

SOCIAL PROTECTION HANDBOOK

A Guide for Philippine Localities



MITIGATING
RISKS



PLANNING
RESPONSES



DELIVERING
EFFECTIVELY

KEY CONCEPTS ON SOCIAL PROTECTION
FOR LOCAL CHIEF EXECUTIVES

SOCIAL PROTECTION HANDBOOK

A Guide for Philippine Localities

Key Concepts

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MESSAGE OF THE SECRETARY

Social protection is a priority of the Aquino administration. This is reflected in the overall goal of the 2011-2016 Philippine Development Plan to achieve inclusive growth and equitable access to quality basic social services by the poor and the vulnerable.

In Chapter 8 of the Plan, it explicitly states that the social protection sector shall ensure the empowerment and protection of the poor, vulnerable, and disadvantaged individuals from all types of risks. Following this, the Sub-Committee on Social Protection under the National Economic Development Authority Social Development Committee formulated an operational framework and strategy that is directly linked to and placed within the overall inclusive development goals and overall poverty strategy of the country.

In order to concretize this framework, this Social Protection Handbook (SP Handbook) was developed to serve as the primary reference of local government units (LGUs), civil society organizations, and government agencies in implementing social protection programs and projects.

This handbook is designed to be broad enough to provide policymakers the opportunity to consider their particular and unique development contexts, so that they can exercise their creativity as they expand efforts to cushion the various shocks faced by their constituents.

It is our hope that this handbook proves to be a useful tool for providing a social protection lens in the regular course of planning, budgeting, implementing, monitoring and evaluating inclusive interventions for the underprivileged.

The Department of Social Welfare and Development is pleased to lead in the crafting of the SP Handbook. We remain fully committed in assisting LGUs, particularly the local chief executives and the program implementers as its core users, in mainstreaming social protection in local development planning.



CORAZON JULIANO-SOLIMAN

Secretary

Department of Social Welfare and Development

FOREWORD

The Department of Social Welfare and Development (DSWD) together with the Sub-Committee on Social Protection (SCSP) under the National Economic Development Authority (NEDA) Social Development Committee is privileged to share with you the Social Protection (SP) Handbook that underscores the commitment of the Department to its Reform Agenda to be a leader in social protection.

This handbook is an attempt to harmonize efforts for effective and efficient implementation of social protection programs particularly focused at the local levels.

It is expected to strengthen the existing mechanisms for coordination at the different levels of governance and incorporate social protection as a key strategy down to the municipal/barangay levels and re-orient local governments and partner-civil society organizations on its uses.

The handbook which consists of two sets, one for Local Chief Executives (LCEs) and one for Local Implementers, provides the concepts and the how to's of planning, implementing, monitoring and evaluating social protection interventions.

A partner-document of this handbook is the Social Protection Vulnerability-Adaptation Manual (SP VAM) to be used in assessing the risks and vulnerabilities in the locality.

In preparation for the widespread dissemination and utilization of the SP Handbook by LGUs, the Department shall continue to provide technical assistance in undertaking social protection advocacy, planning, implementation, monitoring, and evaluation at the local level.

With the Handbook, we look forward to mainstreaming social protection programs and interventions at the local level that would reduce people's vulnerabilities and get them out of poverty.

Florita R. Villar

FLORITA R. VILLAR

Undersecretary for Policy and Plans, DSWD
and Chairperson, Sub-Committee on Social Protection

ACKNOWLEDGEMENT

The Department recognizes the importance of a Handbook in the development and implementation of appropriate and relevant social protection policies, programs and projects.

Thus, the crafting of this Social Protection (SP) Handbook has been a very inspiring undertaking for the Department, as well as for the National Economic Development Authority (NEDA) Social Development Council Sub-Committee on Social Protection (NEDA SDC-SCSP).

Producing the SP Handbook was a collective effort and it is with gratitude that we recognize the people who have been instrumental in successfully shepherding its development and completion.

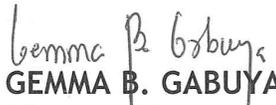
Foremost is former DSWD Undersecretary Alicia R. Bala and now Deputy Secretary-General of the Association of South East Asian Nations (ASEAN) Socio-cultural Community. Her vision and leadership as erstwhile Chair of the Sub-Committee on Social Protection provided the encouragement and motivation when the Handbook was being conceived.

The Social Development Staff of NEDA also served a crucial role through their incessant support and guidance in ensuring that the Handbook aids local development planning processes.

More importantly, we acknowledge the enthusiastic participation of members of civil society organizations, local government units, and officials and staff of national line agencies and field offices across the country who shared their knowledge, experiences, and time to make this Handbook useable and relevant.

We also wish to thank the members of the Sub-Committee on Social Protection under the NEDA Social Development Committee, who provided valuable contributions and feedback on the contents of the Handbook.

Last but not least, we owe the completion of this Handbook to the creativity, persistence, and patience of the project consultant, Dr. Alvin P. Ang, and his team members at the University of Sto. Tomas. Their input will truly make this Handbook more responsive to the needs of its main users - the LGUs and CSOs.


GEMMA B. GABUYA

Director IV

Policy Development and Planning Bureau

ACRONYMS

4Ps	Pantawid Pamilya Pilipino Program
ADB	Asian Development Bank
AIP	Annual Investment Plan
ALMPs	Active Labor Market Programs
ARMM	Autonomous Region of Muslim Mindanao
AusAID	Australian Agency for International Development
BUB	Bottom Up Budget
CBMS	Community Based Monitoring System
CCT	Conditional Cash Transfer
CDD	Community Driven Development
CLUP	Comprehensive Land Use Plan
CREAM	Clear, Relevant, Economic, Adequate, Monitorable
CSO	Civil Society Organizations
CSR	Corporate Social Responsibility
DA	Department of Agriculture
DAP	Development Academy of the Philippines
DAR	Department of Agrarian Reform
DENR	Department of Environment
DepEd	Department of Education
DILG	Department of Interior and Local Government
DOH	Department of Health
DOLE	Department of Labor and Employment
DOLE-SRS	Department of Labor and Employment - Skills Registry
DPWH	Department of Public Works and Highways
DRR-CCA	Disaster Risk Reduction-Climate Change Adaption
DRRMP	Development Report or local Disaster Risk Reduction Plan
DSWD	Department of Social Welfare and Development
ELA	Executive and Legislative Agenda

FGD	Focus Group Discussion
FHIS	Family Health Information System
FIES	Family Income and Expenditure Survey
GPB	Grassroots Participatory Budgeting
HDPRC	Human Development and Poverty Reduction Cluster
HH	Households
HS	High School
ILO	International Labor Organization
IPDET	International Program for Development Evaluation Training
IPPF	International Planned Parenthood Federation
IPs	Indigenous People
ISDR	International Strategy for Disaster Reduction
JMC	Joint Memorandum Circular
KALAHI-CIDSS	Kapit-Bisig Laban saKahirapan–Comprehensive Integrated De-
LCE	Local Chief Executive
LDP	Local Development Plan
LEAD	Local Enhanced Automated Databank
LED	Local Economic Development
LFS	Labor Force Survey
LGU	Local Government Unit
LPDC	Local Planning Development Coordinator
LPDO	Local Planning Development Office
LPRAP	Local Poverty Reduction Action Plan
LPRAT	Local Poverty Reduction Action Team
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MNDC	Metro Naga Development Council
MPDO	Municipal Planning and Development Office
MSWDO	Municipal Social Welfare and Development Office

NEDA	National Economic and Development Authority
NGO	Non-government organizations
NHTS – PR	National Household targeting System for Poverty Reduction
NSO	National Statistics Office
OJT	On-the-Job Training
OSYs	Out of School Youth
PAMANA	Payapa at MasaganangPamayanan
PDP	Philippine Development Plan
PESO	Public Employment Service Office
PLEP	Philippine Labor and Employment Plan
PO	People’s organizations
PPP	Public-Private Partnerships
PWDs	Persons With Disabilities
RBM&ES	Results-Based Monitoring and Evaluation System
RDC	Regional Development Council
RKCG	Regional Kalahi Convergence Group
RVA	Risk Vulnerability Assessment
SC-SP	Subcommittee on Social Protection
SDC	Social Development Committee
SLP	Sustainable Livelihood Program
SMS	Short Messaging Services
SP	Social Protection
SPDR	Social Protection development Report
SPFs	Social Protection Floors
SP-VAM	Social Protection Vulnerability Adaptation Manual
SRS	Skills Registry System
SSS	Social Security System
SWDO	Social Welfare Development Officer
SWDRP	Social Welfare and Development Reform Program
SWI	Social Welfare Indicators
SWOT	Strengths, Weaknesses, Opportunities and Threats
TESDA	Technical Education and Skills Development Authority
UK	United Kingdom
UKaid	United Kingdom Department for International Development
Unicef	United Nations Children’s Fund

KEY CONCEPTS ON SOCIAL PROTECTION

This starting volume discusses the context of social protection in the Philippines and the key definitions and concepts surrounding it. It aims to have readers and eventual users of this Handbook all similarly understand social protection as defined and operationalized therein. This volume will also include the operational framework of SP, so that users of this Handbook will consider coordinating and converging SP-related activities. Specific action goals from the 5-year Philippine SP Plan will be used as directions for long-term implementation planning.

¹The Plan shall serve as the blueprint for policymakers, planners and program implementers on what specific approaches and strategic interventions are best suited to be carried out by responsible agencies on SP to cover specific target groups and vulnerabilities. The DSWD, through the SDC Subcommittee on Social Protection shall lead the formulation of this medium-term plan.

WHY SOCIAL PROTECTION?

Core message 1: Many poor are being left behind.

- Growth is yet to make a significant dent on Philippine poverty, and modest growth in recent years continues to bypass the poor; and
- Many Filipino families cannot get out of poverty because they have limited capabilities and because they lack opportunities to earn a decent living; and



Core message 2: Filipino families, whether poor or non-poor, face various economic, environmental and man-made risks. Managing such risks is important for families to prevent them from falling into, falling deeper, and trapped into, poverty.

- The poor need to be protected from the negative impacts of natural and man-made risks, and support their efforts to manage these risks;
- Government has a responsibility to promote the rights and welfare of the poor; and
- Thus, social protection programs are needed to enable the poor to handle and eventually surpass those risks. Doing so will eventually make them exit poverty and lower their exposure to vulnerable situations.

²From “Core messages of the DSWD: A source booklet for DSWD officials and communication staff”. In <ftp://ftp1.car.dswd.gov.ph/coremessages/CoreMessagesJuly2012Edition.pdf>

KEY CONCEPTS ON SOCIAL PROTECTION: THE SP OPERATIONAL FRAMEWORK



Definition. Social Protection (SP) constitutes policies and programs that seek to reduce poverty and vulnerability and to enhance the social status and rights of the marginalized. These goals can be achieved through promoting and protecting livelihood and employment, protecting against hazards and sudden loss of income,

and improving people’s capacity to manage or handle risks (Social Development Committee Resolution No. 1, s2007).

SP programs aim to lift people out of poverty. SP programs also seek to prevent people from becoming vulnerable because of individual and life-cycle risks, economic risks, environmental risks, and social and governance risks.

Goals and objectives. SP programs aim primarily to improve the quality of life of the poor and vulnerable. Specifically, the objectives of SP programs are four-fold:



FIGURE 1: FOUR OBJECTIVES OF PHILIPPINE SOCIAL PROTECTION PROGRAMS

1

To protect and prevent people from falling from their current income/consumption levels due to various risks.

2

To build people's capacity and adaptability so that that better quality of life is maintained and sustained.



3

To expand income opportunities and improve human capital investments in the long term.

4

To sustain one's standard of living in spite of people's exposure to various natural and man-made risks.

TYPES OF RISKS

Yolanda, the earthquake that struck Bohol and Cebu and the siege in Zamboanga City that displaced many families from their homes. These happened in 2013 and are clear examples of natural and man-made risks.

The presence of risks makes people vulnerable to poverty. Risk can be defined as an uncertain event that may damage someone's well-being, leading to poverty. Risks are pervasive and are of different types. Each type requires a different type of response. Hence, without good information, there is no clear understanding of what are the different types of risks, especially in the communities affected by these. The country's SP framework groups these risks into the following:



A. Individual and life cycle risks

Vulnerabilities? Hunger, illness or injury, disability, old age, death
Who responds? Individual households or through informal means

The term “life-cycle” has a two-fold meaning. One, “life-cycle” consists of ages-stages wherein the needs of an individual change, from birth to death. Changing needs, however, are not solely related to age. Two, “life-cycle” also refers to the different stages and events of life that an individual or household passes through, and which often brings different statuses to individuals (e.g. becoming a widow/er, a single mother, an adolescent, unemployed).

In a rapidly-changing world, an individual does not conform to a line sequence of life stages relating solely to age (birth, education; marriage; work; nurturing; old-age). Instead, the individual may follow a cyclical pattern as life-events, often due to economic, social and spatial changes, like the death of a relative, an accident, one's loss of a job, or the migration of household members. These life-changing events lead to adjustments of a person's role and responsibilities (Bonilla, and Gruat, 2003 in HelpAge International, UK).

B. Economic Risk

Vulnerabilities? Unemployment, low/irregular income, price instability, economic crisis
Who responds? Government, business, civil society, citizens



These are risks brought about by changes in the local and the national economy. Examples include price increases for basic commodities, unemployment, low and irregular income due to lack of local business opportunities, or weak agricultural production. These risks affect primarily those who are generally dependent on wage employment, those who are self-employed, and those who manage small businesses.



C. Environmental and natural risks

Vulnerabilities? Drought, floods, landslides, earthquakes, volcanic eruption
Who responds? Government, business, civil society, citizens

Risks under this category are very common to Filipinos, either they come our way or these are brought about by environmental conditions in a locality. Extreme weather, natural paths of typhoons, presence of volcanoes and earthquake fault lines, floods and droughts are examples of these natural and environmental risks. Other environmental risks are even man-made: local pollution, illegal mining and cutting of trees.

Some of these risks are easily identifiable but others require a thorough scanning of environmental conditions locally. In short, worsening impacts of natural and environmental risks, like devastation by a strong typhoon or a volcanic eruption, can be prevented both by natural response and by policies.

These are risks that came about since some groups are excluded from the supposed economic benefits of mainstream society to everyone. These risks can also be a result of breakdown of the rule of law, or sometimes bad governance. These risks also affect communities and families, like when supposed government funds for development projects do not reach intended beneficiaries.

D. Social and Governance risks

Vulnerabilities? Crime, corruption, political instability, armed conflict
Who responds? Government, business, civil society, citizens



The most common forms of social and governance risks are corruption, crime, and family violence. An extreme risk is armed conflict and rebellion, similar to what happened in Zamboanga City in 2013. Local conditions that are unable to respond to the other three types of risks—life-cycle risks, environmental risks and economic risks—are easily vulnerable to social and governance risks.

But whatever the type of risk, responding to these various risks requires a careful understanding of a locality's conditions. Responding to these risks is everyone's business.



PRINCIPLES OF RISK MITIGATION

The different types of risks require localities to prepare mitigating the potential impacts of these risks. Thus, a ladder-type of intervention process that considers risks at different levels needs to be put in place. The intervention levels are as follows:

Protective. We should ensure that basic needs of the locality and its populace are met (e.g. price controls of basic necessities, subsidies, scholarships).

Preventive. These measures should be done before a risk occurs (e.g. vaccination, basic education, health insurance, disaster preparedness). Other forms of preventive interventions may also depend on the impact of the event:

- **Mitigating mechanisms** helping individuals reduce the impact of future risky event (e.g. crop insurance should a drought come; health insurance prior to one getting sick; savings and food storage should a major disaster come);
- **Coping mechanisms** alleviate impact of risk once it occurred (e.g. relief and rehabilitation, especially after a typhoon); and
- **Adapting mechanisms** prepare individuals and households for the next shock and risk (e.g. disaster preparedness)



Promotive. This allows people to save and invest, giving them enough financial cushion to meet future problems brought about by occurrence of various risks. There should also be programs that build, diversify and enhance the use of people's assets and resources. (e.g. cash transfers, access to credit, land reform programs.)

Transformative. This helps people and communities build deeper adaptive capacities. This will be

done through policy and program reforms that help promote minority rights, remove discrimination and provide social funds to those who need it most (e.g. ordinance for women and children protection, funds for disaster relief and rehabilitation, programs for agriculture after a drought).

² Adapted from the Social Protection presentation of former Sec. Cabral August 2008 and discussions on the Operational Framework for SP (Aldaba and Ang) 2012

CORE SOCIAL PROTECTION PROGRAMS AND RESPONSES

In the Philippines, there are four types of social protection programs that stakeholders and policy-makers in communities can implement.

1. Labor Market Interventions

These are measures aimed at enhancing employment opportunities and protecting the rights and welfare of workers. Examples include employment facilitation schemes, livelihood programs, active labor market programs (ALMPs), emergency and guaranteed employment.



2. Social Insurance



These programs seek to mitigate income risks by pooling resources and spreading one's handling of risks across time and classes. These types of programs are premium-based schemes protecting households from life-cycle and health-related risks. Examples include health insurance, crop insurance, pension, etc.

3. Social Welfare

These are preventive and developmental programs that seek to support the minimum basic requirements of the poor and of various sectors. They provide basic protection to those who are poor, excluded, discriminated and marginalized. Examples: crisis interventions for abused women and children, programs for indigenous peoples, transient homes for trafficking victims, etc.



4. Social Safety Nets



These are stop-gap mechanisms or urgent responses that address effects of risks on specific vulnerable groups. These are mostly short-term measures. Responses after typhoons are an example.

PHILIPPINE GOVERNMENT RESPONSE ON SOCIAL PROTECTION

These social protection programs to respond to various natural and man-made risks were determined by various agencies and stakeholders. Given their identification, the next step is to encourage implementing social protection programs at regional and local levels. Meanwhile, at the national level, a Sub-committee on Social Protection (SC-SP) under the Social Development Committee (SDC) of the National Economic and Development Authority (NEDA) exists to oversee the conduct of social protection programs in the country, especially by local communities.



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NATIONAL ECONOMIC AND DEVELOPMENT AUTHORITY**

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**SOCIAL DEVELOPMENT COMMITTEE (SDC)
Resolution No. 2 (Series of 2009)**

**APPROVING THE CREATION OF A SUB-COMMITTEE
ON SOCIAL PROTECTION**

WHEREAS, it is the duty of the State to protect its citizens against risks, vulnerabilities and chronic poverty;

WHEREAS, to mitigate the impact of the recent global economic crisis, the government issued Administrative Order 232 and 232-A to set in motion the clustering of existing social welfare and protection programs to form a National Social Protection and Welfare Program (NSPWP);

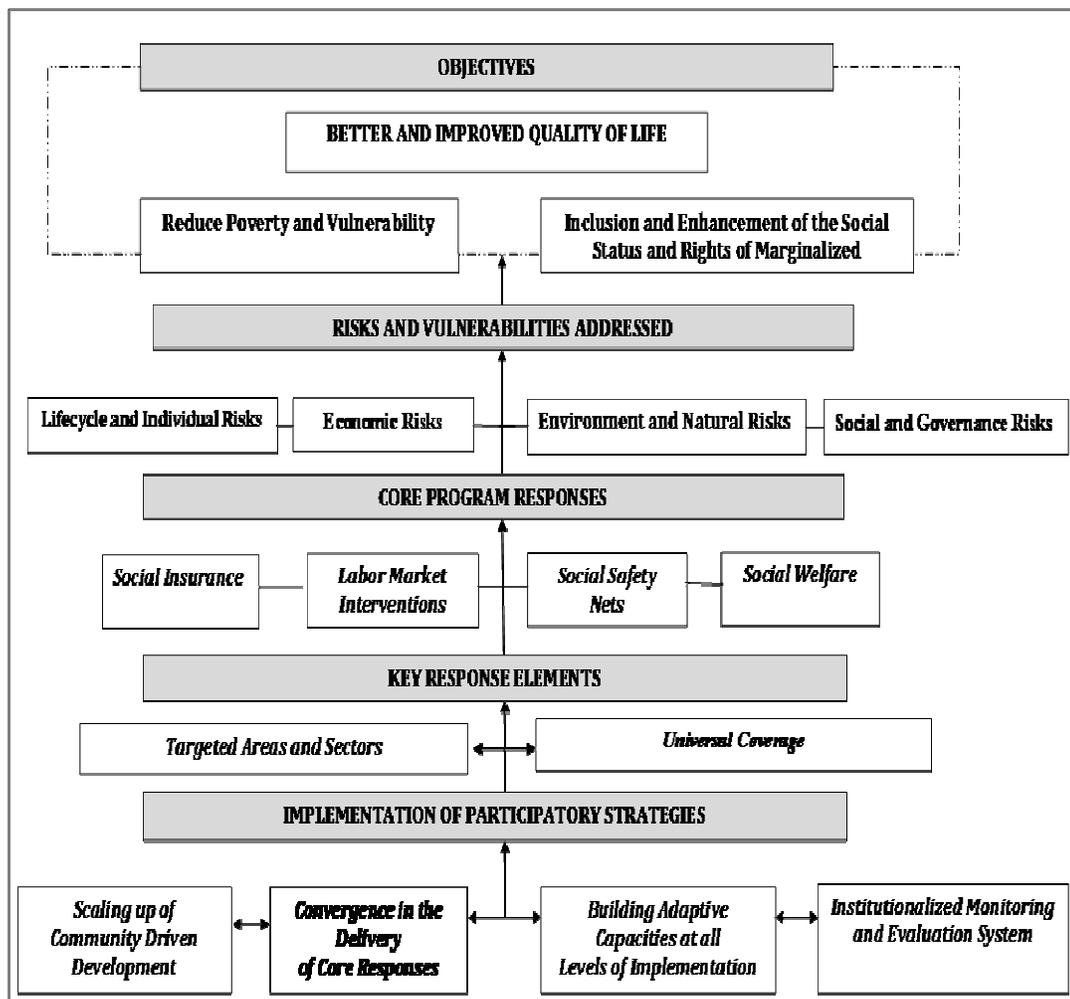
Creating a Subcommittee on Social Protection (SCSP)

The Cabinet's SDC, through Resolution no. 2 (series of 2009), mandated the creation of the SCSP.

The SCSP subsequently spearheaded the development of a *Social Protection Operational Framework*. This framework has been officially adopted by the Social Development Committee through SDC Resolution No. 3 2012. The framework consists of the following aspects:

- 1.Objectives;
- 2.Risks and Vulnerabilities to Address;
- 3.Core Response Programs;
- 4.Key Response Elements; and
- 5.Implementing Participatory Strategies.

FIGURE 2: OPERATIONAL FRAMEWORK FOR SOCIAL PROTECTION IN THE PHILIPPINES



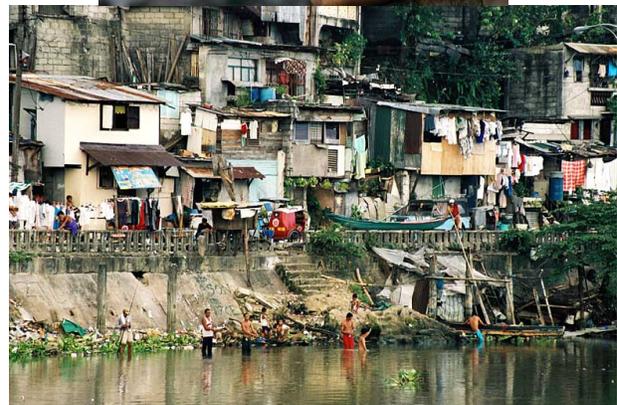
KEY RESPONSE ELEMENTS

Given the various risks people face, our responses to mitigate the impact of these risks should be clear and focused. Doing so will avoid duplication of efforts and resources. In this context, SP responses (i.e. policies and programs) also need to identify the beneficiaries to be assisted. There is also a need to provide a range of beneficiaries depending on the type of response that is being considered.

Target beneficiaries

The SDC Subcommittee on Social Protection (SCSP) had said the following should benefit from social protection programs and services:

- ***The Poor.*** They are individuals and families whose incomes fall below the poverty threshold (as defined by the government), and/or those who cannot afford to provide their basic needs of food, health, education, housing and other amenities of life on a sustained basis (RA 8425 or the Social Reform and Poverty Alleviation Act, 11 December 1997).





- **The Vulnerable.** They are households confronted by *ex-ante* risk that, if they are currently non-poor, will fall below the poverty line; if they are currently poor, they will remain in poverty. Vulnerable is also defined in terms of exposure to adverse conditions related to welfare, not just in terms of their exposure to poverty (NEDA).
- **The Marginalized.** They those in society who, for reasons of poverty, geographical inaccessibility, culture, language, religion, age, gender, migrant status or other disadvantage, have not benefited from health, education, employment and other opportunities. They are also relegated to the sidelines of political persuasion, social negotiation, and economic bargaining (International Planned Parenthood Federation). Examples include indigenous people, elderly, among others.

Identifying beneficiaries.

The Philippine government identifies the poor, the vulnerable, and the marginalized with the help of a survey called the National Household Targeting System for Poverty Reduction (NHTS-PR), handled by the Department of Social Welfare and Development (DSWD). Using a proxy means test, the NHTS-PR unified the criteria for the selection of the poorest population in a locality, and had created a database of poor households. The database then serves as a reference to identifying beneficiaries of social protection programs.

Based also on the different kinds of risks, potential SP beneficiaries may also include the non-poor. Those families with homes washed away by a strong typhoon and flooding are examples. Hence, targeting these specific beneficiaries of social protection programs may be relaxed so as to help fulfil the aim of universally providing basic social services. People's universal coverage of social services entails the nationwide provision of the full requirements of citizens' basic rights in terms of education, health and nutrition, shelter, water and sanitation.



If there are no problems with resources there should be no distinction if social protection beneficiaries are poor or non-poor. However, as more resources are required, social protection programs will need to *target* individuals, households and areas who and which are poor and highly vulnerable to risks. Hoping that government increases resources, major social protection programs, especially those related to health and education may reach universal coverage and be integrated into the delivery of basic social services.

Target Areas

Using various indicators, government must also target priority areas for social protection programs, especially to areas that have concentrations of poverty, and areas that are vulnerable to conflicts and disasters. The Human Development and Poverty Reduction Cluster (HDPRC) of the Cabinet has identified 1,233 municipalities in this regard. Social protection programs should also be prioritized to reach areas potentially at risk from climate change. Geo-hazard mapping technology can be used here.

Target sectors

Target sectors, meanwhile, are identified by the extent of their marginalization and social exclusion. DSWD has long been involved with these marginalized sectors —women, children, youth, elderly, indigenous peoples (IPs), people with disabilities (PWDs), among others— in the agency’s social welfare programs.

It should be noted that the target sectors and areas are not mutually exclusive as they can cut across sectors or areas, or gender.



CRUCIAL QUESTIONS

Are all social protection programs for the poor?

Social protection programs are defined according to the component objective in which they are being pursued. Social insurance and labor market interventions, for instance, are components that can benefit both the poor and non-poor.

Social safety net programs are provided to help cushion or prevent further negative impacts to their lives and their livelihood as a result of a catastrophic event affecting families and/or communities. There are no specific social safety net programs *per se* but they are relative to situations and conditions that families and communities are facing (e.g. flooding).

Social welfare programs are those that help the poor and the marginalized (such as the elderly or persons with disabilities). These programs hope to move the poor out of poverty in the medium-term by providing them with minimum basic needs (e.g. food, basic education, health), and preventing them from falling further into poverty. For cases in which more focused interventions are required, targeted social protection programs (e.g. targeting precisely the jobless, etc.) can be developed to focus on the chronic poor and/or mostly social safety net interventions (e.g. cash transfers, food-for-work, emergency employment programs). Social welfare programs are time-bound and are, at best, bridge programs to tide affected families. This is until these chronic poor beneficiaries have developed basic capacities to meet future needs and improve the economic conditions of their families.

Hence, *not all SP programs are for the poor.*

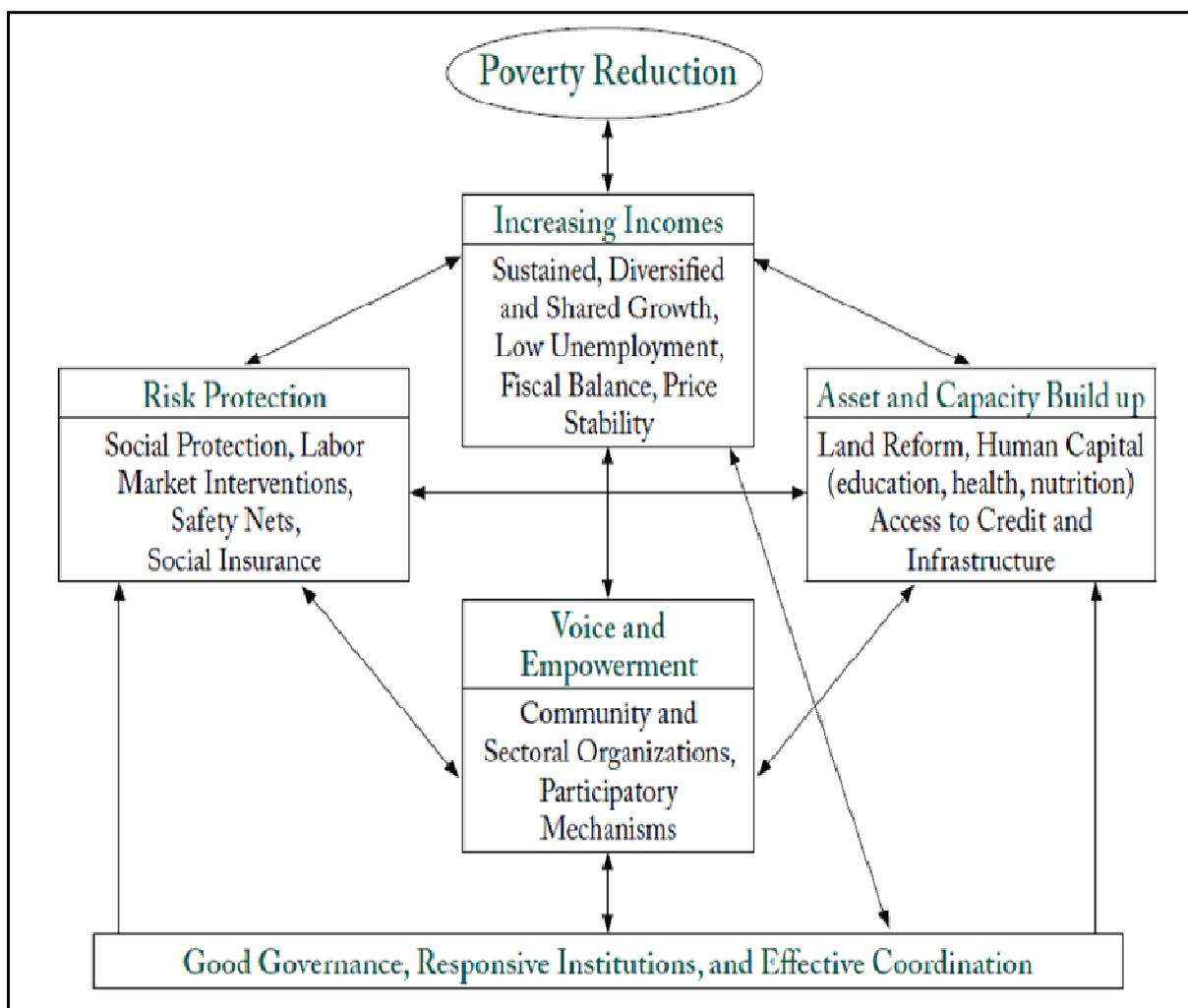




Is social protection the same as poverty alleviation?

According to an Asian Development Bank (ADB) study on poverty in 2009, the reduction of poverty has four pillars: *increasing incomes, asset and capacity build up, voice and empowerment, and risk protection*. Risk protection is seen as the pillar where social protection belongs.

Figure 3: Four pillars of poverty reduction. Social protection is under the pillar risk protection. (Source: Asian Development Bank, 2009)



Thus, social protection is *just one pillar* of poverty reduction, and *cannot be the sole response to poverty*. At the same time, from the perspective of a developing country, social protection is *a targeted approach* for the poor. This is due to limitations surrounding budgets and resources.

Government efforts that are focused on providing universal access to education and health services, and on targeted programs (e.g. the Pantawid Pamilya program), are good examples of social protection programs.

Therefore, SP as a response *can help in poverty alleviation* and, more importantly, *prevent more people from falling into poverty*.

How is social protection different from basic social services?

Social protection is different from basic social services such as access to education, health, nutrition, water and sanitation. Social protection is basically *a response to protect and manage the households' vulnerability from slipping toward poverty* because of various natural and man-made risks.



Basic social services, for their part, are regularly offered regardless of the state of the population, whether they are poor or non-poor. However, some social services programs contribute to social protection objectives by improving human capital as in basic health and education programs.

IMPLEMENTATION STRATEGY FOR SOCIAL PROTECTION: CONVERGENCE

Given the various natural and man-made risks to be addressed, as well as the scale of the poverty problem, stakeholders (especially local government units) can implement various strategies on conducting social protection programs. The key word here is convergence.

Convergence will be the main strategy to implement SP programs. This Social Protection Handbook defines convergence for SP as **directing complementary and or synergetic programs or interventions through multi-sector, inter-agency, inter-governmental and private sector cooperation to specified targets —poor households, families, individuals and or communities and areas.**

Why Converge?

In a situation where both vulnerability and poverty incidence are high, a *common response is the most effective strategy*. This common response requires a multi-dimensional and multi-stakeholder approach. Thus, coordination and collaboration are required. In addition, limited resources and existing capacity constraints among stakeholders (including government) compel tapping into each other's resources and skills. Finally, when there is pooling of expertise, resources and capacities, overlaps and duplication of projects and programs are avoided. Convergence thus improves efficiency and effectiveness of program delivery and implementation.

Convergence 'sound like'

Cooperation / Collaboration /
Complementation



1.1 CONVERGENCE APPROACHES FOR SOCIAL PROTECTION PROGRAMS

1. By target areas



The Metro Naga Development Council (MNDC) is an alliance of 16 local government units in the Province of Camarines Sur that seeks to bring about growth and development by maximizing the resources of its member-areas under an integrated area development framework. Through local economic development (LED) activities, MNDC is seeking to strengthen the links between urban Naga City and its neighboring rural municipalities to widen the economic benefits derived from its phenomenal growth (www.lgsp-led.ph)

2. Work with the private sector in delivering SP programs

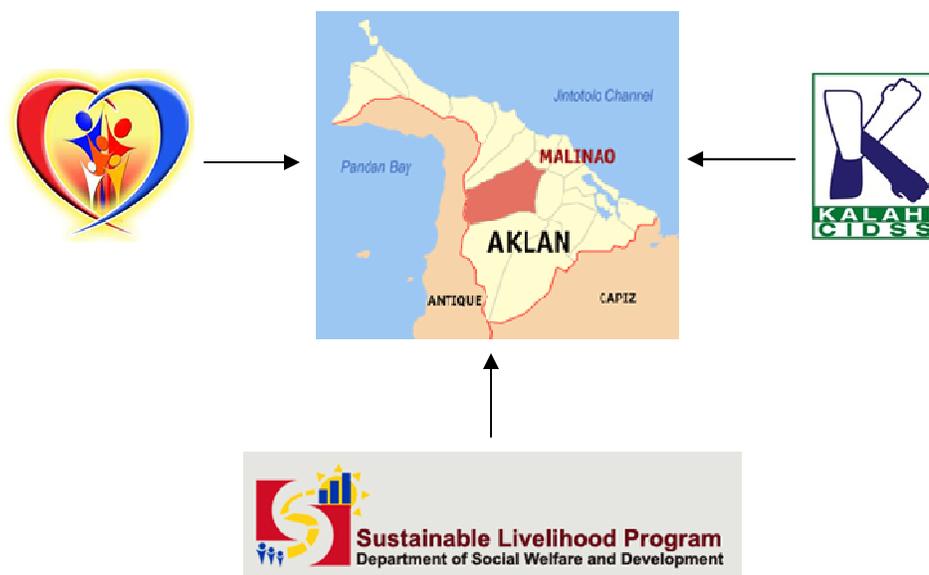


This means government agencies collaborate with other stakeholders.

An example is the Pantawid Program which collaborates with NGOs. This collaboration allows for the facilitative delivery of Pantawid services to beneficiaries.

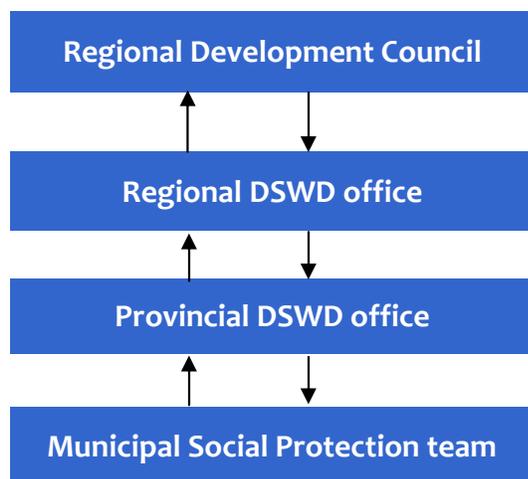
The NGO partners of the Pantawid Program act as *bantay* (anti-corruption monitor), *gabay* (provider of technical assistance), *kaagapay* (program implementer) and *tulay* (link for facilitating implementation and feedback) while the DSWD implements the Pantawid program.

3. Package of interventions for target areas (e.g. municipalities)



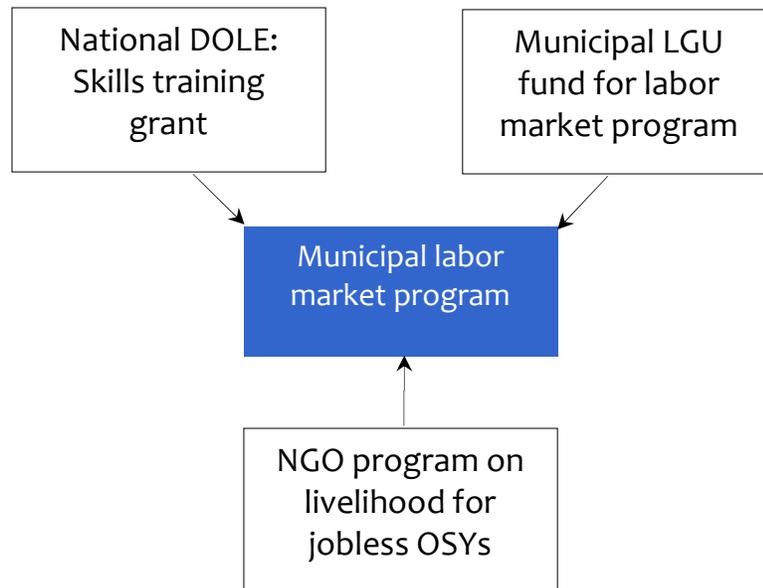
The DSWD’s delivery of three programs focused in a particular target area is called *Tatsulo*. This is a convergence of a package of interventions coming from the Kalahi-CIDSS (community development) Program, the National Community Driven Development Program, and the Pantawid Program. The convergence of these three programs in a locality ensures that each aspect of development is addressed.

4. Coordinating mechanisms/feedback systems from the top to the ground and vice-versa



This type of convergence requires the coordination of various programs implemented by one department or agency, or the coordination in a delivery of program between a national agency (with its regional units) and local governments (province, municipality and barangay).

5. Convergence of resources available for implementers —from national to the local levels, more importantly in budgeting.



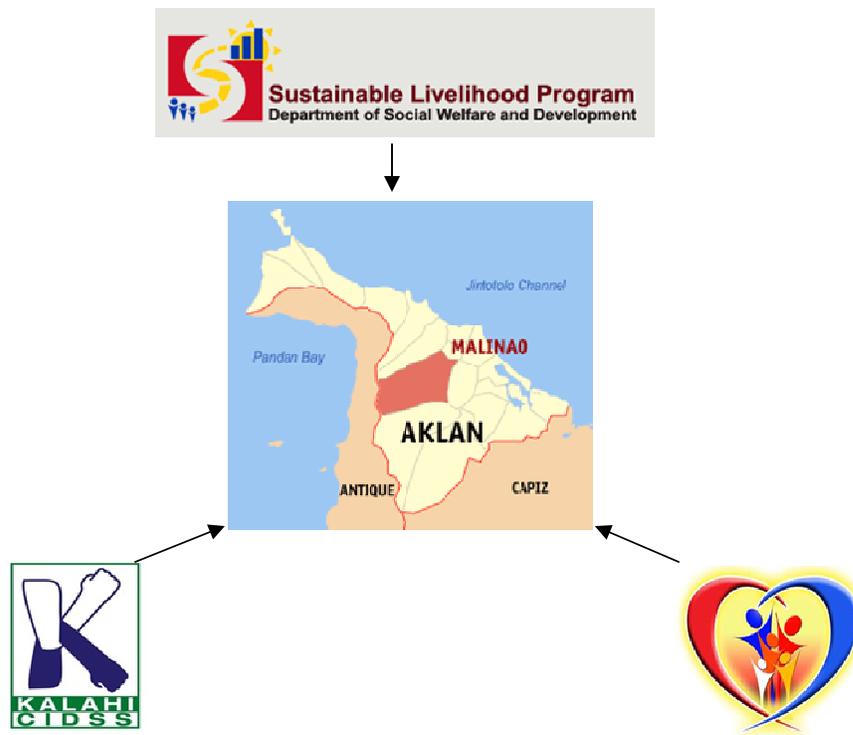
An example of this is sector-based coordination. This type of convergence necessitates the cooperation of agencies, local government units, and NGOs (or other stakeholders) in the delivery of programs for a target sector.

1.2 OPERATIONALIZING CONVERGENCE AND ITS TYPES

DSWD has institutionalized a form of *vertical* and *horizontal* convergence.

- Vertical means from top to bottom (example: national-regional-local).
- Horizontal, meanwhile, means convergence among offices or groups of the same footing (example: Five offices of the local government involved in basic social services).

Example of operational convergence: DSWD's Tatsulo



The DSWD internally harmonized the implementation of KALAHI-CIDSS, Pantawid and Sustainable Livelihood Program in 40 municipalities. Activities in those 40 municipalities included (in World Bank and DSWD, 2012):

- Following the NHTS-PR as the unified targeting system in identifying beneficiaries; Synchronizing the implementation of social preparation and mobilization activities;
- Involving the 40 local government units in implementing the Tatsulo program;
- Coordinating capability building activities;
- Harmonizing monitoring and reporting of accomplishments and program activities;
- Integrating Social Case Management; and
- Enhancing partnership with NGOs in the localities .

Another example of operational convergence: DSWD's Pantawid Program



In implementing the basic program features of Pantawid Pamilya, DSWD has long been working together with the Department of Education (DepEd) and the Department of Health (DOH). In addition, DSWD partners with the Department of Public Highways (DPWH) and the Department of Environment and Natural Resources (DENR) for guaranteed employment programs for similar beneficiaries of the Pantawid Program.

Modes of Convergence

For purposes of implementing social protection programs, here are five ways to converge programs and stakeholders (all in World Bank and DSWD, 2012):

A. *Horizontal and Inter-agency Convergence*

This requires the coordination and cooperation of various government agencies focusing on the delivery of a program, or on the delivery of various programs in a target area or sector. Horizontal and Inter-agency convergence may be done at various levels, i.e. at the national, regional, and local government levels.



Example 1 (convergence focusing on the delivery of a program): The Pantawid Program. Here, three departments--DSWD and the Departments of Health and Education jointly implemented a conditional cash transfer program for poor households.

Example 2 (convergence focusing on the delivery of various programs in a target area or sector): The National Convergence Initiative of the Departments of Agrarian

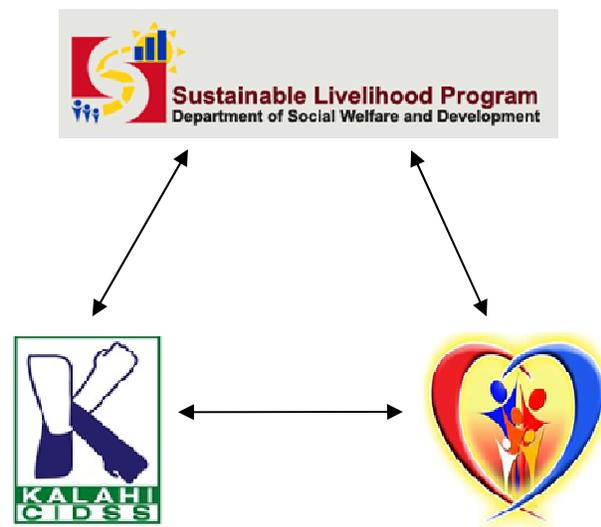


Reform, Agriculture and Environment and Natural Resources (DAR-DA-DENR) focuses on rural development initiatives in target municipalities.

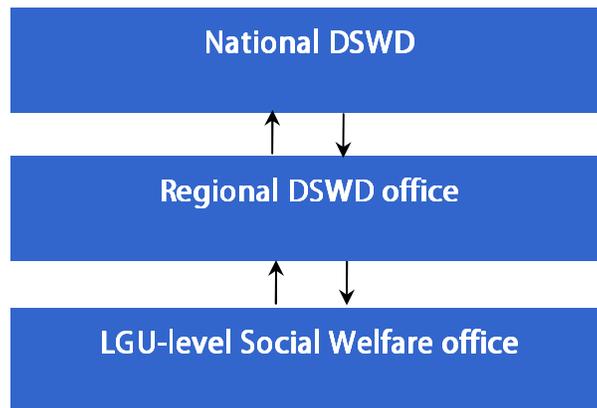
Example 3 (convergence by level of government): The Regional Kalahi Convergence Group is composed of various agencies working together on a common poverty strategy focusing on target provinces or municipalities. The RKCG is implementing DSWD’s Kalahi-CIDSS program (Kapit Bisig Laban sa Kahirapan-Comprehensive and Integrated Delivery of Social Services), now called the *Makamasang Tugon* program.

B. Vertical- Intra-agency or Vertical-National or Local Convergence

This type of convergence requires the coordination of various programs implemented by one department or agency or the coordination in a delivery of program between a national agency (with its regional units) and local governments (province, municipality city and/or barangay).



Example: DSWD’s Tatsulo program



Example: DSWD’s daycare and children’s programs that local government units coordinate with regional and national offices of DSWD.

C. Area-based Convergence

This requires the collaboration of various agencies (national and local) in the delivery of program or programs at target areas. For example, the Tatsulo program is being implemented in 40 municipalities. Another example is the Bottom-Up-Budgeting (BUB) initiative of the Department of Budget and Management (DBM), which first got underway in 600-plus poor municipalities. Then local stakeholders developed a Local Poverty Reduction Action Plan (LPRAP) whose funding will come from the BUB proposals submitted. That LPRAP will then be implemented by a Local Poverty Reduction Action Team (LPRAT).

D. Sector based Convergence

This type of convergence requires cooperation by agencies in the delivery of programs for a target sector. The sector identified can be farmers, children, people with disabilities, elderly, indigenous people, among others.

E. Multi-level and multi-focus Convergence

This type of convergence *combines* vertical, horizontal, area-based and sector-focused types of convergence that were explained earlier. A prime example is the BUB (Bottom-Up Budgeting) process and the implementation of a community's LPRAP (Local Poverty Reduction Action Plan).

1.3 ACTIVITIES FOR CONVERGENCE

When stakeholders convergence for social protection (especially locally), they can do the following activities:

- **Poverty, Risk and Vulnerability Analysis.** What naturally starts convergence efforts is a situational and needs analysis of specific localities. This would entail shared and common tools to conduct poverty, risk and vulnerability analysis.
- **Targeting.** Once the risk and vulnerability analysis is finished, aided by targeting systems such as the NHTS-PR, beneficiaries can now be identified and targeted for social protection programs. Local government units can complement data from the NHTS-PR with local surveys that help identify the poor and the vulnerable. (Over time, local governments can adopt their own targeting tool that is fitted for their location and condition.)
- **Policy Formulation.** A common effort at policy formulation may also be important. A broader constituency may also increase possibilities of reform proposals to be enacted as policies, especially at local levels.
- **Program Planning, Budgeting and Resource Mobilization.** After adequate situation and needs analysis, a common task at hand for convergence is program planning, budgeting and resource mobilization. This would require agencies to set sessions for the formulation of *common plans*.

- **Program Implementation and Delivery.** Probably the most difficult activity for convergence is the implementation and delivery of social protection programs and services. But first the mechanisms to implement social protection programs should be established. As well, there must be a clear definition of roles for each stakeholder, both government and outside of government. It will be best if a locality forms a Local Social Protection Team, or uses existing committees or task forces (e.g. Local Poverty Reduction Action Team) as a locality's social protection team.
- **Monitoring and Evaluation.** Finally, coordination must also be done towards a more convergent M&E system. Having a reliable M&E system will help find out if social protection programs have helped beneficiaries.

OTHER RELATED ENDEAVORS FOR SOCIAL PROTECTION

1. **Scaling Up Community-Driven Development (CDD)**

Since implementation of social protection always starts at the ground level, community driven development (CDD) is an important strategy. CDD as an approach helps poor communities develop the necessary skills, and provides people with resources in selecting, implementing, and sustaining small-scale community infrastructure projects and key social services. CDD helps empower ordinary citizens to actively and directly participate in local development programs since they will identify their own community's needs, prioritize, plan, implement, and monitor projects to address local poverty issues collectively (DSWD, 2013). Scaling-up CDD activities may include institution-building, (e.g., formation of CDD units within sectors and departments), conducting inter-agency pilot activities on CDD, and identifying NGO partners for CDD.

2. **Building Adaptive Capacities**

Mitigating risks and avoiding the impacts of various risks call for SP programs—at all levels—to assess adaptation efforts. Adaptation goes beyond the physical provision of better infrastructure and warning systems. It requires involving individuals and their social networks, local units and national agencies—and all should be involved in a participatory manner. This is consistent with convergence.

For example, after a powerful typhoon, how will a municipal disaster risk reduction and management council work with local barangay officials, relevant departments of the municipal government, and with people's organizations to avoid another similar fate when another typhoon comes?

As earlier mentioned, there are four principles of risk mitigation: protective, preventive, promotive and transformative. In relation, social protection can build adaptive capacity through *protective* and *preventive* strategies for coping, as well as through *promotive* and *transformative* measures. The capacity to absorb stress and manage and maintain basic function during stress, and the ability to bounce back after stress is a crucial component of an integrated adaptive system (Adger et al. 2004). Protective, preventive, promotive, and transformative measures are not mutually exclusive but are actually mutually reinforcing measures. The transformative potential of all social protection measures exists from the start of implementing social protection programs, and needs to be progressively realized across time.

3. Institutionalized Monitoring and Evaluation System

A monitoring and evaluation (M&E) system should be institutionalized on all levels of implementing social protection programs. A regular M&E system is important to be able to adjust, refine or even terminate programs so that appropriate responses to the various risks are implemented and sustained. The M&E system will also assess how convergence is achieved among the various stakeholders at all levels. The system also hopes to integrate early detection systems of risks that will affect various communities.

So specific financial and human resources have to be allocated in order to institutionalize this M&E system, especially is a local government unit's resources permit.

PHOTO ACKNOWLEDGEMENT

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