the new BARMM government is in place. This strategy is also different because it takes into consideration the Bangsamoro context of multiple disasters, natural and

armed conflict and the cultural sensitivity. Since BARMM Region has the poorest and most vulnerable populations, by addressing the needs of the population in this region, it is expected that the country's commitments to meet the selected SDG targets will be accelerated.

Through the joint programme the United Nations organizations, led by the Food and Agriculture Organization (FAO) and the United Nations Children's Fund (UNICEF) will support the BARMM government in developing a shock responsive social protection policy and programme. This will involve introducing a **paradigm shift** on responding more efficiently to disasters and build resilience among the poorest and most vulnerable groups. It will also provide **behavioral insights** on the BARMM culture and their experience with social protection in general.

As part of the support to the over-all transition in BARMM, both FAO and UNICEF's **added value** is its long-standing relationship and solid experience in the BARMM region. FAO recognizes the main challenge to the government of the "vicious cycle of conflict and underdevelopment in Mindanao is caused by the confluence of poor governance, injustice, violence and instability, and lack of economic opportunities". Under its updated Mindanao Strategic Programme for Agriculture/Agribusiness (MSPAA) 2015-2022 it defined the priorities for technical cooperation between FAO and the Government of the Philippines as part of its country programming. As part of its commitment to deliver on its plans, in 2019, FAO responded to the El Nino drought that affected Mindanao by implementing Early Warning Early Action (EWEA) project to safeguard the livelihoods of rice farmers. The project provided irrigation systems and climate-resilient farm inputs in selected vulnerable areas in Mindanao and help prepare against impact of extremely dry conditions. Through this project FAO worked with farmers, including women, in two municipalities in Maguindanao, a BARMM province, which are among the areas most vulnerable to the impacts of El Niño. The project also promoted the diversification of livelihoods, encouraged livestock farming and farming of highvalue commercial crops to prevent asset depletion and increase resilience. Women's cooperatives trained on enhanced farming systems for vegetable production, basic livestock production for goats and mallard ducks, preparedness planning in relation to drought as well as management and handling. At the national level, FAO has also been working closely with the Department of Social Welfare and Development (DSWD) in the development of the country's Roadmap to developing a risk informed, shock responsive social protection system. It has successfully integrated RISRSP in the country's enhanced Social Protection Operational Framework (2019).

UNICEF Philippines value added is its wide range of experience and depth of knowledge on social protection in the Philippines working with the DSWD as their key partner in the 4Ps programme. It has also used the Listahanan registry and the 4Ps program in the distribution cash transfers in response to Typhoon Haiyan in 2013. UNICEF's 8th Country Programme Cycle (2019 – 2023) looks at the multi-dimensional child poverty with the overall goal to ensure that more children and adolescents in the country, especially the most vulnerable, develop to their full potential and live in environments that are safe, protective and conducive to their needs. Social protection policy and governance for child rights is one of three pillars with special attention to shock responsive social protection. Within this context, it conducted the Landscape Analysis for BARMM to determine the context, institutional and systems challenges and opportunities at the policy and programme level.

The BARMM government, in coordination with national government agencies NEDA, DSWD, NDRRMC and PAGASA, will lead this joint programme and sustain this project by taking it to scale as it commits to include this in their development policy agenda for 2022 – 2026.

Institutionalizing SRSP will provide the basis for the fiscal support and paradigm shift on responding to disasters and risk management beyond the joint programme. The interventions also respond to the needs of the identified target groups, those left behind or those at risk of being left behind as explicitly articulated in the human rights mechanisms and recommendations Committee on Economic, Social and Cultural Rights (E/C.12/PHL/CO/5-6) Paragraphs 43 to 50 and Paragraphs 13 and 14.

2.2 Theory of Change

The long-term desired vision of change is - The poorest and most vulnerable population in BARMM are able to have access to and benefit from the timely delivery of social protection programs, specifically social assistance that will build their resilience in the event of natural or human induced disasters.

The underlying Theory of Change for SDG acceleration revolves around building an enabling environment that would open the pathway towards a shock responsive social protection system that is inclusive, risk-informed, resilient and adaptable. Having a shock-responsive social protection policy agenda in BARMM will expand the coverage of social assistance (i.e. conditional cash transfers, unconditional cash transfers) to poverty groups – poorest households with women, children, those that are rural farmers and fisher folk, Persons with Disabilities (PWDs), Indigenous Peoples, internally displaced and ex-combatants –in cases of extreme disasters. Inherent to this is its ex-ante and ex-post response mechanism using an enhanced registry system using the National Household and Targeting System (NHTS) or *Listahanan* as a base, which can expand and contract when not needed to reach even those in geographically isolated areas and those who do not meet the criteria of the conditional cash transfer program. It is expected to accelerate results for SDGs 1, 11 and 13 and support the key principle of Leaving No One Behind.

The assumptions for change to happen include: 1) political transition of the Bangsamoro government remains on track and that there is clear delineation of accountabilities in intergovernmental relations between BARMM and the national government, and 2) BARMM leadership is open to collaborate and innovate on its programs and supports pro-poor social policies, by expanding and funding shock-responsive social protection programs, using its own resources and designing its own that is suited to its context, informed by the results of this Joint Programme.

The pathways for this change to happen is described below:

IF the BARMM has a risk-informed, shock responsive social protection policy agenda mainstreamed in its development plan, THEN programmes will be prioritized and investment plans will include resources to support both policy and programme interventions.

IF relevant ministries, non-government organizations and civil society organizations in BARMM has improved information sharing and coordination mechanisms in place, THEN the integrated approach of linking development, humanitarian and peace building will lead to efficient delivery of social assistance in cases of extreme disasters.

IF BARMM has improved institutional capacity to analyze and use climate and disaster-risk information and early warning systems. THEN communities and target groups have timely

access to climate and disaster-risk information and better prepare for various shocks and stress. The ability to respond better before a disaster hits (*ex ante*) using predictive analytics will trigger early action and reduce the impact of a disaster to the poorest and most vulnerable.

IF the BARMM has an improved registry (building on Listahanan or other existing registries) that can be expanded to include those who are socially and geographically excluded and use localized vulnerability assessments for planning and programming, THEN social assistance program design will be improved with flexible delivery and financing mechanisms built into it, that can be used before and after both natural disasters such as floods, drought, typhoons and human-induced disasters

IF BARMM to have a risk informed and shock responsive social protection in place,

THEN the poorest and most vulnerable population in BARMM will benefit from the timely delivery of social protection programs, specifically social assistance, that will build their resilience in the event of natural or human-induced disaster.

The aforementioned assumptions will need to be monitored by the PUNOs and will be reported to the RC office who co-chairs the Steering Committee for the Partnership Framework for Sustainable Development (PFSD) with the National Economic and Development Authority (NEDA).

FAO and UNICEF, will jointly work with BARMM Regional government and key ministries, national government agencies, development partners, NGOs and Civil Society Organizations (CSOs). They will regularly dialogue with, and reach consensus on policy direction, strategies for financing and technical innovations to create lasting change and resilience among target groups.

The joint programme will mainstreaming key elements of shock responsive social protection in the Regional Development Plan to reflect alignment with the national government's priorities and SP Operational Framework. This will also require filling in the gaps at the national social protection framework and plan to make it more responsive to the needs of the BARMM people. The duty bearers will understand the need for a paradigm shift to an *ex ante* *ex post* response to emergencies. They will also be able to allocate the funding requirements, while navigating the operational and legal impediments (i.e. audit and procurements guidelines) that block the release of funds. It will also identify registry barriers that heighten exclusion among geographically isolated Indigenous communities, internally displaced and former combatants.

In order to do this, key activities will include further analysis to understand the gaps in delivering social assistance, a cost-benefit analysis, vulnerability assessments and mapping, and development of strategies to create the fiscal space for the adoption of RISR SP. It will also enhance coordination and synergy within the BARMM region to include Regional governments and LGUs but also in coordination with National Agencies. This will be done through agreed roles and tasks, development of Terms of References, and clear protocols for action. The use of innovation such as geo-hazard mapping, development of tools and standards, agreeing on indicators, triggers and protocols for Early Warning and Early Action and the release of emergency cash assistance will also have to be carefully tested to

demonstrate proof of concept. Included in the key interventions is building the capacities at the BARMM level, to complement those of their national counterparts. A gender perspective will be applied in the assessments, analysis and development of policies, programs interventions as well as tools and standards to analyze and monitor natural and human-induced disasters.

At the end and beyond the joint programme, 4Ps and non-4Ps households, in rural areas in BARMM, well as those who are not part of the *Listahanan* but are identified as poor, vulnerable to disasters and marginalized because of culture, geography, and ideology will be able to have more access and benefit from social protection. They will be able to build resilience and minimize the impact by reducing losses and damage to rural livelihoods dependent on agriculture, livestock and fishing, maintaining productivity and development gains, preserving income security, increase food security and meet nutrition needs despite the onslaught of disasters.

2.3 Expected results and impact

SDG Acceleration

The joint programme will create the enabling environment for institutionalizing risk informed shock responsive social protection and build on the transition period of the BARMM government. This will set the foundation and create a multiplier effect even beyond 2021 and contribute to the country's attainment of commitments for SDG 1, 2, 10 and 11 by 2030. The joint programme will work within the policy development and planning structures and encourage multi-sectoral and inclusive participation to allow the voices of the target groups to be heard. It will empower the poor, women, children, small rural farmers, foresters and fishers to be part of the transition period and benefit from the development agenda in the long run. Through the technical assistance and support of the UN Agencies and National Government counterparts, the joint programme, will generate information and create knowledge to be shared for policy decision makers and programme implementors. It will promote a whole of government approach, strengthen vertical and horizontal coherence at the regional and the LGU level, for the design and adoption of policies, development of programmes, and delivery of social protection. The joint programme will serve as a platform to test and demonstrate practical and feasible approaches looking at information systems and expanding registry *Listahanan*, share lessons learned to overcome challenges, and heighten the rationale for adopting RISR SP. To the advantage of claim holders, their ability to engage in dialogue and participate in the implementation of pilot projects to demonstrate RISR SP as well as simulation activities, will change their mind sets and shift behavior towards demanding, instead of waiting, for social assistance and emergency preparedness and response. This will allow them to see themselves at the center of the development agenda rather than just recipients.

Trade - offs vs. Win-win

Based on the UN agencies' analysis and consultations with BARMM, as well as development partners and NGOs, the joint programme is very timely and that there are no significant tradeoffs, but rather a win-win situation. The willingness of BARMM to understand these relatively new concept of RISR SP, and the openness to engage and implement this innovative programme to show proof of concept will stimulate new ways of thinking and doing things among duty bearers that will ultimately benefit target groups. Claim holders will benefit from

the extension of social assistance and making it more accessible will help them become more resilient to shocks and reduce the deepening cycle of poverty. Trade-offs, particularly choosing target groups (i.e. due to the scope covering mostly 4Ps households, given that it is the biggest poverty reduction strategy in scope and funding), will need to be managed. In times of disaster, everyone, regardless of income level, sex, age and ideological and political leanings, are affected. Therefore, decisions on who will have access and benefit from RISR SP will need to be evidence-based and objective. Advocacy targeted to decision-makers and communications to the general public and at the local community level will also be needed to help support decisions.

Expected Impact of providing social assistance in anticipation of and in response to disasters

Poor, vulnerable and marginalized households composed of women, children, rural workers, Indigenous Peoples, internally displaced, and former combatants will have more access to and benefit from social assistance interventions even before a disaster hits and after. Social protection made readily available using established targeting and delivery systems, with the ability to expand and contract after the emergency, allows these target groups to become more resilient.

There is a robust in-country experience in using the Listahanan and 4Ps conditional cash transfer program and Emergency Cash Transfers projects in disaster response. In the past, the delivery of cash transfers – both conditional and unconditional – was a tool to help households manage risks and shocks post disaster. Among the key experiences include responses to four major disasters namely, Typhoon Haiyan, Typhoon Lawin, Typhoon Nina and Armed Conflict in Marawi City. However, the mechanism for identifying and validating beneficiaries to make it more inclusive during disasters does not maximize existing database. Several aspects that need to be analyzed further in term of selection of beneficiaries, benefit level, cash payment modality, cash disbursement, implementation and coordination arrangements.

The BARMM government will have increased capacity to determine specific needs and interest of target groups especially before and after a disaster hits. This will contribute to the reduction of risks and damages to livelihoods (crops, livestock, fisheries and aquatic resources) and enhance the over-all wellbeing (i.e. health, education, food security and nutrition) of target groups. Adjustments to the joint programme will need to be made along the way as experiences are analyzed and lessons learned are shared and disseminated.

The interlinkages between humanitarian, development and peace (“triple nexus”) is demonstrated in this joint project through mutually reinforcing Partnership Framework for Sustainable Development (PFSD) pillars (People, Prosperity and Planet, and Peace). The joint initiative will directly contribute to the People pillar and aligned with the following PFSD intermediate outcomes:

PEOPLE Outcome Statement: The most marginalized, vulnerable and at-risk people and groups benefit from inclusive and quality services and live in a supportive environment wherein their nutrition, food security, and health are ensured and protected.

PFSD Intermediate Outcomes:

People Pillar:

- Government, civil society and private sector at the national and local levels, with clear accountability and functions, delivering inclusive, sustained and resilient services in a coordinated and integrated manner.
- Communities, leaders and “gate keepers” encouraging behavioral practices that promote inclusion of marginalized, vulnerable and at risk people and groups;
- Government at national and sub-national levels implementing harmonized, evidencebased, inclusive policies which are equitably resourced and monitored.

Prosperity and Planet Pillar:

- Government and national and sub-national levels adopting evidence-based policies, structures and mechanisms, using gender-sensitive frameworks that support the integration of climate change, urbanization, and inclusive economic growth, promoting and creating decent and green jobs/livelihoods and resilient and sustainable communities.

Peace Pillar:

- Government, civil society stakeholders and the general public recognizing and sharing a common understanding of the diverse cultural history, identity and inequalities of areas affected by conflict; and
- Communities/barangays in conflict affected areas establishing risk-informed, gender responsive, and conflict sensitive governance systems.

The Joint Programme addressed the Joint SDG Fund Outcome: Integrated multi-sectoral policies to accelerate SDG achievement implemented with greater scope and scale and the Joint SDG Output 3: Integrated policy solutions for accelerating SDG progress implemented.

The expected Outcome is that by 2022, the enabling environment for a shock-responsive social protection system is in place in the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM) for more poor and vulnerable households with women, children rural workers, indigenous peoples and former combatants to access social protection/social assistance. Indicators to be measured are:

1. Number of 4Ps households in BARMM covered by shock-responsive social protection assistance programs;
2. Number of Policies in BARMM that mainstreams risk informed shock responsive social protection approach; and
3. Number of programs adopted that is risk informed and shock responsive.

To achieve this, the programme shall support the BARMM Transition government through the delivery of the following:

Output 1.1 Risk-informed and shock responsive social protection policy mainstreamed within the Bangsamoro Regional Development Plan. The programme will partner with the BARMM Transition Authority, led by the Office of the Chief Minister and work closely with the Bangsamoro Development and Planning Authority (BDPA) to review and develop its social protection policy agenda. The Regional Plan is expected to reflect RISR SP as a key priority and strategy for addressing poverty and vulnerability to uplift the lives of the Bangsamoro people. It shall conduct a cost-benefit analysis as evidence to inform the formulation of the RISR SP policy for BARMM. The articulation of such will be transformed into the social protection assistance program e.g., 4Ps, and potentially emergency cash transfers and the corresponding fund resources.

Recognizing a whole of government approach, the joint programme will work towards the establishment of an inter-ministerial coordination mechanism to include MILG, MIPA, MSSD, MAFAR to advocate and support both policy and programme priorities in the BDP. Given their mandates and an assessment of their capacities, roles of key ministries in BARMM will be defined and agreed upon based on practical merits and operational soundness. Due to the independent nature of each government agency, an agreement between them and the LGUs will be secured.

For BARMM, RISR SP is a relatively new way of thinking on how to bring together social protection disaster risk management, humanitarian response and peace building together for the benefit of the poorest households, who have a higher risk of being exposed and are vulnerable to natural and human- induced disasters. It is therefore important to provide a series of trainings and workshops to increase understanding on the whole range of theory and practice surrounding RISR SP (e.g., key principles, components, trigger approach, Early Warning, Early Action, forecast based financing, etc.) its implications, and identifying the corresponding resources needed to make shock responsive social assistance accessible. These capacity building interventions will include a gender-perspective to stimulate the discussions on gender disparities and potential role of women in policy and programme design and implementation of adaptive social protection programmes. Capacity building will focus on a) BARMM Parliamentarians; b) Senior -level and technical staff from key BARMM Ministries, c) Local Government Units – Provincial, municipal and barangay-level who are expected to operationalize the tools and standards to implement social assistance and safety net interventions; and d) Civil Society Organizations and Community-based organizations in the pilot areas. This will also contribute to Output 1.2 and Output 1.3.

The joint programme will also endeavour to develop a fiscal space strategy to provide recommendations on where fund sources can be tapped for sustainability. Securing and the use of funds for social protection benefits will be supported by necessary policy, such as memorandum circulars, from key national government agencies (i.e. DoF, DBM, DILG) and aligned with local Annual Investment Plans (AIP) to ensure that fund utilization is according to the law.

Output 1.2 BARMM capacity enhanced to analyze and monitor natural and human-induced risks through improved synergy and coordination between social protection programs, climate-change sensitive interventions, and disaster management. In partnership with the Ministry of Interior and Local Government (MILG) and the Philippine Atmospheric, Geophysical and Astronomical Services (PAGASA), the programme will develop tools and standards using information systems that can measure and predict natural disasters affecting BARMM (i.e. floods, drought, typhoons) and human-induced disasters using community-based information systems. Data gathered will also include recommendations to mitigate and reduce impact of shocks to rural workers' crops (e.g., palay, corn, coconut), livestock (large farm animals vs. small farm animals) and/or fishing and aquatic resources.

A key activity to achieve the Output is the conduct of vulnerability assessment in the five provinces of BARMM. This will determine the extent of vulnerabilities - e.g. identify where are the poorest, are they in flood prone areas, are these areas historically affected by drought, etc.). For hydro-meteorological hazards, particularly typhoons and other weather disturbances, Early Warning systems (EWS) will be developed using PAGASA data, weather indexes, geo-spatial mapping, among others, to determine the level and extent of 4Ps households and non-4Ps target groups.

The joint programme will pilot Early Warning and Early Action responses at the LGU level – one for natural disasters and another for human-induced crisis - building on *Listahanan* to identify vulnerable households and 4Ps structure to develop indicators, triggers and standard operative procedures in two areas to be identified. Adopting an index-based approach to design appropriate responses to hazards and disasters and minimizes time and effort to deliver necessary social protection services shall remove or reduce time-consuming field validations and verification procedures prior to implementing appropriate actions. The use of index-based triggers also minimizes, if not eliminate, human subjectivity and politicking in making decisions and actions. Information from index-based triggers should be easily measured, particularly those derived from scientific monitoring equipment and should be objective, transparent, and independently verifiable and available. The same will be done for human-induced disasters taking on lessons from existing community-based EWS which has been used by local NGOs.

Building on the pilot interventions, the joint programme will develop a scalability framework for natural and human induced-disasters for 4Ps households in order to use the learnings to build a BARMM-level SRSP system.

Output 1.3 Improved poverty registry to include risk and hazard vulnerability assessments and predictive analytics for inclusive targeting and effective monitoring. In partnership with the BARMM Ministry of Social Services and Development (MSSD), and the national government agency Department of Social Welfare and Development (DSWD), a review will be undertaken on existing registries such as, but not limited to, the National Housing Targeting System (NHTS – *Listahanan*) that is being used by the 4Ps the country's largest nationwide social assistance program and the Modified Conditional Cash Transfer (MCCT). The review will provide recommendations to includes hazards and vulnerability assessment and improve targeting to disadvantaged groups who have been excluded using disaggregated data and analysis as well as monitoring of women, children, youth, PWDs, small farmers and fisher folk, Indigenous Peoples (IPs), cultural minorities, Internally Displaced Persons (IDPs), and ex-combatants.

Activities shall cover an assessment of poverty registry or other existing registries for inclusion of hazards and vulnerability indicators, and other marginalized groups such as children, in BARMM. The joint programme will also formulate vulnerability indicators, agreed and ready for adoption in the registry and improve the system to suit BARMM context. For the registry to be inclusive in its targeting and its effective monitoring, the modified BARMM registry will be tested in selected municipalities in BARMM determined as having high levels of needs and deprivations using a poverty and vulnerability index based on the results of Outputs 1.2 and Output 1.3.

2.4 Financing

The overall cost of implementing the joint programme is US\$1,960,000. The requested amount of US\$1,740,000 will be funded directly from the SDG Fund while the US\$220,000 will be the UN's combined cost sharing. The SDG Fund will directly support programme implementation that will cover costs of experts for vulnerability assessments, registry enhancement and programmed design; coordination, monitoring and supervision; proof of concept of RISRSP in areas to be identified; and capacity development workshops for BARMM.

The programme implementation cost will have the following breakdown per milestone.

Output 1.1 Risk-informed and shock responsive social protection policy mainstreamed within the Bangsamoro Regional Development Plan 2022 – 2026 to be jointly led by FAO and UNICEF.

Output 1.2 BARMM capacity enhanced to analyze and monitor natural and human-induced risks through improved synergy and coordination between social protection programs, climate-change adaptation, and disaster management to be implemented by FAO.

Output 1.3 Improved poverty registry to include risk and hazard vulnerability assessments and predictive analytics for inclusive targeting and effective monitoring to be implemented by UNICEF

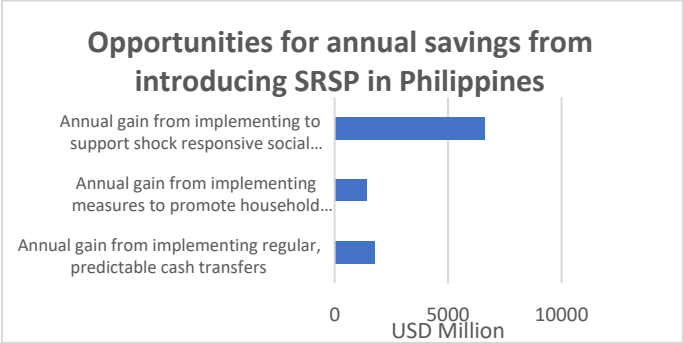
Each milestone shall allocate at least 10% to ensure inclusiveness of the approach such as gender-responsive activities and representation. Funds will also be allocated to support a Communications Plan, as well as Monitoring and Evaluation such as Mid-Programme Review and End-of Programme Evaluation.

UN Counterpart funds will support complementary activities that will help move these BARMM activities such as technical assistance and coordination at the national level and regional level. The joint programme will also be used to leverage funds from government, on-going programs and parallel funding initiatives from IFIs.

Despite both humanitarian assistance and social protection programme in particular social assistance target the most vulnerable, social protection programme and humanitarian assistance have been operationalized separately. From the humanitarian assistance side, the use of an existing targeting mechanism and delivery platform may incur much lesser operational costs as compared to other parallel mechanism. A 2016 economic analysis³⁷

³⁷ Hallegate S, et al, *Unbreakable*, World Bank 2016

estimate that the annual saving that would accrue to the Philippines as a result of introducing instrument that support shock responsive social protection would be \$6.6 Billion.



Financing opportunities for sustainability

Since funds sourced from national coffers are likely to be more sustainable, the joint programme will work towards influencing existing financing opportunities. The SDG fund has a significant potential to influence the BARMM’s internal policy and decision-making process by demonstrating what it can potentially achieve by establishing the enabling environment for SRSP. The catalytic potential of this joint programme is to eventually leverage BARMM’s own resources to implement the RISRSP. As part of the transition, BARMM will receive an automatic allocation of 5% of the net national internal revenue as annual block grant to implement ‘catch up’ development programs that will bridge the gap between BARMM and its neighboring regions. The joint programme has a strong potential to influence BARMM’s decision on programming of funds by demonstrating achievements through RISRSP.

To tap BARMM’s opportunities, a three-track approach may be implemented. The entry point to RISRSP can build on expected ‘quick wins’ which includes improving the program fidelity to deliver immediate benefits of social protection programmes in the region. Support to ‘unlock’ institutional bottlenecks around budget allocations, beneficiary enrolment and payment processes, and enhanced front line delivery processes are relevant.

Of this block grant, the Ministry of Interior and Local Government, which is the secretariat of the region’s new emergency and disaster response office - Rapid Emergency Action on Disaster Incidence (READI) - is going to allocate 5 per cent of the block fund to strengthen DRRM programmes. DRM funding in the country comes mostly from the annual general appropriation of the government, where at least 5 per cent of the of the estimated revenue is set aside for DRM. Of this, at least 70% of the DRRM Fund is intended for prevention and mitigation, preparedness, and recovery and rehabilitation, while 3 per cent is intended for Quick Response Fund (QRF), triggered by the declaration of state of calamity, for emergency relief and related activities. In addition, the passing of the law institutionalizing 4Ps programme and its subsequent increase in budget allocation from the national government is an indication of the central government’s continued confidence in the social assistance program in meeting development objectives on health and education, as investments to human capacity.

Relatedly, local government units have existing allocation of Local Disaster Risk Reduction and

Management Fund (LDRRMF). LGUs are also required to submit LDRRMF Investment Plans, submitted report Commission on Audit last August 2019 showed that out 138 LGUs that failed to submit LDRRMF investment plans, 16 municipalities are from BARMM.

On-going joint programmes on SRSP

The European Commission Humanitarian Office (ECHO) approved in 2019 the second phase programme 'Scaling up Forecast based Financing/Early Warning Early Action (FbF/EWEA) and Shock Responsive Social Protection (SRSP) with innovative use of climate risk information for disaster resilience in ASEAN'. This is a regional project implemented in Philippines, Cambodia, Myanmar and Vietnam, as part of a commitment to the ASEAN regional efforts to integrate disaster management and social protection. It is also aligned with the implementation of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) 2016-2020 and the ASEAN Regional Framework and Action Plan to implement the ASEAN Declaration on Strengthening Social Protection. From 2017 to 2018, a study was conducted in the Philippines to assess the "readiness" of existing national social protection programmes to scale-up and be informed by risk variables based on an up-to-date stock-taking of (i) national social protection system, (ii) disaster risk management framework, (iii) available Early Warning Systems (EWS) and related Early Actions and Standard Operating Procedures (SOPs). This was supported with the identification of operational options and ways forward to make selected social protection programmes risk-informed and shock-responsive in terms of (i) targeting, (ii) financing, (iii) scale-up triggers and (iv) delivery modalities. From these, a three to five-year roadmap was developed and proposed with options and strengthen social protection systems, early warning systems for a more shock responsive social protection system.

On its second phase implementation starting 2019, in the Philippines, FAO, WFP, UNICEF and German Red Cross (GRC), will implement the project in coordination with the MOVE UP Consortium. Focused largely on the national RISR SP agenda, the project aims to 1) establish coordination mechanism with an identified lead agency at Cabinet-level, which is prepared to champion the resilience-building and shock-responsive agenda; 2) Accelerate the use of climate risk data and strengthen early warning systems to trigger early action and SRSP based on impact-based forecasts and 2) Adopt Forecast-based Financing/Early Warning Early Action approach and implement the national roadmaps to establish SRSP systems.

Opportunities with IFIs

The joint programme will also be used to leverage funds to complement initiatives from parallel financing opportunities by International Financing Institutions.

Strong support for the various social protection programmes of the government have been made by The World Bank (WB). In the last decade, WB enabled the government to accelerate the pace of the government's social protection reform agenda, through the expansion of the conditional cash transfer (CCT) program and the updating of a unified targeting system *Listahanan*. The amount of US\$505 million in financing was allocated to help strengthen the DSWD's performance as a social protection agency, to setup the database for the national household targeting system and to implement the CCT. The project also helped strengthen the DSWD's capacity to undertake policy analysis and strategic planning related to social protection. The project was complemented with more than US\$5 million in technical

assistance grants from both the World Bank and the Australian Department of Foreign Affairs and Trade (DFAT).

Under its new and third Social Welfare Development and Reform (SWDR) Project, the World Bank country office in the Philippines approved in 2019 the third Social Welfare Development and Reform Project. There are two key support areas. The first is Additional project loan type of US\$300 million support of the WB's (additional financing) focused on supporting the 4Ps implementation. Second is a US\$500 million policy loan (Catastrophic Drawdown Facility), under preparation and targeted to start next year 2020 until 2022. As policy loan, it has several indicators, where the implementation of Emergency Cash Transfers will be included as one of them. ECTs were not included in the previous phase. Activities that will be funded are a) DSWD Briefing on latest ECT Guidelines to external partners to include UN and humanitarian agencies; b) piloting (e.g. drills) of ECT in some disaster prone areas. Initial discussions have been made by FAO and UNICEF to WB to suggest to DSWD to include BARMM as one of the pilot areas is a potential; c) draft Operation manual based on the trainings/piloting; d) development of MIS (ECT beneficiary registry, management, ensuring linkage with other database (e.g. *Listahanan*, CBMS).

2.5 Partnerships and stakeholder engagement

The joint programme will contribute to the mutually reinforcing nature of the Partnership for Sustainable Development (PFSD), focuses on integrating the three pillars – people, prosperity and planet, and peace. Providing the oversight role, the will be guided and monitored by the National Steering Committee, led by the National Economic and Development Authority (NEDA) and the UN Resident Coordinator, representing the UN Country Team in the Philippines,

Within the people pillar, FAO and UNICEF, together with the support of the UN Country team in the Philippines, are in a unique position to contribute the joint programme in terms of their presence, expertise and resources already in BARMM. Under the PFSD, FAO leads the SubGroup on Social Protection, under the broader People Pillar, which are co-chaired by UNICEF and FAO. At the ASEAN level, the same UN organizations collaborated jointly with WFP in the SRSO initiative. FAO has a robust experience in strengthening information sharing and analysis, coordination and preparedness between organizations related to DRRMM and CCA both at the global and national level. FAO plays a role in social protection to support people and communities living in rural areas, ensuring that they are supported by social protection systems that help sustain their food security and improved nutrition, protect them before, during and after shocks and stresses, promote resilient livelihoods and sustainable management of eco-systems and stimulate pro-poor growth and inclusive development. UNICEF's work in supporting Social Protection in the Philippines is anchored on its 8th Country programme for Children (2019-2023). UNICEF provides policy and operational support in the effective implementation of the 4Ps, the government's flagship social protection programme, extending as well in BARMM. UNICEF has a field office in BARMM and works extensively with the BARMM Ministry of Social Services and Development to strengthen social services for children. Its various projects will contribute to strengthening partnership and collaborations with the Bangsamoro transition government in pursuing RISRSP and children's rights.

Partnerships with Duty Bearers

The strategic interventions of the joint program will require strategic partnerships with BARMM government, in coordination with National Government line agencies. Through the Chief

Minister' Office, the joint programme will establish partnerships with the BARMM Transition government led by the interim Chief Minister. A signing of Memorandum of Agreement will solidify the commitment of BARMM and its key ministries.

At the National level, the joint programme will partner with the National Economic and Development Authority (NEDA), who chairs the PFSD National Steering Committee and will coordinate across government agencies, DSWD (GPH convener agency for the PFSD People Pillar), NDRRMC-OCD, and DOST-PAGASA, and will provide overarching guidance to ensure that the joint programme is aligned with the Philippine Development Plan and the country's commitments to the SDGs.

Partnerships with Claim holders

Humanitarian and DRRM NGOs and CSOs will also be engaged through formal coordination mechanisms which will be established as part of the joint programme. As part of the process, capacities of target groups, to include rural women's groups and farmers and fisher folk groups, will be strengthened to focus on building their confidence to participate and engage both at the technical working group level and policy level. Their contributions to the process will be invaluable as their experiences and potential solutions at the community-level are based on actual scenarios of shocks they face on a regular basis. Partnerships will be established as the joint programme evolves during the programmes inception phase.

Development Partners – International Financing Institutions (IFIs)

The joint programme will work towards complementing additional resources from IFIs for sustainability. Currently, there is strong support for the various social protection programmes made by The World Bank (WB), as well as the Australian government through its Department of Foreign Affairs and Trade (DFAT). The World Bank country office in the Philippines, under its Social Welfare Development and Reform (SWDR) Project, has enabled the government to accelerate the pace of the government's social protection reform agenda, through the expansion of the conditional cash transfer (CCT) program and the updating of a unified targeting system *Listahanan*.

3. Programme implementation

3.1 Governance and implementation arrangements

Joint Programme Steering Committee (JPSC)

The Joint Programme Steering Committee (JPSC) will be chaired by the BARMM Chief Minister and co-chaired by the Head of FAO as lead UN agency. Its membership shall include the Head of Agency of UNICEF and Ministers from Key BARMM Ministries, namely Bangsamoro Development and Planning Authority (BDPA), Ministry of Interior and Local Government (MILG), Ministry of Social Services and Development (MSSD), and Ministry of Indigenous People's Affairs (MIPA). The responsibilities of the JPSC include (but are not limited to):

- 1) Reviews and adopts the terms of reference and rules of procedures and/or modify them as necessary;

- 2) Prepares the strategic directions for the implementation of the Joint Programme within the operational framework;
- 3) Approves the documented arrangements for management and coordination;
- 4) Reviews the annual work plans and budgets as well as making the necessary adjustments to attain anticipated outcomes;
- 5) Reviews the consolidated Joint Programme Report, providing strategic comments and decisions and communicating the same to the participating agencies;
- 6) Suggests or recommends corrective action to emerging strategic and implementation problems;
- 7) Creates synergies and seeking agreement on similar programmes and projects by other donors;
- 8) Approves the communication and public information plans.

The JPSC shall meet at quarterly and will make decisions by consensus.³⁸ It shall utilize existing coordination mechanisms and seek guidance from the JPAC to the extent possible, for strategic, programmatic and operational issues.

The JPSC will report to the Joint Results Group of the People Pillar of the Partnership Framework for Sustainable Development (PFSD) thematic structure already in place in the country. The PFSD in the Philippines is chaired by the National Economic and Development Authority (NEDA) and the United Nations Resident Coordinator (UNRC). Joint meetings between JPSC and PFSD will be integrated into the existing structures and monitoring processes for enhanced oversight and operational coordination functions. The joint programme shall build on existing coordination and reporting mechanisms in place that is already part of national discussions on the SDG. It aims to reduce transaction cost, simplify procedures and build on existing mechanisms.

Technical Working Group per Output

Based on the joint programme Outputs 1, 2, and 3, Technical Working Groups will be convened to provide regular technical advice and report progress to both key stakeholders. The membership will include government mid-level management and representatives from NGOs, CSOs and Target Groups who partner and contribute to the operational and technical aspects of implementation. Per Output monthly meetings will be convened by lead UN agencies and Implementing Partners. The TWG will be established to include other relevant departments at the BARMM Regional Level composed of Ministries, NGOs, CSOs and representatives from marginalized groups who are involved in the areas of social protection, disaster management, humanitarian response on both natural and armed-conflict. It will determine a core group and those who can be invited as resource persons. It will have the ability to expand and contract depending on the agenda.

The TWG may build on existing coordination structures in the Region where possible. Joint work plans will be encouraged across BARMM Ministries to drive coherent approaches in policy design and programming for results as well as regular monitoring, reporting and evaluation.

³⁸ For emergency or urgent matters, the JPSC may conduct its business electronically or thru referendum.

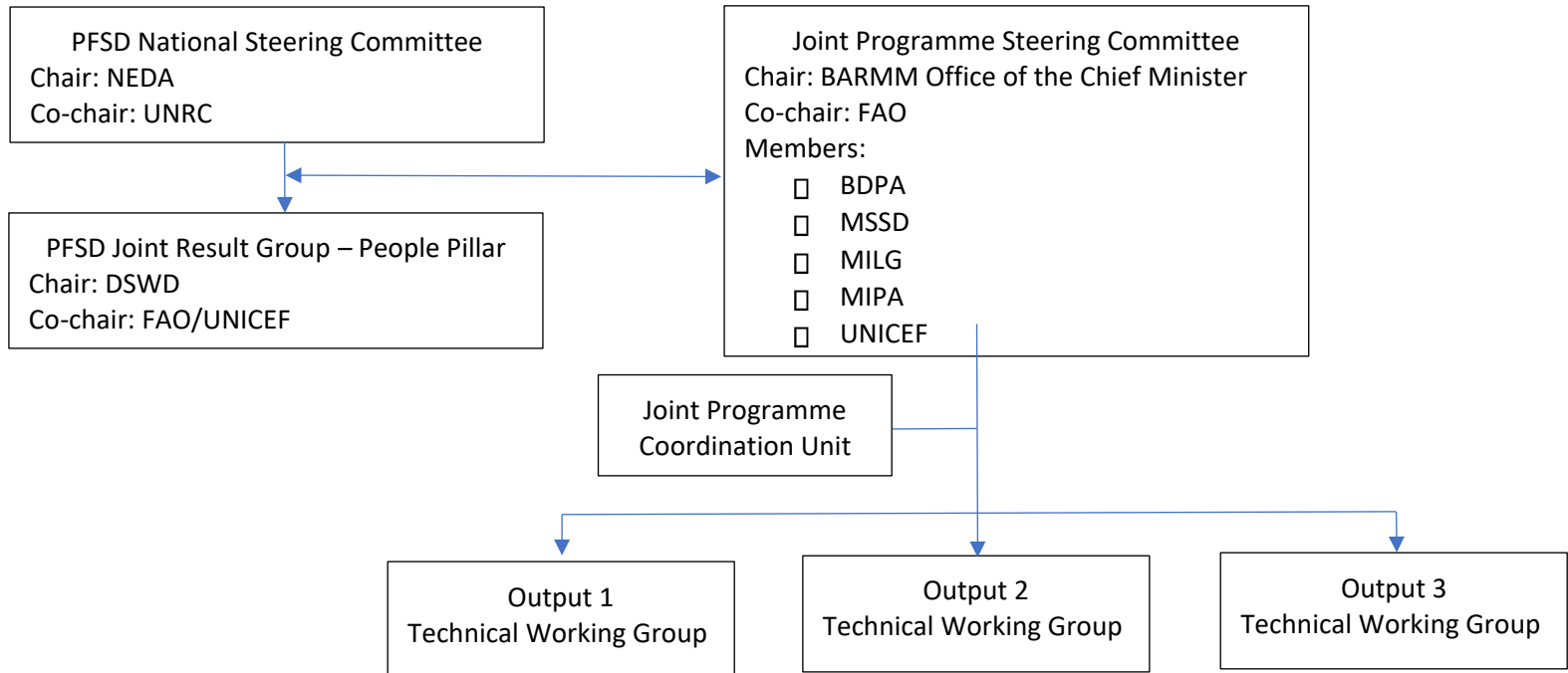
Additional meetings can be conducted if the need arises.

Implementation

A Joint Programme Coordination Unit, headed by a Programme Coordinator will be established and located in the BARMM area to carry out and monitor programme activities of the joint programme. The Joint Programme Coordinator will convene the Technical Working Groups in a monthly meeting. Although lodged with FAO, the Project Coordinator, will provide support across all three outputs, including those of Output 3 managed by UNICEF, particularly when the simulation and testing in municipalities will be undertaken for Output 2 (FAO) and Output 3 (UNICEF), and ensure seamless implementation in sync for all Outputs.

This Joint Programme will work within the coordination mechanisms established within the PFSD between the UN and the Philippines Government, to ensure appropriate feedbacking and sharing of information. FAO and UNICEF co-chairs the People Pillar, with DSWD as the lead government agency co-chair.

Programme Governance and Implementation Diagram:



3.2 Monitoring, reporting, and evaluation

Reporting on the Joint SDG Fund will be results-oriented, and evidence based. Each PUNO will provide the Convening/Lead Agent with the following narrative reports prepared in accordance with instructions and templates developed by the Joint SDG Fund Secretariat:

- *Annual narrative progress reports*, to be provided no later than one (1) month (31 January) after the end of the calendar year, and must include the result matrix, updated risk log, and anticipated expenditures and results for the next 12-month funding period;
- *Mid-term progress review report* to be submitted halfway through the implementation of Joint Programme³⁹; and
- *Final consolidated narrative report*, after the completion of the joint programme, to be provided no later than two (2) months after the operational closure of the activities of the joint programme.

The Convening/Lead Agent will compile the narrative reports of PUNOs and submit a consolidated report to the Joint SDG Fund Secretariat, through the Resident Coordinator.

The Resident Coordinator will be required to monitor the implementation of the joint programme, with the involvement of Joint SDG Fund Secretariat to which it must submit data and information when requested. As a minimum, joint programmes will prepare, and submit to the Joint SDG Fund Secretariat, 6-month monitoring updates. Additional insights (such as policy papers, value for money analysis, case studies, infographics, blogs) might need to be provided, per request of the Joint SDG Fund Secretariat. Joint programme will allocate resources for monitoring and evaluation in the budget.

Data for all indicators of the results framework will be shared with the Fund Secretariat on a regular basis, in order to allow the Fund Secretariat to aggregate results at the global level and integrate findings into reporting on progress of the Joint SDG Fund.

PUNOs will be required to include information on complementary funding received from other sources (both UN cost sharing, and external sources of funding) for the activities supported by the Fund, including in kind contributions and/or South-South Cooperation initiatives, in the reporting done throughout the year.

PUNOs at Headquarters level shall provide the Administrative Agent with the following statements and reports prepared in accordance with its accounting and reporting procedures, consolidate the financial reports, as follows:

- Annual financial reports as of 31st December each year with respect to the funds disbursed to it from the Joint SDG Fund Account, to be provided no later than four months after the end of the applicable reporting period; and
- A final financial report, after the completion of the activities financed by the Joint SDG Fund and including the final year of the activities, to be provided no later than 30 April of the year following the operational closing of the project activities.

³⁹ This will be the basis for release of funding for the second year of implementation.

In addition, regular updates on financial delivery might need to be provided, per request of the Fund Secretariat.

After competition of a joint programmes, a final, *independent and gender-responsive*⁴⁰ *evaluation* will be organized by the Resident Coordinator. The cost needs to be budgeted, and in case there are no remaining funds at the end of the joint programme, it will be the responsibility of PUNOs to pay for the final, independent evaluation from their own resources.

The joint programme will be subjected to a joint final independent evaluation. It will be managed jointly by PUNOs as per established processes for independent evaluation, including the use of a joint evaluation steering group and dedicated evaluation managers not involved in the implementation of the joint programme. The evaluation will follow the United Nations Evaluation Group's (UNEG) Norms and Standards for Evaluation in the UN System, using the guidance on Joint Evaluation and relevant UNDG guidance on evaluations. The management and implementation of the joint evaluation will have due regard to the evaluation policies of the PUNOs to ensure the requirements of those policies are met and the evaluation will be participative and will involve all relevant programme stakeholders and partners, civil society, and other stakeholders. A joint management response will be produced upon completion of the evaluation process and made publicly available on the evaluation platforms or similar of PUNOs.

3.3 Accountability, financial management, and public disclosure

The Joint Programme will be using a pass-through fund management modality where UNDP Multi-Partner Trust Fund Office will act as the Administrative Agent (AA) under which the funds will be channeled for the Joint Programme through the AA. Each Participating UN Organization receiving funds through the pass-through has signed a standard Memorandum of Understanding with the AA.

Each Participating UN Organization (PUNO) shall assume full programmatic and financial accountability for the funds disbursed to it by the Administrative Agent of the Joint SDG Fund (Multi-Partner Trust Fund Office). Such funds will be administered by each UN Agency, Fund, and Programme in accordance with its own regulations, rules, directives and procedures. Each PUNO shall establish a separate ledger account for the receipt and administration of the funds disbursed to it by the Administrative Agent.

Indirect costs of the Participating Organizations recovered through programme support costs will be 7%. All other costs incurred by each PUNO in carrying out the activities for which it is responsible under the Fund will be recovered as direct costs.

Funding by the Joint SDG Fund will be provided on annual basis, upon successful performance of the joint programme.

Procedures on financial transfers, extensions, financial and operational closure, and related administrative issues are stipulated in the Operational Guidance of the Joint SDG Fund.

⁴⁰ How to manage a gender responsive evaluation, Evaluation handbook, UN Women, 2015

PUNOs and partners must comply with Joint SDG Fund brand guidelines, which includes information on donor visibility requirements.

Each PUNO will take appropriate measures to publicize the Joint SDG Fund and give due credit to the other PUNOs. All related publicity material, official notices, reports and publications, provided to the press or Fund beneficiaries, will acknowledge the role of the host Government, donors, PUNOs, the Administrative Agent, and any other relevant entities. In particular, the Administrative Agent will include and ensure due recognition of the role of each Participating Organization and partners in all external communications related to the Joint SDG Fund.

3.4 Legal context

Whereas the Government of the Philippines (hereinafter referred to as “the Government”) has entered into the following:

- a) With the **United Nations Children’s Fund** (UNICEF) a Basic Cooperation Agreement (BCA) concluded between the Government and UNICEF on 20 November 1948.
- b) With the **Food and Agriculture Organization of the United Nations** (FAO) the Agreement for the opening of the FAO Representation in the Philippines signed by both parties by Exchange of Letters on 2 November 1977 and 14 November 1977, respectively.

D. ANNEXES

Annex 1. List of related initiatives

Name of initiative/project	Key expected results	Links to the joint programme	Lead organization	Other partners	Budget and funding source	Contact person (name and email)
Scaling up Forecast based Financing/Early Warning Early Action (FbF/EWEA) and Shock Responsive Social Protection (SRSP) with innovative use of climate risk information for disaster resilience in ASEAN	Scale up FbF/EWEA and SRSP ASEAN, that are underpinned by innovative use of climate and disaster risk information to become new approaches in the implementation of the AADMER.	Support Output 1.1 and 1.2	FAO	World Food Programme (WFP); UNICEF; German Red Cross	\$235,000 ECHO	isabelle.lacson@wfp.org
Landscape Analysis on RISRSP in BARMM	Analysis of the SP (social assistance) system in BARMM with concrete recommendations for contextually relevant and realistic entry points for supporting preparedness and resilience building with the new BARMM government.	Support Output 1.1, 1.2 and 1.3	UNICEF		DFID's regular contribution to UNICEF	ragcaoili@unicef.org
Review of BARMM Social Services and Roadmap to Strengthen Social Workforce of MSSD in BARMM	A roadmap to reform the current weak social service sector, particularly that of the Ministry of Social Services in BARMM.	Support Output 1.1 and 1.3	UNICEF			ragcaoili@unicef.org
Enhancing the resilience of the poor in BARMM and other vulnerable areas through social protection and livelihoods promotion	The main objective of the intervention is to enhance the synergies between social protection and agriculture interventions with strategies dealing with building adaptive capacity of the rural communities.	Support Output 1.1 and 1.2	FAO		\$47,500 Internal FAO funds	tamara.palisduran@fao.org
Moving Urban Poor Communities Towards resilience (MOVE UP)	MOVE UP is a project designed to capacitate urban poor communities that are most vulnerable to the increasing an intensifying global trend in natural and human-induced disasters by putting to action principles and practices in DRRM. They have a specific component on resilient livelihood and social protection.	Support to Output 1.1 and 1.2	Action Against Hunger		\$1,000,000	jhuelgas@ph.acfspain.org

<p>Social Welfare Development and Reform (SWDR) Project</p>	<p>There are two key support areas: 1) additional project loan type of US\$300 million support of the WB's (additional financing) focused on supporting the 4Ps implementation; 2) A US\$500 million policy loan, under preparation and targeted to start next year 2020 until 2022. As policy loan, it has several indicators, where the implementation of Emergency Cash Transfers will be included as one of them. ECTs were not included in the previous phase. Activities that will be funded are a) DSWD Briefing on latest ECT Guidelines to external partners to include UN and humanitarian agencies; b) piloting (e.g. drills) of ECT in some disaster prone areas.</p>	<p>Support Output 1.1, 1.2 and 1.3</p>	<p>World Bank</p>		<p>\$800,000</p>	<p>rrodriguez2@worldbank.org</p>
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Annex 2. Overall Results Framework

2.1. Targets for Joint SDG Fund Results Framework

Joint SDG Fund Outcome 1: Integrated multi-sectoral policies to accelerate SDG achievement implemented with greater scope and scale.

Indicators	Targets	
	2020	2021
1.1: integrated multi-sectoral policies have accelerated SDG progress in terms of scope ^[1]	1	1
1.2: integrated multi-sectoral policies have accelerated SDG progress in terms of scale ^[2]	1	1

Joint SDG Fund Output 3: Integrated policy solutions for accelerating SDG progress implemented

Indicators	Targets	
	2020	2021
3.1: # of innovative solutions that were tested ^[3] (disaggregated by % successful/unsuccessful)	2	2
3.2: # of integrated policy solutions that have been implemented with the national partners in lead	n/a	n/a

Joint SDG Fund Operational Performance Indicators

(do not change or add – this is for information only so that teams know what they will be assessed against)

- Level of coherence of UN in implementing programme country⁴²
- Reduced transaction costs for the participating UN agencies in interaction with national/regional and local authorities and/or public entities compared to other joint programmes in the country in question
- Annual % of financial delivery
- Joint programme operationally closed within original end date
- Joint programme financially closed 18 months after their operational closure
- Joint programme facilitated engagement with diverse stakeholders (e.g. parliamentarians, civil society, IFIs, bilateral/multilateral actor, private sector)
- Joint programme included addressing inequalities (QCPR) and the principle of “Leaving No One Behind”
- Joint programme featured gender results at the outcome level

^[1]Scope=substantive expansion: additional thematic areas/components added or mechanisms/systems replicated.

^[2]Scale=geographical expansion: local solutions adopted at the regional and national level or a national solution adopted in one or more countries.

^[3]Each Joint programme in the Implementation phase will test at least 2 approaches. ⁴² Annual survey will provide qualitative information towards this indicator.

- Joint programme undertook or drew upon relevant human rights analysis, and have developed or implemented a strategy to address human rights issues
- Joint programme planned for and can demonstrate positive results/effects for youth - Joint programme considered the needs of persons with disabilities
- Joint programme made use of risk analysis in programme planning
- Joint programme conducted do-no-harm / due diligence and were designed to take into consideration opportunities in the areas of the environment and climate change

2.2. Joint programme Results framework

Result / Indicators	Baseline	2020 Target	2021 Target	Means of Verification	Responsible partner
Joint SDG Fund Outcome 1: Integrated multi-sectoral policies to accelerate SDG achievement implemented with greater scope and scale.					
Indicators:					
1.1 Integrated multi-sectoral policies have accelerated SDG progress in terms of scope	0	1	1		
1.2 Integrated multi-sectoral policies have accelerated SDG progress in terms of scale	0	1	1		
Joint SDG Output 3: Integrated policy solutions for accelerating SDG progress implemented					
3.1 # of innovative solutions that were tested ⁴¹ (disaggregated by % successful-unsuccessful)	0	2	2		
3.2 # of integrated policy solutions that have been implemented with the national partners in lead	0	n/a	n/a		
JP Outcome: By 2022, enabling environment is in place in BARMM for more poor and vulnerable households with women, children, rural workers, Indigenous Peoples, Internally Displaced Persons and ex-combatants to access social protection/social assistance					
Indicator:					

⁴¹ Each Joint programme in the Implementation phase will test at least 2 approaches.

1. Number of policies in BARMM that mainstream risk informed and shock responsive social protection	0 - According to the Landscape Analysis, social protection policies in the region are still in line with the national government policies and	Ongoing discussions to mainstream risk informed	At least 2 policies that articulates the adoption of risk informed	Memorandum or joint circulars; Executive Orders; Local ordinance	BDPA and one Local Government Partner to be identified
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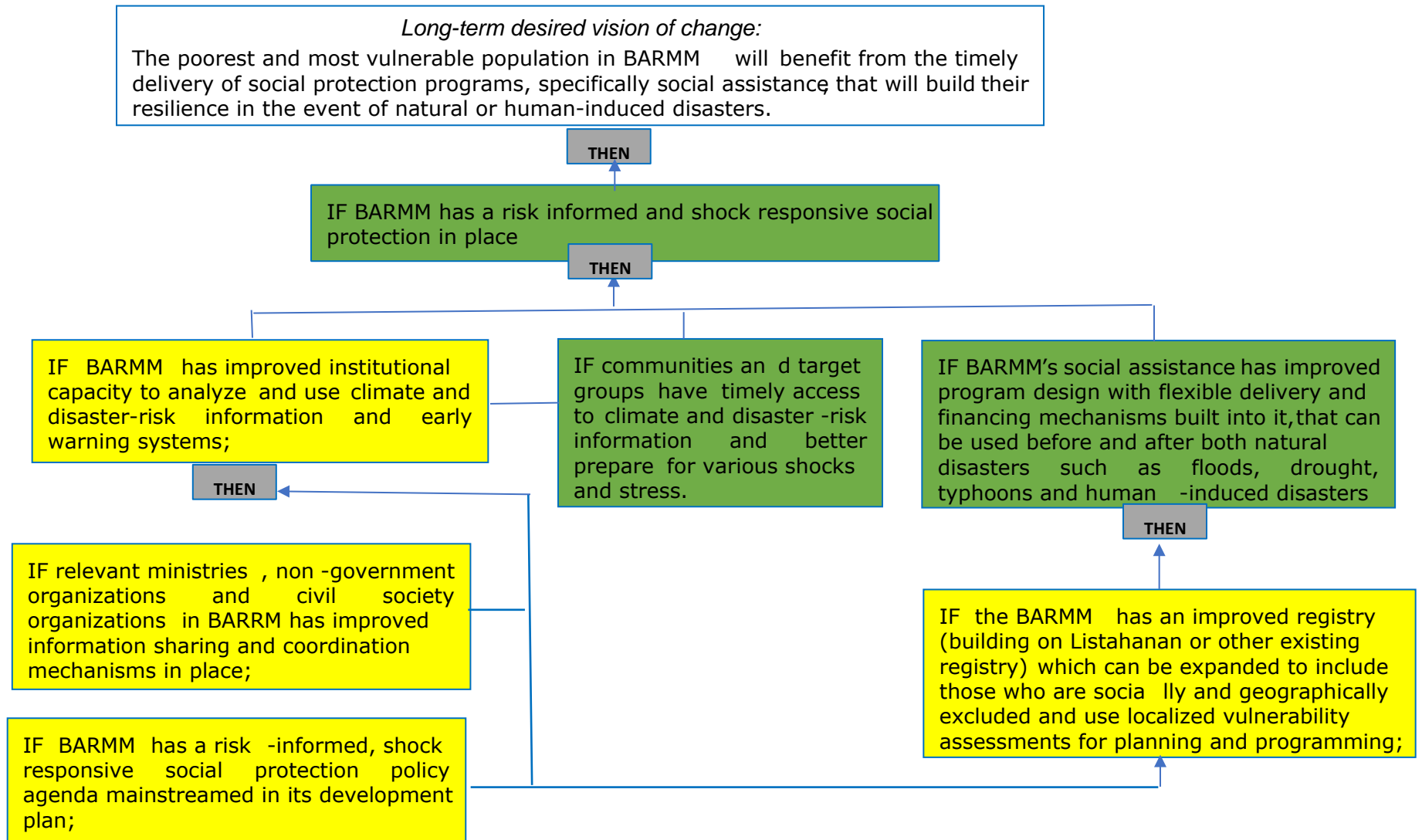
	legislative context. Thus, there is still no region-specific policies on social protection.	and shock responsive social protection in BARMM	and shock responsive social protection		
2. Number of pilot programs adopted using RISRS SP developed tools and standards to natural and conflict induced disasters	0 – RISRSP approach is new (suing ex ante and ex post approach) and therefore has not been pilot tested in its entirety. There were pilot projects on Early Warning Early Action and Forecast based Financing but without using existing registry system i.e. Listahanan for targeting and 4Ps program as delivery system	Pilot testing and simulation exercises to be conducted	At least two pilot programme adopted at the LGU level	Project Report, Local Executive Orders,	Ministry of Social Services and Development (MSSD), Ministry of Interior and Local Government (MILG), Ministry of Agriculture Fisheries and Agrarian Reform (MAFAR), DSWD

3. Number of additional poor and disaster vulnerable people, included in BARMM registry to benefit from social assistance.	396,000 4Ps households in BARMM as included in Listahanan	Discussions and dialogues organized to enhance registry system	At least 10% of the households identified to be part of the exclusion error in BARMM (including	Project report, BARMM data, DSWD Listahanan data	MSSD, MILG, Department of Social Welfare and Development (DSWD) and two LGUs
			those women-led), added to the BARMM registry		
Output 1.1 Risk-informed and shock responsive social protection policy mainstreamed within the Bangsamoro Regional Development Plan					
Indicator 1.1.a RISR SP mainstreamed in the Regional Development plan	0 – BARMM Regional Development Plan is currently being crafted	None	1 – BARMM Regional Development Plan includes RISRSP among its strategies	BARMM Regional Development Plan	BARMM Government, Bangsamoro Development Planning Agency, MSSD, MILG, MAFAR, MIPA

Indicator 1.1.b BARMM inter-ministerial coordination mechanism for RISR SP established;	0 – RISRSP is a new concept for BARMM thus there is no coordination mechanism in place	1 – Creation of a regional inter-ministerial coordination mechanism	1 – Functioning regional inter-ministerial coordination mechanism	Memorandum circular and/or executive orders	BARMM Government
Output 1.2 BARMM capacity enhanced to analyze and monitor natural and human-induced risks through improved synergy and coordination between social protection programs, climate change adaptation, and disaster risk management					
Indicator 1.2.a	0 - none	At least 1 for natural disaster	1 for humaninduced disaster	Project report, tools developed	PAGASA, BARMM
No. of tools and standards to analyze and monitor natural and human-induced disaster risks.				using trigger approach	Government, CSOs, LGUs
Indicator 1.2.b No. of Ministries adopting the tools and standards to implement social assistance	0 - none	At least 1 BARMM Ministry	1 BARMM Ministry	Memorandum/joint circular and/or executive order	MILG, MSSD, MAFAR, MIPA
Output 1.3 Improved poverty registry to include risk and hazard vulnerability assessments and predictive analytics for inclusive targeting and effective monitoring					

Indicator 1.3.1 Registry includes hazards and vulnerability assessment	0 – None	Ongoing consultations to integrate hazards and vulnerability indicators in the registry	1 registry with hazards and vulnerability indicators	Project report, MSSD database	MSSD, PAGASA, DSWD
Indicator 1.3.2 Improve the use of registry (Listahanan or other existing registries) for inclusive targeting, and effective monitoring of a social protection mechanism adapted to BARMM	Existing registry for 4Ps includes 396,000 households in BARMM;	technical discussions to include households outside Listahanan	At least 10% of the households identified to be part of the exclusion error in BARMM receive social assistance under this Joint Programme	Project report, MSSD database	MSSD, PAGASA, DSWD

Annex 3. Theory of Change graphic



Note: The yellow boxes are what the Joint SDG Fund hopes to directly achieve, these are considered foundational and enabling environment. Those in green boxes, the Fund will aim to influence. These are activities also supported by other development partners via separate stand-alone initiatives.

Annex 4. Gender marker matrix

Complete the table below, using the instruction for gender marker provided separately.

Indicator		Score	Findings and Explanation	Evidence or Means of Verification
<i>N°</i>	<i>Formulation</i>			
1.1	Context analysis integrate gender analysis	2	Landscape Analysis in BARMM includes gender dimensions on 4Ps was used in the ProDoc design; This will be shared with BDPA	BARMM Development Plan
1.2	Gender Equality mainstreamed in proposed outputs	2	Proposed Outputs 1.1, 1.2 and 1.3 is informed by gender analysis; Training on gender will be imbedded into capacity building activities that cuts across Outputs.	Programme Progress reports; Training reports; Minutes of Meetings; Case studies on outputs
1.3	Programme output indicators measure changes on gender equality	2	Indicators to measure changes include gender disaggregated data and gender equality indicators will be mainstreamed in the monitoring tools	Programme Progress, reports, Monitoring reports
2.1	PUNO collaborate and engage with Government on gender equality and the empowerment of women	2	Partnerships will be explored with the Philippine Commission on Women (PCW) and BARMM Ministries to mainstream gender in SP programs	Progress Reports; Minutes of Meetings, documentation reports
2.2	PUNO collaborate and engages with women's/gender equality CSOs	2	Partnerships will be explored with CSOs in BARMM what caters to women's/gender equality as done during the Regional consultation in BARMM	Progress report; Highlights of Meetings and conferences, consultations; Documentation reports
3.1	Program proposes a genderresponsive budget	2	Trainings to build capacity of BARMM stakeholders includes gender mainstreaming in policy and programme design	Progress report; Training report; Documentation reports
Total scoring		2		

Annex 5. Communication plan

1) Overall narrative of the joint programme

- The joint programme will support the transition of the Bangsamoro government and ensure that the Bangsamoro people, especially the poorest and most marginalized, will no longer be excluded and isolated in times of extreme disasters.
- Poverty remains to be a challenge for 20 per cent of the country's population of 110 million. Numerous studies have shown that contributory to lingering poverty in the country are life-cycle shocks, natural disasters and armed conflict which is more pronounced in southern Mindanao.
- The country recognizes the potential for social protection to be an agent of developmental change as articulated in national frameworks and strategies. Furthermore, it has shown its commitment to accelerating the Sustainable Development Goals, by adopting the adaptive social protection strategies in order to solidify the development, disaster risk management and humanitarian response nexus.
- Poverty is more pronounced in the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM) compared to the rest of the country despite its rich natural resources and diverse culture. Sadly, the poorest, the marginalized and the most vulnerable living in rural areas are especially at risk from these impacts as many live in areas that are prone to natural disasters and conflict. These are families composed of landless farmers, small holder fisher folk, women, children, youth, Persons with Disabilities, Indigenous Peoples and Internally Displaced Persons - that are dependent of natural resources for their livelihoods.
- The Philippine government has made significant improvement in addressing the complexity of poverty and the political struggle in Mindanao. In 2019 the BARMM transition government was formed with the high expectations to deliver the promises of a better life to the Bangsamoro people.

2) Strategic approach to key audiences

Target audience are classified based on the ability of the audience to influence and promote action under the joint programme.

General Public – Through the use of events and media – print, TV, radio, on-line, the joint programme will be able to provide general information on the unique context in BARMM to include the severity of the challenges of natural disasters and conflict that the Bangsamoro people face. But what needs to be also highlighted is the opportunity to test innovative solutions to deliver the much needed development and change that the new BARMM Transition government has to offer. Media, as gate-keepers, can serve as instruments for positive change by motivating, inspiring and reporting on the work of BARMM in coordination with the national government and in partnership with the United Nations in the Philippines. Collaterals such as brochures, leaflets, pull-up banners, videos, internet-based/on-line media will also be developed and used during to promote the work under the joint programme.

Duty bearers – Since they are the decision-makers with high power and high influence and recognizing the magnitude and complexity of the work ahead that the BARMM Transition government is facing, it would be more relevant to provide information that is concise and strategic to their roles and mandate. Materials to communicate policy recommendations on social protection and the adoption of risk-informed shock responsive social protection is proposed. Messages can be communicated through fact sheets and leaflets. This will require a breaking down of concepts to make it reader friendly. It was noted that majority of the concurrent BARMM leadership were also ex-combatants and are anywhere between 50 to 70 years old.

Claim holders – Development communications at the grassroots-level will need to be imbedded in the implementation of the programme. Information on their rights to social protection has to be provided with specific information on how RISRSP or adaptive social protection will help them mitigate the impact of natural disasters and armed conflict. More importantly, what needs to be communicated in the how can they be part of the process of dialogue and the action required in times of early warning/early action and

response. The message is that local communities are part of the solution and not just recipients. Bearing in mind that those who are excluded and isolated are also those with the lowest educational attainment, grounded and practical messages that resonate with the realities at the community level will be adopted. This will require printed collaterals and the use of radio especially those in far-flung island provinces. Since language and cultural differences is also a barrier, the communication materials and front-line communicators will need adjust to meet the level of education and the specific dialects of IPs in the region.

4) Objectives of strategic communication plan

The joint programme Coordinator with the assistance of in-house communications specialists from UN agencies and government will work together to monitor the communications plan. This will be done also in coordination with BARMM Ministries and members of the Technical Working Group.

Objectives	Indicators	Data Source, methods/tools
To advocate the adoption of risk informed-shock responsive social protection policies in BARMM	No. of news releases No. of collaterals developed	Monitoring of news clippings in print, TC/Radio and On-line which made reference to the joint programme Monitoring of when collaterals (brochures, leaflets, videos) were presented and as reflected in Minutes of Meetings in Parliament and Ministries
To communicate the joint programme objectives and progress (i.e. What is the JP all about, what does it want to achieve and what has it achieved)	No. of activities organized/participated to promote and communicate the programme	Monitoring of activities and events participated in by the joint programme where collaterals were used.
To increase awareness of selected BARMM target groups	No. of community-based materials developed No. of development communication activities organized/participated	Monitoring of level of awareness of BARMM target groups directly influenced

5) Main activities (US\$90,000)

Main activities	Description	Methods and Communication Channels	Responsible Organization and focal point	Resources Invested	Timelines i.e. milestones and deadlines
Joint Programme Launch	Aims to introduce and promote the joint programme to general public at national and regional level	Event – will use media, TV/radio, print and on-line channels to promote the joint programme Will require development of collaterals	FAO/UNICEF with BARMM Focal Point: Joint Programme Coordinator with TWG leads	US\$40,000 Costs to cover actual event and to include collaterals development	1 st Quarter, 2020
Lessons Learned from Mid-Programme Review	Aims to share midprogramme developments, progress and lessons learned to duty bearers and claim holders	Event – will share perspectives from duty bearers and claim holders	FAO/UNICEF with BARMM Focal Point: Joint Programme Coordinator with TWG leads	US\$10,000 (assumption is that collaterals are already developed)	1 st Quarter, 2021
End of Programme Event	Aims to provide an avenue for concluding the project i.e. share progress, lessons learned and potentially reconfirm sustainability measures/partnerships beyond the joint programme	Event – will use media, TV/radio, print and on-line channels to promote the joint programme	FAO/UNICEF with BARMM Focal Point: Joint Programme Coordinator with TWG leads	US\$40,000 (new collaterals will be developed/updated to support the new messages that will be formulated)	Last quarter of 2021

Annex 6. Learning and Sharing Plan

1) Strategic approach to learning and sharing

The learning and sharing plan will be imbedded into the workplan and use a multi-stakeholder participatory approach. There are two types of knowledge that the joint programme would like to capture. First, is related to how the joint programme serves as a mechanism for promoting synergy and coherence among UN agencies and governments in providing innovating solutions to SDG acceleration. The second is to document the behavioral change that occurred when implementing the RISRSP approach i.e. strengthening the development, humanitarian and peacebuilding nexus under the RISRSP joint programme within the context of BARMM. These are proposed and may change after a more thorough process of consultation on the learning and sharing agenda.

- **Document the process of coordination between UN development partners and stakeholders.** This will capture the experience in joint programme implementation among UN Participating Organizations, the UNRC. Then it will also assess the partnerships between government at the National and Regional Level and to the extent possible the local government units involved. It shall capture the following elements, but not limited to the following: a) cohesiveness of joint UN programming and coordination for results, b) effectiveness of programme management structures, c) efficient use of finance/resources e.g. are funds used as planned and is it maximized to leverage external funding, d) information management across and between UN agencies and government counterparts.
- **Capture the change in attitudes and behavior towards risk informed shock responsive social protection in BARMM from doing "business as usual" to a paradigm shift integrating development, DRRM and humanitarian response.** This change will need to involve capturing practical insights and understand the lessons learned as the joint programme initiates this innovative approach to strengthen the development, humanitarian and peacebuilding nexus.

In order to document these two areas of knowledge, there are four steps proposed: assess, explore, define, and develop.

a) Assess stakeholders' capacity (expertise and information systems) for capturing knowledge. This will require a workshop to introduce the overarching learning and sharing plan envisioned under the joint programme. Key questions which need to be answered are:

- What are the existing learning and sharing opportunities across agencies and stakeholders?
- What are the opportunities and challenges for learning and sharing under the context of the joint programme?

b) Explore the added value for the joint programme's process documentation and prioritize the lessons that want to be highlighted. Since this will adopt a multi-stakeholder and inclusive approach, partners in BARMM need to appreciate the value of documenting the process and owning the learnings that will come out of it to inform future interventions. There is still a perception that such an exercise is geared towards looking at weaknesses and limitations rather than using them as opportunities for improvement and enhancement. Key questions that need to be answered are.

- Why the need for a learning and sharing plan i.e. knowledge management in the joint programme?
- What type of knowledge needs to be captured by the joint programme?
- What are the areas of knowledge on RISRSP that the programme will capture?

c) Define value proposition for enhancing the flow of knowledge across the organizations i.e. the UN, duty bearers and target groups. Set shared objectives and goals across joint programme

stakeholders. Identify the initial governance for learning and sharing efforts to make sure that the knowledge is not lost and but is transferred

- Who are the owners of the learning and sharing plan under the joint programme? Who will be the users?
- Who will take the lead? What are the stakeholders' roles?
- How can the knowledge be transferred?

d) Agree on a strategic plan and implementation roadmap for learning and sharing. The joint programme, in consultation with stakeholders, will identify strategic priorities and critical knowledge domains. This will be the basis for an implementation plan to guide the development of capabilities in support of knowledge flow and collaboration that will be undertaken.

2) Objectives of learning and sharing

Objectives	Indicators	Data sources, methods/tools
To help improve processes and remove bottlenecks and inefficiencies	One process documentation report	Interviews, Focus group discussions, joint program reports
To learn how the RISRSP agenda has changed their attitude in BARMM	One report on RISRSP in BARMM	Interviews, Focus group discussions, joint program reports

3) Main activities (US\$70,000)

Activity	Brief Description	Methods	Responsible organization and focal person	Resources to be invested	Timeline i.e. milestones or deadlines
Training Workshop and Planning	Initial assessment of the capacities, key messages and develop a workplan	Training	FAO/ Joint Programme Coordinator	US\$15,000	1 st Quarter of 2020
Develop Learning tools	Learning tools will be developed to capture the information that will be analyzed	Workshop	FAO/Joint Programme Coordinator	US\$15,000	2 nd Quarter of 2020
Data Gathering and sharing of preliminary findings	This is a regular information gathering exercise to be done every quarter.	FGDs, Interviews	FAO/Joint Programme Coordinator	US\$30,000	Quarterly - 3 rd , 4 th quarter of 2020 and 1 st , 2 nd and 3 rd quarter of 2021

Publication of Lessons Learned	Information gathered has been processed into knowledge capturing experiences and providing recommendations	Publication	FAO/Joint Programme Coordinator	US\$10,000	4 th quarter of 2021
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Annex 7. Budget and Work Plan

7.1 Budget per UNSDG categories

UNDG BUDGET CATEGORIES	PUNO 1 (FAO)		PUNO 2 (UNICEF)		TOTAL	
	Joint SDG Fund (USD)	PUNO Contribution (USD)	Joint SDG Fund (USD)	PUNO Contribution (USD)	Joint SDG Fund (USD)	PUNO Contribution (USD)
1. Staff and other personnel	188,655	120,000	70,000	100,000	190,000	
2. Supplies, Commodities, Materials	270,440		25,000		100,000	
3. Equipment, Vehicles, and Furniture (including Depreciation)	64,328		18,000		98,000	
4. Contractual services	45,000		195,000		353,168	
5. Travel	20,330		30,000		130,000	
6. Transfers and Grants to Counterparts	105,500		345,000		645,000	
7. General Operating and other Direct Costs	209,915		40,000		110,000	
Total Direct Costs	903,168				723,000	
8. Indirect Support Costs (Max. 7%)	63,222		50,610		113,832	
TOTAL Costs	966,390	120,000	773,610	100,000	1,740,000	220,000
1st year	400,000	60,000	373,610	60,000	773,610	120,000
2nd year	566,390	60,000	400,000	40,000	966,390	100,000

The UNJP's budget is prepared based on designed activities and relevant internal financial policies of FAO and UNICEF. Counterparts from the PUNOs will also be spread across budget lines. FAO and UNICEF will closely monitor progress of activities to ensure optimal

pooling and allocation of resources. The FAO as a lead agency for this UNJP will have about 55% of the total programme budget and will coordinate the work under the guidance of the UNRC, as well as lead the reporting and evaluation of the UNJP.

The total programme costs USD 1,960,000 of which USD 1,740,000 will be from the UNSDF and the remaining will be the counterpart from FAO and UNICEF. Within the allocation from UNSDGF, 11 per cent is allocated for programme staff and about 50% is for the envisioned pilot testing of RISRSP.

About USD95,000 will be allocated for monitoring and evaluation, which will come from the share of both FAO and UNICEF. Its use will be for the joint monitoring by PUNOs and UNRCO and project evaluation in compliance with the requirement of the UNSDGF. Budget for communication is part of each PUNO’s budget, totaling about USD90,000, which shall also include some publication and advocacy materials.

7.2 Budget per SDG targets

SDG TARGETS		%	USD
1.3	Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable	35%	686,000
1.5	By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters	25%	490,000
2.1	By 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round	15%	294,000
13.1	Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries	25%	490,000
TOTAL		100%	1,960,000

The proposed budget will directly contribute to progress towards achieving SDG Targets 1.3, 1.5, 2.1 and 13.1. About 35 per cent of the total programme budget is projected to be intended for outputs in support of SDG Target 1.3; and a combined 50 per cent for SDG Targets 1.5 and 13.1. The remaining 15% shall contribute to Target 2.1.

The mapping of the SDG targets and the budget is made based on the following understandings:

- All 3 Outputs are primarily linked with SDG Target 1.3 as the outputs are directed for policy-level and programme-level interventions that aim towards inclusive RISRSP. Relatedly, Target 2.1 is also linked with the aim to ensure food security and nutrition not just in normal conditions but even during disasters.
- Outputs 1.2 and 1.3 contribute to achieving SDG Targets 1.5 and 13.1 as these refer to the key elements of establishing RISRSP system. The concept of RISRSP is relatively new for BARMM. As such, substantial amount of support is to be considered.

7.3 Work plan

The UNJP will be implemented for 26 months. This will have interface with the other ongoing projects of both FAO and UNICEF on RISRSP. Some initiatives have in fact already commenced and served as preparatory work to the activities of the UNJP. Both FAO and UNICEF are involved in the continuing support funded by ECHO on RISRSP. FAO will serve as the lead agency and shall be mainly in charge of Output 1.2, which looks into the use of EWS and other tools that are prerequisite to RISRSP. Meanwhile, UNICEF will focus on Output 1.3 to improve the registry system in BARMM hopefully to capture vulnerability indicators. UNICEF has already started similar work at the national level for registry enhancement. Output 1.1, which is the policy-level support, will be jointly implemented by FAO and UNICEF. The intended pilot testing in BARMM shall also be undertaken as aligned to both Outputs 1.2 and 1.3.

With the 2-month blanket extension, the JP will conduct the evaluation and culminating activities in Q1 of 2022.

OUTCOME			LIST OF ACTIVITIES	ORIGINAL TIMELINE vs NEW TIMELINE								ACTIVITY DETAILS	PUN O	PROGRESS UPDATE	ASSESSMENT: ON-TRACK VS ADJUSTED	SDG Fund Contribution	PUNO Contribution	TOTAL	
OUTPUT	Annual Target			2020				2021											
	2020	2021		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4								
Output 1.1 Risk-informed and shock responsive social protection policy mainstreamed within the Bangsamoro Regional Development Plan																			
Indicator 1.1.a RISR SP mainstreamed in the Regional Development plan	N/A	1 – BARMM Regional Development Plan includes RISRSP among its strategies	Facilitate the incorporation of RISRSP into Bangsamoro Development Plan (BDP)		x	x	x	x	x	x	x	workshop, technical assistance	FAO	Agreed with BPDA this was moved to Y2 support to feed into the mid term review of the BDP	ON TRACK	120,000	10,000	130,000	
			Conduct cost-benefit analysis of RISRSP to inform the formulation of RISRSP policy for BARMM and mainstreamed in the Regional Development Plan in conjunction with Output 3.2 indicator				x	x	x	x	x	x	expert cost, consultations, data collection	UNICEF	Due to the delays in Year 2020, this activity will start on 2021, Q3; Despite the delay in starting the activity, this is still expected to be completed by end of 2021	ON TRACK	75,000		75,000
			Conduct study on financing strategies with recommendations to increasing fiscal space in support of RISR social protection programs		x	x	x	x	x				expert cost, consultations, data collection	FAO	Re-scheduled to take into consideration the experience (i.e. upcoming pilot or cash transfer) to be the subject of the study	ADJUSTED	90,000	30,000	120,000

			Develop TOR and establish multi-sectoral coordination body composed of BARMM Ministries at the regional level	x	x	x		x	x			technical assistance, workshop cost, meeting cost	FAO	Manged to covene the various TWGs with participation of other stakeholders such as other UN agencies, donors and INGOs. The Office of the Chied Minister has also issues the Memorandum Order officially creatingthe JP Steering Committee, which can pave the way for the creation of the multi-sectoral body; JP team is also exploring the various councils to be established on DRR as per MILG	ON-TRACK	49,701	10,000	59,701
			<i>COVID-19 response</i>			x	x	x				IT support		1st batch of items delivered to MSSD and MILG; additional items to be distrributed to other Ministries	ON-TRACK	40,000		40,000
Program Management			Staff cost; meeting costs, supplies, communications	x	x	x	x	x	x	x	x	staff cost, technical assistance, monitoring; 1 Project Coordinator	FAO		ON-TRACK	40,000	10,000	50,000

			support early actions on droughts, floods, typhoons (i.e. natural disasters) and conflict (i.e. human induced disasters)								field mission		hazard are being studied					
			<i>COVID-19 response</i>			X	x	X	X	X		cash transfers	FAO	some IT support; cash transfer experience to draw lessons and be used as basis for the study on financing	ADJUSTED	130,000		130,000
			Develop a scalability framework for natural and human induced disasters for 4Ps programme				x	x	x			technical assistance, workshops, bilateral consultations, field mission	FAO	Consultant to start March 2021; work is tied with the national-level interventions due to 4Ps	ON TRACK	90,000		90,000
Program Management			Staff cost; meeting costs, supplies, communications		x	x	x	x	x	x	x	GOE, staff cost, supplies, communications, monitoring and evaluation	FAO		ON TRACK	60,000	10,000	70,000
Output 1.3 Improved poverty registry to include risk and hazard vulnerability assessments and predictive analytics for inclusive targeting and effective monitoring																		

Indicator 1.3.a Extent to which the registry includes hazards and vulnerability assessment	Ongoing consultations to integrate hazards and vulnerability indicators in the registry	1 - registry with hazards and vulnerability indicators	Assessment of poverty registry (Listahanan or other existing registries) for inclusion of hazards and vulnerability indicators, in BARMM		x	x		x	x			cost of expert/institutional contract, consultations and validation workshop	UNICEF	Despite the delay in onboarding of the Poverty Registry Expert, this is on-going and expect to be completed by XXX	ON-TRACK	55,400	50,000	105,400
			COVID-19 response		x										ON-TRACK	44,600		44,600
			Build consensus for the use of vulnerability indicators to include additional population in the registry				x		x			workshops and consultations, cost of expert	UNICEF		ON-TRACK	10,000	10,000	20,000
Indicator 1.3.b Use of the registry for inclusive targeting and effective monitoring.	Technical discussions to include households outside Listahanan	At least 10% of the exclusion error identified by Listahanan 3 in BARMM receives social assistance under this Joint Programme	Improve registry ie. expand Listahanan or other existing registry to address exclusion errors in BARMM and inclusion of vulnerability indicators (Modification of registry to suit BARMM context)					x	x			cost of expert, consultation and presentation with partners in BARMM, cost effectiveness analysis	UNICEF		ON-TRACK	10,000	35,000	45,000
			Test the modified BARMM registry in two municipalities in BARMM for 1) slow-onset disasters and 2) armed conflict displacements						x	x	x	technical assistance, cost of pilot test, documentation, incidence analysis, expert cost	UNICEF	targets for repurposed funds ECT covered portions of the 10% exclusion errors and vulnerabilities.	ON-TRACK	300,000		300,000

			<i>COVID-19 response</i>		X								UNICEF		ON-TRACK	100,000		100,000
Program Management					x	x	x	x	x	x	x	x	General and other operating expenses	UNICEF	ON-TRACK	30,000	0	30,000
					x	x	x	x	x	x	x	Communications, supplies	UNICEF	ON-TRACK	18,000	0	18,000	
					x	x	x	x	x	x	x	Monitoring	UNICEF	ON-TRACK	30,000	5,000	35,000	
					x	x	x	x	x	x	x	Staff Cost	UNICEF	ON-TRACK	50,000		50,000	
												FAO indirect cost			63,222		63,222	
												UNICEF indirect cost			50,610		50,610	
												SUB TOTAL			1,740,000	220,000	1,960,000	

Annex 8. Risk Management Plan

Risks

This Joint Programme operates in a challenging context where the risks are high, but so are the rewards, if it is implemented successfully with full buy-in and involvement of stakeholders from the start up to completion.

Within the next two years of the Joint Programme's duration, we will operate against a backdrop of a very fluid political transition, a transitional government bureaucracy with weak capacity in most aspects of governance, fiduciary and basic service delivery, which is compounded by frequent armed conflicts and security issues. While it is a period characterized by uncertainty as political and governance processes and accountabilities are being laid out and development plans are being formulated, it is also an opportune time to help influence the whole development planning process by adopting strategies that are inclusive and build resilience of poor households in BARMM. There is high expectation from the transition government during this period to finally realize the improvement in the lives of the people in BARMM. As such, the delivery of project outputs of the joint programme can potentially support promoting an enabling environment that will lead to the vision of the new government to implement necessary reforms in the region. It is important that the joint programme is able to generate evidence that RISR SP is able to enhance resilience and uplift the welfare of poor and vulnerable.

With the passage of the BOL and the political transition, BARMM is high in the agenda of development partners, with several stakeholders operating in BARMM for various issues. This could potentially result in competing priorities given the weak absorptive capacity of the BARMM government.

Risk Mitigation Strategy

To ensure the smooth implementation of the joint programme and achieve the expected outputs, FAO and UNICEF with the UNRC sought an agreement with the Office of the Chief Minister in BARMM. The agreement will allow FAO and UNICEF to be in regular coordination with BARMM stakeholders to monitor security situation and provide assistance in the conduct of activities related to the project.

The Joint Programme will also work within the established coordination mechanisms of the PFSD between the UN and the Philippines Government. The UNRC's office serves as the overall coordinator of the mechanism. The multi-stakeholder nature of the PFSD ensures that this Joint Programme has the visibility and action required of the various stakeholders from the national down to the project's Steering Committee in BARMM. The PUNOs will continue to monitor the political transition and adapt strategies accordingly.

Risks	Risk Level: (Likelihood x Impact)	Likelihood: Certain - 5 Likely - 4 Possible - 3 Unlikely - 2 Rare - 1	Impact: Essential - 5 Major - 4 Moderate - 3 Minor - 2 Insignificant - 1	Mitigating measures	Responsible Org./Person
Contextual risks					
Delays in the project implementation due to the fluid political transition process in BARMM (e.g. unclear vertical relationship between BARMM and national government for several flagship social protection programs, preparations for BARMM elections in 2022 may inadvertently shift focus of BARMM officials to election related priorities)	High (9)	3	3	Continuous engagement of BARMM ministry officials and stakeholders Secure Office of the Chief Minister	UN RC
Frequent and protracted armed conflict in BARMM results to disruption of program activities, leading to noncompletion.	High (9)	3	3	Continuous engagement of BARMM ministry officials and stakeholders. Regular scanning of the political environment and monitoring of related security situation in BARMM to inform project implementation activities and location	FAO / UNICEF / NDRRMC – OCD / DSWD / MSSD
Programmatic risks					

Non – implementation of program activities due to security issues in BARMM	High (9)	3	3	<p>Continuous engagement of BARMM ministry officials and stakeholders.</p> <p>Regular scanning of the political environment and monitoring of related security situation in BARMM to inform project</p>	FAO / UNICEF / NDRRMC – OCD / DSWD / MSSD
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				<p>implementation activities and location.</p> <p>Regular coordination with the OCD – NDRRMC.</p>	
<p>High staff turn-over in the relevant counterpart BARMM ministries may result in:</p> <ul style="list-style-type: none"> • Delays in activity implementation • Non-continuity of agreed priorities • High cost associated with reengaging and re-orientation of counterpart program staff 	High (9)	3	3	<p>Continuous engagement of BARMM ministry officials and stakeholders.</p> <p>Hire a Project Coordinator embedded in BARMM and include in the TOR roles associated with establishing and maintaining strong relations with BARMM relevant ministries. Consider these costs as part of programmatic / coordination.</p>	FAO / UNICEF
Institutional risks					

Loss of credibility of the UNRC, FAO and UNICEF with BARMM stakeholders, if unable to deliver and complete activities as prescribed in the time duration	Low (4)	2	2	UNRC has sought agreement with the Office of the Chief Minister for the Joint Programme.	UNRC, FAO, UNICEF
Fiduciary risks					
Weak capacity for fund management of relevant BARMM ministries and CSO partner-stakeholders.	High (9)	3	3	<p>Conduct regular HACT assurance activities</p> <p>Due diligence assessment undertaken prior to downloading of funds to CSO partners</p> <p>Direct implementation of some activities by FAO and UNICEF</p>	FAO / UNICEF

Annex 9. Human Rights Mechanisms related to the Joint Programme

The Philippines has for decades been party to all international human rights treaties except the convention covering enforced disappearances. Furthermore, the State authorities have over the years developed a comprehensive legislative and institutional framework for the promotion and protection of the human rights. This includes the Commission on Human Rights, the Commission on Women, the Commission on Indigenous Peoples and Human Rights Offices within the Armed Forces and the National Police etc. The executive branch also has a Human Rights Committee and the Philippine constitution contains a Bill of Rights.

While some human rights treaty reports are overdue, the Philippines in 2016 engaged with the treaty monitoring bodies covering torture prevention, discrimination against women, and economic, social and cultural rights. In 2017, the Philippines went through the Universal Periodic Review (UPR) of the Human Rights Council and in 2018 the Committee on the Rights of Persons with Disabilities. Special Procedures mandate holders visited the Philippines and most recently those on Right to Food and on Internal Displacement in 2015.

The international and national human rights frameworks have produced numerous analysis, reports, human rights situation overviews and recommendations. While these generally show progress and advances they also over the years have shown that implementation is challenging and individuals and groups risk being "*left behind*". In more recent years, serious concerns around civil and political rights have surfaced and various human rights mechanisms and -actors have highlighted, among others, potential extra-judicial killings in the context of the campaign against illegal drugs, political pressure on democratic institutions and lack of independence the judiciary, intimidation and harassment, including killings, of human rights defenders, journalists, lawyers, clergy, indigenous peoples, land rights- and environmental defenders and members of political opposition etc. On economic, social and cultural rights, the concern is related to the equal or equitable access to quality basic services such as health, education and social protection. In addition, concerns about inequalities have been highlighted.

The UNCT applies the principles of leaving no one behind, human rights, gender equality and women's empowerment to the development of the UN Cooperation Framework and respective Country Programmes. It has theme groups on "leaving no one behind", "gender", "youth" and "data" that will actively be engaged in implementation of programmes and activities. It takes an open, multi-sectoral and participatory approach to discussions, consultations and inputs in various stages of programming. It also uses relevant outcomes from the international human rights mechanisms for the substantive content and to assist in identifying and focusing on vulnerable groups and in particular those left behind. It furthermore aims at strengthening accountability by clearly identifying duty-bearers and respective responsibilities in a human rights framework. Finally, reduction of disparities and inequalities is strongly linked with the expected results and impacts of UN activities in the country.

In relation the SDG Fund proposal, the following recommendations (non-exhaustive) from the international human rights mechanisms are directly relevant and will be addressed:

Committee on Economic, Social and Cultural Rights (E/C.12/PHL/CO/5-6)

Paragraph 31 and 32: Concern that public spending on social protection remains low; Increase the budget allocation; Establish unemployment benefits; Establish social protection floor; Paragraphs 43 to 50: Concern that high number of persons live in poverty and significant

regional disparities, and level of benefits remains insufficient to ensure an adequate standard of living; Concern about poverty among small scale fishers and landless farmers, in particular women farmers; Concern that approximately 14 to 15 million persons are still undernourished, most of whom live in rural, conflict- and disaster affected areas; Concerned about substandard living conditions with limited access to basic services of for persons affected by displacement as result of natural disasters and armed conflicts; Ensure that 4 P programme is rights-based and expand its coverage to persons living in poverty, including through improving the National Household Targeting System for Poverty Reduction with a view to correctly identifying and reaching out to all persons living in poverty; Increase the amount of benefits; increase benefits to persons with disabilities; Increase access to schools, health services and other facilities; Address critical nutrition needs of children, pregnant women and lactating mothers; Provide social housing to disadvantaged and marginalized individuals and families, including persons with disabilities; Improve living conditions in informal settlements and bunkhouses of internally displaced persons.

Paragraphs 7 and 8: Concern about the lack of reliable data, including in the national census, particularly data related to indigenous peoples, persons with disabilities and people living in poverty; Review and improve data-collection systems with a view to collecting comprehensive, reliable and disaggregated data; Data is required to design effective and targeted measures to increase the enjoyment of rights.

Paragraphs 13 and 14: Concern that indigenous peoples are being displaced, particularly in Mindanao, due to armed- and intertribal conflicts, and that indigenous peoples have limited access to health, education and other basic services; Adopt appropriate measures to mitigate impacts of armed- and inter-tribe conflicts and natural disasters.

Committed on the Elimination of Discrimination Against Women (CEDAW/C/PHL/CO/7-8)

Paragraphs 41 and 44: Concern that women living in poverty in rural and urban areas, in particular those working in informal sector, lack access to social security; Concern that rural women are disproportionately affected by overt and by water and food insecurity as a result of discrimination they face in relation to income, access to land tenure, access to extension services and training, and participation in decision-making; Ensure that women in unpaid work or in the informal sector have access to non-contributory social protection; Adopt gender-responsive social protection floor to ensure that all rural women have access to essential health care, childcare facilities and income security; Ensure rural women have access to adequate food, nutrition, water and sanitation.

Paragraphs 47 and 48: Concern that gender-sensitive frameworks have not been translated into practice; Prioritize protection of women's rights in situation analysis, needs assessment and interventions related to disaster risk reduction, preparedness and response in natural disasters as well as mitigation of negative impacts of climate change; Regularly assess the effectiveness of relevant legal and policy frameworks in protecting women's rights with clear baselines and measurable indicators.

Committee on the Rights of Persons with Disabilities (CRPD/C/NPL/CO/R.1)

Paragraphs 48 and 49: Concern about lack of information in relation to persons with disabilities in the implementation of policies such as Food Safety Act and Poverty Alleviation Fund; Concern about limited access to programmes in the area of water, food and housing; Concern about lack of allowances and resources to cover disability-related expenses, and limited provisions of social protection programmes for persons with disabilities; Collect disaggregated data about the number and percentage of persons with disabilities who have received a minimum level of social protection from the Government, disaggregated by sex, age, and ethnicity; Adopt measures to provide social protection schemes and allowances that recognize

additional costs associated to disability and ensure access to disability pensions by all persons with disabilities throughout its territory;

Universal Periodic Review (A/HRC/36/12)

Recommendation 133.210: Combat poverty and malnutrition, especially among children;

Recommendation 133.68: Deepen collaboration and engagement with communities in the implementation of development projects and social policies which will ensure better buy-in and social outcomes for the affected communities.

Recommendation 133.69: Pursue steps made with aim of addressing effects of climate change on the population.

Recommendations 133.204 to 212: Provide resources to poverty alleviation; Ensure the conditional cash transfer programme and sustainable livelihood programme continue to be adequately financed and are more targeted in their delivery so assistance reaches those most in need across the country; Pursue efforts to eradicate poverty and discrimination against women; Uphold respect for human rights in fighting poverty; Focus on areas where poverty is most prevalent and widespread.

Recommendation 133.249: Efforts in social and health insurance to the benefit of children with disabilities;

Recommendation 133.30 to 32: Ensure laws, policies and programmes aimed at protecting the human rights of women, elderly, persons with disabilities and indigenous peoples are effectively implemented; Strengthen measures set out in the 5-year plan of action for elderly persons.

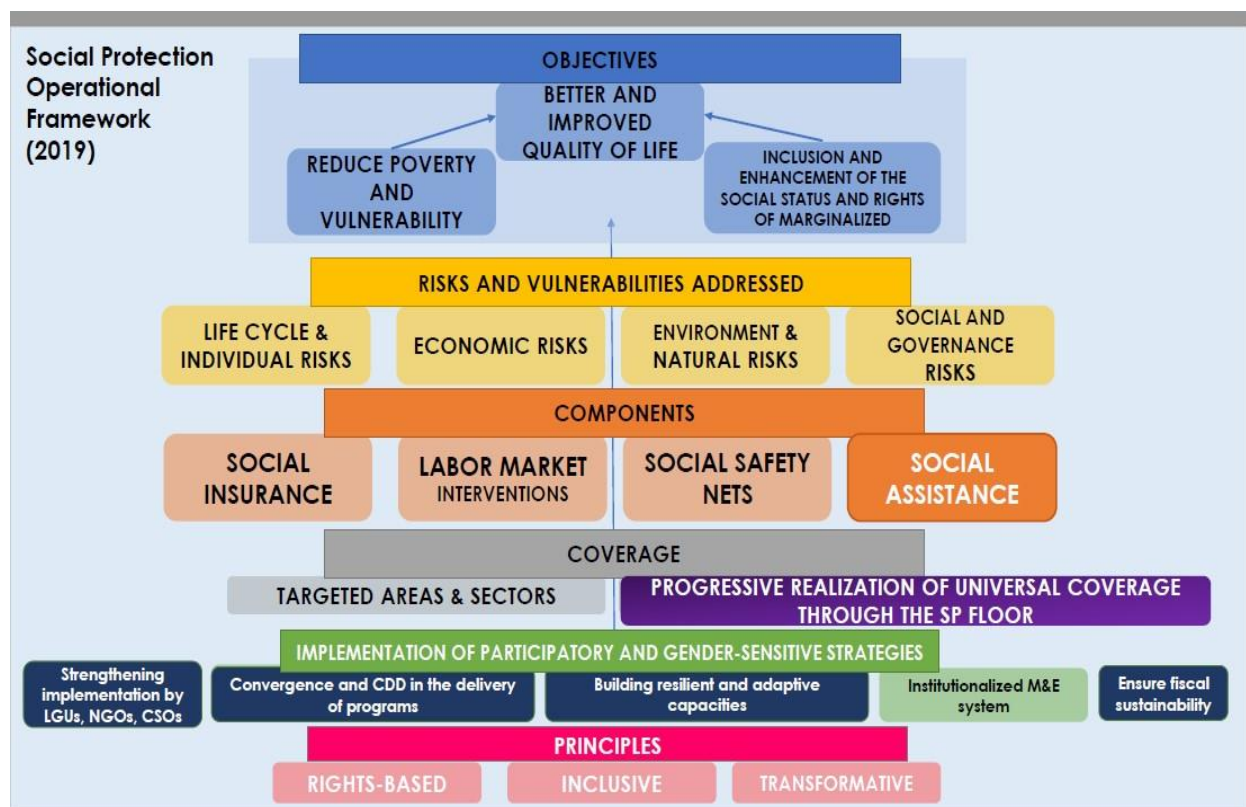
Committee on the Rights of the Child

The Philippines Government in early 2019 submitted its Compliance Report on the implementation of the Convention on the Rights of the Child in 2019. The Compliance Report is expected to be reviewed by the Committee on the Rights of the Child.

Annex 10: National Social Protection and DRRM Policy Frameworks and Programmes

Social Protection has been recognized as a critical strategy to reduce poverty, build resilience and enable development. This is reflected in the **Philippine Development Plan 2017-2022 Chapter 11** aims to build the socioeconomic resilience of individuals and families by reducing their vulnerability to various risks and disasters. The Philippine Government aims for universal and transformative social protection for all Filipinos. This is directly in line with the Agenda 2030 commitment to leave no one behind in particular "...to address the multidimensional causes of poverty, inequalities and discrimination, and reduce the vulnerabilities of the most marginalized people, including women, refugees, internally displaced persons, migrants, minorities, indigenous peoples, stateless persons, and populations affected by conflict and natural disasters."

In 2019, the Philippines completed its enhanced **Social Protection Operational Framework (SPOF)**. There are four key social protection programme classifications that address the entire lifecycle of Filipinos: a) social insurance, b) social assistance, c) social safety nets, d) labour market interventions. Non-contributory in nature, social assistance and social safety nets have emphasized the convergence of social protection with disaster risk reduction and management (DRRM) and climate change adaptation (CCA). Under the SPOF, these interventions aim to protect people's income from various shocks, to build their capacity and to generate adequate support from government and other sectors to ensure that better quality of life is sustained in spite of exposure to risk of different types. The SPOF Framework envisions social protection to be universal and transformative for all Filipinos.



Republic Act 10121, “Philippine Disaster Risk Reduction and Management (DRRM) Act of 2010” transforms the Philippines’ disaster management system from disaster relief and response towards disaster risk reduction (DRR). In essence, the law provides a responsive and proactive manner of addressing disasters through a framework that: a) prioritizes on community level DRRM focusing on the most vulnerable sectors (i.e., the poor, the sick, people with disabilities, the elderly, women and children), b) Recognizes the important role and strengthens capacities of local communities; c) Ensures broad-based and greater participation from civil society; and d) Addresses root causes of disaster risks. The government adopted the National Disaster Risk Reduction and Management Framework and Plan which envisions a country that has “safer, adaptive and disaster-resilient Filipino communities toward sustainable development”; wherein men and women have increased their awareness, understanding on DRRM with the end in view of increasing people’s resilience and decreasing their vulnerabilities. This underscored strengthening the capacity of the national government and local government units (LGUs), together with partner stakeholders, to build the resilience of communities and institutionalize measures in reducing climate and disaster risks.

Social Protection Programmes used in-country for disaster response

The Philippines is known to have one of the most progressive and flexible social protection systems in the East Asia and Pacific Region. When responding to disasters, social protection programs were tapped to deliver key interventions to manage risks and shocks.

Social Assistance

There are three different types of social assistance interventions that is used by the Department of Social Welfare and Development (DSWD): a) *Pantawid Pamilyang Pilipino Program* (4Ps), b) Sustainable Livelihood Program (SLP) using Cash-For-Work, and c) The National Community Driven Development Program (NCDD). These programs use various modalities and mechanisms for cash transfers in different stages in post-disaster response.

Under social assistance, the 4Ps is the largest conditional cash transfer social assistance intervention in Philippines in terms of value and coverage. It has the widest coverage extending to approximately 4.2 million poor (2015) and vulnerable families nationwide. National Housing Targeting System (NHTS) which identifies who and where are the poor households using a proxy-means test, is used by the 4Ps. The programmes twin development objectives of social assistance (provide immediate financial support) and social development (invest in human capital) includes a health grant of PHP500 per month per household, prenatal and postnatal care during childbirth. The transfer is on the condition that pregnant women avail prenatal and postnatal care, and attend Family Development Sessions, and 0-5 years old children receive regular check-ups, vaccinations and deworming pills. It also includes an education grant of PHP300 per month per elementary school child and PHP500 per month per high school child, for 3-18 years old children, up to 3 children per household for 10 months per year. The grant is on the condition that the children are enrolled in school or day care centers with at least 85% attendance. Benefits are delivered using Land Bank ATMs and over the counter, once every 2 months. The 4Ps promotes human capital investment, beneficiary

responsibility through education and family sessions, and economic growth by increasing the purchasing power of beneficiaries.

Currently the 4Ps programme only focuses on economic poverty and has not been able to maximize its potential to be used in ex-ante and ex post disaster response in Mindanao. It does not incorporate risk and vulnerability assessment since it was primarily designed as a conditional cash transfer program targeting poor households that focused on improving health and education to build human capital. The delivery system however is well established and has been tested both for conditional cash transfers and emergency unconditional cash transfers in the experience of Typhoon Haiyan. Consultations raised the concern of exclusion at the local level by small landless farmers and small holder fisher folk who do not have young families (i.e. children below 18 nor have pregnant members). Farmers and fishers cited that many of them were not eligible because they belonged to an older demographic group many of them reaching their senior years but still experienced extreme poverty on daily basis due to floods, drought, and pests affecting their main sources of income. Although the 4Ps is expanded under the Modified Conditional Cash Transfer (MCCT) program to reach out to geographically isolated and Indigenous Peoples, it still has limited coverage in areas of conflict and island provinces in Southern Mindanao.

Social Safety Net

Social safety net projects have been introduced by the Department of Social Welfare and Development in the form of cash transfers - conditional cash transfer (CCT) (e.g. Cash-for-Work) and unconditional such as Emergency Cash Transfers (ECT) for Emergency Shelter and Financial Assistance top ups - as part of its disaster response tool kit.⁴² This has complemented the *ex post* practice of giving in-kind survival kits composed of food and nonfood items. Introduced largely during the 2013 onslaught of Typhoon Haiyan, DSWD has since been providing cash assistance to victims of succeeding typhoons Haima (Lawin)⁴³ which is considered the third most intense tropical cyclone worldwide and Typhoon Nock-ten (Nina)⁴⁴.

For both disasters, Emergency Shelter Cash Assistance Project (ESCAP) amounting to PhP 10,000 pesos for partially damaged and PhP30,000 for totally damaged houses were provided. The financial assistance from ESCAP was only for repair and reconstruction of house with specific guidelines to ensure utilization was for buying construction materials. There was no automatic trigger from DSWD to deploy ESCAP and was dependent on an Executive decision. Upon submission of a proposal from the Local Government Units, the municipal social welfare and development officer (MSWDO) of DSWD provided a list of beneficiaries using the Disaster Assistance and Family Access Card (DAFAC) while field offices of DSWD conducted visits to validate the list submitted. Funds were downloaded from the Central Office to the LGU.

Cash for Work on the other hand is a temporary employment assistance to distressed or displaced individuals by participating in or undertaking preparedness mitigation, relief,

⁴² Implementing Emergency Cash Transfers: The Philippine Experience in Response to the 2016/2017 Disasters, The World Bank Social Protection Policy Note, May 2018, No. 15.

⁴³ In 2016 Typhoon Haima struck Northern Luzon had maximum winds of 225 km/hr with an 800 kilometer diameter exposure leaving 35, 733 homeless families and 172, 818 partially destroyed houses. Despite low fatal casualties, it affected 432, 279 families in the Cordillera Autonomous Region, Region I, II, and III with massive damages to infrastructure, housing and economy.

⁴⁴ Typhoon Nock-ten also in 2016 had maximum winds of up to 185 kilometer per hour with gustiness if up to 255 kph affecting 545, 428 households in the Bicol region. Damage to the agriculture sector was estimated PhP5.3 billion.

rehabilitation or risk reduction projects in local communities or evacuation centers. CFW was implemented as a component of ESCAP with benefits of amounting to 75 per cent of Regional Minimum Wage covering 10 – 15 days of work.

Annex 11. Social Protection, DRRM Policy Frameworks and Humanitarian response in BARMM

At present, social protection service delivery, DRRM Policy frameworks and humanitarian response efforts in BARMM is structured in line with both the national government policy and legislative context and former ARMM-specific policies. A centralized targeting system – the DSWD’s National Household Targeting System for Poverty Reduction (Listahanan) – based on a proxy means test methodology, is used for targeting 4Ps households that are in BARMM provinces.

Using Rapid Disaster Needs Assessments (RDANA) and list of affected households from the LGUs, humanitarian response in the Region focuses on **ex post** response (similar to nationwide response) and distribution of survival kits composed of food and non-food packs provided through Local Government Units in coordination with DSWD. In one occasion, Emergency Cash Transfers was used in extreme armed conflict situation in Marawi City siege.

Cash Transfer experience in Mindanao

In May 2017, an all-out war in Marawi City, largely Muslim city in Mindanao, erupted between the Armed Forces of the Philippines and Islamic extremists affiliated to Islamic State of Iraq and Levant (ISIL). The armed conflict lasted more than five months and Martial Law was declared in the whole Mindanao archipelago citing rebellion as justification. The death toll reached more than 1,000 persons composed of government fighters, insurgents and civilians caught in the cross fire. Some 400,000 people reported displaced from 96 districts (barangays) and 20 nearby municipalities in Lanao del Sur. In response, 50,000 families were targeted to receive Php5,000 financial assistances of which Php1,000 was intended for the immediate food assistance and the remaining Php4,000 was to augment transportation and other needs to go back to their communities upon clearance to return. Similar to ECT in Typhoons of 2016, DSWD worked with and downloaded the funds to LGUs. Notwithstanding security issues, validation of beneficiaries or qualified IDPs posed difficulties in distribution. Based on DSWD reports, the number of potential recipients significantly increased with multiple entries of people using various aliases. The National Household Targeting System (NHTS) nor the 4Ps household list was not used for targeting given the complex circumstances. During this period, both LGUs and DSWD struggled to cleanse the list and validate the recipients of the cash assistance.

The BARMM government is in the process of developing its own policy and legislative framework which will likely be informed by existing national and former ARMM policies and legislation. Several policies and development plans under the former ARMM government

outlined commitments of relevance to social protection. Key themes reflected in these policies include a focus on; inclusivity; transparency; accountability; social justice; support to areas vulnerable to conflict and natural disasters; disaster resilience and; cultural sensitivity.

At the BARMM level, the key institution with responsibility for social protection is the newly formed Ministry of Social Services and Development.⁴⁵ However, the largest flagship 'Banner' programmes are nationally designed and financed. As such, at the moment BARMM has very little control on targeting and the delivery of 4Ps programs as well as other social protection interventions.

Disaster Risk Reduction and Management

As with social protection, DRRM in BARMM is currently structured in line with both the national government policy and legislative context and former ARMM-specific policies. Several laws are of note:

- The 2010 Philippines Disaster Risk Reduction and Management Act requires government at all levels to develop policies and plans relating to all aspects of Disaster Risk Reduction and Management, including reducing underlying risk factors and preparedness and early recovery actions.
- The 2016 Children's Emergency Relief and Protection Act (RA No 10821) provides for children, pregnant and lactating mothers affected by disasters and other emergency situations to be supported with immediate recovery and protection.
- Under the 2001 Act to Strengthen and Expand the Organic Act for the Autonomous Region in Muslim Mindanao the BARMM Regional Government is responsible for maintaining disaster-preparedness units to provide immediate and effective relief services to victims of natural and man-made calamities. It is also responsible for ensuring the rehabilitation of calamity areas and victims.
- Under the 2018 Bangsamoro Organic Law, humanitarian protection and promotion is a concurrent power between the Bangsamoro government and the national government, with the Bangsamoro government taking primary responsibility for the BARMM region. The Law also creates a Bangsamoro Disaster Risk Reduction and Management Council to formulate the Bangsamoro Disaster Risk Reduction and Management Plan.⁴⁶

⁴⁵ Formerly ARMM Department of Social Welfare and Development

⁴⁶ <https://www.facebook.com/cmym2003/posts/the-12-point-agenda-of-the-bangsamoro-government-are-you-abangsamoro-developmen/2380750922201077/>

Annex 12: Shock Responsive Social Protection, Design and Implementation Components

Rationale: Social Protection as a Contingent Liability

Governments pay a significant portion of post-disaster response costs, and these expenditures can be seen as a contingent liability—an obligation that may or may not come due, depending on whether particular events occur.⁴⁷ Very few countries currently measure and assess contingent liabilities related to natural disasters, and more work needs to be carried out with governments to assess the legal and institutional framework that determines the government's liabilities to natural disasters.

Social protection systems represent an important source of explicit contingent liability. Explicit contingent liabilities are obligations based on contracts, laws, or clear policy commitments.⁴⁸ Quick post-shock assistance to vulnerable households with children is essential to protecting their welfare. Risk financing mechanisms can work together with established social protection systems to help reach the poorest and most vulnerable children rapidly following disaster shocks.

When a government establishes clear rules for providing disaster-affected households with additional support through an existing social protection system, this creates an explicit liability for the government. This liability can be integrated into the country's overall DRF strategy to ensure it is managed efficiently. Disaster risk finance country diagnostics carried out in Cambodia, Lao PDR, Myanmar (2017) and Fiji (2019)⁵⁰ recommended exploring ways to utilize existing social protection systems as networks for the distribution of cash to affected communities as well as defining clear rules of post-disaster assistance through existing social protection schemes and integrating the resulting liability in the country's overall DRF strategy.

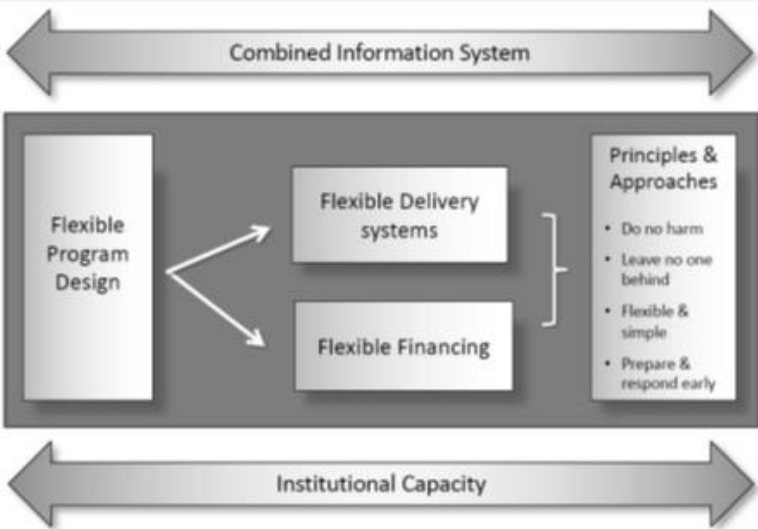
Design and Implementation Components

There are four design and implementation components that support social protection programmes to build resilience and mitigate, prepare for, respond to and recover from

⁴⁷ This contrasts with a direct liability, which is an obligation whose outcome is predictable.

⁴⁸ Implicit contingent liabilities on the other hand, relate to moral or commonly recognized but nonlegal public obligations, which are likely to be borne by governments because of public expectations or political pressures. For example, the government may pay for emergency response such as search and rescue, emergency shelter, or food assistance. In some cases, it may also pay for reconstruction of houses damaged or destroyed by a disaster. ⁵⁰ See World Bank Group, 2017. See also, ADB (2019) *The Enabling Environment for Disaster Risk Financing in Fiji, Country Diagnostic Assessment*.

disasters. The four components that support the development of a risk informed, shock responsive social protection system are: combined information Systems, flexible Delivery Mechanisms, flexible Financing and Institutional Capacity and Coordination. Figure 1 presents a stylized view of how these four components interact. Importantly, these four components should be considered while developing a systems-based approach to responding to shocks and ensuring that programmes are risk-informed.



Objectives of a Risk-informed and Shock-responsive Social Protection System

The objective of a riskinformed, shock responsive social protection system is to help build the resilience of households – with special attention on poor and vulnerable households – through timely and effective responses to risks and shocks. By temporarily expanding select social

protection instruments, populations can be better protected from risks and shocks and the effectiveness of scarce response resources can be maximized. Components of Risk-Informed and Shock-Responsive Social Protection Systems

There is an emerging international consensus about the ways that social protection programmes can prepare for and respond to shocks. Global experience suggests that there are five ways of using social protection programmes to respond to disasters, which are typically implemented through a combination of approaches. The following typology of responses is a useful starting point but should not be taken as definitive – it is not exhaustive and will no doubt change as global knowledge in this area matures:

1. **tweaking** the design of existing social protection programmes on an ad hoc or ongoing basis, in order to temporarily ease administrative burdens and smooth delivery of the programme during a crisis;
2. **vertical scale-up**, which means increasing the generosity of existing social protection programmes to existing social protection programme beneficiaries, so they can better respond to the shock and/or extending the duration of benefits or services while the effects of a shock are still being felt;
3. **horizontal scale-up**, which means rapidly and temporarily enrolling new beneficiaries into existing social protection programmes, so they can better manage the impact of a shock;
4. **piggy-backing**, which means allowing disaster-response agencies to use the administration systems of existing social protection programmes, to minimize duplication and maximize efficiencies;

5. **alignment**, which means encouraging and supporting disaster-response agencies to use the same social protection design parameters and operational modalities in emergency response programmes that run parallel to existing social protection programmes.

While considering these guidelines, it is important to also consider the emerging consensus internationally about the ways that social protection programmes can also support the prevention and mitigation of disaster impacts, and how they can be integrated with DRM efforts to prepare and respond to, and recover from, disasters. This requires a shock responsive social protection system to reorient from an *ex post* focus to an *ex ante* focus including the eventual integration of programmes to build household resilience. To be able to use social protection programmes to mitigate, prepare for, respond to and recover from disasters, a number of components need to be considered as part of the programme design. These components should be considered for all of the above ways of responding. There are four components that support the delivery of a risk informed, shock responsive social protection programme: Information Systems, Delivery Mechanisms, Financing and Institutions' Coordination and Capacity.

Component 1: Information Systems

Socio-economic and disaster risk and vulnerability information systems play an important role in helping to identify which households should be targeted after a shock and where. The information systems can also be used to develop 'triggers' for when funds can be released, so that responses can be phased for different magnitude of disasters. When developing triggers, it is often necessary to differentiate between fast onset (e.g. flooding) and slow onset disasters (e.g. drought) as each can require a different approach to triggering action.⁴⁹ There are broadly two ways to use forecasting information to trigger early action:

- **Automatic triggers:** refers to the use of one (or more) a single trigger(s) for action (possibly combined with one or two others) that does not need additional interpretation or discussion to lead to action. The trigger is aligned to predefined thresholds of risk ranging from normal to emergency. Once the trigger indicates that the threshold of the set level of danger is crossed (for example, more than 'x' mm of rainfall has fallen within 24 hours, or river levels have risen 'x' feet within 24 hours), then the agreed action is automatically implemented. This type of action is usually defined as an *ex ante* contingency planning process. The advantage of an automatic trigger is that it reduces the time required to interpret and discuss the implications of the data which can often lead to delays (and removes the temptation for a political negotiation

What is an Early Warning System?

An Early Warning System provides alerts regarding the predictability and severity of hazards. The information that could lead to an alert may come from the community, Government institutions, meteorological offices or other stakeholders. In best practice examples, an Early Warning System systematically integrates hazard monitoring, forecasting and prediction, disaster risk assessment, communication and preparedness activities, systems and processes. It alerts individuals, communities, governments, businesses and others to a hazardous event, allowing them to take timely action to reduce risks.

⁴⁹ ODI (2018)

for when a disaster can be declared). These triggers are usually agreed at a technical level through scientific instruments or empirical analysis before an event, strengthening the likelihood that the threshold for a trigger is 'objective'. Automatic triggers are more common in fast onset disasters but their use in slow onset disasters is growing, especially with the greater use of remote sensing.⁵⁰

- **Expert led triggers:** refers to combining available data with expert judgement. The set level of risk is again defined as thresholds (e.g. levels 1 -3) and a range of trigger indicators are aligned with each threshold level. However, instead of triggering automatic action, the data is discussed by a group of experts who interpret the data and decide if action is required. This is more common in slow onset disasters where earlier warning is often associated with coarser data earlier on. In the case of weather modelling, this can also be combined with predictive forecasting which presents scenarios with a percentage of probability that it will occur (e.g. stating that the coming El Nino event has a 30% probability of leading to drought conditions, or that there is a 30% probability of exceeding the threshold of 20mm of rainfall for flood conditions). These triggers may be agreed at a technical level through a combination of participatory assessment methodologies and scientific instruments.

In order to effectively tie triggers and thresholds to action, it is important to bring these elements together in a framework to clearly guide decisions for scaling up social protection programmes.

Component 2: Delivery Systems

Delivery systems are the tools, processes and administrative means that a programme has of identifying, enrolling, targeting, reaching and continually interacting with beneficiaries. These delivery systems are the way that the programme is implemented on the ground. For the purposes of this report, delivery systems are the tools and processes that the programme uses to quickly and easily provide *ex ante* and *ex post* support to beneficiaries in risk-prone areas. For example, this may include the tools and processes used to identify, enroll, register and verify households into a programme or the ways of making payments to households. Ensuring that these delivery systems, tools and processes are robust and can flexibly adapt to changes means that they can continue to deliver support during disasters (and where necessary *expand* support). Having the processes and tools in place to continue – and expand – delivery of support is essential to risk-informed, shock responsive social protection systems.

Component 3: Coordination and Capacity

A robust risk-informed, shock responsive social protection system requires that DRM and social protection structures, processes and institutions to work together to maximize their impact and avoid duplication of interventions. At a minimum, this refers to Government and national structures, processes and institutions - but best practice examples have also integrated and harmonized humanitarian partners' structures, processes and institutions with Governments', as well. There are likely to be other non-social protection emergency response efforts alongside risk-informed, shock responsive social protection programmes which all require coordination to work effectively. Ideally, DRM and social

⁵⁰ The HSNP in Kenya uses automatic triggers aligned with NDVI (satellite imagery for the Vegetation Condition Index).

protection partners are able to agree on an integrated response effort, whereby social protection is part of the national response plan and disaster response is integrated into a contingency plan of social protection programmes operating in risk prone areas. Even when DRM and social protection partners are able to agree on a coordinated response effort during the design phase of their programmes, it strengthens their ability to combine their resources and support each other's interventions. A key tool to this coordinated response is a strong and robust contingency planning process that has political backing, and dedicated financing. To enable all of these structures, processes and institutions to work together, stakeholders' mandates, roles and responsibilities need to be clear, there needs to be political will with clear decision-making authority and the human and financial resources to implement – investments in these areas is a cornerstone of this component.

Component 4: Financing

In order to fund the expansion of social protection programmes before and after a disaster, predictable and protected funding sources must be identified and secured before a crisis. Mobilizing funds after a disaster strikes can slow down the response time, leaving vulnerable people without sufficient support at a time when they need it the most. Layering risks (separating risks into tiers) through different financing instruments means introducing instruments that finance responses for differing magnitudes of risk operated at different administrative levels. Risk informed shock responsive social protection requires that adequate financing be established and committed in advance, whether through disaster insurance, emergency credit and/or contingency funds. When a crisis occurs - and preferably as a crisis is emerging - contingency finances can then be released based on pre-agreed upon rules and response plans, facilitating a rapid financial support to the scale up of, or response through, social protection programmes. The financing of the scale up of social protection programmes, needs to be *in addition to* 'regular' social protection financing arrangements.

There are a range of approaches to what is often referred to as Disaster Risk Finance. Within a country, this includes earmarking rapid response contingency funding within the national budgeting process and protecting it accordingly; budget safeguarding is key. Disaster Risk Finance can also involve arranging financing in advance through a range of instruments, which require careful analysis to balance the benefit and the cost (bearing in mind that different instruments bear different associated costs – for example, insurance is the most costly and is generally contracted for low frequency, high magnitude event). What is often missing from multinational or national Disaster Risk Finance agreements and instruments is the commitment to then channel the resources to poor households affected by the disaster; there have been examples of regional risk pools or sovereign insurance instruments that did not have an agreement in place about how any payouts were to be spent, resulting in Governments electing to spend the money on infrastructure recovery costs, or debt repayments. Ensuring an agreement is in place to channel payouts to disaster affected households reinforces the need to have robust delivery mechanisms to execute payments. Within the risk-informed shock-responsive social protection agenda, this component needs to focus on accessing the finance (i.e. having the right instrument in place) and ensuring there is a commitment to use any liquidity for transfers to poor people.