

Anticipatory Social Protection Index for Resilience — ASPIRE

Ritu Bharadwaj,
Tom Mitchell
and N. Karthikeyan

About the authors

Ritu Bharadwaj is a senior researcher in IIED's Climate Change Group.

Tom Mitchell is the executive director of IIED.

N. Karthikeyan is a development economist. He focuses on natural resource management, safe drinking water, sanitation, climate change, elderly care and microfinance.

Corresponding author: Ritu Bharadwaj — ritu.bharadwaj@iied.org

Produced by IIED's Climate Change Group

The Climate Change Group works with partners to help secure fair and equitable solutions to climate change by combining appropriate support for adaptation by poor people in low- and middle-income countries with ambitious and practical mitigation targets. The work of the Climate Change Group focuses on achieving the following objectives:

- Supporting public planning processes in delivering climate-resilient development outcomes for the poorest
- Supporting climate change negotiators from poor and vulnerable countries for equitable, balanced and multilateral solutions to climate change
- Building capacity to act on the implications of changing ecology and economics for equitable and climate-resilient development in the drylands.

Acknowledgements

We thank the UK Foreign Commonwealth and Development Office, Climate Emergency Collaboration Group and our frame funders Irish Aid and Swedish International Development Cooperation Agency for funding this research.

We would like to extend special thanks to colleagues at the Risk-informed Early Action Partnership (REAP) Secretariat and the Centre for Disaster Protection for being part of the consultation that helped shape the toolkit. IIED is the Co-Chair of the REAP's Linking Social Protection and Early Action Working Group. The consultation at various working group meetings provided rich inputs that helped in shaping this paper. We would like to extend special thanks to the Co-Chairs of the working group — Lara Evans, Social Protection Advisor, U.S. Agency for International Development and Laura MacLean, Social Development Adviser, FCDO.

We especially thank Jodie Frosdick, production manager in IIED's Communications Group, for providing strategic advice, input and support throughout the development of this toolkit. Thanks to Annette McGill for her support in copy editing the toolkit. Thanks also to Patrick Morrison from Brand Temple for conceptualising and designing the infographics and this publication.

We would like to thank Mette Groen, senior project manager in IIED's Climate Change Group, and Martin Cummins, group coordinator in IIED's Climate Change Group, for managing the publication's production.

 [iied.org/21901iied](https://www.iied.org/21901iied)

Contents

Summary	4
1. Introduction	6
Social protection: an effective strategy to deliver climate resilience	6
Integrating anticipatory risk response in social protection programmes strengthens people's resilience	6
Challenges to delivering anticipatory risk-responsive social protection	7
2. About ASPIRE	9
What is ASPIRE?	9
What does the ASPIRE tool assess?	10
Country-level analysis	11
Programme-level analysis	13
Who should use the ASPIRE tool — and how can it help	15
3. Using the ASPIRE tool	17
Collecting information for an ASPIRE assessment	17
How to use the ASPIRE tool	18
How to complete the score sheet for policy	18
How to complete the score sheet for systems	27
How to complete the score sheet for programme design	35
How to complete the score sheet for programme function	43
References	52

Summary

Climate change is delivering increasingly severe and frequent shocks to people and communities around the world. The 2023 Synthesis Report published by the Intergovernmental Panel on Climate Change warned that climate impacts on people and ecosystems are already more widespread and severe than expected, and future risks will quickly escalate as warming continues.

Climate change is already escalating the intensity and frequency of extreme weather events such as heatwaves, prolonged droughts, coastal and river flooding and tropical storms. The impacts of climate change can also compound threats and reduce resilience to other shocks, such as conflict or pandemics.

The people most affected by climate change impacts are those who are least able to protect themselves and their communities: people in the Least Developed Countries (LDCs) and Small Island Developing States (SIDS). In low-income developing countries, people are more dependent on the natural environment, and when climate patterns are disrupted, they are more likely to experience food and water insecurity, loss of homes and livelihoods, increased ill health and poverty. Climate change threatens to roll back decades of efforts to reduce poverty and support development.

Increasingly, governments are considering whether social protection programmes could offer a valuable bulwark against climate disasters and other shocks. Governments around the world already employ social protection programmes to protect the most vulnerable people. Social protection programmes can help to alleviate poverty, reduce inequality and provide a vital safety net to people hit by crises. Evidence shows that social protection can improve health and education, increase access to basic services and reduce vulnerability.

Social protection programmes can be a pathway to building climate resilience. While humanitarian response can provide immediate help for climate-related disasters such as droughts and floods, there is growing evidence that building resilience before a crisis hits is more cost-effective than post-disaster responses.

But to be effective in delivering resilience to climate shocks, social protection programmes must be able to anticipate risks and respond in a timely way.

The ASPIRE tool is a diagnostic tool designed to assess the readiness of a country's existing social protection programmes to deliver resilience to climate and other shocks. Providing effective anticipatory and shock-responsive social protection requires a multilayered, comprehensive process that takes into account context-specific vulnerabilities and risks, as well as institutional capacities, finance and policies.

The ASPIRE tool provides a structured approach to assessing these complexities. Using the ASPIRE tool will help policymakers to assess their existing social protection strategies, policies and programmes and to understand their current capacities and needs and identify ways to improve the design and delivery of social protection programmes.

The tool is comprised of 37 indicators that have been designed to provide an accurate assessment of the current state of social protection strategies, policies and programmes and identify gaps and opportunities for improving risk-responsive planning and delivery.

The indicators are divided into four sections, each of which represents a core component of social protection programmes. Within each section, a series of questions interrogates the current position and generates a score.

The four sections are:



1) Policy framework

The policy assessment covers policy objectives, innovation, risk definition, target specification and assistance types that identify areas that require attention to enhance the anticipatory risk responsiveness of social protection programmes.



2) Systems domain

The systems assessment looks at financial capacity, administrative capacity, fiscal space, infrastructure, technology and information systems, and institutional mechanisms.



3) Programme design

The review of programme design evaluates the extent to which programmes incorporate anticipatory and shock-responsive elements and assesses programme efficacy, effectiveness, innovative disaster risk management instruments and a climate-focused approach.



4) Programme function

The assessment of programme function examines how well programmes perform in delivering resilience outcomes, including prevention, protection and promotion.

At the end of the process, users will have a comprehensive assessment of their country's current capacity to deliver anticipatory, risk-responsive social protection.

About this document

This document introduces the ASPIRE tool and provides practical guidance on how to use it.

First, we look at why social protection can be an effective strategy for delivering resilience, particularly in the context of growing climate change impacts on vulnerable communities.

Then we introduce the ASPIRE tool, what it is designed to assess and the core components.

In Part Three, we provide detailed practical guidance on how to use the tool to undertake an assessment. This section also includes advice on how to gather the information required for the evaluation.



1. Introduction

Social protection: an effective strategy to deliver climate resilience

Climate change poses a significant challenge

for Least Developed Countries (LDCs) and Small Island Developing States (SIDS). Rising temperatures, erratic rainfall and extreme weather events are worsening food and water insecurity, leading to malnutrition and famine. Displacement due to climate impacts is disrupting communities and livelihoods, while health risks are increasing with the spread of diseases and damage to healthcare infrastructure. These challenges perpetuate poverty cycles and deepen socioeconomic inequalities. Estimates suggest that climate change is already responsible for thousands of deaths annually and could push millions more into extreme poverty by 2030.¹

Urgent actions are needed to address climate change and enhance resilience to protect vulnerable populations, safeguard livelihoods, break the cycle of poverty and inequality, and secure a better future for LDCs and SIDS.

Social protection programmes have shown promise in delivering climate resilience.

They provide livelihood and income security, helping vulnerable communities maintain consumption levels during a crisis. Social protection programmes also provide access to basic services, improve health, nutrition and education outcomes, and prevent households from falling further into poverty due to climate shocks. Programmes such as Bangladesh's poverty reduction programme and Brazil's conditional cash transfer programme have been shown to have a positive impact on poverty reduction and inequality reduction.²

By recognising the urgency of climate change and harnessing the potential of social protection, we can mitigate the impacts of climate change, break the downward cycle of vulnerability and build a more resilient future.

Integrating anticipatory risk response in social protection programmes strengthens people's resilience

Investing in resilience-building measures before a crisis occurs is more cost-effective than relying on post-disaster aid.

Studies have shown that disaster resilience spending in Ethiopia and Kenya resulted in reduced humanitarian costs and development gains. Similarly, anticipatory risk-responsive social protection programmes have been shown to effectively protect assets and maintain consumption during climate shocks. For instance, Ethiopia's Productive Safety Net Programme helped households maintain and improve their standard of living during droughts. Anticipatory social protection measures have also been successful in Yemen, where immediate assistance and targeted social safety nets helped overcome the loss of crops and income.³

Providing social protection support before a crisis also reduces the likelihood of distress migration in communities exposed to climate impacts. It is important to note that distress migration can lead to trafficking and human rights violations.⁴

Anticipatory risk-responsive social protection programmes thus reduce the immediate impact of shocks on vulnerable populations and foster climate resilience. They achieve this by raising living standards, promoting human development, empowering women and marginalised communities, supporting economic development and inclusive growth and enhancing the wellbeing of target populations — thereby equipping these communities to withstand and recover from shocks more effectively.

Box 1: Key terms explained

Social protection — Social protection refers to a set of policies and programmes designed to provide support and assistance to individuals and families facing various risks and vulnerabilities, such as poverty, unemployment, illness, disability and old age. It aims to ensure a basic level of economic security and wellbeing for the most vulnerable members of society.

Climate resilience — Climate resilience is the ability of communities and ecosystems to adapt and withstand the impacts of climate change, such as extreme weather events, rising temperatures and sea-level rise, while still maintaining their functions and wellbeing. It involves being prepared to cope with and recover from these impacts, ensuring sustainability and protection against potential harm.

Anticipatory action — Anticipatory action refers to acting before a predicted crisis or risk, using early warning or climate impact forecasts to prevent or reduce the impacts before they unfold.

Anticipatory risk-responsive social protection programmes — Initiatives that provide financial and practical support to vulnerable communities before a climate-related crisis occurs. These programmes aim to anticipate and address the impacts of climate hazards, such as droughts or floods, by delivering assistance proactively. By doing so, they help communities prepare for and cope with disasters, reducing their vulnerability and promoting resilience. Such programmes require a comprehensive risk assessment, reliable early warning systems/climate change forecasts, pre-agreed plans for action and pre-agreed finance that is released predictably and rapidly when an agreed threshold of tolerance or trigger points are reached.

Challenges to delivering anticipatory risk-responsive social protection

Diverse country contexts require tailored responses for delivering anticipatory risk-responsive social protection. Practical delivery includes challenges, such as:

- **Varying climate risk levels and delivery capacity during crises:** Countries face different levels of climate risk based on their geographical location, exposure to extreme weather events and socioeconomic vulnerabilities. Developing countries, especially LDCs, often lack the necessary infrastructure, localised climate data, early warning systems, vulnerability assessments and targeted social protection measures to direct resources during crises.
- **Diverse social protection system maturity:** Social protection systems vary significantly in terms of coverage, comprehensiveness and maturity across different countries, particularly in LDCs. Some countries have well-established and robust social protection systems, while others have limited or underdeveloped systems that struggle to reach the most vulnerable individuals and communities. Tailored approaches and strategies are needed to address the varying levels of maturity in social protection systems.
- **Varying readiness levels:** The ability to effectively deliver anticipatory risk-responsive social protection relies on factors such as policy frameworks, financial management systems, infrastructure and institutional capacity. Not all countries are equally equipped in these areas. While some countries have well-established policies and systems in place, others, especially LDCs, face significant challenges and require external support and financial assistance to strengthen their capacities and effectively respond to climate-related crises.

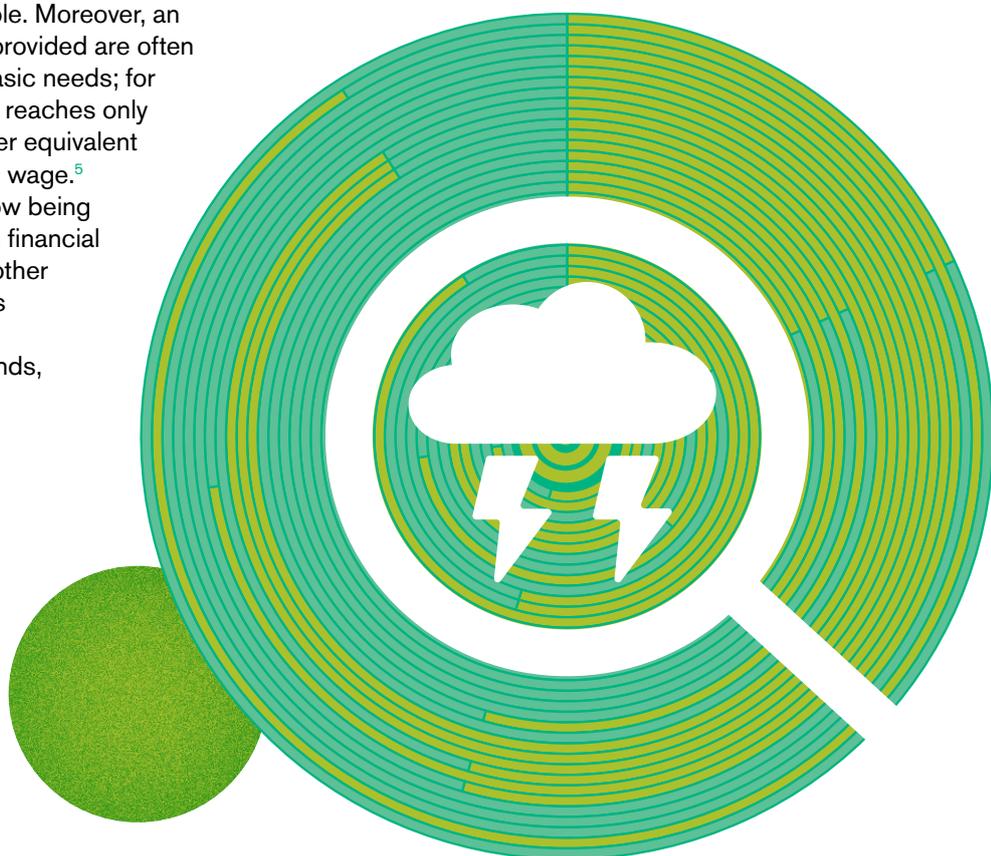
Addressing vulnerabilities and risks in diverse contexts requires building climate resilience within social protection systems, enhancing policy frameworks, strengthening financial management systems, improving infrastructure and providing capacity-building support. International cooperation and partnerships can play a crucial role in assisting countries and supporting their efforts to build resilience and enhance their social protection systems.

Limits on domestic resource mobilisation and international financing support: While the benefits of social protection are recognised, financing remains a constraint. Many low- and middle-income countries struggle to mobilise domestic resources, and competing government priorities limit the available fiscal resources for social protection. A comparison between richer and poorer countries reveals stark disparities, with richer countries providing significantly higher rates of social protection per person, whereas LDCs provide significantly lower support and patchy coverage.

In many countries, emergency responses have covered less than half of the population, with some countries protecting fewer than one in ten people. Moreover, an Oxfam study found that the benefits provided are often short-lived and insufficient to meet basic needs; for example, in Colombia, a new scheme reaches only a fraction of households with a transfer equivalent to a few days of the national minimum wage.⁵ Given the scale of climate impacts now being experienced, LDCs and SIDS require financial assistance from climate finance and other innovative sources of finance, such as parametric insurance, debt alleviation and corporate social responsibility funds, to provide adequate, comprehensive and anticipatory responses through social protection programmes.

Delivery capacity and ensuring ‘last mile’ connectivity to the social safety net during crises:

These challenges include effective targeting of vulnerable populations, patchy coverage and duplication of social protection programmes, underdeveloped early warning systems, inefficient decision and delivery mechanisms, slow financing schemes and difficulties in achieving integration and coordination among stakeholders. These challenges hinder the timely and effective response to climate-related crises, requiring attention and action to improve infrastructure, data availability, decision making processes, financing mechanisms and stakeholder collaboration. Addressing these challenges is crucial for strengthening delivery capacity and ensuring that the social safety net reaches those in need during a crisis.



2. About ASPIRE

What is ASPIRE?

The ASPIRE tool is a diagnostic tool designed to assess the readiness of a country's existing social protection programmes to deliver climate resilience. It can also be used to assess the ability of social protection programmes to deliver resilience to other shocks, such as economic shocks or pandemics. The tool's main purpose is to provide policymakers and other stakeholders with a comprehensive understanding of three critical aspects:

Firstly, the ASPIRE tool evaluates the level to which countries are delivering anticipatory support to communities that are exposed to crises, such as shocks linked to climate change. Anticipatory support involves taking proactive measures to mitigate the impact of potential crises before they occur. By analysing the extent of anticipatory support being provided, policymakers, funding organisations and delivery agencies can gain insights into the effectiveness of their social protection systems and can identify areas for improvement.

Secondly, the ASPIRE tool identifies gaps and opportunities in a country's policies, systems and programmes related to social protection. The tool delivers a comprehensive analysis that highlights the strengths and weaknesses of existing frameworks. This assessment can help policymakers, funding organisations and delivery agencies understand the specific areas that require further development or improvement. By addressing these gaps and capitalising on the opportunities identified, policymakers can enhance the overall effectiveness and reach of their social protection programmes.

Lastly, the ASPIRE tool focuses on ensuring that social protection programmes effectively target the most vulnerable communities in a timely and efficient manner. By understanding the specific vulnerabilities and needs of different communities, policymakers can design and implement targeted interventions. The tool can help policymakers, funding organisations and delivery agencies identify strategies to ensure that support reaches those who are most in need. This targeted approach can maximise the impact of social protection programmes in building climate resilience and ensure that resources are allocated where they are most needed.



What does the ASPIRE tool assess?

The ASPIRE tool provides a framework for assessing social protection programmes at two levels (see Figure 1).

At the first level, the ASPIRE tool analyses a country's social protection policy and systems. At the second level, it can be used to assess different social protection programmes that implement a country's social protection policy.

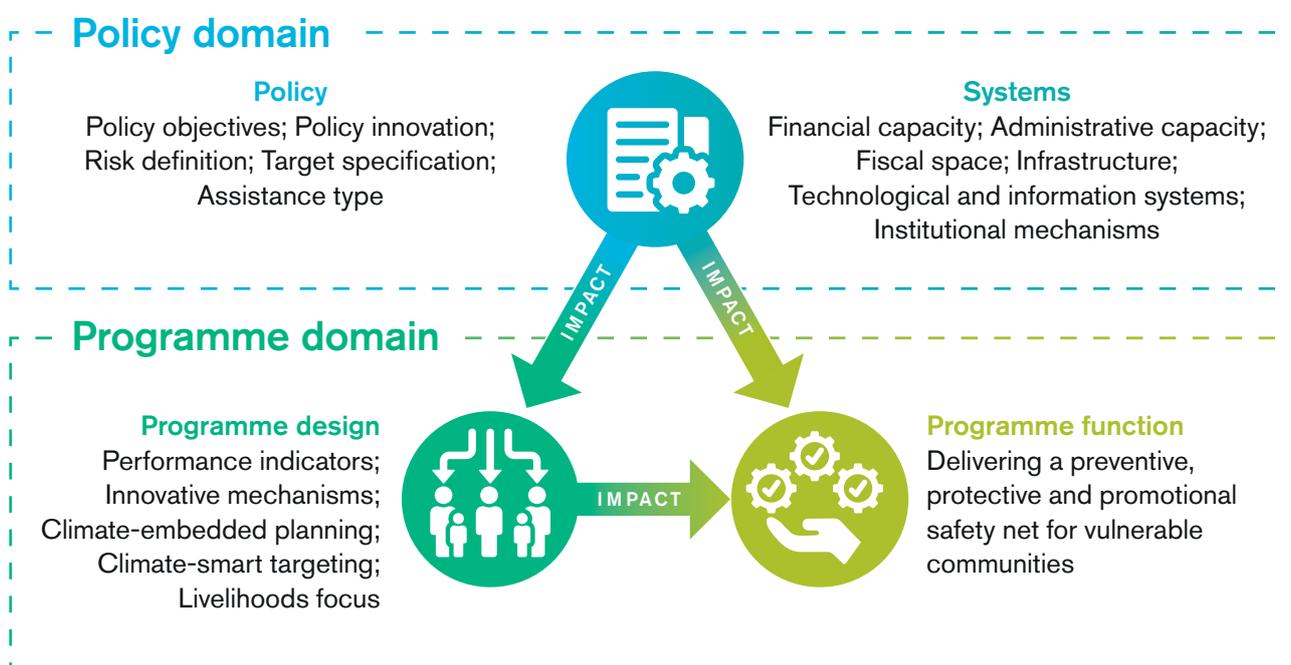


Figure 1: ASPIRE assessments analyse both the policy domain and programme-level function and effectiveness.

Country-level analysis

The first element assesses the country's policy and systems framework in relation to delivering anticipatory protection to communities during a crisis. The assessment includes 36 indicators: 17 indicators for the policy domain and 19 indicators for the system domain. These indicators are described below:

1. Policy framework

These look at five criteria that form the basis for delivering effective anticipatory risk responsiveness in social protection programmes. These criteria are:



Policy objectives: This looks at the inclusion of explicit objectives related to addressing climate-related risks and shocks. These objectives should be aligned with national climate change adaptation strategies and goals, ensuring coherence and synergy between different policy frameworks. The clarity and specificity of objectives related to anticipatory risk responsiveness are crucial in guiding the design and implementation of social protection programmes.



Policy innovation: This assesses the adoption of innovative approaches or mechanisms specifically designed to address climate-related risks, such as rights-based coverage or making entitlements portable. This may also include the integration of emerging technologies, data analytics or early warning systems to enhance anticipatory protection. Piloting or experimentation with new approaches allows for learning and adaptation to improve the effectiveness of anticipatory measures.



Risk definition: This assesses the identification and assessment of climate-related risks. This should include consideration of both slow and sudden-onset climate-related risks in the risk assessment process. Using scientific data, climate projections and vulnerability assessments can inform the understanding of climate-related risks and ensure that appropriate measures are put in place.



Target specification: This criterion assesses whether there is clear identification of target populations or vulnerable groups at risk from climate-related shocks and stresses. Specific criteria such as geographic location or socioeconomic characteristics should be used to define target populations. Flexibility in targeting approaches is important to account for changing climate risks and dynamics, ensuring that assistance reaches those who need it the most. Effective target specification is crucial in ensuring that anticipatory risk-responsive social protection programmes reach the most vulnerable populations.



Assistance type: This policy criterion covers the range and adequacy of anticipatory assistance measures within social protection programmes. It includes measures such as early warning systems, pre-emptive cash transfers, livelihood support and relocation assistance. Anticipatory risk-responsive measures should be integrated across different types of social protection programmes, such as social safety nets, health insurance or disaster response mechanisms.

Assessing policy indicators can help policymakers identify gaps, make informed adjustments and ensure policies align with the objective of anticipatory response.

2. Systems domain

The ASPIRE tool analyses the systems domain using these criteria:



Financial capacity: Adequate financial capacity is crucial for delivering anticipatory response within social protection

programmes. This entails ensuring the availability of sufficient funding for anticipatory measures, including the allocation of resources specifically dedicated to addressing climate-related risks. Flexibility in budgeting mechanisms is essential to accommodate the uncertainties and variability associated with climate-related shocks, allowing for timely and effective responses.



Administrative capacity: This criterion relates to whether there is sufficient administrative capacity to implement anticipatory response

measures successfully. This includes having skilled personnel and expertise in designing, implementing and monitoring such measures. Clear roles, responsibilities and coordination mechanisms among relevant government agencies involved in social protection and climate change adaptation are vital. Adequate training and capacity-building initiatives are also required to enhance the knowledge and skills of programme implementers.



Fiscal space: This assesses whether there is sufficient fiscal space to absorb the costs associated with anticipatory response

measures, including the availability of financial resources and the capacity to allocate them effectively. It is important to ensure financial sustainability and long-term funding for anticipatory actions within social protection programmes. Careful consideration of trade-offs and prioritisation of resources between different components of social protection and climate adaptation is necessary.



Infrastructure: Climate-resilient infrastructure plays a key role in delivering anticipatory response within social protection

programmes. Adequate infrastructure is required to support early warning systems, data collection and the dissemination of information, facilitating timely and effective responses. Identifying infrastructure gaps and investment needs is crucial to enhance the anticipatory capacity of social protection programmes.



Technology and information systems:

This criterion looks at the utilisation of appropriate technologies and information systems for effective anticipatory response. This includes employing remote sensing, modelling and data analytics to enhance the accuracy and timeliness of climate-related risk information. Integration of climate and weather data into social protection information systems helps support anticipatory response measures. Accessible information systems and tools are necessary to facilitate decision making and coordination among stakeholders involved in anticipatory response.



Institutional mechanisms: Clear institutional frameworks and mechanisms are vital for facilitating the delivery of anticipatory

response within social protection programmes. This includes coordination and collaboration between relevant government agencies, civil society organisations and other stakeholders involved in social protection and climate change adaptation. Integrating anticipatory response measures into existing institutional structures and processes ensures their effective implementation.

By considering and assessing these systems domain criteria, the ASPIRE tool provides insights into the functioning and performance of systems that support policy implementation. It helps to identify strengths, weaknesses and bottlenecks within systems, thereby enabling targeted interventions for improvement.

Programme-level analysis

The second major component of the ASPIRE tool allows users to analyse programme-level elements, namely programme design and programme function. The programme design assessment is grouped around four criteria, and the programme function assessment is grouped around three criteria.

3. Programme design

This component assesses the design features of social protection programmes that use different delivery mechanisms, such as cash transfers, public works and food assistance. It evaluates the extent to which the programme design incorporates anticipatory and shock-responsive elements. These indicators assist assessment under the following four criteria:



Programme efficacy: This criterion focuses on the extent to which anticipatory social protection programmes achieve their intended outcomes and goals. It covers the programme's ability to effectively address climate-related risks and shocks through anticipatory measures. Key indicators include the accuracy of risk assessment, the timeliness of response, and the appropriateness of interventions. Programme efficacy also considers the programme's ability to reach and benefit the target population, as well as the efficiency of resource utilisation.



Programme effectiveness: Programme effectiveness evaluates the actual impact and outcomes of anticipatory social protection programmes in reducing vulnerability and building resilience. It examines the extent to which the programme has achieved its intended outcomes and made a positive difference in the lives of the targeted individuals or communities. Indicators include improvements in adaptive capacity, reduced loss and damage from climate-related events and enhanced livelihoods and wellbeing.



Innovative disaster risk management instruments: This criterion has indicators that focus on the use of innovative tools and instruments within anticipatory social protection programmes to manage and respond to climate-related risks. It assesses the adoption of new approaches and technologies, such as early warning systems, remote sensing or mobile-based platforms, to enhance the programme's ability to anticipate and respond to climate-related shocks. Innovation in programme design, delivery mechanisms and financing strategies can contribute to the effectiveness of anticipatory measures.



Climate-focused approach: A climate-focused approach refers to the integration of climate change considerations and adaptation strategies into the design and implementation of anticipatory social protection programmes. This includes the explicit recognition of climate-related risks and the development of targeted interventions to address these risks. Indicators for a climate-focused approach include the incorporation of climate projections and vulnerability assessments into programme design, the consideration of long-term climate change impacts, and alignment with national climate change policies and strategies.

By assessing these programme design indicators, policymakers and evaluators can identify areas for improvement in programme design, delivery mechanisms and the adoption of innovative approaches. Additionally, a climate-focused approach ensures that programmes are responsive to the specific challenges posed by climate change and contribute to building climate resilience in vulnerable populations.

4. Programme function

The third and final component of the ASPIRE tool assesses the functioning of social protection programmes across 18 indicators. It analyses how well these programmes perform in delivering resilience outcomes under the following three criteria:



Prevention: This indicator focuses on the programme's ability to prevent or reduce the occurrence of negative impacts from climate-related risks and shocks. Key indicators include the availability and effectiveness of early warning systems and risk assessment mechanisms, as well as the programme's capacity to implement proactive measures to mitigate the impacts of climate-related events. Prevention measures may include community-based disaster risk reduction activities, land and natural resource management, and climate-resilient infrastructure development.



Protection: Protection indicators assess the programme's ability to provide support and assistance to individuals and communities affected by climate-related risks and shocks. This includes the availability of social safety nets, insurance schemes or cash transfer programmes that provide financial assistance to those impacted by climate events. Indicators also include the accessibility and adequacy of support services, such as healthcare, psychosocial support and livelihood restoration. The programme should ensure that vulnerable populations, including women, children and marginalised groups, are adequately protected.



Promotion: Promotion indicators focus on the programme's ability to promote long-term resilience and sustainable development in the face of climate change. This includes measures that enhance adaptive capacity, promote livelihood diversification and facilitate the transition to low-carbon and climate-resilient economies. Indicators for promotion may include training and capacity-building initiatives, support for income-generating activities and the integration of climate change considerations into development planning and decision-making processes.

By assessing these programme function indicators, policymakers and evaluators can identify strengths and areas for improvement in programme design and implementation to enhance the programme's ability to prevent, protect and promote resilience in the face of climate-related risks and shocks. This includes assessing their ability to absorb shocks, enhance adaptive capacity, reduce risks and provide support for recovery.

Additionally, a comprehensive and balanced approach to these programme functions ensures that anticipatory social protection programmes contribute to the overall wellbeing and sustainable development of vulnerable populations.

Figure 2 below summarises the different domains that can be analysed using the ASPIRE tool.

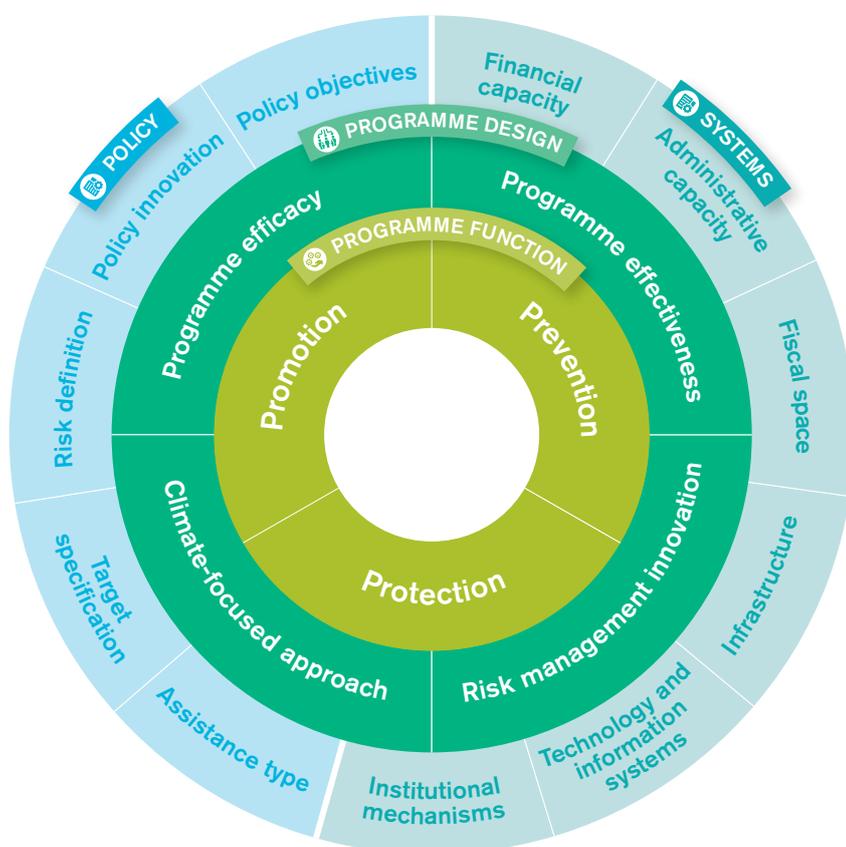


Figure 2: Criteria for assessment under the policy and programme domains

Who should use the ASPIRE tool – and how can it help

This self-diagnostic tool will be especially valuable for policymakers in LDCs and SIDS, funders and development agencies and practitioners. Here is how each stakeholder group can benefit and use the tool to improve the delivery of social protection programmes:

(i) Policymakers in LDCs and SIDS:

Understanding gaps and opportunities: The self-diagnostic tool can help policymakers identify gaps and opportunities in delivering social protection programmes to vulnerable communities in a timely and targeted manner. It can highlight areas where the programmes are effective and areas that need improvement.

Assessing administrative and financial capacity: The tool can assess social protection programmes' administrative and financial capacity, helping policymakers identify gaps and areas that need strengthening. It can provide insights into the resources and skills required to enhance administrative efficiency and ensure adequate financial capacity.

Enhancing planning and infrastructure: The self-diagnostic tool can identify gaps in planning processes and infrastructure. It can guide policymakers in enhancing planning mechanisms and investing in the necessary infrastructure to support timely and effective response measures for crisis situations.

Improving institutional coordination: The tool can assess the level of institutional coordination among relevant government agencies involved in social protection and climate change adaptation. It can identify areas where improved coordination and collaboration are needed, enabling policymakers to strengthen institutional mechanisms and enhance inter-agency coordination.

(ii) Funding agencies:

Targeted funding decisions: The self-diagnostic tool can provide funders with a comprehensive understanding of the specific needs and gaps in delivering anticipatory responses through social protection programmes in LDCs and SIDS. It can help funders identify priority areas for investment, such as strengthening administrative capacity, improving financial mechanisms, supporting infrastructure development and enhancing institutional coordination.

Resource allocation: The tool can guide funders in allocating resources effectively to support LDCs and SIDS in delivering anticipatory responses to climate change. It can help them determine where their funding can have the most significant impact and contribute to building resilience among vulnerable communities.

Supporting capacity development: The tool can highlight capacity gaps within social protection programmes, enabling funders to target their support towards capacity-building initiatives. This can include training programmes, technical assistance and knowledge sharing to enhance the skills and expertise necessary for delivering anticipatory responses.

(iii) Development agencies/practitioners:

Programme improvement: The self-diagnostic tool can help development agencies and practitioners understand gaps and areas for improvement in the design and delivery of existing social protection programmes. It can identify areas where improvements can be made, such as policy innovation, programme design and programme functioning.

Knowledge sharing and capacity building: The tool can facilitate knowledge sharing and learning among development agencies and practitioners by providing a common framework for assessing anticipatory risk responsiveness. It can help identify best practices and successful approaches that can be shared and replicated, fostering collaboration and capacity development.

Programme evaluation: The tool can serve as a basis for programme evaluation, enabling development agencies and practitioners to monitor and assess the progress of social protection programmes in delivering anticipatory responses. It provides a structured approach for measuring programme performance and impact, supporting evidence-based decision making and continuous improvement.

Overall, a self-diagnostic tool for measuring anticipatory risk responsiveness of social protection programmes can empower stakeholders to understand gaps, opportunities and capacity needs. It can inform policy decisions, funding priorities and programme improvement strategies, ultimately enhancing the effectiveness and impact

of social protection programmes in delivering timely and targeted support to vulnerable communities in the face of climate change.

Figure 3, below, explains how the ASPIRE tool can help address the challenges of delivering anticipatory risk-responsive social protection.



Figure 3: How the ASPIRE tool helps address challenges of delivering anticipatory risk-responsive social protection

3. Using the ASPIRE tool

This section sets out where users can find the information needed to complete an ASPIRE assessment. It then provides a comprehensive guide to scoring each element.

Collecting information for an ASPIRE assessment

The data and information used for scoring indicators in the ASPIRE tool can be collected from various sources, including:

Existing social protection policies and programme documents: These documents outline the objectives, strategies and design of social protection programmes. They provide essential information about the programmes' scope, coverage and eligibility criteria, as well as the intended outcomes and target populations. Analysing these documents can provide information for scoring indicators on policy objectives, innovation targeting, risk responsiveness and alignment of programmes with climate resilience objectives.

National development plans and strategies: National development plans and strategies outline a country's long-term goals and priorities, including social protection objectives. These documents provide insights into the policy framework, planning cycle and whether they embed preparedness and crisis response. They can also help assess the alignment of policies and programmes with broader national development priorities, including climate resilience goals.

Financial reports and budgetary allocations: Financial reports and budgetary allocations related to social protection programmes provide information on the resources allocated to programme implementation, whether there are contingencies built in for crisis response, and how they are allocated. Analysing budgetary allocations and their devolution to local levels can help assess the adequacy and efficiency of the system during a crisis. Financial reports covering several years can also indicate the financial sustainability of social protection programmes and whether they were able to increase allocation or respond to climate resilience needs during climate disasters by analysing the budget spend in those years.

Evaluation reports, research studies and academic publications: Evaluation and research reports can provide comprehensive assessments of social protection programmes, often conducted by independent evaluators or research organisations.

These reports offer insights into programme effectiveness, efficiency and impact. They can include data on programme impact, targeting mechanisms, delivery mechanisms and beneficiaries' experiences. These evaluation reports can provide insights into strengths, weaknesses and areas for improvement in programme design and implementation that can be helpful in scoring.

Existing assessments of social protection programme functions: Various assessments, such as programme reviews, performance audits or sectoral studies, may have been conducted on social protection programmes. These assessments can provide valuable data on programme functions, administrative capacity, financial management, coordination mechanisms and service delivery. They help identify gaps and opportunities for enhancing programme responsiveness to climate resilience that can be used in scoring.

Statistical data and reports: Statistical data, such as poverty and vulnerability indicators, population demographics and climate-related data, are essential for analysing social protection programmes' performance and targeting effectiveness. Data and reports of national statistical agencies and research institutions can provide data on social and economic indicators that can be used to assess programme outcomes and impacts.

Stakeholder consultations: Engaging with stakeholders, including government officials, nongovernmental organisations (NGOs), national experts, research institutions, think tanks, civil society organisations (CSOs) and community-based organisations (CBOs), will be crucial for validating the scoring on policy and programme performance. Stakeholder consultations can provide insights into programme reach, accessibility and barriers, which may not be available in reports and policy documents. They can help validate data and scoring and provide a more comprehensive understanding of the policy and programme effectiveness in delivering an anticipatory safety net.

How to use the ASPIRE tool

This section provides guidance on how to assess and score the performance of social protection policies, systems and programmes using the ASPIRE tool.

It describes how to score the different questions under each criterion and indicator. Once the users have allocated a score to all the questions, they will be able to arrive at a total score under each criterion and overall index values of performance.

ASPIRE has already been used to assess eight countries. To see more about how the scoring was carried out, please refer to the working paper:

Delivering anticipatory social protection
 — <https://www.iied.org/21896iied>

How to complete the score sheet for policy



Policy objectives

Guiding question 1.1.1*	Does the country's social protection policy (or policies) have a clear vision, goals and objectives?
Scoring	Allocate one point for every statement which is correct. A maximum score of 5 is possible.
	If the policy assures adequate protection to people with low incomes whose ability to cope is reduced by crisis and economic adjustment — assign a score of 1
	If the policy guarantees support to prevent and protect against risks faced by the people — assign a score of 1
	If the policy sets out the right to social security and prohibits discrimination of any kind as to race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status — assign a score of 1
	If the policy promotes effective targeting by avoiding the errors of exclusion and inclusion — assign a score of 1
	If the policy does not create a culture of dependency among the target population and encourages them to search for livelihood opportunities actively — assign a score of 1

*The guiding question number indicates the number of the question in the toolkit. This can be useful for the users to cross-check the guidance while undertaking an ASPIRE assessment.

Guiding question 1.1.2	Does the policy explicitly mention building resilience to climate shocks as an objective?
Scoring	Each possible answer has a score assigned to it. Please choose the one that most relates to the country. The maximum score can be 5.
	If more than one major social protection programme has climate resilience-building features — choose a score of 5
	If at least one major social protection programme has climate resilience-building features — choose a score of 4
	If climate resilience-building features are explicitly mentioned in a social protection policy, but they are not implemented — choose a score of 3
	If climate resilience-building features are implicitly assumed in the social protection policy but are not directly mentioned — choose a score of 2
	If climate resilience-building features are not mentioned in the social protection policy — choose a score of 1

Guiding question 1.1.3	Does the policy prioritise anticipatory response to climate shocks (such as preparedness and proactive measures to mitigate impacts)?
Scoring	Each possible answer has a score assigned to it. Please choose the one that most relates to the country. The maximum score can be 5.
	If more than one major social protection programme features anticipatory response to climate shocks — assign a score of 5
	If at least one major social protection programme features anticipatory response — assign a score of 4
	If anticipatory response features are explicitly mentioned in the social protection policy but are not implemented — assign a score of 3
	If anticipatory response features are implicitly referred to in the social protection policy but not set out — assign a score of 2
	If anticipatory response features are not mentioned in the social protection policy — assign a score of 1

Guiding question 1.1.4	Does the country use systematic policy planning cycle mechanisms to manage the design and delivery of social protection programmes?
Scoring	Allocate one point for every statement which is correct. A maximum score of 5 is possible for this question.
	If evidence-based policymaking processes were used to develop the policy — assign a score of 1
	If public consultations were undertaken while developing the policy — assign a score of 1
	If the policy incorporates mechanisms for review and monitoring of the policy practices — assign a score of 1
	If evaluations of the effectiveness of the policy are regularly conducted — assign a score of 1
	If the policy has been revised/updated at least once in the last five years — assign a score of 1



Policy innovation

Guiding question 1.2.1	Are rights-based regulatory provisions given for the social protection of vulnerable communities?
Scoring	Allocate one point for every statement which is correct. A maximum score of 5 is possible for this question.
	If there is evidence that a thorough analysis has been made to identify the groups that are the most disadvantaged and vulnerable — assign a score of 1
	If there is evidence that public authorities are providing rights holders with access to information and access to decision making on social protection-related policies and services and effective access to justice and remedy — assign a score of 1
	If evaluation findings and court judgements indicate that access to social protection has improved — assign a score of 1
	If evaluation findings indicate whether vulnerable communities have equal access to social protection — assign a score of 1
	If there is evidence of rights awareness and of rights claims being exercised by rights holders, demonstrating that claimants have sufficient and accessible information and have a clear understanding of the issues — assign a score of 1

Guiding question 1.2.2	Does the policy offer portable benefits for migrant populations?
Scoring	Each possible answer has a score assigned to it. Please choose the one that most relates to the country. The maximum score can be 5.
	If portable benefits for migrant populations are offered in more than one major social protection programme — assign a score of 5
	If portable benefits for migrant populations are offered in at least one major social protection programme — assign a score of 4
	If portable benefits are clearly defined in the policy document, but they are not implemented — assign a score of 3
	If portable benefits for migrant populations are referred to in the policy but not implemented — assign a score of 2
	If portable benefits for the migrant populations are not defined in the policy document — assign a score of 1

Guiding question 1.2.3	Does the policy emphasise universal access to a range of benefits by vulnerable communities?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.
	If there is evidence showing that more than 75% of the targeted population is covered by more than one major social protection programme — assign a score of 5
	If there is evidence showing that more than 75% of the targeted population is covered by at least one major social protection programme — assign a score of 4
	If the policy explicitly mentions universal access, but this is not implemented — assign a score of 3
	If the policy implicitly refers to universal access to a range of benefits by vulnerable communities, but this is not implemented — assign a score of 2
	If the policy does not mention access to a range of benefits by vulnerable communities — assign a score of 1

Guiding question 1.2.4	Does the policy acknowledge community and private sector engagement in social protection interventions?
Scoring	Allocate one point for every statement which is correct. A maximum score of 5 is possible for this question.
	If there is evidence of institutionalised consultations between the ministry responsible for the delivery of social protection and CBOs/NGOs/CSOs — assign a score of 1
	If there is evidence of institutionalised consultations between local authorities with responsibility for the delivery of social protection and CBOs/NGOs/CSOs — assign a score of 1
	If there is evidence of engagement of CBOs/ NGOs/CSOs in the social protection programmes implemented by national government — assign a score of 1
	If there is evidence of financial contribution from private sector organisations in at least one social protection programme — assign a score of 1
	If there is evidence of implementing social audits to review and monitor programme operations and that the data on monitoring is shared in the public domain — assign a score of 1



Risk definition

Guiding question 1.3.1	Does the policy identify types of risk that the most vulnerable communities face?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.
	If more than one major social protection programme covers at least 75% of the most vulnerable communities identified — assign a score of 5
	If at least one major social protection programme covers at least 75% of the most vulnerable communities identified — assign a score of 4
	If the policy explicitly identifies types of risk faced by the most vulnerable communities, but programmes in operation do not address these risks — assign a score of 3
	If the policy implicitly refers to types of risk faced by the most vulnerable communities, but programmes in operation do not address these risks — assign a score of 2
	If the policy does not identify types of risk that the most vulnerable communities face — assign a score of 1

Guiding question 1.3.2	Does the policy clearly define trigger points for hazard events (for example, anticipated drought based on rainfall data) that may activate the anticipatory social protection?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.
	If more than one major social protection programme has identified trigger points for hazard events — assign a score of 5
	If at least one major social protection programme has identified trigger points for hazard events — assign a score of 4
	If the policy defines trigger points for hazard events that may activate the anticipatory social protection, but the programmes currently in operation fail to act in response to trigger points — assign a score of 3
	If the policy implicitly defines trigger points for hazard events that may activate the anticipatory social protection, but they are not described in full — assign a score of 2
	If the policy does not define trigger points for hazard events that may activate the anticipatory social protection — assign a score of 1

Guiding question 1.3.3	Does the policy set out contingency plans for social protection measures to come into force when trigger points for hazard events are reached?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.
	If more than one major social protection programme includes contingency plans based on trigger points for hazard events — assign a score of 5
	If at least one major social protection programme includes contingency plans based on trigger points for hazard events — assign a score of 4
	If the policy explicitly describes contingency plans based on trigger points for hazard events, but the plans are not implemented — assign a score of 3
	If the policy implicitly refers to contingency plans based on trigger points for hazard events, but the plans are not implemented — assign a score of 2
	If the policy does not include contingency plans for social protection measures based on trigger points for hazard events — assign a score of 1



Target specification

<p>Guiding question 1.4.1</p>	<p>Does the policy identify the groups of households or individuals who are most at risk of being affected by shocks or crises and should be targeted for assistance?</p>
<p>Scoring</p>	<p>Allocate one point for every statement which is correct. A maximum score of 5 is possible for this question.</p>
	<p>If women are covered — assign a score of 1</p>
	<p>If children are covered — assign a score of 1</p>
	<p>If elderly and differently abled people are covered — assign a score of 1</p>
	<p>If socially/racially marginalised communities are covered — assign a score of 1</p>
	<p>If displaced and migrant communities are covered — assign a score of 1</p>
<p>Guiding question 1.4.2</p>	<p>Does the policy recognise a diversity of vulnerability (for example, women, children, elderly people, displaced people, etc.)?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If there is evidence of coverage of different vulnerable groups in more than one major social protection programme — assign a score of 5</p>
	<p>If there is evidence of coverage of different vulnerable groups in at least one major social protection programme — assign a score of 4</p>
	<p>If the diversity of vulnerability is explicitly recognised in the policy document, but there is no evidence of the policy addressing this — assign a score of 3</p>
	<p>If the diversity of vulnerability is implicitly recognised in the policy document, but there is no evidence that the policy addresses this — assign a score of 2</p>
	<p>If the policy does not recognise the diversity of vulnerability — assign a score of 1</p>

Guiding question 1.4.3	Does the policy specify who is eligible for assistance from social protection programmes, and are they able to access their entitlements?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.
	If there is evidence of eligible groups receiving programme benefits in more than one social protection programme — assign a score of 5
	If there is evidence of eligible groups receiving programme benefits in one programme — assign a score of 4
	If the policy explicitly specifies who is eligible, but there is no evidence of the specified target groups receiving benefits — assign a score of 3
	If the policy implicitly defines who is eligible for assistance, but there is no evidence of the specified target groups receiving benefits — assign a score of 2
	If the policy does not specify who is eligible for assistance — assign a score of 1

Guiding question 1.4.4	Are targeting criteria transparent, fair and based on objective indicators defining vulnerability?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.
	If there is evidence of the adoption of transparent/fair/objective targeting criteria in more than one major social protection programme — assign a score of 5
	If there is evidence of the adoption of transparent/fair/objective targeting criteria in at least one major social protection programme — assign a score of 4
	If the policy explicitly defines transparent/fair/objective targeting criteria, but there is no evidence of these being implemented — assign a score of 3
	If the policy implicitly defines transparent/fair/objective targeting criteria, but there is no evidence of these being implemented — assign a score of 2
	If the policy does not specify transparent/fair/objective targeting criteria — assign a score of 1



Assistance type

<p>Guiding question 1.5.1</p>	<p>Does the policy explicitly set out the types of assistance provided through social protection programmes, such as income support, food assistance, healthcare, etc.?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If there is evidence that more than one major social protection programme delivers clearly defined types of assistance — assign a score of 5</p>
	<p>If there is evidence that at least one major social protection programme delivers clearly defined types of assistance — assign a score of 4</p>
	<p>If the policy explicitly specifies the types of assistance to be provided via social protection programmes, but there is no evidence of implementation — assign a score of 3</p>
	<p>If the policy implicitly refers to the types of assistance to be provided via social protection programmes, but there is no evidence of implementation — assign a score of 2</p>
	<p>If the policy does not refer to the types of assistance to be provided via social protection programmes — assign a score of 1</p>

<p>Guiding question 1.5.2</p>	<p>Is the assistance specified comprehensive (in other words, providing livelihood support, health, food, shelter, education, etc., depending on the local context)?</p>
<p>Scoring</p>	<p>Allocate one point for every statement which is correct. A maximum score of 5 is possible for this question.</p>
	<p>If the assistance covers more than one thematic area to ensure vulnerable families have a comprehensive safety net during a crisis to prevent them from slipping into further vulnerability — assign a score of 1</p>
	<p>If the assistance makes use of a social registry to ensure households/ individuals can access more than one programme through a single registry — assign a score of 1</p>
	<p>If the assistance employs a convergence strategy with different programmes to break down programme siloes and ensure better coordination — assign a score of 1</p>
	<p>If the assistance offers rights-based access to social protection so that communities have assured access to safety net programmes — assign a score of 1</p>
	<p>If the delivery mechanism ensures that there is coordination among schemes and ministries/departments so that there is a mechanism to translate policies into practice — assign a score of 1</p>

How to complete the score sheet for systems



Financial capacity

<p>Guiding question 2.1.1</p>	<p>What is the country's income category?</p> <p>The classification of countries by income category is commonly based on the World Bank's income classifications, which use gross national income (GNI) per capita as the primary criterion. The World Bank classifies countries into four income categories, namely high income, upper-middle income, lower-middle income and low income. The data on the country's income category can be obtained from the latest databases of the World Bank. Insert actual value.</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 4.</p>
	<p>If the country is in the high income category — assign a score of 4</p>
	<p>If the country is in the upper-middle income category — assign a score of 3</p>
	<p>If the country is in the lower-middle income category — assign a score of 2</p>
	<p>If the country is in the low income category — assign a score of 1</p>
<p>Guiding question 2.1.2</p>	<p>What is the economic dependency index?</p> <p>The economic dependency index lists the countries that lack sustainability in development growth due to economic instability and humanitarian crisis. It is comprised of three indicators: public aid per capita, net official development assistance (ODA) received in percentage of gross national income (GNI), and volume of remittances. The data on the economic dependency index can be obtained from the latest INFORM Risk Report.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is less than 2 — assign a score of 1</p>
	<p>If the value is equal to or greater than 2 and less than 5 — assign a score of 2</p>
	<p>If the value is equal to or greater than 5 and less than 7 — assign a score of 3</p>
	<p>If the value is equal to or greater than 7 and less than 9 — assign a score of 4</p>
	<p>If the value is equal to or greater than 9 — assign a score of 5</p>



Administrative capacity

<p>Guiding question 2.2.1</p>	<p>What is the government effectiveness index?</p> <p>The government effectiveness index captures perceptions of the quality of public services, the quality of the civil service and the degree of its independence from political pressures, the quality of policy formulation and implementation, and the credibility of the government's commitment to such policies. The data on the government effectiveness index can be obtained from the latest INFORM Risk Report.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is less than 2 — assign a score of 1</p>
	<p>If the value is equal to or greater than 2 and less than 5 — assign a score of 2</p>
	<p>If the value is equal to or greater than 5 and less than 7 — assign a score of 3</p>
	<p>If the value is equal to or greater than 7 and less than 9 — assign a score of 4</p>
	<p>If the value is equal to or greater than 9 — assign a score of 5</p>
<p>Guiding question 2.2.2</p>	<p>What is the corruption perception index?</p> <p>The corruption perception index describes the level of misuse of political power for private benefit, which is not directly considered in the construction of the government effectiveness index, although they are interrelated. The data on the corruption index can be obtained from the latest INFORM Risk Report.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is less than 2 — assign a score of 1</p>
	<p>If the value is equal to or greater than 2 and less than 5 — assign a score of 2</p>
	<p>If the value is equal to or greater than 5 and less than 7 — assign a score of 3</p>
	<p>If the value is equal to or greater than 7 and less than 9 — assign a score of 4</p>
	<p>If the value is equal to or greater than 9 — assign a score of 5</p>



Fiscal space

<p>Guiding question 2.3.1</p>	<p>What is the spending on social assistance programmes as a percentage of GDP?</p> <p>Spending on social assistance by countries refers to the financial resources allocated by governments to provide support and assistance to individuals or households who are in need or facing social and economic challenges. The spending on social assistance by a country is represented as a percentage of GDP.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is greater than 4% — assign a score of 5</p> <p>If the value is equal to or greater than 3% and less than 4% — assign a score of 4</p> <p>If the value is equal to or greater than 2% and less than 3% — assign a score of 3</p> <p>If the value is equal to or greater than 1% and less than 2% — assign a score of 2</p> <p>If the value is less than 1% — assign a score of 1</p>
<p>Guiding question 2.3.2</p>	<p>Is there a special allocation of contingency funds for anticipatory risk financing?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.</p>
	<p>If there is evidence of special allocation of contingency funds for anticipatory risk financing in more than one major social protection programme — assign a score of 3</p> <p>If there is evidence of special allocation of contingency funds for anticipatory risk financing in at least one major social protection programme — assign a score of 2</p> <p>If there is no evidence of special allocation of contingency funds for anticipatory risk financing — assign a score of 1</p>

Guiding question 2.3.3	Does the country have access to extra-budgetary resources, including international financial institutions and donor organisations?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.
	If funds are sourced from extra-budgetary resources in more than one major social protection programme — assign a score of 3
	If funds are sourced from extra-budgetary resources in at least one major social protection programme — assign a score of 2
	If there is no evidence of sourcing funds from extra-budgetary resources — assign a score of 1

Guiding question 2.3.4	Do policies incorporate the use of private sector financing (such as green bonds, resilience bonds, etc.)?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.
	If there is evidence of the adoption of private sector financing in more than one major social protection programme — assign a score of 3
	If there is evidence of the adoption of private sector financing in at least one major social protection programme — assign a score of 2
	If there is no evidence for the adoption of private sector financing — assign a score of 1

Guiding question 2.3.5	Does the country integrate and use disaster risk financing (DRF) instruments (for example, crop insurance, health insurance, contingent credit, catastrophe insurance, reinsurance, catastrophe bonds, etc.)?
Scoring	Allocate one point for every statement which is correct. A maximum score of 5 is possible for this question.
	If there is a mandate to integrate DRF instruments into social protection programme delivery — assign a score of 1
	If the programme has integrated DRF mechanisms into programme delivery — assign a score of 1
	If DRF support is provided in an anticipatory manner in the event of shock or climate crisis — assign a score of 1
	If there is a policy for targeting DRF towards the most vulnerable geographies, households, and individuals — assign a score of 1
	If DRF integration and implementation are undertaken with support from a range of stakeholders — assign a score of 1



Infrastructure

<p>Guiding question 2.4.1</p>	<p>What is the communication index?</p> <p>The communication index measures the efficiency of dissemination of early warnings through a communication network, as well as the coordination of preparedness and emergency activities. It looks at how widely dispersed the communication infrastructure is, as well as the literacy and education level of the recipients. The data on the communication index can be obtained from the latest INFORM Risk Report.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is less than 2 — assign a score of 1</p>
	<p>If the value is equal to or greater than 2 and less than 5 — assign a score of 2</p>
	<p>If the value is equal to or greater than 5 and less than 7 — assign a score of 3</p>
	<p>If the value is equal to or greater than 7 and less than 9 — assign a score of 4</p>
	<p>If the value is equal to or greater than 9 — assign a score of 5</p>
<p>Guiding question 2.4.2</p>	<p>What is the physical connectivity index?</p> <p>The physical infrastructure component tries to assess the accessibility as well as the redundancy of the lifeline systems, which are crucial in a crisis situation (such as roads, water and sanitation systems). The data on the physical connectivity index can be obtained from the latest INFORM Risk Report.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is less than 2 — assign a score of 1</p>
	<p>If the value is equal to or greater than 2 and less than 5 — assign a score of 2</p>
	<p>If the value is equal to or greater than 5 and less than 7 — assign a score of 3</p>
	<p>If the value is equal to or greater than 7 and less than 9 — assign a score of 4</p>
	<p>If the value is equal to or greater than 9 — assign a score of 5</p>



Technology and information systems

<p>Guiding question 2.5.1</p>	<p>Does a national database/social registry exist, and is it used for delivering social protection?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.</p>
	<p>If there is evidence of a national database/social registry being employed in more than one major social protection programme — assign a score of 3</p>
	<p>If there is evidence of a national database/social registry being employed in at least one major social protection programme — assign a score of 2</p>
	<p>If there is no evidence of a national database/social registry being employed in social protection programmes — assign a score of 1</p>
<p>Guiding question 2.5.2</p>	<p>Are climate-smart information systems used for social protection?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.</p>
	<p>If there is evidence of climate-smart information systems being used in more than one major social protection programme — assign a score of 3</p>
	<p>If there is evidence of climate-smart information systems being used in at least one major social protection programme — assign a score of 2</p>
	<p>If there is no evidence of climate-smart information systems being used in a social protection programme — assign a score of 1</p>
<p>Guiding question 2.5.3</p>	<p>Are early warning systems for major climate hazards available?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.</p>
	<p>If there is evidence of early warning systems for major climate hazards being employed in more than one major social protection programme — assign a score of 3</p>
	<p>If there is evidence of early warning systems for major climate hazards being employed in at least one major social protection programme — assign a score of 2</p>
	<p>If there is no evidence of early warning systems being employed in social protection programmes — assign a score of 1</p>

Guiding question 2.5.4	Are risk thresholds based on early warning systems applied in social protection programmes?
Scoring	Each possible answer has a score assigned to it; please choose the answer that is most accurate; the maximum score can be 3.
	If risk thresholds based on early warning systems are employed in at least one programme — assign a score of 3
	If risk thresholds based on early warning systems are defined but not employed in practice — assign a score of 2
	If risk thresholds based on early warning systems are not defined — assign a score of 1

Guiding question 2.5.5	Are artificial intelligence (AI), risk modelling, etc. used to implement the programmes?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.
	If there is evidence of AI, risk modelling, etc. being used in more than one social protection programme — assign a score of 3
	If there is evidence of AI, risk modelling, etc. being used in at least one social protection programme — assign a score of 2
	If there is no evidence of AI, risk modelling, etc. being used in a social protection programme — assign a score of 1

Guiding question 2.5.6	Are platforms for enhanced efficiency and effectiveness of the delivery of social protection entitlements used (for example, the Jan Dan-Aadhaar-Mobile trinity of India)?
Scoring	Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.
	If there is evidence of platforms for efficient delivery of social protection entitlements being employed in more than one major social protection programme — assign a score of 3
	If there is evidence of platforms for efficient delivery of social protection entitlements being employed in at least one major social protection programme — assign a score of 2
	If there is no evidence of platforms for efficient delivery of social protection entitlements being employed in major social protection programmes — assign a score of 1



Institutional mechanisms

<p>Guiding question 2.6.1</p>	<p>Do mechanisms exist for social policy coordination and cross-sectoral integration at ministry and policymaking levels?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.</p>
	<p>If there is evidence that bodies and mechanisms for social policy coordination exist and are actively functioning — assign a score of 3</p>
	<p>If bodies and mechanisms for social policy coordination exist, but they are not active — assign a score of 2</p>
	<p>If there is no evidence of bodies and mechanisms for social policy coordination — assign a score of 1</p>

<p>Guiding question 2.6.2</p>	<p>Do bodies and mechanisms for harmonised action at the grassroots level exist and function well?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 3.</p>
	<p>If there is evidence that bodies and mechanisms for harmonised action exist at the grassroots level and that they are functioning — assign a score of 3</p>
	<p>If bodies and mechanisms exist at the grassroots level, but they are not active — assign a score of 2</p>
	<p>If there is no evidence of bodies and mechanisms of social policy coordination — assign a score of 1</p>

How to complete the score sheet for programme design

This section is for scoring individual social protection programmes. Normally countries have more than one social protection programme. This section can accordingly be used for assessing one or more programmes.

Social protection programmes use different delivery mechanisms like food aid, public works or cash transfer. The tool can be applied to any social protection programme, irrespective of the delivery mechanism.



Programme efficacy

Guiding question 3.1.1	What coverage does the programme aim to provide? Coverage indicates the levels of programme reach among the most vulnerable in the population. The higher the value, the better the programme coverage in percentage terms among the vulnerable in the population. Coverage helps measure target accuracy and exclusion errors. The data on coverage can be obtained from government reports or evaluation/research reports.
Scoring	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	If the value is equal to or greater than 80% — assign a score of 5
	If the value is equal to or greater than 60% and less than 80% — assign a score of 4
	If the value is equal to or greater than 40% and less than 60% — assign a score of 3
	If the value is equal to or greater than 20% and less than 40% — assign a score of 2
	If the value is equal to or less than 20% — assign a score of 1

<p>Guiding question 3.1.2</p>	<p>What is the incidence of benefits?</p> <p>The analysis of benefit incidence attempts to understand what percentage of programme benefits are distributed among the different income categories of the population. The analysis considers which income group of the total population receives the major volume of benefits and helps understand inclusion errors. This data can be obtained from government reports or evaluation/research reports.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is equal to or greater than 80% — assign a score of 5</p>
	<p>If the value is equal to or greater than 60% and less than 80% — assign a score of 4</p>
	<p>If the value is equal to or greater than 40% and less than 60% — assign a score of 3</p>
	<p>If the value is equal to or greater than 20% and less than 40% — assign a score of 2</p>
	<p>If the value is equal to or less than 20% — assign a score of 1</p>

<p>Guiding question 3.1.3</p>	<p>How adequate are the benefits?</p> <p>Analysis of the adequacy of benefits among extremely poor people compares the proportion of programme benefits in relation to certain benchmark values (for example, average income/consumption, below-poverty income, and so on) among different social assistance instruments in each risk category. It is a measure of relative benefit level. Adequacy provides an indication of the extent to which the advantage is small or large relative to the benchmark values. This data can be obtained from government reports or evaluation/research reports.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is equal to or greater than 80% — assign a score of 5</p>
	<p>If the value is equal to or greater than 60% and less than 80% — assign a score of 4</p>
	<p>If the value is equal to or greater than 40% and less than 60% — assign a score of 3</p>
	<p>If the value is equal to or greater than 20% and less than 40% — assign a score of 2</p>
	<p>If the value is equal to or less than 20% — assign a score of 1</p>

<p>Guiding question 3.1.4</p>	<p>What is the average per capita transfer?</p> <p>A comparative analysis of average transfers makes it possible to understand the per capita value of programme funds allocated in different programme types within each risk category. It indicates how large the benefit size is in absolute terms. This data can be obtained from government reports or evaluation and research reports.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is equal to or greater than \$4 — assign a score of 5</p>
	<p>If the value is equal to or greater than \$2 and less than \$4 — assign a score of 4</p>
	<p>If the value is equal to or greater than \$1 and less than \$2 — assign a score of 3</p>
	<p>If the value is equal to or greater than \$1 and less than \$0.5 — assign a score of 2</p>
	<p>If the value is equal to or less than \$0.5 — assign a score of 1</p>

 Programme effectiveness

<p>Guiding question 3.2.1</p>	<p>What is the benefit–cost ratio?</p> <p>The benefit–cost ratio (BCR) indicates the reduction in the poverty gap obtained for each dollar spent on social assistance programmes. Specifically, the BCR is estimated as (poverty gap before transfer) minus (poverty gap after transfer) divided by the total transfer amount. The higher the value, the better the cost-effectiveness of the programme. This data can be obtained from government reports or evaluation/research reports.</p>
<p>Scoring</p>	<p>Use actual value. Each possible answer has a score assigned to it. Please choose the answer that is most accurate. The maximum score can be 5.</p>
	<p>If the value is equal to or greater than 0.8 — assign a score of 5</p>
	<p>If the value is equal to or greater than 0.6 and less than 0.8 — assign a score of 4</p>
	<p>If the value is equal to or greater than 0.4 and less than 0.6 — assign a score of 3</p>
	<p>If the value is equal to or greater than 0.2 and less than 0.4 — assign a score of 2</p>
	<p>If the value is less than 0.2 — assign a score of 1</p>



Innovative disaster risk management instruments

<p>Guiding question 3.3.1</p>	<p>Does the programme use early warning systems to provide anticipatory support to target groups?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If there is evidence that the programme implements early warning systems to provide anticipatory support on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme pilots or implements early warning tools on a small scale — assign a score of 3</p>
	<p>If early warning systems are part of the programme design but are not implemented — assign a score of 2</p>
	<p>If early warning systems are not part of the programme design — assign a score of 1</p>
<p>Guiding question 3.3.2</p>	<p>Does the programme use anticipatory risk financing instruments such as contingency funds, catastrophe bonds, parametric insurance, weather derivatives, etc.?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If there is evidence that the programme is adopting anticipatory risk financing instruments on a large scale — assign a score of 4</p>
	<p>If there is evidence that the programme is piloting or adopting anticipatory risk financing tools on a small scale — assign a score of 3</p>
	<p>If anticipatory risk financing instruments are part of the programme design, but they are not implemented — assign a score of 2</p>
	<p>If anticipatory risk financing instruments are not a part of the programme design — assign a score of 1</p>

<p>Guiding question 3.3.3</p>	<p>Does the programme adopt a layers of risk approach (such as assessing the probability and severity of risks) that reflects a continuum from frequent but less damaging events through to rare but catastrophic disasters and then manages this risk through a variety of instruments?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it; please choose the answer that is most accurate; the maximum score can be 3.</p>
	<p>If there is evidence that the programme adopts a layers of risk approach — assign a score of 3</p>
	<p>If a layers of risk approach is a part of the programme design, but it is not implemented — assign a score of 2</p>
	<p>If a layers of risk approach is not part of the programme design — assign a score of 1</p>

<p>Guiding question 3.3.4</p>	<p>Does the programme use a national database/registry for its operations?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If there is evidence that the programme uses a national database/registry for its operations on a large scale — assign a score of 4</p>
	<p>If there is evidence that the programme is piloting the use of a national database/registry or is adopting it on a small scale — assign a score of 3</p>
	<p>If the use of a national database/registry is part of the programme design, but it is not implemented — assign a score of 2</p>
	<p>If the use of a national database/registry is not part of the programme design — assign a score of 1</p>

Guiding question 3.3.5	Does the programme use platforms that enhance delivery efficiency and effectiveness of delivery (for example, the Jan Dan-Aadhaar-Mobile trinity of India)?
Scoring	Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.
	If there is evidence that the programme uses efficiency- and effectiveness-enhancing platforms on a large scale — assign a score of 4
	If there is evidence that the programme is piloting efficiency- and effectiveness-enhancing platforms or using such platforms on a small scale — assign a score of 3
	If using platforms that enhance efficiency and effectiveness is part of the programme design, but this is not implemented — assign a score of 2
	If using platforms that enhance efficiency and effectiveness is not part of the programme design — assign a score of 1



Climate-focused approach

Guiding question 3.4.1	Does the programme map geographical areas, livelihood groups, social groups, etc., which are vulnerable to climate change impacts and use these different dimensions of vulnerability to plan for scaling up and allocating resources?
Scoring	Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.
	If there is evidence that the programme implements vulnerability mapping on a large scale — assign a score of 4
	If there is evidence that the programme pilots or implements vulnerability mapping on a smaller scale — assign a score of 3
	If vulnerability mapping is part of the programme design, but it is not implemented — assign a score of 2
	If vulnerability mapping is not part of the programme design — assign a score of 1

<p>Guiding question 3.4.2</p>	<p>Does the programme undertake environmental conservation and restoration of degraded landscapes (such as sustainable forest management or biodiversity conservation) that can help in protecting natural resource-based livelihoods?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If there is evidence that the programme implements environmental rehabilitation interventions on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme pilots or implements environmental rehabilitation on a smaller scale — assign a score of 3</p>
	<p>If environmental rehabilitation interventions are part of the programme design, but they are not implemented — assign a score of 2</p>
	<p>If environmental rehabilitation interventions are not part of the programme design — assign a score of 1</p>

<p>Guiding question 3.4.3</p>	<p>Does the programme undertake interventions for improving water management (for example, rehabilitating water bodies) that can lead to water security for domestic and agricultural uses?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If there is evidence that the programme implements interventions to improve water management on a large scale — assign a score of 4</p>
	<p>If there is evidence that the programme is piloting or implementing interventions to improve water management on a smaller scale — assign a score of 3</p>
	<p>If interventions to improve water management are part of the programme design, but they are not implemented — assign a score of 2</p>
	<p>If interventions to improve water management are not part of the programme design — assign a score of 1</p>

Guiding question 3.4.4	Does the programme undertake interventions that lead to climate-proofing of physical infrastructure (for example, roads, bridges, etc.)?
Scoring	Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.
	If there is evidence that the programme implements interventions to climate-proof infrastructure on a large scale — assign a score of 4
	If there is evidence that the programme pilots or implements interventions to climate-proof infrastructure on a small scale — assign a score of 3
	If climate-proofing infrastructure is part of the programme design, but it is not implemented — assign a score of 2
	If climate-proofing infrastructure is not part of the programme design — assign a score of 1

Guiding question 3.4.5	Does the programme focus on constructing community-based disaster risk reduction (DRR) assets (for example, storm shelters)?
Scoring	Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.
	If there is evidence that the programme creates community-based DRR assets on a large scale — assign a score of 4
	If there is evidence that the programme creates community-based DRR assets on a smaller scale — assign a score of 3
	If building community-based DRR assets is part of the programme design, but this is not implemented — assign a score of 2
	If building community-based DRR assets is not part of the programme design — assign a score of 1

How to complete the score sheet for programme function



Prevention

Guiding question 4.1.1	Does the programme offer anticipatory support before a crisis to prevent communities from slipping into further poverty and vulnerability?
Scoring	Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.
	If evidence exists for the implementation of anticipatory support services on a large scale — assign a score of 4
	If evidence exists for piloting of anticipatory support services or implementation of the same on a small scale — assign a score of 3
	If anticipatory support service interventions are part of the programme design, but they are not implemented — assign a score of 2
	If anticipatory support service interventions are not part of the programme design — assign a score of 1

Guiding question 4.1.2	Does the programme offer services or support that protect health, livelihoods and income before the onset of a crisis?
Scoring	Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.
	If evidence exists that the programme is providing support that protects health, livelihoods and income on a large scale — assign a score of 4
	If evidence exists that the programme is piloting interventions for providing support that protects health, livelihoods, and income on a small scale — assign a score of 3
	If the provision of support that protects health, livelihoods and income is part of the programme design, but it is not implemented — assign a score of 2
	If the implementation of health, livelihoods and income support is not part of the programme design — assign a score of 1

<p>Guiding question 4.1.3</p>	<p>Does the programme encourage community-level advance planning and interventions (for example, planning for cyclone shelters or drawing up evacuation plans, etc.) to prepare communities for dealing with a future crisis?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme is implementing community-level advance planning and interventions on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme is piloting community-level advance planning and interventions on a small scale — assign a score of 3</p>
	<p>If community-level advance planning and interventions are part of the programme design, but they are not implemented — assign a score of 2</p>
	<p>If implementation of community-level advance planning and interventions is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.1.4</p>	<p>Does the programme offer subsidised health, food or education services before the onset of crisis?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme provides subsidised health, food or education services on a large scale before the onset of a crisis — assign a score of 4</p>
	<p>If evidence exists that the programme is piloting the provision of subsidised health, food or education services before the onset of a crisis on a small scale — assign a score of 3</p>
	<p>If the provision of subsidised health, food or education services before the onset of a crisis is part of the programme design, but is not implemented — assign a score of 2</p>
	<p>If the provision of subsidised health, food or education services before the onset of a crisis is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.1.5</p>	<p>Does the programme offer skills training, provide capacity building or carry out awareness raising for the target population with the view to preparing them to respond to a crisis?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme provides skills training, capacity building and awareness raising at a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme is piloting or implementing training, capacity building and awareness raising on a small scale — assign a score of 3</p>
	<p>If the provision of training, capacity building and awareness raising is a part of the programme design but not implemented — assign a score of 2</p>
	<p>If the provision of training, capacity building and awareness raising is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.1.6</p>	<p>Does the programme support the creation of assets at individual or community level? (For example, water conservation for drought proofing, drinking water facilities or cyclone shelters.)</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme supports the creation of assets at individual or community level on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme is piloting the creation of assets at individual or community level on a small scale — assign a score of 3</p>
	<p>If the provision of asset creation at individual or community level is part of the programme design, but not implemented — assign a score of 2</p>
	<p>If the provision of asset creation at individual or community level is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.1.7</p>	<p>Does the programme promote awareness among target populations, particularly among marginalised communities like women, minorities, people with disabilities, etc., to ensure they are represented in the decision making process?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme implements awareness programmes on a large scale and is able to achieve representation of marginalised people in the decision making process — assign a score of 4</p>
	<p>If evidence exists that the programme implements awareness programmes on a small scale and is able to achieve representation of marginalised people in the decision making process — assign a score of 3</p>
	<p>If the provision of awareness programmes is part of the programme design, but not implemented — assign a score of 2</p>
	<p>If the provision of awareness programmes is not part of the programme design — assign a score of 1</p>



Protection

<p>Guiding question 4.2.1</p>	<p>Does the programme offer assistance through cash transfer, food aid or livelihood support during a crisis?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme provides assistance through cash transfer, food aid or livelihoods support on a large scale during a crisis — assign a score of 4</p>
	<p>If evidence exists that the programme provides assistance through cash transfer, food aid or livelihoods support on a small scale during a crisis — assign a score of 3</p>
	<p>If the provision of assistance through cash transfer, food aid or livelihoods support is part of the programme design, but not implemented — assign a score of 2</p>
	<p>If the provision of assistance through cash transfer, food aid or livelihoods support is not a part of the programme design — assign a score of 1</p>

<p>Guiding question 4.2.2</p>	<p>Does the programme offer swift or rapid additional humanitarian support or assistance to the community to help them tide over a crisis?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme provides additional humanitarian assistance or support on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme provides additional humanitarian assistance or support on a small scale — assign a score of 3</p>
	<p>If the provision of additional humanitarian assistance or support is part of the programme design, but it is not implemented — assign a score of 2</p>
	<p>If the provision of additional humanitarian assistance or support is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.2.3</p>	<p>Does the programme offer support for access to health facilities or relief assistance (for example, food, water, shelter) in the aftermath of a crisis/shock?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme provides access to health services or relief assistance in the aftermath of a crisis/shock on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme provides access to health services or relief assistance in the aftermath of a crisis/shock on a small scale — assign a score of 3</p>
	<p>If the provision of access to health services or relief assistance in the aftermath of a crisis/shock is part of the programme design, but it is not implemented — assign a score of 2</p>
	<p>If the provision of access to health services or relief assistance in the aftermath of a crisis/shock is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.2.4</p>	<p>Does the programme provide income-earning opportunities through public works programmes or protection against livelihood loss (for example, crop damage, livestock mortality) or other forms of non-economic loss and damage (NELD) (for example, loss of school days) through insurance or other compensatory mechanisms?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme provides income-earning opportunities or protection against livelihood loss or NELD on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme provides income-earning opportunities or protection against livelihood loss or NELD on a small scale — assign a score of 3</p>
	<p>If the provision of income-earning opportunities or protection against livelihood loss or NELD is part of the programme design, but it is not implemented — assign a score of 2</p>
	<p>If the provision of income-earning opportunities or protection against livelihood loss or NELD is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.2.5</p>	<p>Does the programme offer waiver/relaxation/subsidy benefits to target populations in the event of climate hazards?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme provides waiver/relaxation/subsidy benefits in the event of climate hazard on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme provides waiver/relaxation/subsidy benefits in the event of climate hazard on a small scale — assign a score of 3</p>
	<p>If the provision of waiver/relaxation/subsidy benefits to the target populations in the event of climate hazard is part of the programme design, but it is not implemented — assign a score of 2</p>
	<p>If the provision of waiver/relaxation/subsidy benefits to target populations in the event of climate hazard is not part of the programme design — assign a score of 1</p>



Promotion

<p>Guiding question 4.3.1</p>	<p>Does the programme offer support for livelihood diversification?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme implements livelihood diversification support programmes on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme implements livelihood diversification support programmes on a small scale — assign a score of 3</p>
	<p>If livelihood diversification support programmes are part of the programme design, but they are not implemented — assign a score of 2</p>
	<p>If livelihood diversification support programmes are not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.3.2</p>	<p>Does the programme offer support to improve income opportunities, for example, through building entrepreneurial skills, improving access to higher education, or improving community/individual assets (for example, facilities for processing farm or forest produce)?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme offers support for improving income opportunities on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme offers support for improving income opportunities on a small scale — assign a score of 3</p>
	<p>If improving income opportunities is part of the programme design, but this is not implemented — assign a score of 2</p>
	<p>If improving income opportunities is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.3.3</p>	<p>Does the programme offer support for the promotion of new livelihood opportunities?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme implements new livelihood promotion interventions on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme implements new livelihood promotion interventions on a small scale — assign a score of 3</p>
	<p>If implementing new livelihood promotion interventions is a part of the programme design, but this is not implemented — assign a score of 2</p>
	<p>If implementing new livelihood promotion interventions is not a part of the programme design — assign a score of 1</p>

<p>Guiding question 4.3.4</p>	<p>Does the programme implement planned labour mobility, migration and placement interventions?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme implements planned labour mobility, migration and placement interventions on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme implements planned labour mobility, migration and placement interventions on a small scale — assign a score of 3</p>
	<p>If planned labour mobility, migration and placement interventions are part of the programme design, but they are not implemented — assign a score of 2</p>
	<p>If implementing planned labour mobility, migration and placement interventions is not part of the programme design — assign a score of 1</p>

<p>Guiding question 4.3.5</p>	<p>Does the programme support improved access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme implements interventions to improve access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc. on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme implements interventions to improve access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc. on a small scale — assign a score of 3</p>
	<p>If interventions to improve access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc. are part of the programme design, but these are not implemented — assign a score of 2</p>
	<p>If interventions to improve access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc. are not a part of the programme design — assign a score of 1</p>

<p>Guiding question 4.3.6</p>	<p>Does the programme encourage the target population to participate in decision-making processes?</p>
<p>Scoring</p>	<p>Each possible answer has a score assigned to it. Please choose the one that is most accurate. The maximum score can be 4.</p>
	<p>If evidence exists that the programme implements interventions to encourage the target population to participate in decision-making processes on a large scale — assign a score of 4</p>
	<p>If evidence exists that the programme implements interventions to encourage the target population to participate in decision-making processes on a small scale — assign a score of 3</p>
	<p>If interventions to encourage the target population to participate in decision-making processes are part of the programme design, but they are not implemented — assign a score of 2</p>
	<p>If interventions to encourage the target population to participate in decision-making processes are not a part of the programme design — assign a score of 1</p>

References

- 1 Bharadwaj, R and Mitchell, T (2022) Strengthening anticipatory risk response and financing mechanisms for social protection: a practical approach to tackling loss and damage. IIED, London. <https://www.iied.org/21286iied>
- 2 Bharadwaj, R, Chakravarti, D, Karthikeyan, N and Daljeet K (2021) Comparative analysis of the efficiency of different social protection delivery mechanisms in the context of climate resilience. IIED, London. <https://www.iied.org/20466iied>
- 3 Bharadwaj, R and Karthikeyan, N (2023) Shock-responsive social protection in fragile and conflict-affected states. IIED, London. <https://www.iied.org/21526iied>
- 4 Bharadwaj, R, Raj, N, Karthikeyan, N, Shanker, R, Topno, J and Kaur, D (2022) Social protection and informal job market reform for tackling climate migration nexus. IIED, London. <https://www.iied.org/21121iied>
- 5 Barba, LM, van Regenmortel, H and Ehmke, E (2020) Shelter from the storm. The global need for universal social protection in times of COVID-19. Oxfam GB, Oxford. <https://www.oxfam.org/en/research/shelter-storm-global-need-universal-social-protection-times-covid-19>



Knowledge
Products

Toolkit

October 2023

Climate change

Keywords:

Climate resilience, social protection, loss and damage, climate finance, climate change justice, climate change governance, Small Island Developing States (SIDS), Least developed countries (LDCs), early warning systems

Climate change is increasingly impacting vulnerable communities around the world and reducing their resilience to other shocks, such as pandemics.

Social protection programmes can provide a vital safety net for people hit by crises, and governments are considering whether social protection programmes could offer a valuable bulwark against climate disasters.

The ASPIRE tool is a diagnostic tool that will help policymakers assess the readiness of social protection programmes to deliver resilience to climate shocks.

The tool provides a structured, evidence-based method for assessing existing social protection strategies, policies and programmes. It will enable policymakers to understand current capacities and needs and identify gaps and opportunities for improving risk-responsive planning and delivery of social protection.

This document introduces the ASPIRE tool and gives detailed, practical guidance on how to undertake an assessment.



The International Institute for Environment and Development (IIED) promotes sustainable development, linking local priorities to global challenges. We support some of the world's most vulnerable people to strengthen their voice in decision-making.

**International Institute for
Environment and Development,**
Third Floor, 235 High Holborn,
London WC1V 7DN, UK

Download more publications at [iied.org/publications](https://www.iied.org/publications)

Tel: +44 (0)20 3463 7399
www.iied.org

Facebook: www.facebook.com/theIIED

Twitter: @iied

LinkedIn: www.linkedin.com/company/iied/



IIED publications may be shared and republished in accordance with the Creative Commons Attribution-NonCommercial-NoDerivatives 4.0 International Public License (CC BY-NC-ND 4.0).
Get more information via www.iied.org/about-publications

This research was funded by Irish Aid, Sida (Sweden), CECG and the Foreign, Commonwealth & Development Office, Government of UK. However the views expressed do not necessarily reflect the views of the UK Government.

