
Feasibility Study

Social protection in South Central Somalia

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This report represents the views of the consultants, and does not necessarily reflect the views of the partner organizations or donors.



ACRONYMS

| | | | |
|--------|--|-------------|---|
| ACF | Action Contre la Faim | CVMG | Cash and Voucher Monitoring Group |
| Adeso | African Development Solutions (NGO) | DAC | Development Assistance Committee (OECD) |
| AMISOM | African Union Mission in Somalia | DANIDA | Danish International Development Agency |
| ARTF | Afghanistan Reconstruction Trust Fund | <i>Deyr</i> | The short rainy season (September–December) |
| ASAL | Arid and Semi Arid Lands | DFID | Department for International Development (United Kingdom) |
| BPHS | Basic Provision of Health Services (Afghanistan) | DRC | Democratic Republic of Congo |
| BRCiS | Building Resilient Communities in Somalia | DWP | Decent Work Programme (Somaliland) |
| CaLP | Cash Learning Partnership | EC | European Commission |
| CAP | Consolidated Appeals Process | ECHO | European Community Humanitarian Office |
| CBO | Community-based organisation | ERD | European Report on Development |
| CBRWG | Cash-based Response Working Group | ERP | Economic Recovery Plan |
| CBT | Community-Based Targeting | FAO | (UN) Food and Agriculture Organisation |
| CDC | Community Development Committee | FEWSNET | Famine Early Warning Systems Network |
| Cesvi | Cooperazione e sviluppo | FGD | Focus Group Discussion |
| CHAP | Common Humanitarian Action Plan | FGS | Federal Government of Somalia |
| CLP | Chars Livelihood Programme (Bangladesh) | FHH | Female-headed household |
| COOPI | Cooperazione Internazionale | FSI | Failed State Index |
| CPF | Child Protection Fund (Zimbabwe) | FSNAU | Food Security and Nutrition Analysis Unit (FAO) |
| CRC | Cash Relief Committee | FSP | Food Security Programme |
| CSP | Centre of Social Protection | GAM | Global Acute Malnutrition |
| CT-OVC | Cash Transfer – Orphans and Vulnerable Children (CT-OVC) | GDP | Gross Domestic Product |
| | | GoK | Government of Kenya |

| | | | |
|---------------|---|---------|--|
| <i>Gu</i> | The main rainy season (April–June) | MoNKOAL | Ministry of Northern Kenya and Other Arid Lands |
| <i>Hawala</i> | Money transfer agents | | |
| HDDS | Household Dietary Diversity Score | MoU | Memorandum of Understanding |
| HDI | Human Development Index | MSF | Médecins sans Frontières |
| HH | Household | MTO | Money transfer operator |
| HIV | Human immunodeficiency virus | NGO | Non-Government Organisation |
| HPG | Humanitarian Policy Group | NSP | National Solidarity Programme (Afghanistan) |
| HSNP | Hunger Safety Net Programme (Kenya) | NRC | Norwegian Refugee Council |
| IASC | Inter-Agency Standing Committee | OCHA | (UN) Office for the Coordination of Humanitarian Affairs |
| IDP | Internally Displaced People | ODA | Official Development Assistance |
| IDS | Institute of Development Studies | ODI | Overseas Development Institute |
| IHDI | Inequality-adjusted Human Development Index | OECD | Organisation for Economic Co-operation and Development |
| ILO | International Labor Organization | OIC | Organisation of Islamic Cooperation |
| IMF | International Monetary Fund | OVC | Orphans and Vulnerable Children |
| INGO | International Non-Governmental Organisation | PDM | Post-distribution monitoring |
| IPC | Integrated (Food Security) Phase Classification | PNSP | Productive Safety Net Programme (Ethiopia) |
| JAM | Joint Assessment Mission | RFM | Risk financing mechanism |
| M&E | Monitoring and Evaluation | SATG | Somali Agriculture Technical Group |
| MDG | Millennium Development Goal | SCI | Save the Children International |
| MEB | Minimum Expenditure Basket | SIDA | Sweden International Development Assistance |
| MHH | Male-headed household | SoSh | Somali Shilling |
| MoH | Ministry of Health | SP | Social Protection |

| | | | |
|-----------|--|--------|--------------------------------------|
| SPIAC – B | Social Protection Inter-agency Cooperation Board | UNDP | United Nations Development Programme |
| SRM | Social Risk Management | UNICEF | United Nations Children’s Fund |
| SSA | Sub-Saharan Africa | US | United States |
| SSN | Social Safety Net Programme (Northern Somalia) | USD | United States Dollar |
| SWF | Social Welfare Fund (Yemen) | VRC | Village Relief Committee |
| TFG | Transitional Federal Government | WFP | (UN) World Food Programme |
| UK | United Kingdom | | |
| UN | United Nations | | |

TABLE OF CONTENTS

| | |
|---|-----------|
| <u>EXECUTIVE SUMMARY</u> | 1 |
| <u>INTRODUCTION</u> | 6 |
| <u>METHODOLOGY</u> | 8 |
| <u>PART 1: SOUTH CENTRAL SOMALIA</u> | 10 |
| What is social protection? | 14 |
| Key global frameworks of social protection | 14 |
| A working definition of social protection | 16 |
| The evolution of social protection programming | 17 |
| Social protection instruments | 18 |
| Who are the beneficiaries of social protection programmes? | 20 |
| What impact can social protection programmes achieve? | 21 |
| Who funds social protection? | 23 |
| How much does social protection cost? | 24 |
| <u>PART 3: SOCIAL PROTECTION IN AFRICA AND IN FRAGILE STATES</u> | 25 |
| Ethiopia: Productive Safety Net Programme (PSNP) | 28 |
| Kenya: 1. Hunger Safety Net Programme (HSNP) | 29 |
| Kenya: 2. Cash Transfer for Orphans and Vulnerable Children (CT-OVC) | 30 |
| Other African social protection programs | 30 |
| Social protection in fragile states | 31 |
| <u>PART 4: SOCIAL PROTECTION IN SOUTH CENTRAL SOMALIA</u> | 38 |
| Vulnerability | 38 |
| Current social protection mechanisms in South Central Somalia | 43 |
| Key informants perspectives on the feasibility of expanding social protection | 54 |
| <u>PART 5: PREDICTABLE HUMANITARIAN PROGRAMMES</u> | 61 |
| Establishing a Safety Net Programme | 62 |
| <u>PART 6: THE WAY FORWARD</u> | 67 |
| <u>CONCLUSION</u> | 72 |
| <u>REFERENCES</u> | 72 |

LIST OF TABLES

| | |
|--|----|
| Table 1: Number of interviews and focus groups conducted | 8 |
| Table 2: Examples of social protection instruments and issues in fragile states | 19 |
| Table 3: Documented impacts of cash transfer programmes..... | 21 |
| Table 4: Civil society groups with a social protection focus | 51 |
| Table 5: Potential opportunities for setting up a formal social protection system | 54 |
| Table 6: Potential constraints/ barriers to setting up a formal social protection system | 55 |
| Table 7: Summary of suggested way forward..... | 71 |

LIST OF FIGURES

| | |
|--|----|
| Figure 1: Controlling authorities in South Central Somalia (as at 1 June 2013). | 11 |
| Figure 2: Epicenter of the of 2011 famine (July 2011) | 13 |
| Figure 3: Traditional location of major clans and sub-clans in the Horn of Africa (pre 1950) | 39 |

LIST OF ANNEXES

| | |
|--|-----|
| Annex 1: List of key informants | 76 |
| Annex 2: Study Terms of Reference | 82 |
| Annex 3: Prompt sheet for interview – Community Members (Focus Group Discussion) | 88 |
| Annex 4: Prompt sheet for interview – Government Staff..... | 90 |
| Annex 5: Prompt sheet for interview – UN Agency and NGO staff | 94 |
| Annex 6: Prompt sheet for interview – Donors | 98 |
| Annex 7: Semi-structured interview guide - Other key informants..... | 102 |
| Annex 8: OECD’s Ten Principles of Engagement in Fragile states | 104 |
| Annex 9: Most recent IPC map: Most likely scenario (August to December 2013) | 105 |
| Annex 10: List of some key global social protection related strategies | 106 |

EXECUTIVE SUMMARY

In recent years, there has been a growing recognition by policy makers and the international development community that longer-term social protection programming has the potential to reduce poverty and inequality and serve as a foundation upon which, viable livelihoods can be built. In many countries, specially those that are frequently affected by climatic and conflict hazards, this has led to calls for a shift in approach away from interventions that simply address the symptoms of household vulnerability towards those which deal with the causes.

For more than two decades Somalia has lurched from one humanitarian crisis to another. This debate around the potential of social protection is therefore particularly acute, as years of humanitarian programming seem to have had little impact on increasing household resilience to shocks. Furthermore, the country still ranks 165 out of the 170 countries included in the UN's Human Development Index, and number one on the US Fund for Peace 'Failed State Index'.

A consortium of agencies working in Somalia commissioned this study: Adeso, ACF, DRC and Save the Children. The study is intended to further the discussion on the rationale and practicalities of social protection in South Central Somalia, and to serve as a starting point for the debate around moving away from short-term responses towards longer-term social protection interventions by these agencies, and others.

The report comprises six parts: Part 1 describes the political economy in South Central Somalia and highlights some key challenges for humanitarian actors; Part 2 defines the general concept of social protection and looks at the global evidence of the impact of social protection; Part 3 looks at social protection programs in African countries (particularly those in the Somalia region), and also in fragile states; Part 4 looks at current social protection mechanisms in South Central Somalia; Part 5 describes the actions that are currently needed before humanitarian programming can become predictable, and Part 6 summarizes the way forward, including recommendations and the conclusions from the study.

The report is based on primary data collected through 113 interviews and focus group discussions (conducted by Somalia enumerators) with key informants in eight regions of Somalia, plus additional interviews with stakeholders and experts located outside the country, and a review of literature available on social protection programming in fragile states and neighboring countries.

It is increasingly recognized in Somalia that building household resilience to shocks is critical: Somalia is a food insecure country highly dependent on imported food and the humanitarian community, and is extremely susceptible to global food price fluctuations and weather shocks – both of which combined to foment the famine which affected most of South Central Somalia in 2011. The famine demonstrated how fragile many livelihood systems had become after years of conflict and a steady deterioration in environmental conditions, and demonstrated that traditional humanitarian responses did nothing other than treat the symptoms of shocks. This caused many development actors to begin looking seriously at whether the array of interventions commonly grouped under 'social protection' could feasibly be used to improve household resilience given the extremely difficult operating context that South Central Somalia poses.

Another critical reason for the upsurge in interest in social protection is the recognition of the important role that this type of programming can play as an instrument of state building. The traditional concept of social protection is based on the notion of a social contract between Government and the people it claims to represent; a contract under which the Government protects members of society from falling below a certain poverty threshold in return for members of society fulfilling their side of the social contract by, for example paying tax. So, in a country such as Somalia, where the Federal Government is trying to assert authority and legitimacy, there is obviously interest in programming which supports these state building goals.

A number of conceptual frameworks and definitions of social protection exist, including those designed by the World Bank, the ILO, UNICEF and the Development Assistance Committee of the OECD. Although they differ in certain ways, all agree on the general principle that in the absence of social protection, hazards impact directly on living standards and promote risky behavior amongst those affected, which is detrimental to their long term welfare.

In this report the term ‘social protection’ is used to refer to both the approach and to the specific set of policies and actions put in place. It is also understood that social protection differs from ad-hoc humanitarian programming in two important ways. Firstly, social protection should operate within the rubric of government policy with regard to minimum living standards, even if external partners are involved in exclusively or in part of elements of its delivery and funding. Secondly, transfers made through the programme, whether conditional or unconditional, should be long term and predictable. It should be added that, given the long-term nature of the transfers, selection and targeting of beneficiaries should be transparent and easily understood.

For the purpose of this study, therefore, the author’s use one of the broadest definitions mentioned in the literature, one initially used by Devereux and Sabates-Wheeler:

“Social protection encompasses initiatives, both formal and informal, that provide social assistance to extremely poor individuals and households; social services to groups who need special care or would otherwise be denied access to basic services; social insurance to protect people against the risks and consequences associated with the loss of employment and livelihood shocks; and social equity to protect people against social risks such as discrimination or abuse”.

As would be expected given this broad definition, social protection programming can take a range of forms including in-kind assistance (such as food aid), cash transfers, labour-based interventions (cash or food for work), and insurance measures. The evidence base for cash based interventions – globally and in sub-Saharan Africa - is particularly strong, especially regarding the role that cash transfers can play in reducing poverty and inequality and improving human welfare outcomes like food security and nutritional status.

Within Somalia a number of informal social protection mechanisms exist, including the sending of remittances from abroad, and the giving of alms through the Islamic traditions of *Zakat* and *Qaraan*. Nevertheless, these institutions are increasingly unable to deal with the vulnerabilities caused by heightened inter-clan tension, conflict and climatic shocks that have a strong bearing on any programming in Somalia. The reputation of the central state also makes it increasingly difficult to channel resources from abroad.

A key question therefore, is how to deliver true social protection programming in the context of a fragile state? Some clues can be found in the research conducted by Leader and Consuelo (2005). They identify a range of financial mechanisms such as social funds, pooled funding and working through consortia with a neutral intermediary such as the UN as potential options. Such arrangements appear to be working to a degree in Afghanistan, where the National Solidarity Programme is funded through a trust fund. So far over 50,000 development projects have been funded, and a consistently high rate of return on the investment is reported.

From a technical perspective, lessons can be learned from a large programme currently operational in Ethiopia. The Productive Safety Net Programme (PSNP) in Ethiopia, with its focus on guaranteed seasonal employment for beneficiaries over a five year period, a loan facility enabling beneficiaries to make livelihood enhancing investments, and a Risk Financing Mechanism that allows assistance to be scaled up to offset particularly severe weather shocks has good support from the government and donors, and has been successful in improving beneficiaries' food security by 7% and livestock holdings by 11%. Likewise a few examples of social protection programming in northern Somalia exist such as the Social Safety Net Programme implemented by Save the Children and Adeso in Somaliland/Puntland. However donor funding and government uptake has been limited which has seriously affected sustainability.

Long term and predictable funding is also a key component of true social protection programming. Given that tax revenue in Somalia is low and the resources that are available are currently focused on improving security and infrastructure, it would appear that in the short term at least, funding would have to come from external donors. The main problem is that donors are currently unwilling to commit long-term funds to a programme where monitoring of process and impact is difficult, there is a high risk of conflict and a potential risk of benefit capture by terrorist groups such as Al Shabaab.

While it is clear that longer-term funding is required and longer-term programming would be beneficial, it is also recognized that there needs to be improvement in the way funding is handled in Somalia, with improvement in the identification of fraud, collusion, and targeting errors.

Despite all these constraints, there are recent examples of aid actors taking steps towards longer-term programming in Somalia. A number of UN agencies including WFP, UNICEF and FAO have recently collaborated to produce a Joint Strategy for Resilience Building. The strategy forms the basis of a four-year Country Development plan (2012-16) and calls for a move away from short term humanitarian assistance towards resilience programming with a focus on improving the enabling environment and establishing safety nets. Another example is the recently established, DFID-funded consortium of NGOs to implement the Building Resilient Communities in Somalia (BRCiS), which will support 70,000 households to become more resilient over 4 years.

The policy framework in Somalia is also becoming more supportive of social protection. The Federal Government of Somalia's (FGS) recently released Economic Recovery Plan (2014-16) recognizes that social protection is a critical instrument for state building, economic recovery and resilience in Somalia, but also that the government currently lacks adequate human and

financial resources to deliver on this objective.

It appears, therefore, that there is a growing momentum of support for a resilience-focused social protection approach in Somalia, and this forms a basis on which to build. Moving forward, a number of recommendations can be made.

- Agencies must continue to build capacity of all stakeholders - including their own staff, and government officers – of the four-pillared nature of social protection and the ways that it differs from traditional humanitarian programming.
- Continued efforts should be made to improve or establish relations with local and national government and to coordinate and harmonize their programmes. Long-term sustainability will only happen with government engagement.
- Even if full cooperation from the government is difficult because of capacity and funding constraints, agencies should ensure that their programmes aligned with the government's Economic Recovery Plan (ERP), and should include programmatic components and resources to build government staff capacity.
- Youth unemployment is a particular government priority; so productive safety net programmes targeting the youth could be a starting point for collaboration.
- Assisting the government at a regional and national level to develop a coherent Social Protection Policy. It is important to note however, that this function will require appropriately skilled, technical staff that can be based in Somalia to manage a process of engagement with the FGS.
- Improve regional level analysis of vulnerability to assist with targeting.
- Consider the possibility of a regional level taskforce comprised of agency, government and civil society representatives. This will enable a more nuanced understanding of vulnerability that will inform targeting and programming. This would also be a first step in involving regional and local government in data analysis.
- Development actors – particularly NGOs – would do well to harmonize their approach (at least within regions) and reduce the level of competition between them.
- At a minimum this would involve agreement on a single definition of social protection, and ideally it would involve full sharing of information, joint advocacy and willingness to cooperate in programming between all agencies. Greater transparency in NGO operations would also allay some donors' concerns about accountability as well.
- Lastly, most agencies agree that a feasible first step would be to establish a pilot safety net programme to make humanitarian programming more predictable in the short term. Key informants believe that this safety net should be cash-based and include some level of flexibility, in order to scale up as required.

At the time of writing, there is the possibility of funding from UNICEF for a pilot Safety Net Programme in one or two regions of South Central Somalia. If this opportunity eventuates, agencies are urged to think through the lessons from the Social Safety Net Programme in northern Somalia, and the learning from the evaluation of the cash and voucher response to the 2011 famine, to ensure that the pilot is implemented appropriately. This study has found that there are currently a number of operational issues, including targeting, community participation, and transparency and accountability that need attention before long-term, regular transfers can be delivered in a predictable way.

In addition to the above recommendations including establishing a safety net programme, agencies are also urged to do the following, in order to build a base on which future social protection programming can sit.

- Consider united advocacy on key issues
- Identify potential programming opportunities under each of the four social protection pillars: protection, prevention, promotion and transformation and think outside the box of traditional humanitarian support.
- Support interventions that provide basic services such as education and health.

In conclusion, there is clear recognition among the development community in Somalia that traditional humanitarian programming has not been as effective as needed. Long-term resilience building is best achieved through predictable social protection programmes. However there are still significant barriers in place that prevent the establishment of a comprehensive formal social protection system.

Agencies should therefore focus their attention towards a social protection goal and making humanitarian assistance more predictable in the short term through learning from a pilot safety net programme. Improving specific operational issues and their relationships with the government will also put agencies in a better position to make a significant contribution to a safer, more equitable and more resilient Somalia in the future.

INTRODUCTION

In recent years, there has been a growing recognition by policy makers and the international development community that social protection has the potential to reduce poverty and inequality and serve as a foundation upon which, viable livelihoods can be built. This has led to calls for approaches that address the underlying causes of individual and household vulnerability, rather than simply focusing on the symptoms. More ambitious schemes can also be included, ones that aim to protect households and address the causes of poverty they face such as inadequate infrastructure, social inequity, poor and unreliable service delivery, ecosystem degradation and natural and economic shocks.

For many, social protection programming holds the promise of a better alternative to the endless cycle of seasonal humanitarian interventions that occurs in many countries, which only address the symptoms but not the causes of hunger and poverty. As such, there is growing interest in the introduction and further expansion of social protection related policies and programmes in developing countries, including in fragile states such as Somalia.

Decades of humanitarian programming in Somalia failed to prevent the 2011 famine that swept through most parts of South Central Somalia (Figure 1). Perhaps as a result, the humanitarian community in Somalia is now considering their options regarding more appropriate future interventions and looking for ways to prevent future disasters rather than just assisting those already facing humanitarian crises.

To do this, agencies are currently looking at so-called “resilience” programming, projects that help households better cope with disaster. Agencies are also showing interest in moving towards a more preventative and longer-term approach. In this regard, social protection programming has potential.

This study investigates whether aspects of a formal social protection system might provide a better way to ensure economic assistance to households and link the current humanitarian “resilience” focus with a longer-term development goal.

The study focuses specifically on the South/Central Regions of Somalia rather than the more stable regions of Somaliland and Puntland. The northern regions have relatively functional governments and there are already opportunities to engage with government and other stakeholders to develop a formal social protection system. This study focuses instead on the possibilities for formal social protection in the South/Central Regions where population needs are high but involvement from the government is less likely.

So what exactly is social protection? And is South Central Somalia ready to embrace formal social protection programming instead of reliance on short-term humanitarian relief?

This study has been commissioned by a consortium of international non-government organizations (NGOs): Adeso, Save the Children International, ACF International and the Danish Refugee Council (DRC) to investigate these questions and make recommendations as to the appropriateness and feasibility of formal social protection in South Central Somalia. Each of the commissioning agencies has extensive experience in Somalia and is interested in pursuing the possibility of adopting a longer-term approach to development programming in Somalia.

The report is intended to be a starting point for the commissioning agencies and other

stakeholders for discussions on the way forward for social protection oriented humanitarian action in South Central Somalia. It is designed specifically to help agencies to think through key issues, including barriers and opportunities for changing the way they are currently operating in South Central Somalia (if necessary).

The study also provides recommendations and conclusions as to how current programming methods could be improved to assist in the transition to longer-term programming. These recommendations are based on both a review of the global literature, and the viewpoints of key stakeholders and communities.

The overall objective of the study is to assess the relevance and feasibility of a social protection system in South Central Somalia. The paper is divided into six parts:

- Part 1 describes the political economy in South Central Somalia and highlights some key challenges for humanitarian actors
- Part 2 defines the general concept of social protection and looks at the global evidence of the impact of social protection,
- Part 3 looks at social protection programmes in African countries (particularly those in the Somalia region), and also in fragile states.
- Part 4 looks at current social protection mechanisms available to households in South Central Somalia
- Part 5 describes the actions that are currently needed before humanitarian programming can become predictable
- Part 6 summarizes the way forward, including recommendations and the conclusions from the study.

METHODOLOGY

To conduct this study, two broad methods were used to gather information:

- A literature review encompassing a range of social protection topics: what is social protection, what social protection programming involves in other countries in Africa and in fragile states, and what the current social protection situation is in South Central Somalia. Where relevant, documentation from previous programmes in South Central Somalia was also reviewed, in particular the recent large scale cash and voucher response to the 2011 famine that both authors were involved in monitoring.
- Primary data collection analysis: Interview and focus group data from key stakeholders and informants both in Somalia and outside, collected by the authors and specially trained enumerators.

Interviews with key informants took place between November 2013 and January 2014. Poor security in Somalia meant that it was impossible for either of the authors to personally conduct interviews in the field. As such, 27 Somali enumerators were trained in two training courses conducted in Garissa (Kenya) and Mogadishu (Somalia). Course content covered the definition and history of social protection, qualitative data gathering techniques, and use of the interview templates / guides.

Interview formats were developed for four groups of informants: NGOs and UN, donors, Government of Somalia staff and community groups (including IDPs, elders, mosque representatives, etc.). In total 115 interviews were conducted. Table 1 shows the number of interviews conducted per group in each region.

Table 1: Number of interviews and focus groups conducted

| Region | District / Location | Community Groups and Representatives | Government of Somalia | NGO / UN Agencies | Donors / external experts | Total |
|-----------------|---------------------|--------------------------------------|-----------------------|-------------------|---------------------------|------------|
| Banadir | Dharkenley | 3 | | | | 20 |
| | Hodan | 5 | 3 | 4 | | |
| | Mogadishu | | | 5 | | |
| Bay | Baidoa | 2 | 3 | 3 | | 8 |
| Gedo | Bula Hawa | | 1 | 2 | | 11 |
| | Dollo | | 1 | 5 | | |
| | El Wak | | 1 | 1 | | |
| Hiran | | 9 | 4 | 7 | | 20 |
| Lower Juba | Afmadow | 9 | 5 | | | 34 |
| | Danawag | 1 | | | | |
| | Dhobley | 4 | 2 | 2 | | |
| | Diff | 2 | | | | |
| | Sunmaqare | | 4 | | | |
| Lower Shabelle | Afgoye | 3 | | 3 | | 7 |
| | Horseed | 1 | | | | |
| Mudug | Galkayo | 1 | 1 | 2 | | 4 |
| Outside Somalia | | | | 4 | 7 | 11 |
| TOTAL | | 45 | 25 | 38 | 5 | 115 |

Informants and communities were asked a number of questions on various topics. Although each group of informants were asked different questions, the main study topics were as follows:

- Understanding of the term “social protection”
- The ways that people in need seek and receive assistance when needed
- Identification of formal projects currently in place that have relevance to social protection outcomes
- The need for longer term engagement with the community
- Feasibility of starting long term programming in different locations
- What type of programme would be most appropriate

As far as possible, interviews were conducted in locations as specified in the Terms of Reference (Annex 2). These included the regions of Gedo, Lower Juba, Hiran, Mudug, Mogadishu, Lower Shabelle, and Bay. However, access to some areas within these regions was limited by insecurity and the poor state of roads due to the onset of the *Deyr* rains. Where this was the case, informants in alternative locations in the same region were sampled.

Once completed, notes of interviews (all qualitative) were sent by email to the authors for analysis. The authors conducted additional interviews with key informants either in person in Nairobi or by telephone. The data collection tools can be found in the Annexes 3-7.

PART 1: SOUTH CENTRAL SOMALIA

Somalia has suffered continued violent conflict between groups vying for power since the ousting of General Siad Barre in 1991. The current Federal Government of Somalia (FGS) was only recently established (August 20, 2012) following the end of the eight year interim mandate of the Transitional Federal Government (TFG). Somalia has a president, Hassan Sheikh Mahmoud, who serves as Head of State, and has a Prime Minister who serves as head of the government. Since the recent inception of the FGS there have already been three Prime Ministers, with the latest, Abdiweli Sheikh Ahmed, endorsed on 21 Dec 2013 following a vote of no confidence in Abdi Farah Shirdon. The country is therefore still highly unstable and confidence in the government by the international community and more importantly, by its citizens, is yet to be established. However, many sources indicate that the new government represents the best opportunity for stability in the last two decades.

As a result of the ongoing conflict and lack of functional government for more than two decades, Somalia ranks very poorly on a wide range of social, economic and political and military indicators. It has been ranked number one on the US Fund for Peace Failed State Index¹ every year since 2008. Even before the collapse of the government, Somalia was one of the poorest countries in Africa, with widespread poverty, particularly among the nomadic and rural populations.

Somalia's Human Development Index (HDI) value is strikingly low at 0.285², ranking it 165 out of the 170 countries. The provision of basic services (education and health) in South Central Somalia is poor, and was exacerbated recently (August 2013), when the main provider of health care in Somalia, Médecins sans Frontières (MSF) pulled out of Somalia citing unacceptable security threats to its staff³. This has an impact on the health of an estimated 1.5 million people.

The FGS controls much of South Central Somalia with the help of the African Union Mission in Somalia (AMISOM) (Figure 1 overleaf). AMISOM has a mandate to stabilize the situation in the country in order to create conditions for the conduct of Humanitarian activities⁴. AMISOM also works to control insurgency by Al Shabaab.

Al Shabaab is an offshoot of the Islamic Courts Union, which splintered into several smaller factions after it was defeated in 2006 by the Somali TFG. Al Shabaab imposes strict Sharia Law on communities under their control and is opposed to the presence of foreign organizations including many aid agencies.

Even within the territory held by the FGS, corruption and clan politics are notable problems, and humanitarian aid in Somalia continues to face considerable risks of diversion; a problem exacerbated by poor access for monitoring teams. Humanitarian aid has been supplied to South Central Somalia for at least two decades, mainly in the form of food aid. However aid options changed significantly in early 2010 when the World Food Programme and its local partners were forced to withdraw from Somalia after repeated attacks on their transport

¹ Fund for Peace & Foreign Policy. Failed State index – ranked by country. Somalia has been in the top 7 countries (out of 177) since the index started in 2005.

² Scores range from 0-1. Countries scoring in the lowest quartile are classified as “ low human development”.

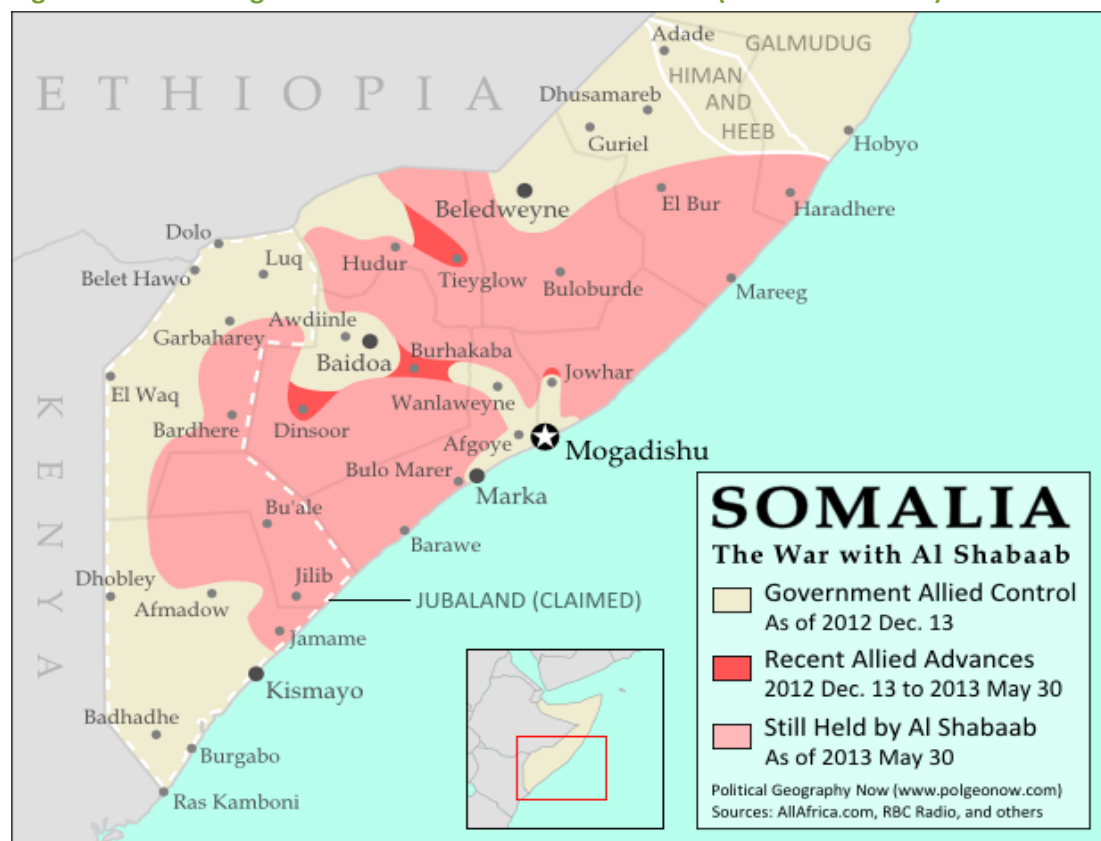
³ MSF Press Release, 14 August 2013 - <http://somalia.msf.org/2013/08/msf-forced-to-close-all-medical-programmes-in-somalia/>

⁴ <http://amisom-au.org/amisom-mandate>

convoys. Soon afterwards, the UN Monitoring Group on Somalia published a report alleging that three of WFP Somalia’s primary contractors had been accused of mass corruption. The report estimated that half of WFP’s food aid destined for Somalia was being diverted and sold off illegally.⁵

This complex situation makes operating in South Central Somalia a significant challenge. It comes with considerable security risks for the humanitarian community and many international humanitarian agencies have limited access to beneficiaries, opting instead to operate through remote management or through partnerships with local organizations.

Figure 1: Controlling authorities in South Central Somalia (as at 1 June 2013).



Source: <http://www.polgeonow.com/search/label/al%20shabaab>

Against this backdrop is a highly food insecure country, dependent on imported food and with large groups of the population, such as Internally Displaced People (IDPs) reliant on the humanitarian community for support. This situation was brought to international attention in 2010, when the southern regions of Somalia experienced a failure of the short *Deyr* rains. This led to failed crop production, the depletion of local cereal stocks and rapidly increasing food prices – which coincided with a spike in the price of grain on the international markets.

On 21 July 2011, the UN Office for the Coordination of Humanitarian Affairs (OCHA) declared that famine existed in two regions of southern Somalia: southern Bakool and Lower Shabelle. The famine subsequently spread to five out of the eight regions in South Somalia, with humanitarian emergencies in parts of all eight southern regions, the two central regions and

⁵ UN Somalia Monitoring Group, 2010: 60.

four of the eight northern regions.⁶ The locations of the famine (July 2011) can be seen in Figure 2 (overleaf).

The market for food in Somalia is surprisingly efficient, and the bulk of food insecurity in the 2011 famine was largely due to food access issues rather than food availability; households were simply unable to afford the food that was present in the market as a result of their weakened livelihood position.

Since the famine, conditions in most parts of Somalia have improved significantly, resulting in a reduction in the Integrated Food Security Phase Classification (IPC) throughout South Central Somalia (see current IPC map in annexes). However, more than 860,000 people are still in need of assistance, the majority of which (75%) are IDPs⁷. An additional two million people beyond those requiring urgent assistance are classified as Stressed (IPC Phase 2); their food security remains fragile and vulnerable to any major shock that could push them back to Crisis or Emergency (IPC Phases 3 and 4).

Lessons are still being learned about the timeliness and modality of response to the 2011 famine, and research is still being conducted as to the exact causes of the famine. Despite the presence of a comprehensive early warning system, and the significant level of experience of aid agencies in Somalia, the humanitarian community failed to respond in time to prevent the famine. However, when the scale of the problem was realized and resources were mobilized, cash and voucher programmes were able to provide assistance to more than 195,000 famine-affected households, at a value of more than US\$90 million⁸.

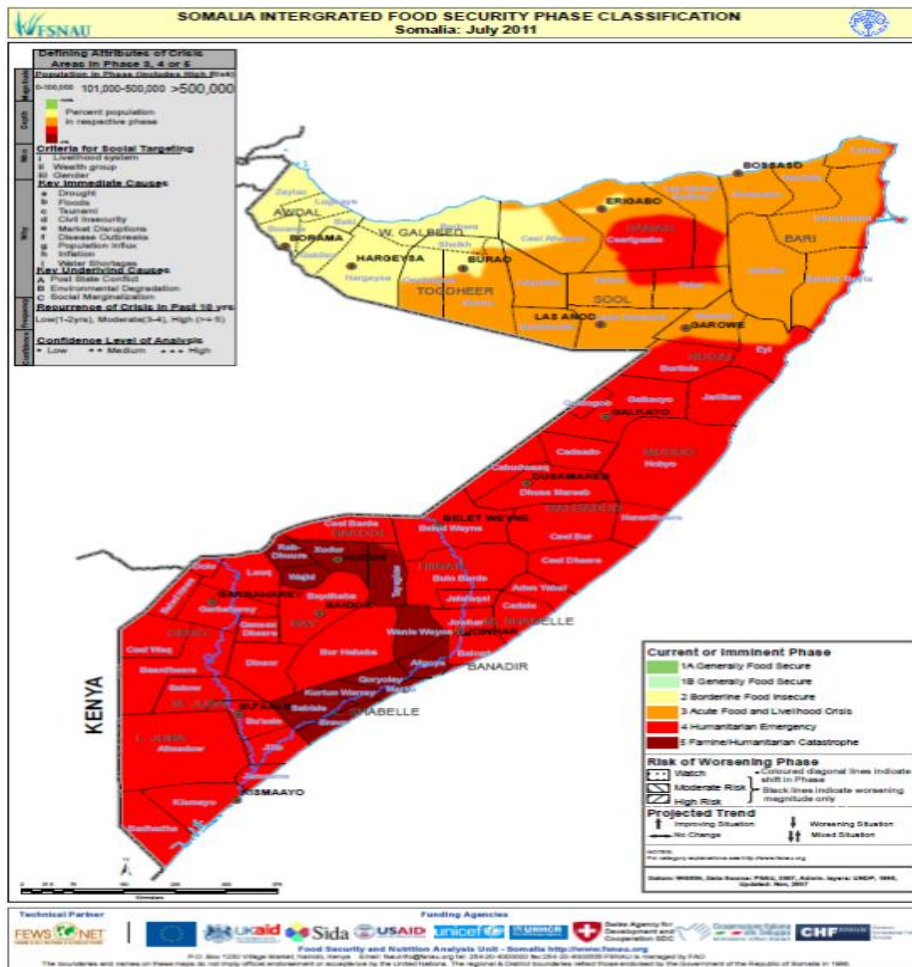
It is perhaps as a result of this experience that many humanitarian agencies and donors are currently re-thinking their strategies in Somalia. There is now increasing interest in exploring approaches that result in “resilience” - households being better prepared for shocks, rather than on approaches that are wholly triggered by indices that have time inherent time lags that can be potentially devastating.

⁶ <http://www.fsnao.org/downloads/FSNAU-Rural-Urban-IDP-Populations-in-Crisis-August-September-2011.pdf>

⁷ FSNAU (2014) FSNAU Post Deyr 2013/14 Food Security and Nutrition Analysis

⁸ Hedlund et al (2013) Final Evaluation of the Unconditional Cash and Voucher Response to the 2011–12 Crisis in Southern and Central Somalia. Humanitarian Outcomes.

Figure 2: Epicenter of the of 2011 famine (July 2011)



Source: FSN/IFRC/FAO (2011)⁹

⁹ FSN/IFRC/FAO (2011) <http://www.fsnau.org/ipc/ipc-map> - IPC Map July 2011

PART 2: SOCIAL PROTECTION

"Social protection is not a cost. It's just as much an investment as building a new bridge or road."

E. Harris, IMF¹⁰

What is social protection?

The concept of social protection is based on the notion of a 'social contract' between the state and its citizens. Central to this contract is the notion that a government should assume the final responsibility for ensuring that citizens do not fall below a certain level of poverty. Government legitimacy is based to a significant extent on this ability to ensure that people can maintain an acceptable standard of living themselves, but also to provide a safety net for households unable to meet these minimum levels.

Unfortunately social protection is still often considered as something exclusive to developed countries. For example, Europe, with only around 7% of the world's population, currently accounts for over 50% of global social protection spending.¹¹ Indeed, data indicates that only 20% of the world's population has adequate social security coverage, and more than half lack any coverage at all¹². Populations without adequate social protection face dangers in the workplace, as well as the prospect of poverty in old age or as a result of poor health. Fewer than 10% of workers in less-developed countries are covered by social security, and what little resources are available are generally targeted at better off income groups like civil servants. In middle-income countries, coverage ranges from 20 to 60%, while in most industrial nations, it is close to 100%¹³.

So what exactly is social protection? There are numerous definitions available in the literature, more or less broad in order to include larger or smaller a variety of initiatives depending on the programme objectives. However, generally speaking "social protection" refers to the set of public actions that help households address risk, and moderate their vulnerability¹⁴ to hazards and shocks. This can be achieved through the transfer of assets to vulnerable groups and/or through policies and mechanisms that promote social equity and social inclusion and prevent discrimination.

To understand the breadth of possibilities included under an umbrella of social protection it is useful to understand the key analytical frameworks used by the main non-state actors involved in social protection programming.

Key global frameworks of social protection

In developing contexts, the World Bank and International Labor Organisation (ILO) are the major donors and the lead organizations in the field. Other major players include UNICEF and

¹⁰ Elliott Harris, Assistant Director for Strategy, Policy and Review Department at the IMF. During address to the second ILO-UNITAR training on advancing social protection floors and the challenges in financing social protection. IOM in May 2013. http://www.ilo.org/newyork/news/WCMS_214362/lang--en/index.htm

¹¹ George Osborne, Chancellor of the Exchequer. UK

¹² www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/social-security/lang--en/index.htm

¹³ http://www.ilo.org/wcmsp5/groups/public/---dgreports/---dcomm/documents/publication/wcms_067588.pdf

¹⁴ Vulnerability refers to being exposed to the possibility of being attacked or harmed, either physically or emotionally. Economic vulnerability refers to the chances of staying in, or falling into, poverty in the future. It reflects the absence of protection (Barrientos, 2010)

the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD).

The World Bank: The World Bank is perhaps the main source of financial and technical assistance for developing countries. It uses a model called the “Social Risk Management” (SRM) Model to identify social risks and potential responses. The SRM framework includes interventions that focus on managing risks before shocks occur.

Although the SRM model of the World Bank is arguably the dominant model for social protection, Devereux and Sabates-Wheeler argue that even this framework needs improvement by better understanding “vulnerabilities”. Vulnerabilities should not just be categorized according to age group or disability status, but recognize that vulnerability is often embedded in socio-political context and therefore need to be understood in the specific context that is being addressed. For example the reason why the elderly are vulnerable in Somalia might be significantly different to why the elderly are vulnerable in other countries.

The SRM also misses out “social risks” that lead to poverty and vulnerability. This includes structural social risks - groups that are routinely discriminated against just by being themselves, such as (in the case of Somalia) minority clans. It also includes contingent risks – vulnerability because of where they live, or what they do. Again, in the case of Somalia, this may include pastoralists, riverine communities, IDPs or people living in flood prone areas.

The main elements of the SRM framework are:

- Risk reduction measures that focus on reducing risks in the labour market.
- Risk mitigation measures to deal with anticipated shock.
- Risk coping mechanisms to relieve the impact of risk after it has occurred.

International Labor Organization (ILO): Since its creation in 1919, ILO has actively promoted policies and provided its Member States with tools and assistance aimed at improving and expanding the coverage of social protection to all groups in society and to improving working conditions and safety at work.

The ILO covers issues of both social security and labor protection. Since it became a specialized agency of the United Nations (UN) in 1946, the ILO has been responsible for setting norms and standards at work. Social Protection is one of the four strategic objectives of the “Decent Work Agenda” that defines the core work of the ILO. Currently the ILO focuses, amongst others, on the following strategies:

- Extending social protection to all
- Promoting decent working conditions
- Providing programs for informal and migrant workers

UNICEF: Globally, the UN defines social protection as “a set of public and private policies and programmes undertaken by societies in response to various contingencies to offset the absence or substantial reduction of income from work; to provide assistance to families with children as well as provide people with basic health care and housing”.¹⁵

Social protection is underpinned by shared “fundamental values concerning acceptable levels and security of access to income, livelihood, employment, health and education services,

¹⁵ United nations 2000: 4

nutrition and shelter”¹⁶. This approach extends the role of social protection to securing basic needs as a precondition for human and economic development.¹⁷

DAC – OECD: The OECD brings together thirty democratic countries to seek answers to common problems and coordinate domestic and international policies. The Development Assistance Committee (DAC) of the OECD is responsible for the Poverty Network (POVNET) that has become very influential on policy development.

The DAC-POVNET focuses on the following areas:

- Poverty reduction
- Pro-poor growth
- People centred development

All these international frameworks agree on the general principle that, in the absence of social protection, hazards impact directly on living standards. Unmitigated hazards also promote risky behavior among those in poverty, which is detrimental to their long-term welfare. For example, responding to drought by taking children out of school or economizing on primary health care in order to save money for food or other needs. Minimizing the need for these behaviors is central to the concept of social protection in both developed and developing countries.¹⁸

A working definition of social protection

In this document the term “social protection” is used to refer to both the approach and to the specific set of policies and actions put in place. It is also understood that social protection differs from ad-hoc humanitarian programming in three important ways.

- Firstly, social protection should operate within the rubric of government policy with regard to minimum living standards, even if external partners are involved in exclusively or in part of elements of its delivery and funding.
- Secondly, transfers made through the social protection programmes, whether conditional or unconditional, should be long term¹⁹ and predictable.
- Lastly, and particularly importantly given the long-term nature of the transfers, selection and targeting of beneficiaries should be transparent and easily understood.

For the purpose of this study the authors use one of the broadest definitions mentioned in the literature, one initially used by Devereux and Sabates-Wheeler²⁰. This broad definition is used to ensure that key informants consider all possible forms of social protection in their responses, and that after data collection and analysis, the most appropriate and feasible forms of social protection for Somalia can be determined. It also includes the “social aspects” that are often lost in other social protection frameworks such as equity and discrimination.

*“Social protection encompasses initiatives, both formal and informal, that provide social assistance to extremely poor individuals and households; **social services** to groups who need*

¹⁶ Ibid.

¹⁷ Barrientos (2010) Social protection and poverty. Social Policy and Development Programme Paper Number 42, January 2010. United Nations Research Institute for Social Development.

¹⁸ Ibid.

¹⁹ By long term, the authors mean at least five years but preferably longer.

²⁰ Devereux, S & Sabates-Wheeler, R (2004) Transformative social protection. IDS Working Paper 232. Institute of development studies. London, UK

*special care or would otherwise be denied access to basic services; **social insurance** to protect people against the risks and consequences associated with the loss of employment and livelihood shocks; and **social equity** to protect people against social risks such as discrimination or abuse”.*

Devereux and Sabates-Wheeler (2004)²¹.

The evolution of social protection programming

It is now generally agreed that social protection is instrumental in promoting human welfare, and is conducive to social development, one of the cornerstones of economic advancement and political stability.²² Indeed the International Labor Standards and the UN now recognize access to adequate social protection as a basic human right.

Social protection was originally limited to supporting people to manage and mitigate shocks. It mainly included mechanisms to protect people from the impact of shocks such as flood, drought, unemployment or the death of a breadwinner, and included insurance interventions linked to formal employment. However, this focus on short-term poverty mitigation was criticized as an expensive intervention that provided a disincentive for individual self-reliance.²³

As the aid agencies and development partners’ interest in social protection has grown, the concept of social protection has evolved to include longer-term preventative and promotive perspectives, while maintaining a component linked to the management and mitigation of shocks. This broader approach takes into account the structural causes of chronic poverty and attempts to address the social and political barriers as well as the economic barriers that vulnerable people face when trying to improve their economic standing. For successful, long term social protection programming it is therefore necessary to have an understanding of the multi-dimensional nature of poverty.

Households in poverty show deficits, not only in pure economic terms, but also often have social, access, well-being and opportunity deficits.²⁴ Reflecting this, the Devereux & Sabates-Wheeler framework includes four categories of intervention:

- Protective (recovery from shocks);
- Preventative (mitigating risks in order to avoid shocks);
- Promotive (promoting opportunities); and
- Transformative (focusing on underlying structural inequalities which give rise to vulnerability).²⁵

Each of these categories roughly corresponds to one of the four main social protection instruments described ahead.

²¹ Devereux, S & Sabates-Wheeler, R (2004) Transformative social protection. IDS Working Paper 232. Institute of development studies. London, UK

²² Overseas Development Institute (2009) Synthesis Paper: Social protection in pastoral areas. April 2009. Overseas Development Institute. London, UK

²³ <http://www.gsdrc.org/go/topic-guides/social-protection/understanding-social-protection>

²⁴ Barrientos (2010) Social protection and poverty. Social Policy and Development Programme Paper Number 42, January 2010. United Nations Research Institute for Social Development.

²⁵ More information on this model can be found in Devereux, S & Sabates-Wheeler, R (2004) Transformative social protection. IDS Working Paper 232. Institute of development studies. London, UK

Social protection instruments

In order to meet social protection objectives there are numerous “instruments” available, which can be grouped into four categories. The use of each should be determined by a number of factors including the programme objectives, appropriate design and needs of the population, and the funding source.

The four categories of social protection instruments are:

- **Social assistance** is when resources, either cash or in-kind, are transferred to vulnerable individuals or households with no other means of adequate support. These groups might include single parents, the homeless, or the physically or mentally challenged.
- **Social insurance** mitigates risks associated with unemployment, ill health, disability, work-related injury and old age, such as health insurance or unemployment insurance.
- **Labour market interventions** are policies and programmes designed to promote employment, the efficient operation of labour markets and the protection of workers.
- Policies (and their enforcement) to ensure **social equity**

The range of social protection instruments used needs to be considered on a country-by-country basis. However the objective of social protection is essentially the same whether the context is a developed, developing, or fragile state.²⁶ Countries must determine the most appropriate mechanisms for social protection based on the causes of poverty in their country, and the social and political inequalities and barriers that face their population.

Whatever instrument/s are used they must be appropriate to the context and able to be employed in a predictable way. Some specific examples of social protection instruments and issues that could be considered, as well as some potential issues regarding their use in fragile states can be seen in Table 2.

A comprehensive formal social protection system should ideally include elements of all four types of programmes: protection, preventive, promotive and transformative. Social protection programmes should also be complemented with a range of other public actions such as ensuring quality basic services. Most importantly, to be successful, social protection mechanisms should be permanent or predictable, allowing households to plan and prioritize expenditure and put in place mechanisms to reduce their risks to future shocks.

²⁶ Harvey, P, 2009, 'Social Protection in Fragile States: Lessons Learned' in OECD DAC, 2009, 'Promoting Pro-Poor Growth: Social Protection', OECD DAC, Paris, pp.183-196

Table 2: Examples of social protection instruments and issues in fragile states

| | Objective | Possible instruments | Issues in fragile states | Examples in fragile states |
|-------------------|--|---|---|---|
| Protection | <p>Provide assistance to groups that are unable to meet their needs themselves.</p> <p>(Reduces poverty)</p> | <p>Social assistance</p> <p>Targeted resource transfers: e.g. Disability benefits, Single parent grants</p> <p>Social pensions: e.g. transfers to all people over 70 years of age, transfers to all families with children, transfer to orphans and vulnerable children</p> <p>Social services: interventions for the poor and special needs groups e.g. orphanages, feeding centers, IDP camps, fee waivers on health and education (so that very poor can have access).</p> <p>Food aid</p> | <p>Long-term safety nets rarely in place</p> <p>Pre-crisis forms of social assistance may sometimes remain in place (e.g. cash transfers to households in Iraq in 2003)</p> | <p>Food aid usually delivered by humanitarian actors, often for many years, but on the basis of year-by-year appeals and so not amenable to long term planning</p> <p>Cash transfers beginning to be seen as an alternative to food aid</p> <p>Re-emerging interest in longer-term safety nets (e.g. Ethiopia’s Productive Safety Net Programme – PSNP)</p> |
| Preventive | <p>Prevent poverty occurring</p> | <p>Social insurance</p> <p>Assistance to people in situations where they are at high risk of becoming poor e.g. the transfers to the unemployed (unemployment benefits), transfers to pregnant women (maternity leave), transfer to the sick.</p> <p>It also includes health insurance, funeral insurance (both of which prevents large bills eroding household funds).</p> <p>Risk diversification strategies are also included here e.g. having more than one income source, farming more than one crop etc.</p> | <p>Again, vestiges of old systems may be in place but rarely survive fragility</p> | <p>Interest in insurance both at a micro level as a complement to since and at a national level through weather indexes and catastrophe bonds</p> |

| | | | | |
|-----------------------|---------------------------------------|--|--|---|
| Promotive | Increase income and capabilities | Labor market interventions / livelihood promotion Livelihood enhancing programmes that help stabilize household income e.g. business grants and training, microcredit, public works ... Minimum wages for workers | Many emergency examples – see next column – but often small scale and of questionable impact and effectiveness | Seeds, tools and other input programmes Cash and food for work Income generation programmes |
| Transformative | Addresses social equity and exclusion | Policies for social equity Land rights/ land use policies Advocacy Formal policies/laws Sensitization campaigns, rights campaigns, anti-discrimination campaigns... | May be particularly important in fragile states where rights are more likely to be abused | Advocacy around protection Rights-based approaches to programming Human rights advocacy |

Source: Adapted from Harvey (2009)²⁷

NB. It is possible for interventions to fall into more than one category

Who are the beneficiaries of social protection programmes?

In keeping with the main objective of social protection programmes - reducing the vulnerability of the poor - it is not surprising that the main beneficiaries of these programmes are the chronically poor, economically vulnerable and/or the socially marginalized. However, there is also growing acceptance that social protection should not only be available to the poorest, but also to the middle and better-off wealth groups, as a buffer against 'shocks' for them as well.²⁸ In addition, there are also social protection programmes that are universal, that is, available to all people fitting a certain category regardless of wealth, or social group.

Universal programmes such as the aged pension avoid means testing, targeting and conditionality. One of the benefits of universal policies is social solidarity: all people regardless of wealth can benefit from the system. Many economists also argue that universalism is an investment in human capital that aids the development of a nation as a whole. Opponents of universal programmes however, argue that universalism is cost-ineffective and unfairly distorts individual efforts. Such an argument points toward targeting as a better solution. In such a case, the question then arises of who should be the target population that receives benefits from social programmes.

²⁷ Harvey, P, 2009, 'Social Protection in Fragile States: Lessons Learned' in OECD DAC, 2009, 'Promoting Pro-Poor Growth: Social Protection', OECD DAC, Paris, pp.183-196

²⁸ Overseas Development Institute (2009) Synthesis Paper: Social protection in pastoral areas. April 2009. Overseas Development Institute. London, UK

Targeted programmes are usually done through an understanding of “net income”. Some countries use a minimum income system where all the population can receive at least a minimum income to enable them to meet their basic needs. This method however does not consider individual capabilities, nor does it target the root causes of poverty.

What impact can social protection programmes achieve?

Early social protection schemes were characterized by in-kind transfers, usually food. Roman Emperor Trajan who ruled from 98-117A.D instigated perhaps the earliest social protection scheme ever recorded. He ensured that all poor people in the empire were given a regular ration of free grain. One of the secondary effects of this was to remove a potential catalyst for revolt.

In the United Kingdom (UK), free school dinners provided to poorer children have a secondary effect of raising school attendance. In Bangladesh, the poorest households in the village may be issued with a card that entitles them to a monthly free ration of rice, preventing them from becoming destitute.

More recently, cash transfer programmes have become arguably one of the most important tools of social protection and poverty reduction strategies. Cash transfer programmes now cover between 750 million to 1 billion people in the developing world. The evidence on the immediate impact of cash transfers is strongest, and evidence of medium to long-term impact is less strong but growing (Table 3).

Many programmes target the ultra-poor, labor-constrained, and/or carers of orphans and vulnerable children. They seek to improve food security and health, and nutritional and educational status, particularly of children. These investments in health and education can have economic benefits through improvements in human capital that lead to an increase in labour productivity and employability²⁹.

Table 3: Documented impacts of cash transfer programmes

| Outcome | Quality of Evidence |
|--|--|
| Raising living standards of the poor <ul style="list-style-type: none"> • Directly reduces poverty, hunger and inequality • Decreases use of severe coping strategies by households and improves livelihoods in the face of shocks | Strong evidence |
| Human development/human capital <ul style="list-style-type: none"> • Improves quantity and quality of food consumption especially for children (therefore improves child nutrition) • Helps households make use of education and health services | Growing body of positive evidence |
| Economic development and inclusive growth <ul style="list-style-type: none"> • Frees up household savings for investment • Helps households to escape low risk, low productivity poverty traps | Strong logic, limited evidence to date |
| Empowerment and gender equality <ul style="list-style-type: none"> • Empowers women within households and communities | Strong logic, limited evidence to date |

²⁹ FAO (2013) Policy Brief: The economic impacts of the CT-OVC programme in Kenya

| Outcome | Quality of Evidence |
|--|--|
| <ul style="list-style-type: none"> Empowers poor individuals and households in making their own decisions in improving their lives | |
| Climate change and disasters <ul style="list-style-type: none"> Help reduce and mitigate risk of disaster shocks and cope with disaster that do occur | Strong logic, limited evidence to date |
| Facilitating social cohesion and state building <ul style="list-style-type: none"> Reduce inequalities that contribute to social fragmentation, crime and political instability | Strong logic, limited evidence to date |

Source: Adapted from DFID (2011)³⁰

There is strong evidence that cash transfer programmes reduce hunger and food insecurity. Cash transfers have had more impact on hunger in lower-income countries or where poverty is more severe:

- In Malawi's Cash Transfer programme³¹, 75% of the transfer was spent on groceries.
- A synthesis of findings from surveys in sub-Saharan Africa³² found that the primary use of cash transfers was to purchase food in six out of the seven programmes reviewed.

Whether social protection programmes have an impact on nutrition depends on the effectiveness of design and implementation in the particular context – but there are some programmes where nutrition impacts have been noted:

- Brazil's *'Bolsa Familia'* reduced stunting rates by 47% in the poorest state³³.
- South Africa's Child Support Grant resulted in an increase in height-for-age at age three which is expected to produce an average 3.5cm gain in adult height.
- In Bangladesh's Chars Livelihood Programme (CLP), children of families who enrolled earlier for the cash and asset transfer programme were less stunted and underweight than children from families enrolling later. The cash for work project showed a significant impact on growth among women and children after just 10 weeks.
- Pilot cash programmes in southern Niger³⁴ and Malawi³⁵ demonstrated positive results on growth and child malnutrition. The Malawi programme showed a reduction in illness by 23% among participating children compared to a reduction of 12.5% in non-participating children.

In the medium term, regular cash payments have, in some instances, strengthened the livelihood strategies of poorer households. There are examples ranging from increased investment in livestock (in Ethiopia and Zambia) to increased labor force participation and entrepreneurship (in South Africa and Brazil) to improved bargaining positions on daily wage rates (in India, Ethiopia and southern Niger). There is also a growing body of positive evidence

³⁰ DFID (2011) Cash transfers: Literature Review. DFID, London, UK.

³¹ Miller (2008) Malawi Mchinji Social Cash Transfer Pilot Evaluation. Cited in DFID (2011) Cash transfers: Literature Review. DFID, London, UK

³² Adato, M & Basset, L (2012) Social protection and cash transfers to strengthen families affected by HIV and AIDS? A review of the evidence of impacts and key policy debates. IFPRI, Washington D.C

³³ Hanlon et al (2010): *Just Give Money to the Poor: the Development Revolution from the Global South*.

³⁴ Save the Children UK (2009) How Cash Transfers Can Improve the Nutrition of the Poorest Children: Evaluation of a Pilot Safety Net Project in Southern Niger.

³⁵ Miller (2008) Malawi Mchinji Social Cash Transfer Pilot Evaluation.

that conditional and unconditional cash transfers increase enrolment and attendance at primary and secondary school, and spending on and the use of health services.

A criticism made of cash transfer programmes to date, the majority of which have made payments to women, is that they have assumed that gender power relations will be altered positively without taking any steps to assist this process, and without measuring the social and gender impacts.³⁶ Nevertheless, the experience and anecdotal evidence to date has been positive in Mexico, Brazil, Malawi, Zimbabwe and southern Niger.³⁷

Who funds social protection?

Ideally, it is state actors who fund and implement social protection programmes. The revenue to fund such programmes usually comes largely from taxation revenue – again, reinforcing the ‘social contract’. However in countries with limited formal employment, the government often has narrow tax base, with only a small proportion of taxpayers compared to the non-tax payers that are more likely to require support. Despite this issue, the importance of governments having a role in the funding of social protection is well recognized. Their involvement greatly impacts the sustainability of the programme and can improve the relationship between governments and their people.

Aside from the state, other funding sources include aid from international donors (such as the World Bank), private, community and NGO financing, and household savings and out of pocket expenditures. In Kenya and Ethiopia, for example, donors still cover a significant proportion of the cost of the Hunger Safety Net Programme (HSNP) and the Productive Safety Net Programme (PSNP) respectively. However, there are significant questions about the sustainability of social protection programmes if the government does not bear some responsibility for the financing. If social protection is partly donor financed, the question of sustainability can only be ensured if there is agreement between donors and governments on the transition to a nationally financed programme and on a clear commitment on behalf of government to take over responsibility eventually.

In conflict affected or fragile states such as Somalia, government social protection systems are often weak or absent and generally do not go beyond cash transfer programmes of limited coverage or World Bank-led social funds. In these contexts, non-state actors including international NGOs or UN agencies are the predominant provider of assistance. However their programmes tend to be small in scale, not predictable, of limited coverage and duration and focused on food- or cash-based assistance with a food security objective only. As such they are not considered to fulfill a social protection role.

In contexts where full-funding of social protection by governments is not possible, it has been recommended that efforts should be made by other stakeholders to increase funding from government sources while reflecting the importance of mid- to long-term programming and investment in social protection from other sources. This is perhaps most important in fragile states where people tend to have limited access to external assistance, but face greater issues in terms of access to social services, food insecurity, health concerns and security problems due to the fragile nature of the state. External funding of predictable social protection

³⁶ Concern Worldwide and Oxfam GB (2011) *Walking the Talk: Cash Transfers and Gender Dynamics*.

³⁷ Save the Children UK in Niger, (2008, 2009, 2010) and Concern in Niger 2010.

measures is likely to ultimately be a more cost effective way to support households, as evidence indicates that it should reduce the need for emergency, ad hoc, additional support.

How much does social protection cost?

The International Labor Organization has put forward the idea of a minimum 'Social Protection Floor' and estimates that a hypothetical basic social protection package for low-income countries would cost between 5% and 12% of gross domestic product (GDP) annually, compared with 26.2% of GDP for the EU³⁸. Such a package would cover four basic components: free essential healthcare, basic child benefits, targeted income support to the poor and unemployed, as well as basic old-age and invalid pensions.

Devereux and Wheeler (2007)³⁹ describe how safety net programmes (Box 1) have previously been seen as unsustainable and unaffordable for developing countries. However, they are now increasingly seen as potentially affordable within budget constraints and as something that donor governments can make long-term commitments to. The actual cost of social protection obviously depends on the type and range of programmes to be implemented in each country. Weigand and Grosh (2008)⁴⁰ show that spending on social protection ranges from 16% of GDP in member OECD countries (excluding Latin America, Caribbean and Eastern European Countries) to 2% of GDP in South Asia and 5% in Middle East and North Africa.

Affordability is also less of an issue when the costs of not having social protection are factored in. Gaps in effective social protection have significant costs to society in terms of poverty and vulnerability. These gaps place restrictions on the development of human capital which themselves become a constraint on growth and development.⁴¹

Box 1: What is a "safety net" programme?

Social Safety Nets are non-contributory transfer programmes with an objective of preventing the poorest members of society from falling below a certain poverty level. Transfers can include cash, food, non-food items, conditional cash transfers, price subsidies, public works or fee waivers. Safety Nets are classified as a "protective" social protection instrument and are just one component of a comprehensive social protection system. "Safety net" programmes are generally targeted at people with low income and have specific cut-offs. All people that fall below that cut-off in income level are entitled to receive assistance – i.e. they will be protected from falling further below the poverty line by the 'safety net'.

³⁸ European Union (2010) European Report on Development. Can Africa afford social protection? http://www.erd-report.eu/erd/report_2010/documents/volA/factsheets/5-africa_social_protection_en.pdf

³⁹ Devereux, S and R. Sabates-Wheeler (2007), "Debating Social Protection", Institute of Development Studies (IDS) Bulletin 38.3, University of Sussex, Brighton.

⁴⁰ Weigand, C. & Grosh, M. (2008) Levels and patterns of Safety Net spending in developing and transition Countries. Social Protection Discussion Paper. Washington, DC: World Bank.

⁴¹ Bourguignon, F. (2004) The Poverty-Growth-Inequality Triangle. Mimeo. The World Bank, Washington, DC. Cited in Barrientos (2010) Social protection and poverty. Social Policy and Development Programme Paper Number 42, January 2010. United Nations Research Institute for Social Development.

PART 3: SOCIAL PROTECTION IN AFRICA AND IN FRAGILE STATES

“...the objectives for social protection in fragile states are essentially the same as in development contexts... what is needed is adapting instruments, financing and delivery capacity to cope with fragility.”

Harvey, P (2007)

Many people think of social protection as being only for developed countries that can afford to ensure that all their citizens have at least a minimum income. Others however, argue that social protection is something that must be afforded in order to have a minimum level of social development and reduce the need for external assistance as well as strengthening government legitimacy.

In the last two decades social protection in developing countries, including those in Africa, have emerged as a major contributor to social development and equity. The programmes in Latin America⁴² have been widely described, evaluated and discussed in the literature. Many of these programmes are held up as examples of what is possible in development countries when governments have the political will to address the needs of their people. The literature on social protection in Africa, and particularly Sub-Saharan Africa however, is much less rich although there is an increasing number of functioning social protection programmes.

In many societies, including Somalia, some form of social protection has existed for years albeit unstructured or informal. Sub-Saharan Africa has a legacy of deeply embedded, informal systems of social protection, especially in rural areas. This is often supplemented by remittance sent to family and friends through the Diaspora community living abroad. However, these autonomous systems are becoming less effective as population pressure climate change make rural livelihoods more tenuous. These informal structures are overlaid by underfunded, fragmented and partially implemented social insurance mechanisms for civil servants, and by a patchwork of social assistance programmes focused on emergency support and mostly externally funded⁴³.

In fragile states, humanitarian actors have often been the only, or at least the primary, providers of social protection. However, humanitarian agencies are increasingly recognizing that irregular, ad-hoc and short term responses to hunger and vulnerability are neither cost efficient nor particularly effective in terms of building long term resilience to shocks. A number of agencies working in Somalia are therefore now calling for improved programming and a paradigm shift towards the longer-term, more predictable assistance that forms the basis of social protection. This shift will require ongoing effort by humanitarian agencies to engage with the government.

Recent regional reviews of social protection systems and programmes highlight poverty and vulnerability as the principal drivers of protective, preventative, promotive and transformative social protection interventions in developing countries. These reviews highlight the wide regional variations among vulnerable and at-risk groups, appropriate responses and success

⁴² Social protection programmes in South American include *Programa Familias* (Argentina), *Juancito Pinto* (Bolivia), *Bolsa Alimentação*, *Bolsa Família* and *Bolsa Escola* (Brazil)

⁴³<http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/AFRICAEXT/0,,contentMDK:20264542~menuPK:535754~pagePK:146736~piPK:226340~theSitePK:258644,00.html>

factors. For example, in Sub-Saharan Africa the number of labor market interventions is lower than in Latin America, due to the lower proportion of the population engaged in the formal sector work. There are also clear differences in the levels of national government commitment to existing social protection frameworks, with Latin American governments displaying an overall greater willingness than their African counterparts, although donors are keen to ensure that responsibility for delivery lies with central governments.

The European Report on Development (ERD) examined the need and potential for expanding social protection in Sub-Saharan Africa⁴⁴. The document provides a useful start to this discussion on Somalia as it analyzes the most relevant experiences of social protection in developing countries. It also investigates whether there are preconditions necessary for success, as well as which factors could contribute to scaling up social protection over the continent⁴⁵. The report identifies three main reasons for the low coverage and redistribution of social protection policies in developing countries, each of which are also critical considerations for the discussion in Somalia: financial resources, policy design and implementation, and the political economy: -

- Financing is a key constraint to social protection. Not only does the actual cost have an impact, but also the sources/s of funding requires thought and planning. External funding sources can be useful in the short term but can lead to tensions if targets or agreements are not met. Complete reliance on external funds can also reduce the legitimacy of the government at a time when state building should be a key priority. External funding also of course, raises the issue of sustainability. However, many developing countries are not in a position to finance the social protection through payroll taxes, often due to the low levels of formal employment.
- The design and implementation of social protection is another key concern, and can limit coverage and community acceptance of programmes. Coverage rates need to be considered, as high coverage is essential for adequate social protection. Determining eligibility criteria also requires considerable thought, so as not to exclude the most vulnerable groups. Targeted programmes can be more or less successful at reaching the intended targets depending on the selection criteria chosen. However inclusion errors, and more importantly, exclusion errors, can occur, both of which reduce the credibility of the overall programme as a social protection measure.
- Finally, the ERD points out that the establishment of a permanent, formal social protection system requires the development of a politically sustainable social contract. That is, clear choices need to be made about who is most vulnerable so that good use of resources is done. Without this, programmes are unlikely to receive public approval, which is crucial for continuity and sustainability.

The ERD suggests seven criteria that will determine the success or otherwise of social protection programming:

- Suitable design
- Appropriate targeting
- Appropriate delivery systems

⁴⁴ The 2010 European Report on Development (2010) Social protection for inclusive development – A new perspective for EU cooperation in Africa.

⁴⁵ <http://www.voxeu.org/article/social-protection-sub-saharan-africa-learning-experiences>

- Sustained political commitment
- Financial affordability
- Administrative capacity, and
- Strong evaluation methods and proven impacts.

Capacity issues are also a problem in low-income countries but this is often a more manageable issue than finance⁴⁶.

In addition to the points raised in the ERD, Ellis et al (2009)⁴⁷ describe some common and particular features that characterize social protection in Sub-Saharan Africa:

- First, social protection continues to have limited formalisation, and its expansion is constrained by the lack of formal wage employment among the poor. Most low-income Sub-Saharan African countries have long had contribution-based social insurance schemes, often modelled on systems developed in colonial times. Their key feature is that very few people are covered by formal social insurance: not more than 5% to 10% of the workforce – principally in the form of pensions for civil servants and employees of large (formal) private enterprises⁴⁸.
- Second, safety nets remain important, as a response to emergencies, and are widespread.
- Third, there has been a considerable expansion of the number of specific, targeted programmes aimed at particularly poor and vulnerable groups.
- Fourth, in some countries, especially in southern Africa, schemes based on universality, or broadly defined target groups, are rapidly spreading.

From 2000 to 2010, the World Bank funded 60 social protection projects in 23 countries in Sub-Saharan Africa, for a total of \$4.4 billion. The Bank's analytical work in this area and its technical assistance to governments has helped various countries form strategies for social protection.

Some African social protection programmes, such as pensions in Namibia and South Africa, have taken systems that were already in place prior to independence and expanded them to populations previously excluded or marginalized. In other countries, programmes have been newly developed to protect targeted populations from poverty and vulnerability.

Although movement to social protection is underway in many countries, humanitarian needs still arise, therefore an understanding of both humanitarian and development principles are key. There must be space to still respond to humanitarian crisis, but within a framework that encompasses movement towards longer-term outcomes.

The two main national social protection programmes in the East Africa Region are the Ethiopian Productive Safety Net Programme (PSNP) and the Kenya Hunger Safety Net Programme (HSNP). Both these programmes were developed based on the understanding that autonomous safety nets were increasingly incapable of preventing households falling into chronic poverty. Both these programmes also have space for scale-up in the event of

⁴⁶ Barrientos (2010) Social protection and poverty. Social Policy and Development Programme Paper Number 42, January 2010. United Nations Research Institute for Social Development.

⁴⁷ Ellis, F. et al (2009) Social protection in Africa. Edward Elgar Publishing Limited. Cheltenham, UK

⁴⁸ Giovannetti, G. & Sanfilippo, M. (2011) Social protection in sub-Saharan Africa: Learning from experience <http://www.voxeu.org/article/social-protection-sub-saharan-africa-learning-experiences>

humanitarian crises, including a possible increase in beneficiary numbers, and/or an increase in transfer size.

Ethiopia: Productive Safety Net Programme (PSNP)

Ethiopia's Productivity Safety Net Programme (PSNP) is one of the best-known social protection programmes in Sub-Saharan Africa, and is the second largest social transfer program in Africa (after South Africa). The PSNP is a flagship programme of the Government of Ethiopia in addressing chronic food insecurity in the country.

The programme started in 2005 as a component of the Food Security Programme (FSP), replacing the emergency appeal system (food aid) which attempted to address both chronic and transitory food insecurity. It represents a significant transformation of the Government's strategy for meeting the Poverty and Hunger MDG in Ethiopia.

The PSNP provides a conditional transfer in cash and/or in-kind based on participation in public works. It also includes a small component of unconditional direct transfers to households unable to work. The PSNP targets households that are both food insecure and poor. It delivers transfers to between 7-8 million rural Ethiopians for six months every year and is specifically timed to prevent asset depletion at household level and create productive assets. Participating households are also eligible for one-off loans to purchase assets, which hastens their graduation B (from the programme). The PSNP receives multi-annual funding through the government, which ensures it is predictable, and allows beneficiaries to plan their lives.

The programme reports a modest but relevant impact, improving food security (by 11%), livestock holdings (by about 7%) and households' ability to cope with emergency. In addition, three quarters of the PSNP participants recently reported consuming greater quantities of better quality food and 60% avoided selling off their productive assets to buy food⁴⁹. Being able to retain productive assets is a key element of resilience, putting beneficiary households in a better position in the event of a future crisis.

In addition to the impacts of the PSNP, another key point to consider is its risk-financing mechanism (RFM). The RFM works on the basis of early warning data and allows the programme to scale up in times of crisis, providing PSNP beneficiaries with additional monies and reducing the timeline for humanitarian response. As a result, households receive assistance before a crisis makes itself felt. The impact of having the RFM in place had significant positive impact on PSNP beneficiaries during the 2011 drought that affected Somalia so severely.

In most years, the PSNP provides transfers between February and August. In 2011, between these months, support was provided in the usual way. However, it became increasingly clear that highland areas of the country would need additional support in the months preceding the November 2011 harvest, after the PSNP transfers ceased in August. Accordingly, the Government of Ethiopia triggered the RFM in August 2011 to address the transitory food needs of approximately 9.6 million people living in PSNP districts. Of these 9.6 million people, 6.5 million were existing PSNP beneficiaries. An additional 3.1 million people living in PSNP

⁴⁹ Devereux, S & Guenther, B (2007) Social protection and agriculture in Ethiopia. Country case study paper prepared for a review commissioned by the FAO on 'Social Protection and Support to Small Farmer Development'. Institute of Development Studies, University of Sussex, UK.

areas, who in a normal year do not need assistance, also received up to three months' support to ensure that they could meet their food needs until the harvest in November⁵⁰. The result was that the 2011 drought did not impact Ethiopia to the same degree as it did in Somalia.

Donor commitment to this programme (predominantly World Bank and the International Monetary Fund) has been reflected in the "Ending the Cycle of Famine" G8 Paper⁵¹, where the PSNP was presented as an innovative and priority action in Ethiopia.

Kenya: 1. Hunger Safety Net Programme (HSNP)

The Hunger Safety Nets Programme (HSNP) began in 2008 in the four poorest districts of northern Kenya (Turkana, Marsabit, Mandera and Wajir). The programme is designed to provide long-term support through regular cash transfers, to those households most vulnerable to food insecurity.

The HSNP is currently a pilot programme, funded and supported by the Department for International Development (DFID). The programme's long-term sustainability is dependent on the Government of Kenya's (GoK) financial and logistical support.

During Phase 1 (2008-2012) the overall programme goal was to deliver regular guaranteed cash transfers (based on the cost of meeting basic consumption requirements) to up to 60,000 households or 300,000 chronically food insecure people. This was done through regular payments every two months lasting for three years. Monitoring of the key outcomes and programme impacts⁵² were coordinated by a GoK-based Secretariat to ensure strong coherence between the different elements of the programme.

During the current phase (Phase 2: 2012-2017), HSNP plans to scale up to cover 1.5 million people across the arid and semi-arid lands (ASALs) with GoK and donor funds.

A number of significant impacts have been noted in the recent evaluation of the HSNP⁵³. These include both intended and unintended impacts in a range of areas including improved diet, poverty reduction, female empowerment, education, health, child nutrition, asset retention and accumulation, and food security amongst others. Some key impacts include:

- 7% were "lifted out" of the bottom income decile
- 69% increased their expenditure on food and enjoyed a more diverse diet
- 20% increased their expenditure on education

Importantly, as with the PSNP programme, during the drought and economic crisis of 2011, poverty did not increase among beneficiary households (as it did among non-beneficiary households). This indicates a greater level of resilience among programme beneficiaries.

The HSNP has been able to demonstrate to the government and development partners that chronic food insecurity; hunger and poverty can be addressed. However, appropriately designed social protection instruments are better at addressing these issues than instruments

⁵⁰ Hobson, M & Campbell, L (2012) How Ethiopia's Productive Safety Net Programme (PSNP) is responding to the current humanitarian crisis in the Horn. Humanitarian Exchange Magazine Issue 53 March 2012

⁵¹ US Department of State (2009) Ending the Cycle of Famine in the Horn of Africa, Raising Agricultural Productivity, and Promoting Rural Development in Food Insecure Countries

⁵² Key outcomes and impacts included reducing poverty and hunger; impacts on assets, health, education and livelihoods; and changes in consumption expenditure.

⁵³ Oxford Policy Management et al (2013) Kenya Hunger Safety Net Programme Monitoring and Evaluation Component: Quantitative Impact Evaluation Final Report: 2009 to 2012. DRAFT April 2013.

primarily designed to address acute or transitory food insecurity.

Kenya: 2. Cash Transfer for Orphans and Vulnerable Children (CT-OVC)

In addition to the HSNP, Kenya has a social protection programme in place that specifically targets orphans and vulnerable children. The programme targets ultra-poor households with children up to 17 years old with at least one deceased parent, or a parent who is chronically ill, or whose main caregiver is chronically ill.

The programme commenced in 2009 after a successful pilot. The programme provides regular bi-monthly cash transfers of KSh 4,000 (~US\$50) to 150,000 households nationwide.

The CT-OVC has had a broad range of positive impacts on beneficiary households, including poverty reduction, increases in food consumption and dietary diversity, improvement in schooling and health care utilization, and strengthening of the local economy. Evidence from the impact evaluation also indicates that the CT-OVC programme positively impacted some aspects of the livelihoods of beneficiaries and their communities in rural Kenya, particularly for female-headed and smaller households.

In both Kenya and Ethiopia the formation of these social protection programmes came about after years of data collection (particularly food security and nutrition data), analysis and discussion during sectoral working group meetings. Data analysis continued to highlight the inefficiency of humanitarian programming on an annual or short-term basis. At the time, the unpredictable timing and level of relief resources flowing through the emergency channels meant there were few opportunities available to do more than address the acute needs of the population. While this did save lives, asset depletion and the loss of livelihoods continued to be of concern.

Importantly, government officials in both countries but particularly in Ethiopia had been working together with the international community long before the PSNP was established. The government was involved in all aspects of data gathering and analysis and this meant that they had a good understanding of the situation and accepted the arguments from the international community that a more comprehensive social protection system was needed. Ultimately it was this government buy-in and understanding that led to a change away from humanitarian programming towards social protection programming.

Other African social protection programs

In addition to Ethiopia and Kenya, there are a number of social protection programmes in Africa. Some of these are described briefly below.

Lesotho: Lesotho's Old Age Pension is a universal non-contributory scheme that includes all registered citizens over 70-years-old not receiving any other form of pension. Studies have found that the small pension provided to households is an effective and efficient way of taking elderly people living in challenging environmental and economic conditions out of chronic poverty and vulnerability to hunger⁵⁴.

⁵⁴ Croome, D. et al (2007) The impact of the old age pension on hunger vulnerability: A case study from the mountain zone of Lesotho. Institute of Southern African Studies, National University of Lesotho

Ghana: Ghana's National Health Insurance Scheme is an intermediate form of health insurance financed by contributions from formal (and to a lesser extent informal) sector employees and by government coverage for those unable to contribute. This programme helped improve the efficiency of the country's health system and reduce out-of-pocket expenditure on health.

Rwanda: Rwanda's Vision 2020 *Umurenge* Programme consists of three core initiatives to redirect social protection programmes to vulnerable populations: (1) public works; (2) the *Ubudehe* credit scheme; and (3) direct support through an unconditional cash transfer. Payments from the programme are used to satisfy basic consumption needs and stimulate savings. Preliminary evaluations have shown a huge reduction of extreme poor among beneficiaries (from 40.6% to 9%)⁵⁵.

Zambia: Social protection includes a number of age, disability and survivor⁵⁶ pensions. Impact data from the age pension (available to people over 60-years), shows that even small, regular cash transfers play a significant role in the health of the beneficiary, their family and their community.

Botswana: Botswana has one of the most comprehensive social protection systems in Africa. The main programmes include an old age pension, a programme for orphans and vulnerable children; *leleng* (labor-intensive public works scheme), vulnerable group feeding, primary and secondary school feeding, community home based care, remote area development programmes, war veterans pension⁵⁷.

Uganda: Uganda is currently in the process of establishing a social protection system (2011-2015). The system will be built around two pillars – 1. Policy formulation and 2. Piloting of direct income support. The policy component will involve strengthening of government institutions on social protection and a coordinated government approach to ensure that sufficient resources are in place. The direct support component will be piloted in 14 districts and provide Senior Citizens Grants of US\$8 per month to people over 65 years. It will also provide Vulnerable Family Grants to households with low labor capacity (such as disability, high dependency ratio or age).

Social protection in fragile states

In the developed world, the relationship between state and society is fairly straightforward. Although there are still cases of corruption and government abuse, to a large extent wealthier economies have developed precisely because they have succeeded in establishing institutions that have enabled these problems to be overcome. However, in the developing world, and particularly in fragile states, the relationship between government and citizens can be quite different. A third of the world's poor live in countries where the state lacks either the will or the capacity to engage productively with the citizens to ensure security, safeguard human rights and provide the basic functions for development⁵⁸.

⁵⁵ Giovenetti, G. & Sanfilippo, M. (2011) Social protection in sub-Saharan Africa: Learning from experience <http://www.voxeu.org/article/social-protection-sub-saharan-africa-learning-experiences>

⁵⁶ Survivor pensions are provided to dependents of people who were receiving disability or aged pension at their death.

⁵⁷ RHVP (2011) Social Protection in Botswana – A model for Africa? Frontiers of Social Protection. Brief – March 2011. Regional Hunger and Vulnerability Programme. www.wahenga.net

⁵⁸ Harvey, P & Holmes, R (2007) The potential for joint programmes for long-term cash transfers in unstable situations. Report

Box 2: What is a “fragile state”?

“A fragile state has weak capacity to carry out basic governance functions, and lacks the ability to develop mutually constructive relations with society. Fragile states are also more vulnerable to internal or external shocks such as economic crises or natural disasters”.

Source: OECD (2013)⁵⁹

Many political rulers routinely use the government to benefit themselves and their supporters at the expense of citizens, and the institution of ‘government’ itself exists simply to expand its own power while giving little in the way of basic services in return. Where government is unwilling or unable to provide basic services such as security and the rule of law for its citizens, the country can degenerate into anarchy, as was the case with Somalia.

So, while fragile states not only fail to provide public goods and protect citizens’ property, they are in fact sometimes the primary threat to their citizens’ property rights and security⁶⁰. As a result, although the objectives of social protection in fragile states and other developmental contexts are essentially the same, social protection in fragile states present special challenges. People living in fragile states need social protection to perhaps a greater degree so it is crucial that these challenges are given due consideration before designing a social protection programme.

Darcy⁶¹ (2004) points out that in conflict contexts, a social protection agenda must be seen as part of a wider human security agenda that encompasses protection from intimidation and coercion. The OECD Principles of Good International Engagement in Fragile States and Situations⁶² also provides a framework to guide international actors in achieving better results in the most challenging development contexts. The document outlines a number of principles, all of which are salient to the current discussions in Somalia. The principles include taking context as the starting point, state-building as a priority, ‘do no harm’ and prioritizing prevention. The full list of ten principles can be found in Annex 8.

One of the main challenges to social protection in fragile states is decision-making on whether national governments can or should be involved in its delivery. As previously mentioned, social protection often has a positive effect on state building. Nationally owned social protection systems can promote the strengthening of the state and building of legitimacy.⁶³ However, when the state is responsible for human rights violations on its own people, there is just concern about their involvement in “protecting” its citizens. In Somalia, the government is only one year old, and the feelings of the international community appear mixed on the direction and agenda of the new government.

Despite these obvious challenges to implementing social protection in fragile states, including

commissioned by the Fragile States Team and the Equity and Rights Team of DFID, London. Humanitarian Policy Group, Overseas Development Institute.

⁵⁹ OECD (2013) Fragile states 2013: Resource flows and trends in a shifting world. DAC International Network on Conflict and Fragility.

⁶⁰ Leeson, P (2010) Better off stateless: Somalia before and after government collapse. *Journal of Comparative Economics* 35 (2007) 689–710. George Mason University, MSN 3G4, Fairfax, VA 22030, USA.

⁶¹ Darcy, J. (2004), “Conflict and Social Protection: Social Protection in Situations of Violent Conflict and its Aftermath”, DFID, London. Cited in Harvey, P, 2009, ‘Social Protection in Fragile States: Lessons Learned’ in OECD DAC, 2009, ‘Promoting Pro-Poor Growth: Social Protection’, OECD DAC, Paris, pp.183-196

⁶² OECD (2007) Principles for good international engagement in fragile states and situations. www.oecd.org/dac/fragilestates

⁶³ <http://www.gsdc.org/go/topic-guides/social-protection/understanding-social-protection>

Somalia, Leader and Consuelo (2005)⁶⁴ describe a number of promising ways to finance social protection in fragile states depending on the level of involvement of the government.

- **Budget Support:** In countries where there is little political will to invest in and account for pro-poor expenditure, budget support will remain inappropriate. However, budget support has been provided with some effect, specifically in two kinds of circumstances: (i) budget support via Trust Funds in the early stages of state formation (e.g. East Timor, Afghanistan), (ii) budget support, direct to government, in more established post-conflict countries with new regimes (e.g. Rwanda, Sierra Leone). Debt relief to countries such as Rwanda and Sierra Leone has also resulted in increases in poverty-reducing public expenditure.
- **Social funds:** A social fund is an institution that provides financing (usually grants) for small-scale public investments targeted at meeting the needs of poor and vulnerable communities. Social funds are widely used by the World Bank and can be a very useful way of getting money directly to communities for small investments. Social funds can also promote harmonisation and alignment. The Yemen social fund has attracted £225 million for 2004 from several donors; it has been most successful where it has aligned with the priorities of the education ministry, and least successful where it has worked independently of the health ministry.
- **Pooled funding:** There are various ways of pooling funds, such as multi-donor trust funds and joint programmes, which offer a number of advantages. Pooled funds can promote a more programmatic and long-term approach, reduce the tendency to do ad-hoc projects and promote harmonisation and, where possible, alignment.
- **Humanitarian aid:** There are opportunities to redesign the content of humanitarian aid, without undermining humanitarian principles, in order to make it more effective and facilitate the transition from relief to development. This would involve making humanitarian aid better planned and financed, possibly through the use of pooled funds.

In addition to the possible financial arrangements highlighted above, Leader and Consuelo⁶⁵ go on to outline a number of ways that social protection can be established with or without finance and capacity of the state.

- When there is state capacity, but no commitment to poverty reduction, pooled funding with a neutral intermediary such as the UN having oversight can be a starting point. In this context, partnering with state or non-state actors could also help. Supporting appropriate government policies with technical or other support is another option.
- When there is both little capacity and little commitment there are more opportunities to provide technical support, to government, to civil society and to the private sector. There should also be a focus on strengthening the capacity of vulnerable communities.
- When there is commitment, but little capacity an overarching strategic framework is important between government and donors that covers political, security and development strategies. If this is in place, there is an option to establish multi-donor trust funds. Technical support will be required, as above, but in this context emphasis

⁶⁴ Leader and Colenso (2005) Aid instruments in fragile states. PRDE Working Paper 5 – March 2005. Poverty Reduction in Difficult Environments Team / Aid Effectiveness Team. Policy Division. UK Department for International Development Nairobi, Kenya.

⁶⁵ Ibid

should go towards increasing the capacity of the government.

In the absence of government involvement or interest in the concept of social protection, NGO-led consortia have also been proposed as a possible vehicle for supporting the establishment of safety net programmes in very low income and fragile states⁶⁶. A consortium approach can provide opportunities to increase geographical coverage, encourage coherence and consistency of approaches across members, enhance advocacy leverage and impact, and minimize opportunity costs for donors and overstretched governments.

In fragile states in particular, a consortium approach can play an important role in:

- Taking immediate action to protect people from hunger in the short-term while also building – and not undermining - the foundations for long-term national social protection programmes and systems.
- Building the evidence-base on what works and what does not, and factoring in ‘scalability’ from the outset.
- Facilitating dialogue and debate on what is feasible and affordable in terms of social protection.

Examples of social protection in conflict-affected, fragile or failed states

Working in fragile states requires experimentation and flexibility based on local knowledge. Many of the most interesting social protection instruments being used have evolved through several cycles of reform and adaptation. This requires a long-term commitment, good monitoring and evaluation, money, and above all, dedicated staff.

A number of conflict-affected, fragile or failed states are currently implementing social protection activities using various models of funding. Others, like the Democratic Republic of Congo are in similar positions to Somalia: looking for ways to improve assistance to people in need. Some examples from countries ranked in the top ten of the 2013 Failed State Index (FSI) are noted below⁶⁷.

Democratic Republic of Congo (DRC) (FSI Rank = 2): Like Somalia, the dominant source of support to households in DRC is money provided by family and friends. Churches also play a strong role, while humanitarian actors provide assistance in the form of short-term projects funded by external donors. None of this aid however is intended to tackle the large socio-economic, political and cultural gender inequalities in DRC.

Data availability and quality is poor, and there is scarce literature about the underlying structures and dynamics. There is also little centralized data collection and exchange of findings. The reliability of official figures is questionable, but there are few alternatives. There is therefore, much scope for research in DRC.

Limited government capacity, mistrust of the government and inefficient management of resources all pose significant constraints to the implementation of government-driven social

⁶⁶ Fenton, W (2009) Consortium to Support Hunger Safety Nets in Fragile States and Very Low Income Countries: Issues to Consider. Save the Children UK, Oxfam GB and Care UK.

⁶⁷ FSI 2013 ranking in order (1-10) = Somalia, (DR) Congo, Sudan, South Sudan, Chad, Yemen, Afghanistan, Haiti, Central African Republic, Zimbabwe

protection actions. A study by Bailey (2011)⁶⁸ found that although there are multiple strategies, policies and laws pertaining to social protection in DRC, there is no overarching strategy that has been adopted by the government. There are also numerous implementation challenges include lack of financial resources, low availability of basic services, and lack of structures that could support the rollout of interventions. The study concluded that these structures should be developed over time, while ensuring that the poor and vulnerable can gain access to safety nets in the short term.

Chad (FSI Rank = 5): The Centre of Social Protection (CSP) at the Institute of Development Studies (IDS) in the UK, with logistical support of UNICEF Chad is currently collaborating with the Government of Chad and a team of national partners to develop a National Strategy for Social Protection and the piloting of selected social protection interventions. The five components of the programme are:

- Data, analysis and evidence base to guide programme design
- National Social Protection Policy drafting
- Programme feasibility, design and piloting
- Evidence synthesis – programme documentation and dissemination
- Policy engagement, advocacy and follow up support

Yemen (FSI Rank = 6): The Government of Yemen, together with the World Bank funds the Social Welfare Fund (SWF) which provides unconditional cash transfer to vulnerable households. The SWF was conceived as the result of the Social Welfare Law of 1996 and has undergone several expansions and reforms, most recently in 2008. The government's commitment to this programme has translated into a gradual expansion of coverage, from 100,000 beneficiary households in 1996 to over 1 million households by 2010. However, in 2012 an estimated 50% of the population – close to 12 million people – was still identified as income poor⁶⁹. This is due in part to the programmes small transfer size (currently a maximum of US\$20 per month), its relatively low coverage compared to the numbers of poor, and frequent delays and gaps between payments.

Afghanistan (FSI Rank = 7): Budget support to social protection in Afghanistan is provided through a trust fund. The trust fund model supports the legitimacy of a weak government after the Taliban and supports the restoration of state systems and capacity development. The National Priority Programmes in Afghanistan, for example, are based on national plans, with implementation through government, NGOs, and private sector, depending on what is available⁷⁰.

The National Solidarity Programme (NSP) is the largest development programme in Afghanistan, and has been cited as an example of a bottom-up, state–society relations in insecure areas⁷¹. The NSP was established in 2003, and includes more than 22,500 Community Development Committees (CDCs) across districts in all 34 provinces and financed more than

⁶⁸ Bailey, S (2011) Humanitarian action, early recovery and stabilization in the Democratic Republic of Congo. HPG Working Paper, July 2011. Humanitarian Policy Group, Overseas Development Institute, London, UK.

⁶⁹ Bagash, T et al (20XX) Transforming cash transfers: Beneficiary and community perspectives of the Social Welfare Fund in Yemen. ODI, London

⁷⁰ Leader and Colenso (2005) Aid instruments in fragile states. PRDE Working Paper 5 – March 2005. Poverty Reduction in Difficult Environments Team / Aid Effectiveness Team. Policy Division. UK Department for International Development Nairobi, Kenya.

⁷¹ World Bank (2011) World Development Report 2011. Conflict, Security and Development, Washington DC.

50,000 development projects. Through the democratically elected, gender-balanced councils, the programme builds representative institutions for village governance. Typical projects include large-scale public works to construct or improve critical infrastructure, such as communal drinking water facilities, irrigation canals, local roads and bridges and electrical generators, and offer vocational training or literacy courses to villagers. The project provides block grants of up to \$60,000 per community (calculated at a rate of \$200 per household). Economic evaluations show consistently high rates of return across all sectors (above 12%).

Afghanistan also has a number of other, large-scale development programmes including Microfinance Investment Support Facility for Afghanistan (MISFA), and the Basic Provision of Health Services (BPHS).

Zimbabwe (FSI Rank = 10): The Child Protection Fund (CPF) 2011-2013 is a multi donor pooled fund in support of the National Action Plan for Orphans and Vulnerable Children (NAP II) from 2011 to 2015. CPF adopts a national child sensitive social protection approach. The CPF has three pillars: to reduce poverty of approximately 55,000 extremely poor households (through cash transfers), increased access to effective child protection services, and improvement access to basic education for poor, orphans and other vulnerable children⁷².

The Government of Zimbabwe, OECD government donors and other donors including the Global Fund, finance NAP II⁷³.

In addition to these examples, there is also some progress on the social protection agenda in the northern regions of Somalia: Somaliland and Puntland.

Social protection in Puntland and Somaliland

The northern regions of Somalia are more stable than the South/Central Regions and afford greater opportunities for agencies to work together with the local governments.

Although neither Somaliland nor Puntland currently have discrete Social Protection Strategies or any formal social protection mechanisms in place, their National Development Plans do aspire to “social protection-like” objectives once funding becomes available. In practical terms, to date, social protection outcomes have been pursued in these regions through NGOs or UN agency programmes designed around resilience or livelihoods themes albeit for limited periods of time.

One example is the Adeso and Save the Children Social Safety Net Programme (SSN), implemented in consortium in Sanaag (Somaliland) and Bari Regions (Puntland) since 2010. The programme provides households with unconditional cash transfers on a monthly basis to the most vulnerable, as well as skills building and cash-for-work opportunities for households with sufficient available labor. In the first phase (2010-2012) the programme targeted 2200 households and provided them with monthly cash transfers of \$85. At the same time, households were provided with training on skills for livelihood diversification such as beekeeping, poultry raising, literacy or entrepreneurial development through partnerships with the private sector. The programme was downscaled in 2012 to only 600 households, due to lack of funding despite significant positive impacts on beneficiaries.

⁷² UNICEF and Government of Zimbabwe (2011) Child Protection Fund

⁷³ The Global Fund is an international financing institution created in 2002 that fights AIDS, tuberculosis and malaria. It relies on voluntary financial contributions from all sectors of society – governments, private sector, social enterprises, philanthropic foundations and individuals.

Impacts from the SSN programme included debt reduction of more than 60%, starting up of new income generation activities, a reduction in households reporting food shortages, improved household food availability, and an increase in the number of meals consumed by households each day⁷⁴.

Another example is the 'Decent Work Programme' (DWP) currently being implemented by ILO together with the Somaliland Government and other partners. The aim of the programme is to make improvements in four priority areas, one of which is social protection. This programme acknowledges that it is starting from a very low base, and rather than starting with the delivery of a social protection programme, has commenced by working with Government staff in the development of a comprehensive social security policy and action plan and the mapping of existing structures. The objective is to build a framework within which social protection programmes can become operational. Although the DWP commenced activities in 2012, the authors of this study were not able to access any progress reports.

⁷⁴ Dunn, S (2012) Impact monitoring report - Social Safety Net Project, northern Somalia. Adeso and Save the Children

PART 4: SOCIAL PROTECTION IN SOUTH CENTRAL SOMALIA

“Before taking any decision, understand the underlying causes of the Somali civil war and use those many obstacles to develop the community”.

(Community FGD – Berdale Village, Baidoa)

The first OECD principle for engagement in fragile states is to take the context as the starting point. Given that the main objective of social protection programming is to reduce the vulnerability of the poor, it is critical that stakeholders have a good understanding of the multi-dimensional nature of risk and vulnerability in their area of operations, and understand which groups are vulnerable and why.

The combination of conflict and recurrent natural disasters in Somalia makes it one of the most vulnerable countries in the world, with the South Central Region being the most conflict-affected. However, it would be incorrect to classify all the people of South Central Somalia as equally vulnerable. The causes of vulnerability in Somalia are many and varied and include not only the conflict and the impact of repeated natural disasters, but also economic, social, and political vulnerabilities.

In order to look towards a longer-term approach in Somalia, it is necessary to think more broadly than the traditional humanitarian interventions and start to address the underlying causes of vulnerability. Traditional humanitarian assistance alone such as food- or cash-based transfers or the distribution of non-food items such as seeds, tools or water containers, cannot address the underlying vulnerabilities and causes of poverty that need to be addressed to ensure adequate social protection.

Vulnerability

Vulnerability refers to being exposed to the possibility of being attacked or harmed, either physically or emotionally. Development literature often also refers to vulnerability in economic terms: the chances of staying in, or falling into, poverty in the future. Overall, vulnerability reflects an absence of protection.⁷⁵

In the current context of Somalia, vulnerability is closely connected with the absence or presence of conflict, the distribution of power at the place of origin or residence, and to clan or group affiliation. Individuals can also be vulnerable because of their political or ideological convictions or other social and/or economic reasons.

The following section provides a brief overview of some of the vulnerabilities encountered by the people of South Central Somalia.

Ethnicity and clan

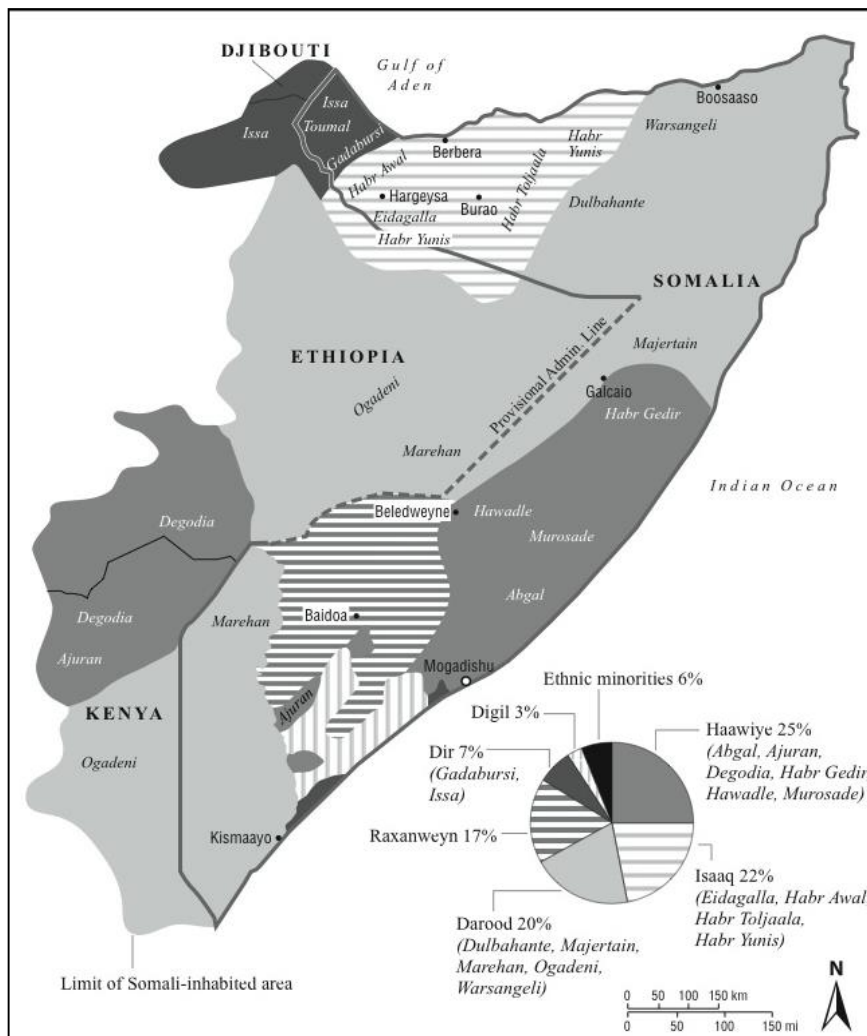
The Somali population is divided into major clans (including *Darod*, *Dir*, *Hawiye*, *Isaaq*, and *Rahanweyn*⁷⁶) and a number of minority groups (see Figure 3). Each of these major clans consists of sub-clans and extended family networks. Clans traditionally used customary law to govern their communities, completely independent of modern state structures. Although

⁷⁵ Barrientos (2010) Social protection and poverty. Social Policy and Development Programme Paper Number 42, January 2010. United Nations Research Institute for Social Development.

⁷⁶ The *Rahanweyn* include the sub-clans *Digil and Mirifle*

today, decades of urbanization and conflict have weakened this system somewhat, these traditional groupings still hold immense influence.

Figure 3: Traditional location of major clans and sub-clans in the Horn of Africa (pre 1950)



Source: Kaplan (2012)⁷⁷

Vulnerability is closely linked to these clan or group affiliations. The fact that Somalis share a common ethnicity, culture, language, and religion might seem to be a strong basis for cohesive political structures but in practice, politics are dominated by clan affiliations. During the Barre regime, clan favoritism was rife, resulting in power struggles between and sometimes within clans. The result of these struggles is that the major clans wield more power in the political and social arenas, which has a knock-on effect of improved economic status.

However, being from a majority clan, does not always equate with a lack of discrimination. The communities from the regions most affected by the 2011 famine, the Rahanweyn and Bantu, have been particularly vulnerable to abuses.

In contrast to the majority clans, minority groups (including the non-ethnic Somali groups such as the Jareer Bantu, the Banadir groups and also low status groups such as the Midgan,

⁷⁷ Kaplan, S (2012) <http://www.fragilestates.org/2012/01/10/somalias-complex-clan-dynamics>

Yibir and Tumul) lack the extended social network in the Diaspora that often forms an informal safety net for the majority tribes. This makes them more vulnerable to economic crises as they lack the informal safety net of the other clans. Members of minority clans also have very limited political power, less access to resource in general, and often do not participate in community meetings or discussions.

Ethnic/clan related vulnerabilities also tend to exacerbate (or cause) many of the other vulnerabilities described ahead. Figure 3 shows that South Central Somalia represents a heterogeneous mix of clans, much more so than in the relatively stable northern regions. Part of the success of the northern regions of the country (Somaliland and Puntland) is due to the largely homogenous nature of the population resulting in less clan-based tension.

A recent study by the Minority Rights Group International⁷⁸ noted that many Al Shabaab militants come from the minority tribes/clans. The report found that "Al Shabaab appears to be operating beyond the traditional clan system in Somalia by accommodating minorities that lacked the protection of the major clans". The relationship between Al Shabaab and minority groups can be seen to some degree if Figure 1 and Figure 3 are compared, as much of the Al Shabaab controlled areas are home to the minority groups.

In addition, the vulnerability of these minority groups is evident when the locations of the minority groups are compared to Figure 2 showing the epicenter of the 2011 famine. The epicenter was located in Bay, Bakool and the Shabelle Regions, all of which are home to Rahanweyn and Somali Bantus. Both groups now make up a large proportion of the IDPs living around Mogadishu. As IDPs, these groups have increased vulnerability as they now have a less diversified income and are dependent on humanitarian assistance.

Interestingly, despite humanitarian assistance being provided in Somalia for more than two decades, the exact causes of the 2011 famine are still being investigated. At this stage, it appears that there was an overlap of a number of factors including pre-existing and political vulnerabilities were exacerbated by the failure of the rains, and then made worse by their lack of access to humanitarian aid through the intervention of Al Shabaab.

Conflict and population movement

The presence or absence of conflict, and the power situation that people face from the local authorities, plays a fundamental role in the security of the population. In addition, ongoing conflict in an area can lead to population movement, which can result in increased vulnerability such as that described above for the Rahanweyn and Bantus.

Moving away from home because of conflict allows people to be safe in terms of distance from active fighting but it can put people into other types of insecurity during the journey such as banditry or lack of access to water, food or medical services. In addition, on reaching a safe area, people may find themselves in a situation of increased social or economic vulnerability such as having no means of earning an income or having to live outside their traditional clan area, without clan protection.

⁷⁸ Minority Rights Group International (2011) *World Directory of Minorities and Indigenous Peoples - Somalia: Overview*, May 2011. <http://www.refworld.org/docid/4954ce42c.html>

Many of these risks are relatively well understood, however there is less information available about population groups that are unable to move away from specific conflict zones or other types of discrimination, determining that it is safer to stay where they are than to move to areas where the situation might be worse. Some examples of this type of conflict related vulnerability include:

- The Midgan people of the Shabelle Regions regularly find themselves in the crossfire between rebel and government forces, but feel they do not have alternative places to stay in Somalia.
- People who move into Mogadishu often lack decision-making powers. As a result, they can fall prey to camp leaders and face discrimination and harassment if they are not from the area's majority clans but have nowhere else to go.
- People who leave Somalia and move to refugee camps in Kenya or other countries will be officially unable to work or leave the camp, and often become dependent on UNHCR for all their needs.

Natural disasters

Somalia is prone to both recurrent drought and floods in much of the country. Northern parts of the country have also been affected by tsunamis and cyclones. These disasters can result in loss of household assets, reduction in productive capacity of the land, and therefore reduced ability of households to earn sufficient income from land-based livelihoods such as pastoralism or agriculture.

When natural disasters occur regularly, households may be unable to rebuild their lives and livelihoods adequately before another disaster occurs. This cycle can eventually result in asset depletion and destitution.

When coupled with conflict, natural disasters have an even greater impact on the population. Natural disasters can exacerbate conflict by deepening grievances in areas where people compete for scarce resources. They may also create economic opportunities for criminal activities or create opportunities for advancing political or military objectives. It can also strengthen or weaken some groups in conflict over others or force people to live in areas at higher-risk of natural hazards. People living in areas prone to natural disasters may also be marginalized and economically vulnerable.

Economic vulnerabilities

Both the ongoing conflict and the prevalence of natural disasters in Somalia have impacted on the economic status of a wide range of people. In addition, the type of economic activities undertaken by households can be an additional source of vulnerability during certain natural disasters.

Throughout the Horn of Africa, including Somalia, vulnerability in pastoralist communities has been exacerbated by their remoteness to central power, marginalization and a poor understanding of the rationale of pastoralism⁷⁹. There has been limited investment in many pastoral areas and this has made the areas particularly vulnerable to natural disasters. As a

⁷⁹ Overseas Development Institute (2009) Synthesis Paper: Social protection in pastoral areas. April 2009. Overseas Development Institute. London, UK

result, herd depletion has occurred and grazing areas have diminished. For pastoralists the rainy seasons represent better times of the year, as water and pasture are more available, hence improving livestock body conditions and milk production. During the dry seasons, pasturelands are depleted and people begin to move in search of water and grazing land for their livestock⁸⁰. In recent years, the short duration between droughts has been insufficient to allow for adequate accumulation of sustainable herd sizes, and this has undermined the economic stability of many pastoralist households.

The main agricultural production areas are situated in southern Somalia and parts of Somaliland in the northeast. Agro-pastoralist communities largely depend on the seasonal performance of the rains. The production amounts will determine when their stocks will deplete and, hence, when their lean season starts. While the amount of rainfall received by agricultural production areas is very important – below-normal rainfall is likely to result in below-normal production, thus reducing incomes, and accelerating stock depletion – the distribution of rainfall is equally if not more determinant. Erratic rainfall can lead to crop damage, particularly in the case of flash floods. However, floods can also lead to excess moisture and have a positive impact on off-season harvests. Agro-pastoralists also face vulnerabilities despite their access to both animals and crops for income. Their sedentary nature makes it difficult for them to move their livestock to better grazing areas during the dry season, and they do not have access to the more fertile riverine areas for crop production.

Similarly, the small agricultural communities in the riverine areas face both drought, and regular flooding. This results in reduced productivity of their land, crop losses and loss of other productive assets such as tools and seed stores.

In addition, since income from both pastoralism and agriculture in Somalia are largely seasonal, many poorer households relying on casual labor to supplement their income. This means that they survive on irregular and unpredictable income and often rely on credit from traders and retailers to buy basic items throughout the year. Debts are paid off only when sufficient income comes in, usually during one or two seasons of the year. For some, this access to credit is supplemented by remittance from family and friends.

Some groups however, including households lacking kinship ties in the area cannot access this credit system in times of crisis, especially during periods many others are also seeking credit.⁸¹ So too, poor households who have suffered significant asset depletion may no longer be provided with credit as they lack the necessary collateral to ensure eventual payment of the debt. These households are among those who would benefit greatly from a predictable social protection structure.

Other factors that impact economic vulnerability are urbanization and movement into Mogadishu. For some, Mogadishu represents a more secure environment with more chance of employment. However, there are limited formal job opportunities in Mogadishu, and higher costs of living. For many, movement into Mogadishu results in low incomes from petty trade or casual labor and/or living in one of the many IDP camps around the city. Living in the IDP camps brings with it an increased risk of petty crime, discrimination and sexual violence.

⁸⁰ WFP (2012) Somalia: Trend analysis of food and nutrition insecurity 2007-2012. WFP Somalia, Kenya

⁸¹ Gabrielle, T & Nori, M (2007) Cash-Based Safety Nets for Livelihood Support In Northeastern Somalia: A feasibility study for Save the Children UK and Horn Relief.

Other social vulnerabilities

According to Somali tradition there a number of disadvantaged groups who must not be attacked during conflicts, and in fact, should be actively protected. These groups include women, children, sick, elderly, disabled, clergy, and unarmed and neutral groups such as prisoners and travelers⁸². Many of these groups tend to form the basis of targeting criteria for humanitarian assistance, together with various economic criteria such as households with no remittance, or households without productive assets.

In addition, vulnerability can be linked to lack of basic services in some areas. Access to basic health and education should be provided by the state. However, in Somalia there are many areas that lack even the most basic services including health care, education and clean water. In pastoralist areas, the provision of livestock services such as animal health and market access could also be classed as a social service, but again these services are often not readily available⁸³.

Political vulnerabilities

People may also find themselves in a vulnerable position because of their political or ideological views and/or the location where they live being under the control of non-government forces. For example, people living in Al Shabaab controlled areas are currently most at risk of not receiving humanitarian assistance. This was evident both prior to and during the 2011 famine response. Al Shabaab was declared a terrorist organization by the US in 2009 and subsequently the US reduced funding to areas under their control. Although this policy did not apply to humanitarian aid, many agencies assumed that the US would not be prepared to fund aid to Southern Somalia. In addition, Al Shabaab forced the withdrawal of a number of humanitarian agencies out of the areas of control. As a combined result, conditions deteriorated from crisis to emergency to famine because aid agencies had no reserves of food and money and no personnel in place to help hardest hit areas.

Current social protection mechanisms in South Central Somalia

The lack of government services and institutions, and weak or non-existent social policies means that the people of Somalia have largely relied on their own entrepreneurship and social networks to try and overcome the vulnerabilities described above. However, repetitive natural disasters, the ongoing conflict and the impact of the global financial crisis means that many households are unable to earn sufficient income through their own means, and have become increasingly reliant on informal social protection mechanisms.

Social protection providers can be classified as either formal or informal. Informal providers include communities and external social networks such as family members, relatives and other social structures. In Somalia, these informal mechanisms are much stronger than the formal system and are based on religious, clan or family affiliations. These mechanisms play a vital role in communities, and protect livelihoods against the chronic shocks inherent in Somalia.

⁸² International Committee of the Red Cross Somalia Delegation (1998, February). Spared from the spear. Traditional Somali behaviour in wartime. Nairobi: ICRC. Cited in http://www.landinfo.no/asset/1805/1/1805_1.pdf

⁸³ Overseas Development Institute (2009) Synthesis Paper: Social protection in pastoral areas. April 2009. Overseas Development Institute. London, UK

Formal providers include governments, the private sector including employers, humanitarian organizations and local and international donors. In the Somali context, this category of provider is relatively undeveloped, with humanitarian aid forming the largest formal element of social protection.

Informal social protection

Informal social protection in Somalia tends to focus on social assistance mechanisms – measures that protect the most vulnerable members of society. These mechanisms usually involve material assistance that helps households absorb the impact of, and recover from, natural and man-made shocks.

The main informal social protection mechanism in Somalia is remittance provided by family and friends in the Diaspora and in other parts of Somalia. Remittance is both protective and preventive and for some Somali households, represents their only source of income. A recent study by FSNAU (2013)⁸⁴ in the north of Somalia found that approximately one third of respondents said that they would not be able to afford basic food, medicines and school fees if remittances were stopped. In addition to receiving remittance, more than 90% of study respondents reported that they felt obliged to provide support to their relatives if they could.

Lack of access to remittance is one of the many targeting criteria that humanitarian agencies use, as it indicates not only lack of economic power, but also a lack of social networks. The Somali Diaspora provides significant, ongoing remittance from abroad estimated in the range of US\$1.2–2 billion per year.⁸⁵ The significance of this sum can be seen when compared with international aid flows, which averaged \$834 million per year between 2007 and 2011⁸⁶. Just keeping this important lifeline open has significant social protection benefits.

Aside from remittance, there is a range of informal mechanisms that assist poor households to meet their needs. However, none of these mechanisms are either adequate or predictable. Community focus group and interviews with community members illustrate the importance of these informal mechanisms, and highlight the dearth of formal social protection mechanisms available to households in need. In times of need, households primarily turn to their family and community members, as they do not believe that the government or any formal institutions (including humanitarian agencies) are in a position to provide help.

Key informants from the study provided a number of examples of informal social assistance measures in their regions. Some are specific to pastoralist communities, while others are carried out in all communities.

- *Zakat*: a religious obligation for every Muslim to make monetary contributions to poor and destitute groups, including orphans, new converts and travellers.
- *Sadaqah*: voluntary charity
- *Qaraan* (community donations): wealthier households provide monies into a pooled fund that is then shared between poor households within the community.

⁸⁴ FSNAU (2013) Family ties: Remittances and livelihood support in Puntland and Somaliland. FAO Somalia.

⁸⁵ Hammond, et al, (2011). Cash and Compassion: The Role of the Somali Diaspora in Relief, Development and Peace-building. Report of a Study Commissioned by UNDP Somalia, January 2011

⁸⁶ FSNAU (2013) Family ties: Remittances and livelihood support in Puntland and Somaliland. FAO Somalia.

- Community welfare savings: business people save money for times when large lump sums of money might be required such as arrests, deaths or any type of trouble (e.g. terminal illness, complicated delivery requiring transport etc.).
- Sharing of milk (*Irmaansi*): poor households request assistance from wealthier households who are not their relatives or friends. They receive a loan of a milking animal and use the milk during the milking period. However, after the milking period ends, they are required to return both the offspring and the lactating animal to the owner.
- *Dhowrto*: Surplus milk and butter are stored for distribution among poor households with no milking animals, especially during dry seasons
- During Ramadan, wealthier households also provide food to the poorest households in the communities.
- Sharing of transfers such as food or cash that were received from NGOs by family or friends is also common practice.

Aside from the listed mechanisms to help households in times of trouble, key informants named some preventative mechanisms that help households earn income and prevent further deterioration of their economic status.

- *Maal*: Poor households with wealthy relatives can receive milking livestock (as in *Irmaansi*) but are able to keep the offspring as well as utilize the milk. This helps ensure the poorer recipient is able to cope on his or her own without further assistance.
- *Keyd*: Poor households can also adopt lactating animals and their offspring from richer households, on credit.
- *Rai*: Children from poor households herd livestock for richer relatives and receive food and other benefits as payment.
- Children from poor households are sent to live with wealthier relatives. This reduces expenditure for the parents and prevents further deterioration of their economic status.

Apart from these unwritten arrangements for providing social assistance, there do not seem to be any informal instruments that specifically protect poor and vulnerable households against discrimination or abuse. There were also no reports of any informal social protection instruments in the areas of social equity and social insurance. Community disaster funds (a fund provided to communities that can only be utilized in times of disaster) have been proposed by some agencies in other parts of Somalia⁸⁷ to provide some level of insurance, but to date, this idea has not gained wide acceptance from the donor community.

Clearly, informal social protection instruments are important, and in fact, to many communities, represent their primary source of assistance in times of need. However, the available informal social protection mechanisms, including remittance do not represent a coherent or comprehensive social protection package. The resources available within the community, and from the diaspora, determine the scope of these informal safety nets; therefore assistance can be limited and unpredictable. Moreover, while informal social protection mechanisms provide a safety net to many households, not all households have equal access, which means that some remain vulnerable.

⁸⁷ Adeso and Save the Children – Social Safety Net Project – Sanaag and Karkaar Regions, Puntland

Furthermore, the importance of remittances is under threat in at least two ways. Firstly, as diaspora populations integrate more deeply into their adopted nations they tend to increasingly lose contact with their country of origin, especially after the 2nd generation. Secondly, the modality by which cash remittances can be sent is also under threat due to increasingly stringent laws on money laundering and prevention of terrorism (see Box 3).

Box 3: Bank threats to remittance to Somalia

Even in ordinary times, the role of remittance in Somalia cannot be underestimated. However, during crises such as the 2011 famine, the Somali diaspora played a vital role in helping Somali families survive. Unfortunately, when a bank in the United States closed the accounts of several Somali-American money transfer operators during the crisis, it became clear that money transfers could come to a halt at a moment's notice.

Somali-American money transfer operators (MTOs) constitute a critical link in the remittance chain, transferring funds from the diaspora and distributing cash to recipients throughout Somalia, where Western financial services have little or no presence. However, Somali-American MTOs need bank accounts in the United States to facilitate transfers, but have found it difficult to obtain them in recent years. They have invested significantly in compliance systems, policies, and training to ensure that they do not run afoul of US anti-money laundering/combating the financing of terrorism requirements, but most US banks have ignored these investments. In recent years, many US banks have branded Somalia a risky destination for money transfers and have unceremoniously closed the accounts of Somali-American MTOs without providing any specific reasons or justifications⁸⁸.

Similarly, in May 2013, UK-based Barclays Bank wrote to Dahabshiil (the biggest money transfer agency in Somalia) and others, to announce, "acceptance and eligibility criteria have been amended for customers in this sector, which unfortunately means we will no longer be able to provide banking services to businesses that fall outside of these"⁸⁹. The change in policy was largely due to money-laundering fears as was the case in the US. In November 2013, Dahabshiil won an injunction against Barclays and remittance could continue albeit temporarily. In 2014 there will be new hearings to determine if Dahabshiil can continue to use Barclay's services.

Further closures could have disastrous consequences, up to and including a complete shutdown in the formal remittance system.

⁸⁸ Orozco, M & Yansura, J (2013). Keeping the lifeline open: remittances and markets in Somalia. Oxfam America, Adeso & Inter-American Dialogue

⁸⁹<http://www.independent.co.uk/news/world/africa/why-barclays-wants-to-cut-somalias-money-transfer-lifeline-8818006.html>

Formal social protection

After remittance, the most important source of social assistance in South Central Somalia comes from the humanitarian community. The humanitarian community is made up of UN agencies, foreign governments, international and local NGOs, and local community based organisations (CBOs).

UN agencies and NGOs implement programmes in various sectors including food security, water and sanitation, education, livelihoods and health. Despite their stated commitment to a social protection agenda, the government currently does little to support this work, as their immediate priority is security, economic recovery, and policy formulation to determine the way forward.

Humanitarian assistance

Emergency food aid and other forms of humanitarian assistance have been central to social protection and social assistance for many African countries since the 1970s.

In Somalia, the predominant form of humanitarian assistance in the past two decades has been food aid from the World Food Programme. In the last decade however, there has been growing evidence that cash and vouchers are also successful mediums for social assistance in Somalia. This is due in part to the wide network of money transfer agents who can distribute cash throughout the country (called *hawala*).

Unfortunately however, social assistance programmes through the humanitarian system are largely dependent on short-term funding opportunities and are often irregular and unpredictable, and therefore ineffective as a social protection mechanism.

○ **Donors**

Official development assistance (ODA) per capita in Somalia is US\$75 (including both humanitarian and development assistance), which is double the average of US\$36 per capita for fragile states⁹⁰. Most external donors to Somalia have a humanitarian agenda, but some, like the Turkish Government has a more development focused approach. The Turkish Government leads in terms of the size of donations to Somalia – channeling at least US\$5 million per month into infrastructure rehabilitation⁹¹.

Within the Somalia humanitarian donor community there is significant reticence to fund social protection programming. There are two reasons for this: First, parts of the country are still controlled by Al Shabaab, and there are genuine concerns that funding in these locations would be misappropriated to fund insurgency activities. Secondly, there are serious doubts that the Federal Government of Somalia has the capacity or the will to enter into or maintain the type of ‘social contract’ that is required for social protection programming to be effective and sustainable in the long term.

As a result of its long-term and state-building nature, social protection programming is typically delivered to at least some extent through government bodies. Until there is a stable government in place, that commits to developing a social protection strategy, then builds and

⁹⁰ <http://www.worldbank.org/en/country/somalia/overview>

⁹¹ Personal comment by consultant working closely with Treasury of Somalia

staffs the necessary executive institutions at the federal and regional level, it will be extremely difficult for donors to channel funds for social protection purposes.

Currently the European Commission (EC) is one of the few donors funding social protection programmes in Somalia. The EC has been funding the Adeso/ Save the Children Social Safety Net Programme in northern Somalia since 2010. Unfortunately their interest is waning, and the project is scaling down instead of scaling up.

DFID has suggested they would be interested in a “light safety net” but there has been no guidance as to what that means in practice.

The Somalia NGO community generally believes they need at least a three-year commitment, and preferably more than five years, to see any reduction in poverty. However, most donors, with the recent exception of DFID and UN agencies, work on a much shorter funding cycle of around 12 -18 months. This is a major barrier to a transition to longer-term programming and restricts any effort at developing resilience. A necessary component of building resilience is to create synergy between humanitarian and development practitioners to more effectively make the transition to programming that reduce vulnerability to shocks.

- **UN Agencies**

The UN has been active in Somalia since 1991 delivering humanitarian assistance, implementing recovery and development programmes directly and through national NGOs. Some of the main social protection related UN agencies in Somalia include UNICEF, UNHCR, ILO, WFP and FAO.

In Somalia, the United Nations Children’s Fund (UNICEF) works in partnership with an extensive network of local authorities, communities, and NGOs (Somali and international) as well as other UN agencies to help deliver services to children and women. Areas of focus include health and nutrition, water, sanitation and hygiene, education, child protection, HIV and AIDS, youth development and empowerment. UNICEF is the lead agency in the development of social protection policies and research for Somalia and is one of the few organisations employing social protection specialists. UNICEF has recently released a Global Social Protection Framework⁹², and is currently working on a Social Protection Vision for Somalia, which will incorporate a strategy for 2014-2018.

UNICEF is also the sole provider for virtually all school supplies and textbooks for primary schools in Somalia, and is a major donor for the government’s new “Go-2-School Campaign”, aimed to promote the provision of basic education throughout the country. UNICEF is also the lead agency in the provision of vaccines and essential drugs for maternal and child health clinics and health posts, as well as services for the prevention and treatment of acute malnutrition among children⁹³.

FAO plays another key role in Somalia: informing humanitarian response through its information collection and analysis projects, through their Food Security and Nutrition Analysis Unit (FSNAU). They also coordinate programmes on natural resources management through the Somali Water and Land Information Management (SWALIM). FAO’s emergency

⁹² UNICEF (2012) Integrated social protection systems – Enhancing equity for children. UNICEF Social Protection Strategic Framework. New York

⁹³ <http://unpos.unmissions.org/Default.aspx?tabid=9729&language=en-US>

interventions in Somalia aim at prevention, mitigation and response to natural disasters and the impact of conflict, while longer-term interventions focus on crops, livestock, fisheries, forestry and their interactions with the environment.

The World Food Programme (WFP) provides food in both emergency situations and in recovery and ensures minimum dietary food requirements for vulnerable populations are met. WFP runs school feeding programmes and also enables populations to create productive assets and resources to improve livelihoods.

In 2012 these three agencies collaborated to produce a Joint Strategy for Resilience Building in Somalia. The strategy will form the basis of a 4-year Country Development Plan (CDP) (2013-2016). The new strategy recognizes that there are inadequacies in the current social protection system and that households must therefore be more self-reliant in the immediate future.

The UN in Somalia uses the following definition of resilience –

“Resilience is the ability to withstand threats or to adapt to new strategies in the face of shocks and crises, in ways that preserve the integrity of individuals, households and communities (while not deepening their vulnerability) with a focus on merging humanitarian and developing programmes to better address overlapping risks and stresses.”

Source: UN Resilience Strategy (2012)⁹⁴

The CDP calls for multi-year, comprehensive approaches with multi-sectoral partnerships and collaboration. It also calls for a paradigm shift away from short-term humanitarian assistance with more investment in livelihoods and ‘resilience programming’ in order to reduce the need for emergency assistance in the medium to longer terms. The key elements of the CDP are:

- Strengthen productive sectors
- Improve basic social services
- Establish predictive safety nets to meet basic needs through predictable and sustainable transfers of food or cash for the destitute or seasonally at risk populations
- Recognizes need for an enabling environment based on an understanding of local resilience and vulnerability as well as policy and regulatory framework for effective service delivery.

Roll out of the CDP will begin in four districts of Somalia, although mainly in the northern regions. The four districts are Dolow (Gedo Region), Burao and Odweyne (Togdheer Region of Somaliland), Ishkushkuban (Bari Region, Puntland), with the possibility of extending into the peri-urban areas around Bosaso (Puntland).

In addition to its work in the CDP, UNICEF is currently funding a study into the development a Social Protection Floor⁹⁵ throughout Somalia in 2014.

- ***Non-government organisations (NGOs)***

NGOs are often the primary implementers of UN directed and funded programmes. They also provide assistance through other donor funded projects. These projects tend to be short

⁹⁴ FAO, UNICEF & WFP (2012) A strategy for enhancing resilience in Somalia. Brief, July 2012.

⁹⁵ A Social Protection Floor is designed to ensure that all citizens have access to a minimum income level. It involves an integrated set of nationally driven policies designed to guarantee income security and universal access to essential social services.

term (maximum of 1-2 years) due to the nature of humanitarian funding. Projects are determined by the immediate needs of the communities in which they work, and/or by donor driven demand when they call for proposals.

Since 2001 there has been growing use of cash and vouchers in Somalia. This expertise was utilized to a great extent during the famine response in 2011/12 due to the WFP being forced to withdraw from South Central Somalia in 2010. As previously mentioned, using cash and vouchers, agencies were able to reach 195,000 households with transfers totaling in excess of US\$91 million between August 2011 and December 2012⁹⁶.

Learning from this response indicates that Somalia is well placed for large-scale cash interventions because of the strong market economy, and because of the *hawala* network. The evaluation of the cash response to the famine found that the provision of cash and vouchers resulted in improved food security and nutrition, reduced indebtedness and a number of other wide impacts including increased numbers of weddings/marriages, more construction work (particularly improvements to homes), and increased numbers of jobs and economic activities being done by beneficiaries. However, despite this relative success, a number of key informants believe that there is a significant amount of preparation work that is required before agencies could build on this experience and implement a large-scale cash-based intervention as a longer-term social safety net.

Agencies currently lack a coordinated and harmonized direction for the future of programming in Somalia. In the last few years there has been growing use of NGO consortia approaches, where a number of agencies essentially work on the same programme, to the same objective, but in different locations. The Cash and Voucher Monitoring Group (CVMG) was one such consortium, where a number of agencies agreed to use a common monitoring framework to measure the impact of their response to the famine. However, a consortium approach does not always mean that the programmes are harmonized effectively.

In more recent times, with a shift towards programming designed to increase resilience, a number of new consortia have been born, including agencies working together on the Somalia Resilience Program (SOMREP)⁹⁷ and a consortium led by the Norwegian Refugee Council (NRC): BRCiS⁹⁸.

The Building Resilient Communities in Somalia (BRCiS) consortium recently received £21 million from DFID to implement a programme over 4 years. The objective of the programme is to build household and community resilience to drought and other related risks in Somalia. It will target 70,000 households, in eight priority regions throughout Somalia.

Interestingly, very few of the community interviews mentioned NGOs are a primary source of assistance. This is probably due to the highly localized nature of most NGO projects, which means that most households never receive NGO support. Also, due to their limited funding, agencies must use some form of targeting to determine their beneficiaries. This means that once beneficiary households are determined, it is often not possible to be included in the NGO programmes until a new project commences regardless of a change in personal

⁹⁶ Hedlund et al (2013) Final Evaluation of the Unconditional Cash and Voucher Response to the 2011–12 Crisis in Southern and Central Somalia. Humanitarian Outcomes.

⁹⁷ ACF, ADRA, CARE, COOPI, DRC, Oxfam and World Vision

⁹⁸ NRC, SCI, IRC, Concern and CESVI.

circumstances. As a result, poor households who are not targeted seek help through informal mechanisms.

During this study there were a number of concerns raised about some key operational procedures in NGO programmes. These included targeting issues, with active inclusion of minorities not routinely done and agencies being criticized for lack of verification of the situation of their beneficiaries, resulting in inclusion errors. Also, in some locations, beneficiaries did not receive the regular, monthly payments as promised during the famine response due to a combination of access issues, funding gaps and problems with their delivery mechanism. This indicates there are still issues around “predictability” that need to be overcome.

Accurate and transparent targeting and predictability of the transfer lie at the heart of social protection, and it is important that NGOs take time to work through potential solutions to these programming issues.

- **Civil society**

In addition to the work carried out by the UN agencies and NGOs, key informant interviews highlighted a number of social protection-like activities that are currently being undertaken by civil society groups throughout South Central Somalia. This includes support to vulnerable households from community elders such as conflict resolution, but also a by number of community groups whose sole purpose is to provide support for the most vulnerable members of society.

Linkages with these groups are a potential opportunity for the humanitarian community to become more involved in social equity issues.

Table 4: Civil society groups with a social protection focus

| Region | Civil Society Group |
|--------------------------------|--|
| Banadir (Mogadishu) | Hodan – Women’s associations provide support to host communities. They also provide guidelines about the rights of IDPs. Local NGOs such as WACCO, OSPAD and SORRDO also do some community intervention. Dharkenley – Women’s group raises money for women headed households in need of assistance. |
| Bay | Baidoa – Some community groups provide non-formal education. Somali Children’s Welfare and Rights Watch (SCWRW) also present. |
| Gedo | Dhobley - peace committees or peace groups who work on conflict management, community dialogue space, mediation, and advocacy re peaceful coexistence. There are also social welfare committees who provide funds for construction of hall or other infrastructure and for community functions. Dolow – peace committees and women’s groups Afmadow – ASDA (anti-clanism and social development association) works to support sanitation and cleanliness in the community and works on peace building. The |

| | |
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| | management of Hormuud Telecom also provides some monies for the poor in the community. |
| Hiran | Hiran Women Association, Hiran Youth Association, Hiran Disabled Groups Association, Hiran Minority Groups Associations |
| Lower Juba | Diff – Sanitation youth groups, peace groups, WASH committees, Women’s groups also work on peace initiatives |
| Lower Shabelle | No information provided |
| Mudug | No information provided |

Government strategies and priorities

Somalia is one of the 189 countries that have signed up to the Millennium Development Goals (MDGs). This represent a commitment to eight goals with time bound targets envisaged to end income and human poverty worldwide by 2015. The signing of the MDGs represents the beginnings of the development of political will to improve the situation of its people. However, to date, progress towards the MDGs in Somalia has been poor.

The President of Somalia, Hassan Sheikh Mahmoud, took office in September 2012. He has since unveiled a six-pillar policy that indicates his priorities for the country: stabilisation through the rule of law and good governance; economic recovery; peace building and reconciliation; public service delivery; improved international relations; and national unity. Within these pillars, social protection falls under ‘economic recovery’.

Although social protection is not high on the list of government priorities, it is mentioned as an objective. The Federal Government of Somalia showed their interest with the September 2013 release of its new Economic Recovery Plan (ERP) for Somalia (2014-2015)⁹⁹. The ERP was formulated with the support of EC and other donors, and outlines a number of ways to deliver quick, tangible benefits to communities to alleviate poverty, recover household incomes, build

⁹⁹ Federal Republic of Somalia (2013) Economic Recovery Plan 2014-2015. Version approved by the Council of Ministers, 5th September 2013

trust in government and encourage social cohesion and integration. It recognizes the paradigm shift that is currently occurring in Somalia in terms of how international resources are managed.

The ERP states:

“For the Federal Government of Somalia, social protection falls under the mandate of the Ministry of Human Development and Public Services, along with health, education, youth, labour/employment and gender. Despite commitment and recognition by the ministry that social protection is a critical policy tool to contribute to economic recovery, equity and resilience in Somalia, the government is still in its initial stages of development and thus lacks adequate human, financial and institutional capacity to develop and manage social protection systems.”

The delivery of the ERP requires a well-planned and coordinated approach, based on a common vision. At the heart of the ERP are three priorities, each of which requires a rapid upgrading of state capacity at Federal and local authority level. The FGS’s annual budget total for 2014 is \$440 million. This includes \$210 million from donors for economic recovery programme and \$128 million from government collected revenue. A further \$98 million is expected from donors including Turkish government, Norway, and World Bank¹⁰⁰. The government has cited a cost of US\$22.8 million to implement the ERP over the next years. The priorities of the government mentioned in the ERP are as follows:

- Productive Infrastructure (crops, livestock, forestry, and fisheries);
- Rapid rehabilitation of infrastructure (ports, urban water and waste);
- Provision of basic social services for all regions: health and education services¹⁰¹.

In addition to the ERP, the government has also openly requested help from the international community (during a meeting with IOM staff) to support the Disaster Management Authority (DMA), to increase capacity to respond to emergencies.

Interviews conducted for this study with regional government officials indicate that they are aware of the President’s six-pillar policy and aware that an implementation strategy is in the making. However, none of the interviewees mentioned that they were currently taking any action related to social protection, as they are awaiting authority, instructions and funding from the central government.

Aside from provision of basic services and improvements in productive infrastructure, key informants also mentioned another issue within the sector of economic recovery that is of concern to the government: youth unemployment. This is a critical issue as the most recent UNDP Human Development Report¹⁰² indicates that 70% of Somalia’s population is under the age of 30. This group needs to be provided with education, and to be given a chance at having a job in future.

Other government policies or programmes mentioned by key informants included the Refugee and IDP Task Forces based in Mogadishu. However both these entities are weak and have reportedly done little to date to assist refugees and IDPs.

¹⁰⁰ Interview with key informant

¹⁰¹ Including one million children Go-2-School (500,000 children in South Central Somalia)

¹⁰² UNDP (2013) Human Development Report

Key informants perspectives on the feasibility of expanding social protection

Key informants were asked their opinion on the possibility of expanding (or establishing) formal social protection programming in the current context of South Central Somalia. They were also asked to name the key opportunities and barriers that they foresee and if possible, to provide solutions.

It was widely acknowledged amongst the key informants that ad-hoc and short-term responses have failed to address the underlying causes of the crises. There is also agreement from the interviewed communities that the current level of assistance (including informal social protection mechanisms, and support from humanitarian community) is insufficient to prevent asset depletion and poverty.

It is also clear however, that many stakeholders do not have a good understanding of social protection, with many using the terms “social assistance” and “social protection” interchangeably. Most key informants made no mention of social equity issues and tended to focus on programmes that would fall under the heading of “social assistance” (promotion). Very few interviews indicated knowledge of the other aspects of social protection: prevention, promotion or transformation.

Where are the potential opportunities for expanding social protection?

Despite the confusion around what social protection terms and their meaning, most stakeholders agreed that change is required, and that currently the governance and humanitarian landscape provides a number of opportunities for change.

The release of the government’s ERP and the UN’s Resilience Strategy provide starting points for change in the way humanitarian assistance is provided in South Central Somalia. It is of note that there is significant overlap between the UN CDP and the government’s ERP, especially in the areas of productive sectors and basic services.

In addition, key informants were able to name a number of other positive factors that may provide opportunities for change. These opportunities are listed in Table 5 below.

Table 5: Potential opportunities for setting up a formal social protection system

| Opportunity | Example |
|---|---|
| Common direction among humanitarian community | Many agencies are thinking along the same direction in regard to the need for longer term programming for improving outcomes The recent failure of humanitarian action in response to the famine now means that the international development community is willing to look to longer-term solutions. There is now an opportunity to build on this new momentum. Willingness of agencies to engage in discussion and be part of this study |
| Emergence of new policies and strategies | There is a paradigm shift within the UN towards a focus on resilience rather than reliance on short-term humanitarian funding. The UN Resilience Strategy includes Safety Nets as a key pillar. Recent release of ERP shows government has some interest in social protection Government’s “Go-2-School Campaign” (UNICEF Supported) gives a starting point to improving access to basic social services. |

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| | Until recently, all humanitarian donors were on short-cycle funding (up to around 1 year). This has only recently changed with DFID providing funds to UNICEF and to others for longer-term programming. |
| Federal Government of Somalia | The new FGS is currently supported by the international community and shows signs of interest in improving the lives of Somalis. Economic recovery is one of the six pillars of the President's policy. Government has openly requested technical support to develop appropriate policies (including social protection). Increased support from country donors such as Saudi Arabia and Turkey to the new government |
| Security | Improved security in some areas including Hiran, Lower Juba, Gedo makes social protection more of an option than previously. Larger areas controlled by government so more chance of implementing government policies |
| Commitment to research and sharing | Research is currently underway to identify the causes of famine UNICEF is currently funding research (2014) into the development of a Social Protection Floor for Somalia. |
| Repatriation | Kenya wants to move refugees back to Somalia – UNHCR will be a bigger player (and may be suitable for considering assistance to returnees) |
| Agencies moving to Mogadishu | More chance of building relationships with government when agencies are in one location Government attendance at coordination and working group meetings more likely |

What are the main barriers to expanding social protection?

Of course, in addition to the opportunities mentioned above there are multiple barriers that need to be overcome in order to start a comprehensive, formal social protection system. Key informants named various barriers, which must be thought through before a permanent social protection framework can be established in South Central Somalia.

Table 6: Potential constraints/ barriers to setting up a formal social protection system

| Constraint | Example |
|-------------------|--|
| Political economy | Previous Somali government's have not only failed to protect their citizens, but they have been the instigator of human rights abuses The Federal Government is only newly established and there has not been time for them to build up trust or credibility with the public or with the international community, including donors. Currently, lack of community trust in government Currently, lack of community support for government policies |

| | |
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| | Currently, lack of representation of different ethnic groups in government |
| Federal Government of Somalia policies | <p>Lack of government policies relating to social protection. Lack of institutions to oversee and manage a system.</p> <p>Main focus is security and development of infrastructure that will aid economic development</p> <p>Lack of reference to social protection in national constitution</p> <p>Government ministries or departments responsible for social protection are grouped together (Social Sector) without having sufficient resources or capacity for individual sector reform.</p> <p>Newly proposed policies look promising but the government has admitted they do not have the capacity to implement them. The government has called on the international community to provide technical capacity building to the government (and funding).</p> <p>Absence of functioning legal system to enforce policies and laws.</p> <p>Central government outreach to regional areas is extremely weak except in Banadir Region (Mogadishu).</p> <p>Admission by regional authorities that they lack direction, and funds and that people rely on the support of others in the community (not NGOs, not government).</p> <p>Lack of active government participation</p> |
| Security | <p>Government is still dependent on AMISOM for peace and security. AMISOM is still operating under Chapter 7 engagement terms i.e. with a “peace enforcement” mandate rather than “peace keeping”.</p> <p>Easiest places to start will be relatively stable areas, under government control. More difficult to operate in Al Shabaab areas</p> <p>There are considerable security risks for voicing concerns over social equity issues</p> <p>Areas most in need are most inaccessible to humanitarian agencies (Bay and Bakool)</p> |
| Al Shabaab controlled areas | <p>People living there experience multiple vulnerabilities – social, economic and political, and are most in need of longer term social protection programming but agencies have most difficulty accessing the population there</p> |
| Regional and livelihood differences | <p>Vulnerabilities differ by region/ livelihood zone</p> <p>Different authorities in different regions</p> <p>Impact of livelihood group on timing of needs</p> <p>Programmes need to be designed for the specific vulnerabilities of the population</p> |
| Finance | <p>Limited government revenue: lack of payroll tax because of limited participation in formal employment</p> <p>Government (and others) charge arbitrary taxes in order to raise revenue</p> <p>Government needs external funding</p> |

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| | <p>Humanitarian agencies constrained by lack of long-term, regular funding. It is therefore impossible to provide transfers or services in a predictable manner.</p> <p>World Bank is trying to put a Public Financial Management System in place (which would raise donor confidence) but having serious issues doing so.</p> <p>Population numbers are unknown. Last census was in 1975, therefore population numbers are uncertain. This impacts on budgeting.</p> <p>Low level of interest from donors in funding longer term programmes in Somalia.</p> |
| Lack of harmonization of programming between actors | <p>Too many working groups, clusters, consortia e.g. BRCiS, SomREP, Social Safety nets consortium, CVMG.</p> <p>Other large players such as Turkish government, Saudis etc. are absent from any planning and coordination meetings</p> <p>Coordination is present on some levels but only limited harmonization. Even agencies working “in a consortium” often still work autonomously.</p> <p>Agencies are largely led by the Calls for Proposals from donors</p> |
| Capacity of stakeholders | <p>General misunderstanding of the meaning of social protection</p> <p>Confusion re difference between security and social protection</p> <p>No standard definition of what social protection is</p> <p>Lack of consistency of understanding between agencies</p> <p>Lack of firm definitions and understanding</p> <p>Feedback of field information is poor</p> <p>Field staff have no decision making powers</p> <p>Incidents of collusion between staff and local authorities have occurred without being noted by headquarter staff until too late (possibly due to remote management)</p> <p>Agencies have not been able to provide predictable or regular services on a multi-annual basis.</p> |
| Operational issues | <p>Previous evaluations have identified a number of key operational issues that need to be improved.</p> <p>1. Targeting</p> <p>Minority groups often not included</p> <p>Collusion between staff and leaders re targeting</p> <p>Some communities felt that giving the same households support over multiple years will not be supported as there are too many vulnerable people and obviously some would miss out. Also, it might cause conflict between communities and between households. However other communities believe that there would be no problem.</p> <p>Dependency, favoritism/ nepotism of targeting</p> <p>Need increased transparency during targeting and increased verification of targeted households.</p> |

| | |
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| | <p>2. Accountability</p> <p>Improve ways of accountability to beneficiaries in particular.</p> <p>Need to improve identification of fraud, collusion, and targeting errors.</p> <p>Humanitarian community is not ready to openly admit their mistakes and learn from them. More inclined towards covering up errors.</p> |
| Lack of basic services | <p>Lack of essential basic services and lack of quality services (therefore conditional cash is probably not appropriate).</p> <p>NGO community is not largely involved in this sector</p> |
| Operating environment | <p>Repeated occurrence of natural disasters</p> <p>Poor government institutions and legal system</p> <p>High competition between agencies for limited resources</p> <p>Remote management</p> <p>Corruption and poor administration</p> <p>Different opinions on who needs support and what type they need</p> <p>Government assuming responsibility for individual's welfare is alien to the clan system, even before you discuss resource constraints</p> <p>Financial mismanagement</p> <p>Widespread feeling during evaluation that local authorities and clan leaders and agency staff colluded and controlled distribution of resources</p> <p>Pressures on local staff are very high and this leads to bias in data and targeting</p> |
| Social issues | <p>Need to improve relationships with communities and not work along clan lines</p> <p>Issues of peace needed between clans and more effort into ensuring equality at local level</p> <p>Needs strong levels of community participation (including participation from all vulnerable groups)</p> <p>Problem of corruption and misrepresentation by people (leaders) who don't really represent community</p> <p>Unequal access to join political parties and/or leadership roles</p> <p>Dependence on local leaders (clan elders, religious leaders etc.) for problem solving and management of issues rather than local government leadership</p> |

Is it feasible to implement a comprehensive formal social protection system?

Despite the multiple barriers listed above, most stakeholders interviewed for this study agreed that there was a need for social protection in Somalia, even if conditions for successful implementation of a comprehensive, formal system are not yet in place.

Interviewees rightly believe that population needs are high, and that to date humanitarian aid had not been effective enough in preventing asset depletion and improve household and community resilience. The high population needs mean that humanitarian agencies are

willing to try new ways of thinking and new methodologies in order to find appropriate ways to work in South Central regions. Social protection represents a promising alternative.

Key informants believe that there are numerous benefits of longer-term programming including primarily, predictability – which would enable vulnerable households to plan, and could ultimately improve food and economic security and help with household decision-making in the event of a crisis. The benefits of longer-term programming are potentially so great, that agencies are prepared to work through ways to overcome some of the barriers they currently face.

However, there is also general agreement, that it is currently not feasible to implement a comprehensive, formal social protection strategy in Somalia, due to the many barriers listed in Table 6 above. However, all interviewed stakeholders recognize that social protection objectives represent a goal at which to aim. There is a general belief that it is both possible and appropriate to start moving in this direction, to improve long-term outcomes of the population, with an ultimate goal of having a comprehensive, formal social protection system in place.

At this stage, it is clear that very few agencies have given any thought to what measures would be appropriate and fewer still have considered activities that fall outside “social assistance”. Much more discussion, and more importantly, agreement, is needed between stakeholders about potential social protection strategies at both national and regional level. At present, there are significant differences in understanding between agencies, the government and between headquarters and field staff.

As previously mentioned, development of a social protection strategy, even just at regional level, will require a solid understanding of the vulnerabilities that are specific to each area. It will also require not only a coordinated approach but also a harmonized one. To date, agencies working in South Central Somalia do not coordinate particularly well; there are so many ‘working groups’ with overlapping and expanding remits that it was suggested that a ‘working group mapping’ exercise is required! Clearly this is something that needs improvement.

Despite the frustrations of working with the FGS because of capacity issues, linkages to the relevant arms of the FGS and local authorities at both regional and national levels must be established and strengthened to enable joint planning and problem solving. Working with and building capacity of government staff should be one of the objectives of any social protection programme in Somalia in the current context, and should be funded appropriately.

It is important to remember that currently in South Central Somalia there is a ‘large distance’ between the people and the government, and only slightly less distance between the people and the humanitarian community. Neither the government nor the humanitarian community is the first port of call for the population in need, who rely primarily on informal social protection mechanisms. The humanitarian community does not represent a reliable source of assistance, as their programmes are short-term, usually low coverage and not available to all people in need.

It is therefore essential that the humanitarian community take time to look at some key operational issues with a view to improving their implementation and the predictability of

programming. This will help agencies expand the promotive and preventative aspects of their programmes. In addition, agencies need to start considering ways to engage in protective and transformative programming. Some suggestions on ways to improve humanitarian programming and make it more predictable are discussed in the next section.

PART 5: PREDICTABLE HUMANITARIAN PROGRAMMES

“ (Social protection) is like a newly born baby who needs breast feeding for two years by his/her mother, then crawls, then stands and starts walking until he/she reaches the time when they can provide for themselves”.

(Community FGD – Women – Dollow)

Some form of formal social assistance has been ongoing in Somalia for two decades, initially as food aid by WFP and more recently, by the increasing numbers of cash-based interventions being implemented by NGOs. However, these have not been either predictable or adequate and are often late. Properly designed social protection programmes must be predictable so that the population can rely on assistance when it is required.

Short-term emergency responses create a limited vision for the future and a certain level of uncertainty, both to the beneficiaries and for the implementing agencies. Particularly in the domains of protection and prevention, most activities will not achieve a significant result in the short term. Rather, a long-term approach with adequate resources, technical support and attention is essential.

To date, humanitarian interventions have relied on emergency responses partly due to the short-term nature of their funding. As a result, programmes have been unpredictable and ultimately, unreliable¹⁰³ and have done little to build household or community resilience. This was confirmed both during the evaluation of the cash and voucher response to the 2011 famine¹⁰⁴, and again during this study’s community interviews, where participants requested longer-term, and more predictable assistance.

In recognizing the need for resilience building there is also growing recognition amongst government, donors and others that the problems faced in Somalia require different and more integrated responses from those applied elsewhere. This is because Somalia has one of the longest-lasting protracted crises, manifested in multiple vulnerabilities and challenges including conflict, an extensive breakdown of livelihoods and very little institutional capacity to respond. These constraints are further magnified by natural disasters. However, the shift in interest to “resilience” programming provides an ideal opportunity for discussions on social protection, as social protection provides a clear path to building household resilience.

There is still much work to be done before a comprehensive, formal social protection system can be established in South Central Somalia. However, if the objective is to improve longer-term outcomes, there are feasible actions that humanitarian agencies should consider which would eventually form the building blocks for a formal social protection system.

Some agencies currently have legitimate concerns about the lack of government involvement in programming in Somalia. Others are keen to jump in and start long-term programming even without government involvement. It is important however, to recognize that sustainable implementation in Somalia will involve many actors, state and non-state, not one or the other. This makes programmes complex, and will require some level of flexibility from

¹⁰³ Harvey, P & Holmes, R (2007) The potential for joint programmes for long-term cash transfers in unstable situations. Report commissioned by the Fragile States Team and the Equity and Rights Team of DFID, London. Humanitarian Policy Group, Overseas Development Institute.

¹⁰⁴ Hedlund et al (2013) Final Evaluation of the Unconditional Cash and Voucher Response to the 2011–12 Crisis in Southern and Central Somalia. Humanitarian Outcomes.

all parties. It is not possible to ‘avoid’ the state, neither is it sensible if the long-term goal is to rebuild it.

Interventions should therefore be seen as having differing degrees of alignment with the state, rather than an all or nothing approach. Such capacity building elements to programmes will need to be articulated in log-frames/results frameworks and funded and evaluated properly. Delivering these objectives successfully will also require NGOs to recruit staff with appropriate skills as building the capacity of government staff is a significantly different skill set to running a cash or voucher distribution.

As a first step, in order to increase predictability, Harvey (2007) proposed the potential use of social safety nets, which can be expanded during periods of crisis to help people deal with shocks. Such an approach would provide predictable, regular transfers to households over an extended period.

Establishing a Safety Net Programme

Most agencies interviewed for this study believe that a cash-based “social safety net” – providing regular assistance to the most vulnerable households in an area would be a feasible starting point to social protection.

The feasibility of a safety net will of course, be dependent on donor funding. Currently, UNICEF is the only donor that is potentially interested in funding a pilot social safety net programme in one or two locations. This is in addition to the programmes currently being implemented by SomREP and BRCiS. However, even if funding is found, before a safety net can be established, considerable preparatory work will be necessary, to understand more about social protection instruments, to establish linkages with the government and local authorities, to seek opinions from specific communities, and to better understand vulnerability issues in each region.

A pilot social safety net would also be a good opportunity to think through ways to improve existing operational issues and to learn from the successes and challenges of the Social Safety Net programme in northern Somalia, and the experiences of the CVMG during the famine.

Ultimately it will be important to create a coordinated and harmonized approach between all agencies participating in the shift towards social protection. Past experience would indicate that this is not something that NGOs are inclined to do of their own accord, so the recent move by donors requiring NGOs to coordinate and deliver programmes through consortia is to be welcomed.

Preparatory Steps for a Safety Net Programme

1. Capacity building for stakeholders

Currently, the different terms used by different agencies when talking about social protection and the different levels of understanding between agencies and between the field and headquarters, makes discussions difficult. The continued references during interviews to “social assistance” types of programmes indicate a lack of understanding of the broad, four-pillared nature of social protection as described by Devereux and Sabates-Wheeler. Capacity-

building efforts are therefore required as a starting point, to improve harmonize understanding between stakeholders.

The FGS has indicated some level of interest by releasing their ERP and specifically mentioning social protection. They have also called on the international community to assist them with capacity building. This should be done at both central and regional levels.

Capacity-building activities should include a range of stakeholders and include the following:

- Increase understanding of social protection including the four-pillared model by Devereux and Sabates-Wheeler.
- Include government and local authorities in capacity building activities
- Improve understanding at both headquarter and field level
- Increase understanding of vulnerabilities (economic, social, and political) at regional level and decide how best to address these causes of poverty
- Consider providing direct technical capacity to government through secondment or other means
- Consider how best to start preparatory work in Al Shabaab controlled areas, as these are among the areas most in need of long-term support.

2. Improve (or establish) relationships with government and local authorities

To date, linkages between the humanitarian community and the government have been minimal. This was due in part to the lack of central government, followed by a period of transition when the TFG was in power. However since 2012 when the new Federal Government of Somalia was sworn in, there is now an opportunity to discuss salient topics and build relationships.

Ethiopia and Kenya both changed to longer term programmes on the basis of government acceptance of data on chronic food insecurity and an understanding that people will need help for many years. The governments of both countries were involved in deciding what was needed, and then NGOs tendered to deliver those services in different regions. In Somalia, the government has provided a starting point for long-term activities by the release of its Economic Recovery Plan. Activities implemented by other agencies should, where possible, support these strategic priorities. Likewise, the Joint UN Resilience Strategy has considerable overlap in its priorities.

There are currently a number of plans underway to formally link with the government at the central level. ACTED has been actively trying to engage with the government for more than a year, while Adeso plans to work together with the Disaster Management Authority at the national level. While these efforts have so far borne little fruit, continued effort is required. UNICEF also plans to have formal relationships with the central government, as do other UN agencies including WFP, FAO and ILO. Engagement with local authorities will also be needed at the regional level.

3. Improve regional level analysis

When population needs are high, it can be difficult to identify groups that are most vulnerable. It is also difficult to identify groups that are chronically food insecure rather than acutely food insecure. The approach used by FSNAU, based on Household Economic Analysis (HEA) can help with this (as was done in Ethiopia). Improved analysis, understanding and communication of the situation with regard to regional and seasonal variations in vulnerability will help donor and government buy-in and enable improved decision-making on resource allocation and targeting.

A number of stakeholders suggested the establishment of regional “task forces” which would include civilians, government representative, and local authorities, UN, NGOs and CBOs. The role of this taskforce would be to discuss and analyse regional level data to gain a better understanding of regional specific vulnerabilities and underlying factors.

4. Harmonization of approach

In parallel with building their own institutional capacity and increasing regional understanding, agencies will need to harmonize their approach to social protection with others, at least at regional level. This harmonized approach should be guided by FGS social protection objectives and/or involve the FGS in its formulation.

At a minimum this should include a commitment to a single definition of social protection in the Somalia context and an agreement that the FGS must be an active and long-term partner in all programmes. This should include the FGS being the beneficiary of capacity building efforts.

For its part, the FGS should ensure that all NGOs understand the ERP’s content – its four-pillared approach- and align their programming with its objectives.

5. Improve key operational issues

This study has revealed that many stakeholders believe that significant improvements are required in NGO methodologies and operational practice if they are to deliver long-term social protection objectives as effectively as possible. This includes working on targeting methodologies, and accountability mechanisms and developing open, transparent ways for discussing issues such as incidents of collusion and fraud.

Targeting can be improved by having a more comprehensive understanding of vulnerabilities at the regional level. It will also need an eventual agreement and commitment to harmonize targeting criteria between regions.

Increased commitment to impartiality and working in both government and Al Shabaab controlled areas is also needed. Social protection, when targeting the most vulnerable could receive a positive response from Al Shabaab provided that minority groups are actively included in community discussions (as they should be in all locations).

Suggestions to improve transparency and accountability include:

- Public transmission of entitlements and targeting criteria over the radio or during public meetings
- Active inclusion of minority or marginalized groups during targeting
- Cross-agency monitoring or joint monitoring teams
- Parallel staffing structures where staff monitor each other while being mindful of

opportunities for collusion

- Improved financial systems for identification of fraud/corruption
- Strong and consistent recourse for agencies if fraud is identified
- Agencies working in a consortium should have an implementable Code of Conduct which includes repercussions if agreed activities or policies are not followed

6. Improve relationships with communities

Effective programme implementation is reliant on genuine community participation and ongoing access to operational areas. Investing in building relationships with communities will enable better targeting and long-term access.

7. Lobby donors for longer-term funding

In other countries, increased donor commitment to funding social protection programming has been driven by an increased understanding of the role that social protection can play in addressing chronic poverty. It has involved a gradual improvement in the capacity of national governments to act as the conduit for transfers, and greater availability of information on the seasonal and regional dimensions and variations in poverty within countries.

There is little point in NGOs 'lobbying' for social protection funding while the preconditions for effective delivery do not exist. The need for social protection in Somalia is acknowledged by donors, but the conditions which would justify funding formal social protection are not in place in much of Somalia: government capacity is weak and there are still questions about the regional and seasonal nature of poverty, largely as a result of poor access. In addition, recent cases of diversion of funds supposed to be used for cash transfers have made some donors somewhat wary of operating in an environment where independent monitoring and evaluation and access by senior staff is extremely difficult.

So, in a way, a "chicken and egg" situation exists: it is of limited value for NGOs to lobby donors for longer term funding for social protection work while the preconditions for success are not in place. However, without longer-term funding, it is difficult to build the institutions and knowledge base necessary for social protection programming.

Leaving aside the question of whether NGOs are actually the ideal people to lead on government capacity building, given their traditional short-term project-based focus¹⁰⁵, it seems that key components of lobbying for long term funding will include: -

- Ensuring that proposed programmes are aligned with the long-term objectives outlined in the FGS ERP
- Making sure that improving government capacity is fully integrated into any programming
- Investing in information systems that can accurately track changes in poverty at least a sub-district level to inform targeting and enable evaluation.

¹⁰⁵ It is the authors' view that it is not ideal for NGOs to take the lead role in social protection as that is the role of the government. However, the weak government in Somalia and the presence and experience on NGOs in aid delivery means they are well placed to have a role at least in social protection programme delivery. This will, however, involve a departure from the business as usual approach of delivering social assistance and require more efforts on collaborations, both with other agencies and more importantly, with the local authorities.

NGOs and implementing agencies should also consider alternatives to traditional donors and try to tap the significant flows of funding that come from the Somali diaspora.

In addition to these preparatory steps to starting a safety net programme, both agencies and donors need to have a longer-term vision of their work in Somalia. If the objective is to improve long term outcomes for people and to build household resilience, it is recommended that agencies consider the path of social protection in order to enable households to have predictable assistance that helps them to plan their future and build resilience to future crises. Some suggestions on how to go about this process can be found in the next section – “The Way Forward”.

PART 6: THE WAY FORWARD

Social protection is clearly needed in South Central Somalia, but a combination of poor access, lack of reliable information, insecurity, weak government institutions and a present focus on security and economic rehabilitation means that it is neither a donor priority or indeed feasible to have a comprehensive social protection system. At the time of writing, UNICEF's possible interest in funding a safety net in some locations is the only potential source of new funding. This is just the first step in establishing a comprehensive social protection system.

Nevertheless, if and when the country becomes more secure, increasing social protection programming will become a more viable prospect and more donors are likely to be interested in providing funds. In preparation for this, actors interested in the delivery of social protection on the ground (largely NGOs) should bear in mind eight guiding principles. These principles can provide some direction to programming in South Central Somalia in the coming years.

- Ensure programmes are designed to support the objectives of the ERP.
- Involve FGS staff at all stages of the planning and delivery process, supporting their capacity to play this role where necessary.
- Ensure that FGS commits resources to any proposed social protection programme, even if it is just in terms of staff time.
- Invest in systems which provide more reliable seasonal and region specific information on the nature and extent of poverty, to allow better targeting and impact evaluation
- Invest in the staffing and structures that support capacity of building of FGS staff. These will not necessarily be the same staff members that run cash or food delivery project as the required skill set will be quite different.
- Agree with government and other development actors on a definition of social protection for use in Somalia and from this move towards the development of a social protection strategy for the country.
- Commit to working in consortia (ideally including FGS), rather than individually.

In addition to establishing a social safety net, and the necessary preparatory steps identified in the previous section, the following programming options could also be explored in order to ultimately have a sound base for future, more comprehensive social protection programming.

1. Consider united advocacy on key issues

Although many issues in Somalia are beyond the capacity of the NGO community to solve, there are some topics that could benefit by harmonized advocacy. These include advocating for longer-term funding from donors, lobbying for increased government involvement in humanitarian and development programming, and keeping informal social protection mechanisms such as remittance open.

2. Identify potential programmes under all four social protection pillars

As part of the capacity building activities mentioned in the previous section under preparatory steps to a Safety Net Programme, it would be useful to have a discussion about possible interventions under each of the four pillars identified by Devereux and Sabates-Wheeler.

Agencies should also investigate the possibility of increasing their focus on social vulnerabilities rather than common emphasis on economic vulnerability. Agencies currently need to think outside the box that is traditional humanitarian social assistance and develop more innovative programming that is appropriate to the complex context of South Central Somalia.

- **SOCIAL ASSISTANCE:** Consider unconditional cash transfers or cash-based vouchers for households deemed to be highly vulnerable

A social safety net falls under this category of social protection instrument. Study respondents felt that cash-based transfers should play a role in a long-term system, based on the global evidence on the success of cash transfer programmes and the success of the Somalia cash and voucher response post-famine.

As mentioned in the previous section, establishing a safety net will require considerable thought to vulnerability and target groups that can only be done after detailed regional analysis. If UNICEF decides to provide funding to a social safety net it is likely to be implemented in only one or two regions as a pilot programme. Agencies should therefore consider carefully what they would like to learn from such a pilot, given the lessons already learned from the famine response. Such a pilot would give an opportunity for agencies to work on improving some of the operational issues mentioned earlier. Considerable thought and planning would need to go into the pilot to ensure that it is implemented and monitored in an appropriate way.

It is also important to remember that a safety net model that provides small amounts to a larger number of people is more consistent with a social protection model than large amounts of cash (or voucher value) to small numbers of people. This is contrary to the model used by some agencies during the famine, where the cost of the full food and non-food basket was provided. Global evidence suggests that even small cash transfers can make a significant difference to the lives of the poor. This has been corroborated by the findings of the cash and voucher evaluation of the famine, and the impact data from the SSN programme in northern Somalia.

In terms of targeting, some agencies felt that one or two distinct groups should be targeted, such as IDPs or orphaned children. Other agencies however, felt that the current methods of community based targeting are more appropriate. More discussion and agreement on targeting criteria is therefore needed before a social safety net can be implemented. Improving regional vulnerability analysis should help with decision-making in this regard.

- **SOCIAL INSURANCE:** Consider establishing a community fund or similar with humanitarian and community funds that can only be used in times of crisis

There are a number of countries that have used community funds as a preliminary means of social insurance. In Afghanistan, such funds have been used to great effect and there is the possibility of replicating a similar model albeit on a smaller scale. However, to date, Adeso and Save the Children have proposed a similar system for their programmes in Sanaag and

Karkaar Regions in northern Somalia, but have been met by donor reluctance to fund such an idea. Still, it appears to be a step in the right direction, and should be considered as an option by all agencies and donors.

- **LABOUR MARKET:** Increase programmes that assist with employment, particularly for youth, with a focus on improving productive community assets.

The government has identified ‘youth’ as an important population group that is in need of support regarding employment. In this regard, work-based programmes such as cash for work might be an option, along with skills training. Community leaders reiterate the need for community infrastructure rehabilitation and reconstruction. Cash-for-work programmes that specifically target youth would be an appropriate option, particularly if they could be assured of participation for a certain number of months each year.

The rehabilitation and reconstruction of productive infrastructure could be made a priority, as it would improve employment, while developing other longer-term employment programmes. Feeder roads to markets, environmental management such as rangeland rehabilitation, watershed management or agricultural land rehabilitation, could all have significant benefits for communities. These projects could also service as short-term employment opportunities that particularly target the youth. Skills training that targeted youth would also be coherent with the government’s priorities.

- **SOCIAL EQUITY:** Consider partnering with local CBOs who work on social equity issues

As with the idea of joint advocacy described above, in some locations it may also be possible to join with civil society groups in advocating for social change. This would have to be determined on a regional basis due to potential security threats to staff.

3. Support interventions that provide basic services such as health and education

The provision of public goods through social protection programmes can change a government’s power base, as it is likely to receive considerable public support. During this study community focus groups overwhelmingly named health, education and employment opportunities as the things they most need improved. Communities referred to “education” in terms of at least primary school education for children, but also basic literacy and numeracy for adults.

This request for health, education and employment is probably due to the relatively good food security situation at the time of writing. However, with the exception of cash-for-work and skills training, few NGO respondents mentioned health and education as an area of interest. Rather, they predominantly mentioned food security and livelihood activities such as unconditional cash transfers, livestock vaccination, rehabilitation of rangelands for grazing, and support to IDPs. While unconditional cash transfers could also be provided with a health or education outcome in mind, greater thought is still needed by agencies about what longer-term programming could entail.

There is a range of options that can assist household’s access basic services. These include vouchers or fee waivers if schools of adequate quality are available in the area. Some examples of interventions that can support education can be seen in Box 4 below.

Box 4: What social protection measures can support education?

Fee waivers and school stipends/scholarships support education directly by removing the cost of school fees for households. They are often targeted at poor households and sometimes directly at girls. Fee waivers and stipends are more common at primary school level.

Unconditional cash transfers are an indirect way of supporting children's schooling, as parents and caregivers have a choice over what to spend the income on. School fees and other indirect costs such as books and uniforms are usually a key expenditure priority when households receive income support.

Conditional cash transfers have also improved education outcomes when linked to children's school attendance. Evidence from Latin America also shows that income incentives to send girls to school have increased their enrolment and school attainment.

School feeding programmes are a popular intervention in conflict-affected countries and have two main objectives: to improve child nutrition and to support school attendance. However, the evidence on their impacts is mixed (see text below).

Public works programmes also have dual objectives: to build community infrastructure and to provide wages for the unemployed in cash or in kind. Wages paid in cash often pay for school fees and other school-related costs. The creation of infrastructure often includes school buildings; therefore both the demand and the supply challenges in education are addressed. However, a key concern remains about the quality of education as well as adequate staffing and school resources

Source: Holmes (2010)¹⁰⁶

The interventions used to support education (Box 4) can also be used to support access to health services. The DFID funded Health Consortium Somalia (HCS) Project in Puntland uses a voucher system that covers transport costs, allowances and medical care of any mother referred for complications during child birth. This reduces the cost to the mother, and increases the chances of her having a safe delivery with trained professionals instead of having a home birth.

Working to support education or health may be feasible in the current situation and depending on the programmes, could remove the need for targeting, which has proved to be a difficult area of implementation to date. Development of a universal response in some sectors (such as providing organizing waivers for all people over 60 years to attend health centres) could encourage equity as all clans and wealth groups would be assisted. In this way, inroads could be made into social cohesion because everyone within the category would be entitled to the same thing i.e. free health care.

In summary, there is a range of interventions that can be implemented in Somalia in the current context, which could have social protection outcomes if implemented over the long term. Although these would not make up a comprehensive formal social protection system without government involvement, they would provide a starting point towards a social

¹⁰⁶ Holmes, R (2010) The Role of Social Protection Programmes in Supporting Education in Conflict-Affected Situations. Background paper prepared for the Education for All Global Monitoring Report 2011. *The hidden crisis: Armed conflict and education*. Overseas Development Institute, London. UK.

protection agenda in Somalia. The complete list of recommendations from this study is summarized in Table 7 below.

Table 7: Summary of suggested way forward

| | Actions |
|------------------------------------|---|
| Preparatory work | <p>Build capacity for all stakeholders in social protection</p> <p>Improve regional analysis of vulnerability to include identification of potential target groups.</p> <p>Work on improving targeting methodologies</p> <p>Improve coordination, harmonization and transparency between agencies</p> <p>Improve relationships with central and regional government</p> <p>Improve relationships with community leaders and local authorities</p> <p>Start discussions with government regarding increasing social protection programming. Investigate their interest in cost sharing even if their input is minor.</p> <p>Consider seconding agency staff into government roles.</p> <p>Develop a harmonized strategy for South Central Somalia that will guide all stakeholders towards a social protection system. This should include due consideration of all four aspects of social protection.</p> |
| Social assistance | <p>Establish a social safety net programme in specific regions that includes specific learning goals re targeting, accountability, transparency and impact.</p> <p>Develop at least regional level strategies to improve programme harmony</p> <p>Consider joint advocacy on topics that might ensure that informal social protection mechanisms stay open (e.g. the Barclays issue and remittance).</p> <p>Ensure transparency and publicity around programming where possible including the use of radio, leadership forums, public meetings, mosques etc.</p> <p>Advocate to donors for more predictable levels of funding with a “crisis modifier” to support scale up of humanitarian assistance if/when needed.</p> |
| Social insurance | <p>Consider use of community funds or similar where funds can be immediately utilized in the event of a crisis</p> |
| Labour market interventions | <p>Increase programmes that improve skills and increase household income</p> <p>Any cash-for-work projects should consider rehabilitation/reconstruction of productive assets as priority (as per the ERP). Due consideration should be given to including “youth” as a target group.</p> <p>Skills training for “youth” should also be considered.</p> |
| Social equity | <p>Consider ways of working together with local CBOs to support their work in social equity.</p> <p>Discuss with government and local authorities they are doing work in the area of social equity and consider collaborations if appropriate.</p> |

| | |
|---|---|
| Complement activities with access to basic social services | Support activities in health centres and schools to ensure availability of quality services in all regions. |
|---|---|

CONCLUSION

Globally, conflicts and disasters are expected to coincide more often in the coming years as a result of climate change, financial shocks, food price fluctuations and continued urbanization. Somalia is no exception, and it is clear that the traditional model of short-term social assistance will not make households more resilient to shocks.

The humanitarian community in Somalia is currently at the very beginning of a paradigm shift away from short-term humanitarian funding towards thinking about longer-term social protection measures. There is a collective recognition that social protection is a potential alternative but there are a number of different opinions about how to make the change.

There is still much work to be done on building the technical capacity of stakeholders in social protection including NGOs, government, UN, local leaders and communities. Significantly more work is needed to improve programming to a point where it will be more predictable. It is therefore recommended that agencies take time to do some collective thinking, learning and capacity building, and understand the vulnerabilities that people in their operational areas face.

The possibility of UNICEF funding a pilot social safety net in a small number of locations provides an opportunity to try out different targeting methods, and different accountability and monitoring systems. Learning from the many cash programmes in Somalia, the cash and voucher response to the famine, the DFID Health Consortium in Somalia and the Social Safety Net programme in northern Somalia should all be considered in the programme design. Such a pilot project would also provide a significant opportunity for aid organizations to work together with the government and build relationships with communities.

At this stage, South Central Somalia is not ready for a comprehensive, formal social protection system. However, establishing a social safety net and giving due consideration to the wide range of social protection instruments is a starting point for understanding the relevance and broad nature of social protection both for building resilience and for improving long term outcomes for beneficiaries. The recommendations from this study can act as a guide for agencies on how to realign their programming and modus operandi to a system more suited to social protection delivery in the Somalia context.

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Annex 1: List of key informants

| Name | Position | Organisation |
|--------------------------|----------------------------|--------------|
| Community leaders | | |
| Abdullahi Adan Nor | Business Man (Hodan) | |
| Adan Abdi Moalim | Community leader (Berdale) | |

| | | |
|-----------------------------|-------------------------------------|--|
| Ahmed Qaadi Hassan Daud | Imaam of Al Qudus Mosque (Hodan) | |
| Ali Abdille Ahmed | Community leader (Hodan) | |
| Amina Muhumed Hassan | Peace Club Chairlady (Tobaney) | |
| Bashir Abdullahi Farah | Community leader (Afmadow) | |
| Dahir Abdi Mohamed | Bantu's Chairman (Dhobley) | |
| Fatuma Omar Ollow | Sanitation Chairlady (Afmadow) | |
| Hajji Mohamed Ali | Sheikh (Tobaney) | |
| Hassan Anaayle Mohamed | (Horseed) | |
| Kassim Nillie Aden | Community leader (Afmadow) | |
| Madker Maday Ali | Clan Leader (Berdale) | |
| Mohamed Abdi Budul | Zone K Camp Leader (Hodan) | |
| Mohamed Jimal Salat | Khadi representative (Tobaney) | |
| Mohamed Noor Abdi | Youth Chairman (Afmadow) | |
| Muhyadiin Mohamed Elmi | Business Chairman (Afmadow) | |
| Muktar Ahmed Hassan | Youth Association Leader (Hodan) | |
| Nasteho Abdihadir Adow | Chairwoman (Dhobley) | |
| Noor Ibrahim Haji | Chairman (Isha Baidoa) | |
| Sheikh Osman Yussuf Hussein | Imaam (Afmadow) | |
| UN/NGO staff | | |
| Yusuf Mohamed Hassan | Programme Manager (Dolow) | Accelerated Development for Enhanced Growth (ADEG) |
| Mohamud Abdullahi Mohamed | Emergency Field Officer (Mogadishu) | ACF |
| Martin Ojambo | Monitoring and Evaluation Officer | ACTED |

| | | |
|---------------------------|---|---|
| Christine Smart | Areas Coordinator | ACTED Somalia |
| Valerie Ceylon | Country Director | ACTED Somalia |
| Degan Ali | Executive Director | Adeso |
| Mohamedhadi Hassan Sheikh | Monitoring and evaluation Officer (Dhobley) | Adeso |
| Aden Ibrahim Haret | Chairman (Hodan) | ADRA |
| Aden Abdiwahab Ahmed | Field Officer (Dhobley) | Agency for Peace and Development (APD) |
| Omar Ibrahim Hassan | Programme Officer | Altjubba Development Organization (ADO) |
| Adan Abdi Adan | WASH Field Officer | ARC |
| Qeys Ali Omar | Chief Executive Director (Hodan) | BPRD |
| Ahmed Rashid | Programme Manager (Dolow) | COOPI |
| Fauzia Mohamed Hassan | Admin/Log Officer | DFI |
| Abdirahman Ahmed Mohamud | Programme Coordinator (Galkayo) | DRC |
| Jamal Sheikh Yussuf | Area Officer In-charge (Afgooye) | Family Empowerment and Relief Organisation (FERO) |
| Giuseppe Simeon | Coordinator for Cash-based Interventions | FAO |
| Julie MacDowell | Coordinator for Research and Evaluation | FAO |
| Michael Oyat | Programme Manager (Dolow) | FAO |
| Ali Mohamed Ali | Programme Manager (Mogadishu) | GREDO |
| Abdullahi Hussein Adan | Programme Officer (Bula Hawa) | IDF |
| Abdikadar Mohamud Aden | Field Officer (Diif) | International Development Organisation (IDO) |

| | | |
|---------------------------|--|--|
| Yusuf Hussein Ahmed | Field Coordinator (Dhobley) | International Refugee Help (IRH) |
| Maryan Ahmed Bashir | Field Officer (Dhobley) | Intersos |
| Fatuma Aden Abdi | Field Coordinator (Dhobley) | IOM |
| Omar Sheikh Hassan | WASH Officer (Afgooye) | Islamic Relief International |
| Quarat Sadozi | Deputy Regional Director | NRC |
| Abdinuur Osman Weheliye | (Hodan) | OSPD |
| Abdullahi Hilowle Alaslow | FSL Programme Manager (Mogadishu) | Save the Children International |
| Holly Radice | Head of Food Security and Livelihoods | Save the Children, Somalia (currently seconded to WFP) |
| Steve Mutiso | Food Security and Livelihoods Technical Specialist | Save the Children Somalia |
| Amed Mohamed Isack | Protection Officer (Baidoa) | SCWRW |
| Hassan Buhul Gulled | Programme Officer (Elwak) | SomAction |
| Abdikani Hassan Ali | Logistic Officer (Dhobley) | Somali Aid Foundation (SAF) |
| Adan Abdi Adan | Nutrition Officer (Hodan) | SORRDO |
| Adan Ali Isack | Executive Director (Baidoa) | Trauma Counseling Centre (TCC) |
| Abducazis Abdi Hussin | (Baidoa) | UN Mine Action |
| Abdullaji Ali Mohamed | Support Officer (Mogadishu) | UN Mine Action |
| Mohamed Abdi Khayre | Field Officer (Galkayo) | UNDSS |
| Nurta Mohamed Aden | Shelter Cluster Coordinator for Banadir and the Shebelle's | UNHCR |
| Yuusuf Ahmed Hussein | Field Officer (Dhobley) | UNHCR |
| Olivia Collins | Social Protection Specialist | UNICEF |
| Amina Ali Ibrahim | Monitoring and Evaluation Officer (Dhobley) | UNICEF |

| | | |
|---------------------------------|-----------------------------------|---|
| Ali Abdulahi Ahmed | Field Coordinator (Diif) | Waamo Relief and Rehabilitation Services (WRRS) |
| Mohamed Hussein Ali | Officer (Diif) | WFP |
| Nurto Adan Abdi | (Baidoa) | WHO |
| Abdirahim Farah Mohamed | Outreach Coordinator | WHO |
| Luul Mohamed Abdi | Programme Officer (Bula Hawa) | Women for Peace and Development |
| Hassan Abdirhamn Shuriye | WASH Project Officer | WVS |
| Government staff | | |
| Abdirisack Ali | Chief (Sunmaqare) | Administration |
| Musa Moalim Aden | District Commissioner (Afmadow) | Administration |
| Abdullahi Somali | Gedo Focal Point (Bula Hawa) | Department of Education |
| Salad Idle | School Inspector | Department of Education |
| Mubarak Abdullahi Abdisalam | Teacher (Dhobley) | Department of Education |
| Hassan Mursal Maalim | District Health Officer (Afmadow) | Department of Health |
| Addiwali Jamal | Humanitarian Coordinator (Dolow) | Department of Security (Police) |
| Osman Mohamed Hilowle (Jijile) | Security Officer | Department of Security (Police) |
| Heybe Ahmed Abdullahi | Commanding Officer (Dhobley) | Department of Security (Police) |
| Yusuf Bariise Gaboow | Section Leader (Dharkenley) | District Commissioners Office |
| Abdi Mohamed Warsame (Dhabarey) | District Officer (Diego) (Hodan) | Government of Somalia |
| Sheikh Dahir Ahmed Abdullahi | Government Officer (Dhobley) | Humanitarian Affairs |

| | | |
|----------------------------|---|------------------------------------|
| Sheikh Mohamed Dakane Abdi | Khadi (Head of Court) (Afmadow) | Judiciary |
| Hindiyo Sheekh Isack | Council (Baidoa) | Local authority |
| Qex Abdullahi Mohamed | District Commissioner (Dhobley) | Local authority |
| Karani Imri Qamame | Leader (Diif) | Local authority |
| Sahal Maalin Aden | Deputy District Commissioner (El Wak) | Local government |
| Ahmed Husein Mohamed | Secretary to District Commissioner (Dharkenley) | Local government |
| Aar Sheikh Ali | Administration (Sunmarqare) | OCPD |
| Aden Darood | Administration (Afmadow) | OCPD |
| Farhan Ali Had | Vice Governor of Mudug Region (Galkayo) | Regional government |
| Sharif Nor Ali | Chairman (Hodan) | Section October |
| Adan Ali Isack | Council (Baidoa) | Social Affairs of local government |
| Mohamed Sheikh Hassan | Council (Baidoa) | Social Affairs of local government |
| Donors and others | | |
| Kerren Hedlund | Independent Consultant | — |
| Nisar Majid | Independent Consultant | — |
| Sarah Bailey | Independent Consultant | — |
| Glenn Hughson | | CaLP |
| Seb Fouquet | Humanitarian Advisor | DFID |
| Paul Harvey | Consultant | Humanitarian Outcomes |
| Aues Scek | Consultant | SATG |

Annex 2: Study Terms of Reference



Consultancy Feasibility study for a Social Safety Nets (SSN) program

Terms of Reference

| | |
|-----------------------------|--|
| Organization | Adeso – African Development Solutions |
| Position Type | Short-term consultancy |
| Study type | Feasibility study for a Social Safety Nets (SSN) program |
| Study Location | South Central Somalia (Regions to be selected depending on access) |
| Duration | 40 days |
| Reporting to | Cash & Vouchers Coordinator |
| Working with | Somalia Cash Consortium |
| Application deadline | 15 July 2013 |

1. Background

Over the recent past, effective humanitarian work in many parts of Somalia has given a nightmarish experience to relief workers and agencies with increased questions on the probity of their program. Two decades of battles and conflicts in addition to other disasters have left the region in ruins and its inhabitants' livelihoods wounded severely through successive displacements, drought, famine and climatic shocks.

Due to high insecurity incidence in the war-ravaged country, there have been constant logistical challenges for humanitarian aid agencies to effectively mount direct relief effort on their own. Hence, a web of contactors, local partner agencies, community gatekeepers and other contraptions of both civil and armed organized groups have become a conduit for the aid actors to reach the needy beneficiaries.

Successive reports have been indicting and suspecting both inhabitants and local aid workers for diversion of aid for economical and militia activities. From this foregoing, front runners in

the aid work in Somalia have realized the essence of using innovative ways made possible by the increasing uptake of innovative ideas in the region. Despite, being hard hit by the one of the longest running civil war in the world, Somalia has an amazing infrastructure with communities willing to change or move from the past by using the ability of people, households, communities, the governments (local governance structures) and systems to mitigate, adapt to and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.

2. Justification for the Study

With the aim of preventing the poor communities and those people who are vulnerable to shocks like the ones affected by recently horn of Africa drought and poverty in South Central Somalia in falling further below poverty level, there is now strong evidence that the region both in rural and urban areas are in dire need of socioeconomic programs placed systematically to fight poverty and reduce vulnerability and in this regard the social safety net programming being of great relevance. Adeso together with partner Save the children International are implementing a Social Safety Nets project in the Northern region of Somalia; mostly in the rural communities and it is with the outcomes felt from it since its inception that there is need to find out if the same or an integrated approach can be replicated in south central Somalia including the urban regions inhabited by different livelihood groups including IDP's.

3. Objective of the Study

The objective of this study is to assess the relevance and feasibility of a social protection system in South Central Somalia. The system may involve cash transfers but should not be limited to predictable long-term transfers. The study should also consider other forms of social protection while factoring in region specific issues, livelihood zones, local shocks, and the timing of the optimal and lean seasons.

- **Study Questions**

The following are the key questions related to the study. However, the study should also consider additional relevant questions as they arise during the course of data collection. Some additional topics that are of interest to the Somalia Cash Consortium are listed in Section 5.

1) Social Protection in the context of South Central Somalia

- a) What has been the experience of establishing a social protection system in other countries in the region?
- b) What do key stakeholders envisage to be an appropriate and feasible social protection system for South Central Somalia?
- c) What would be the most appropriate components of a social protection system? E.g. predictable cash transfers, livestock vaccinations, work guarantees, food rations, flexibility/contingency windows for lean seasons etc.
- d) What is needed in order to establish such a system? Including a description of the barriers and opportunities available. E.g. Infrastructure, market absorption/local economy capacity, political good will, agency operational capacity, donor funding etc.)
- e) Who should be targeted? What should the eligibility criteria be?

2) Stakeholder mapping (including governments, donors, NGOs etc.)

- a) Who are the main stakeholders for social protection in South Central Somalia?
- b) What are the priorities of the stakeholders regarding social protection? E.g. – SomREP and the returnee consortiums / Is Social Safety nets part of their strategy?
- c) Have there been any discussions or advocacy efforts regarding social protection to date? E.g. UNICEF, Adeso, SCI...

3) Government role

- a) What is the government's understanding of social protection?
- b) What are the most relevant government ministries and departments to be involved in social protection? What is their role?
- c) What government policies are already in place or planned?

4) Documentation of traditional coping strategies and community safety nets

- a) What are the traditional community safety nets?
- b) Are they still functioning adequately? Who is benefiting? Who is providing?
- c) Where are the gaps?
- d) Will they be eroded by providing safety nets and how?

5) Investment prospects for social protection programmes

- a) Donor funding priorities
- b) Funding lessons from the Northern Somalia SSN pilot? How can they inform future resource mobilization efforts?
- c) What funding is currently planned/prepositioned to address social protection? E.g. UNICEF Social Protection Framework, SCI activities, other UN agencies

4. Additional areas of interest

An assessment of the sustainability of a safety net program, to incorporate:

- A detailed assessment of the local, contextual, institutional, and external factors to consider.
- Steps to development of a social protection national plan
- Government inclusion – What relevant government ministries and dockets should be approached?
- The need to developing sectoral linkages and partnerships
- Challenges/opportunities to the sustainability of social safety net programming in relation to cash-transfers.
- Specific recommendations for proper mitigation strategies

An analysis of the potential impact of social protection programming on households' vulnerability to shocks, either in the rural or urban context, and to specifically consider:

- To what extent can this program reinforce existing coping mechanisms, and contribute to effective preparedness to and mitigation of risks?
- Determine the extent to which safety nets can contribute to the sustainable and effective preparedness to and mitigation of risks.
- What other socio economic impacts can be attributable to this?

A series of recommendations that clarify:

- Whether safety nets programmes can be implemented in these areas? If so, what type of safety nets would be most appropriate?
- What other components of social safety nets can be implemented in these areas and if so to what extent?
- Detailed information critical for the design of a cash based safety net program.
- What mitigation measures should be put in place?
- Actions to be taken to mitigate risks and adverse impacts of for safety nets.
-

6) Methodology

The methodology will be further defined by the consultant (in the proposal) and revised at the outset of the consultancy. The following elements should be included:

- Literature review, including review of existing programmes documentation and monitoring data
- Interviews with NGO staff, donors, other social protection programmes in the region among others.
- Data collection in the field, including questionnaires and semi-structured interviews with both beneficiaries and non-beneficiaries, FGD's and KII's.
- Data analysis, validation of findings and report writing

7) Deliverables

- Initial work plan and proposal for study (including study methodology and process of data collection), to be presented in Nairobi.
- Final plans and data collection tools, for approval prior to fieldwork in Somalia.
- Interim study report with preliminary analysis and observations, submitted for feedback and comments.
- Final report on the feasibility of various safety nets interventions,
- Presentation of the final report to implementing agencies, USAID, DFID, Government and other humanitarian/relief actors or relevant clusters in Nairobi.

8) Management and Coordination

The consultant will report to Cash and Voucher technical Advisor in Adeso and will work closely with the Somalia Cash Working Group.

9) Consultancy Period

The study will be completed within 40 working days spread across September 2013 to Mid January 2014.

-

10) Qualification Profile

- Advanced degree in Economics, international relations, monitoring and evaluation, political sciences, social sciences, anthropology, or other areas relevant for the assignment.
- At least five years' of relevant professional work in social research or related studies.
- Extensive experience in working with humanitarian organizations (INGOs, local NGOs, local authorities and beneficiaries).

- Understanding of the dynamics of aid in Somalia and Social Safety Nets (SSN) programming in an emergency context.
- Demonstrated analytical and writing skills.
- Excellent knowledge of English (knowledge of Somali an asset).

11) Proposed Timeline

| Key Phase | Timeline | Deliverables |
|--------------------|----------|--|
| Preparatory Phase | | <ul style="list-style-type: none"> • Terms of Reference • Proposals from consulting companies • Team selection/contracting |
| Inception Phase | | <ul style="list-style-type: none"> • Preliminary preparation by consultancy team • Inception Mission • Inception Report • Report outline |
| Fieldwork/Analysis | | <ul style="list-style-type: none"> • Data collection instruments and primary data (as appropriate) • Power-point presentations of regional debriefings |
| Debriefing | | <ul style="list-style-type: none"> • Power-point presentation by Team Leader |
| Draft Report | | <ul style="list-style-type: none"> • Draft Study Report |
| Final Report | | <ul style="list-style-type: none"> • Final Study Report |

Annex 3: Prompt sheet for interview – Community Members (Focus Group Discussion)

SOMALIA SOCIAL PROTECTION STUDY
QUESTION PROMPT SHEET FOR COMMUNITY MEMBERS (FGD)

NAME OF ENUMERATOR

NAME OF INTERVIEWEE

LOCATION

Number of Men

Number of Women

DATE

| |
|--|
| <p>We are looking at the possibility of starting some long-term programmes in South Central Somalia. In this area, are there particular groups that need <u>help every year</u>?</p> <p>What groups need most support?</p> <p>What support do they need the most?</p> <p>Is there any particular season when each type of support is needed?</p> |
| |
| <p>If it is needed, do you think it would be <u>possible</u> to NGOs/UN to work with the same communities, possibly the same households, every year for a multi-year project?</p> |
| |
| <p>Aside from support provided to NGOs what support is available to households in this community who need help? (note the type of help and who gives it).</p> |
| |
| <p>Are there any institutions or groups (e.g. civil society) in your communities/regions who already do some work in the area of social protection?</p> |
| |

What would be the benefits of starting longer-term programmes?

| |
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Annex 4: Prompt sheet for interview – Government Staff

SOMALIA SOCIAL PROTECTION STUDY
QUESTION PROMPT SHEET FOR GOVERNMENT OF SOMALIA

NAME OF ENUMERATOR

NAME OF INTERVIEWEE

DEPARTMENT

POSITION IN DEPARTMENT

DATE

LOCATION

| |
|--|
| What does “social protection” mean to you? |
| |
| How do you think it could work in South Central Somalia? Probe reasons why or why not |
| |
| Discuss possible opportunities to get SP started |
| |
| Discuss potential barriers to success |
| |

| |
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| |
| Which government ministries have the mandate for social protection (if any)? |
| |
| Are they are government policies currently in place (or planned) that relate to social protection? What are they? – Who is targeted, what do they receive etc.? |
| |
| What are the current priorities for government |
| |
| Do you have any interest in working on SP policies and programmes? How best to do it (e.g. collaborate with international community, put policies in place etc) |
| |

| |
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| |
| Past social protection mechanisms in Somalia (pre-conflict) |
| |
| Current informal/formal social protection measures |
| |
| Are there any region specific issues that we need to consider? Hiran, Mogadishu, Bay, Gedo, Lower Juba, Mudug & Bakool |
| |
| Are these the most appropriate regions to start such a programme? Any other suggestion? |
| |

| |
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| |
| In these regions, who do think are the most vulnerable and what types of intervention do they need? |
| |
| Can you foresee any problems of doing so? |
| |

Annex 5: Prompt sheet for interview – UN Agency and NGO staff

SOMALIA SOCIAL PROTECTION STUDY
QUESTION PROMPT SHEET FOR UN AGENCY AND NGO STAFF

NAME OF ENUMERATOR

NAME OF INTERVIEWEE

ORGANISATION

POSITION IN ORGANISATION

DATE

LOCATION

| |
|--|
| What does “social protection” mean to you? |
| |
| How do you think it could work in South Central Somalia? Probe reasons why or why not |
| |
| Discuss possible opportunities to get SP started |
| |
| Discuss potential barriers to success |
| |
| What is your agency’s strategy for operating in Somalia for the coming years? Probe – does it include any elements of SP? |

| |
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| |
| Are you aware of any current informal or formal social protection activities in the communities in which you work? E.g. remittance, sharing of livestock, sharing of milking animals, forms of insurance |
| |
| Are there any institutions or groups (e.g. civil society) in your regions who already do some work in the area of social protection? |
| |
| Potential regions = Hiran, Mogadishu, Bay, Gedo, Lower Juba, Mudug & Bakool. Are there any region- specific issues that we need to consider? |
| |
| Are these the most appropriate regions to start such a programme? Any other suggestion? |
| |
| Are you aware of any local or regional SP-related initiatives? |
| |

| |
|--|
| |
| If longer-term programming were an option – what do think would be the most appropriate interventions? Who should benefit? |
| |
| What would be the benefits of starting social protection programming? |
| |
| Can you foresee any problems of doing so? |
| |
| What donor support (if any) is currently available for establishing SP in Somalia? |
| |
| Do you have any plans (or know of any) to provide technical support to the government re social protection? |
| |

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| |
| For this study we are talking with NGOs, donors, government officials, international social protection specialists and also, community members. Can you think of anyone else that we should be talking to? (Get names and numbers!). |
| |

Annex 6: Prompt sheet for interview – Donors

SOMALIA SOCIAL PROTECTION STUDY
QUESTION PROMPT SHEET FOR DONOR AGENCY STAFF

NAME OF ENUMERATOR

NAME OF INTERVIEWEE

ORGANISATION

POSITION IN ORGANISATION

DATE

LOCATION

| |
|---|
| How does your organisation define Social protection/ |
| |
| How do you think it could work in South Central Somalia? Probe reasons why or why not |
| |
| Discuss possible opportunities to get SP started |
| |
| Discuss potential barriers to success |
| |
| Which donors do you think are most receptive to the idea of social protection in Somalia? |
| |

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| |
| Does it or can it include longer term programming such as social protection? |
| |
| How much money do they put into Somalia annually (and specifically to South Central)? |
| |
| Is a longer-term approach needed in South Central Somalia? |
| |
| What are the barriers to getting predictable, multi-annual funding? |
| |

| |
|---|
| Discuss each donors strategy for Somalia for the coming years |
| |
| What is your agency's feeling re the Federal Government of Somalia? Are they hopeful that they can bring peace and stability? |
| |
| If some form of social protection programming was initiated in South Central Somalia in 2014 what would be the most appropriated starting point? (e.g. food aid, cash distributions, seasonal de-stocking, community insurance....) |
| |
| Potential regions = Hiran, Mogadishu, Bay, Gedo, Lower Juba, Mudug & Bakool. Are there any region specific issues that we need to consider? |
| |
| Are these the most appropriate regions to start such a programme? Any other suggestion? |
| |
| In these regions, who do think are the most vulnerable and what types of intervention do they need? |
| |

| |
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| |
| Would your agency be willing to support longer term programming in South Central Somalia if this study determines that it is both feasible and appropriate? |
| |
| What would be the benefits of starting social protection programming? Can you foresee any problems of doing so? |
| |
| What donor support (if any) is currently available for establishing SP in Somalia? |
| |
| Do you have any plans (or know of any) to provide technical support to the government re social protection? |
| |

Annex 7: Semi-structured interview guide - Other key informants

ADESO & SAVE THE CHILDREN SOCIAL PROTECTION SCOPING STUDY SOUTH CENTRAL SOMALIA

November/December 2013

Key informant questions

- What do you understand by the term “social protection”? Does your agency use any particular definition of “social protection”?
- Do you think that a focus on longer-term programming (rather than relying on short term humanitarian funding) is currently needed in South Central Somalia?
- What would be the benefits of starting social protection programming?
- Do you think it is possible to start longer term programming in South Central Somalia in 2014?
- What do you see as possible opportunities that might help to get it started?
- What do you see as possible barriers that might prevent it getting started?
- Does your agency have a strategy for operating in South Central Somalia for the coming years? If yes, does it include investment in longer-term programming such as social protection?
- Are you aware of any current informal or formal social protection activities in the communities in which you work? E.g. remittance, sharing of livestock, sharing of milking animals, forms of insurance....
- Are there any institutions or groups (e.g. civil society) in your regions who already do some work in the area of social protection?
- Potential regions for implementation are Hiran, Mogadishu, Bay, Gedo, Lower Juba, and Mudug and Bakool. Are these the most appropriate regions to start such a programme? Are there any region specific issues that we need to consider? Any other suggestions for locations?
- Are you aware of any local or regional social protection-related initiatives?
- If longer-term programming were an option – what do think would be the most

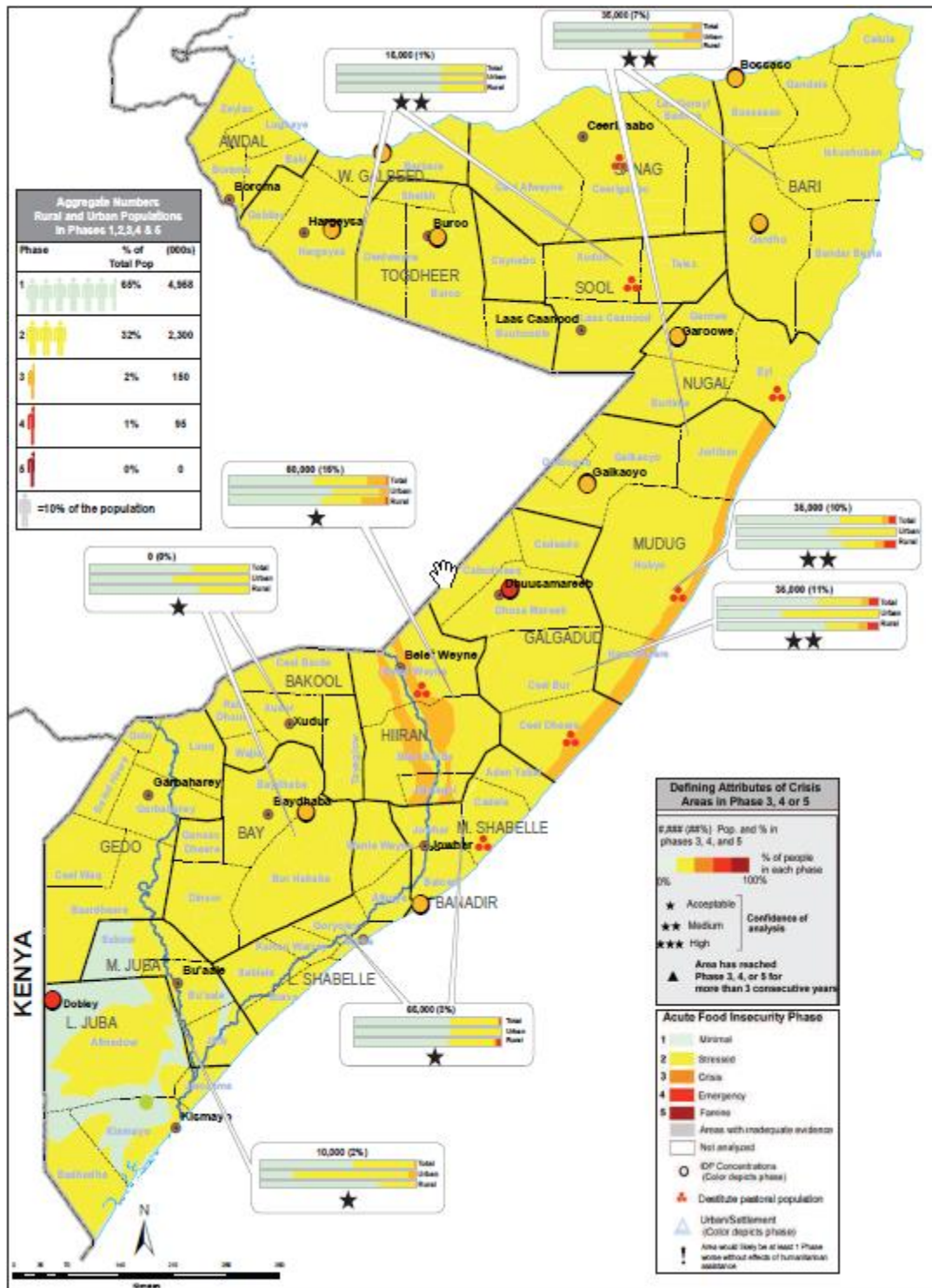
appropriate interventions? Who should benefit?

- Which donors do you think are most receptive to the idea of social protection in Somalia?
- What donor support (if any) is currently available for establishing social protection in Somalia?
- Do you have any plans (or know of any) to provide technical support to the government re social protection?
- Do you have any experience on how longer-term social protection programming got started in other countries? If yes, what do you consider to be the key learning that might be useful for Somalia?
- Do you know of examples of social protection programming in other fragile states that might be useful to the Somalia context? If yes, please tell us about them.
- Do you have advice to share if we were to start longer term programming in South Central Somalia? I.e. specific things to think through before starting
- Do you know if there is any current (or past) type of formal social protection programming in Somalia? Please describe.
- Do you know of any current (or past) informal social protection mechanisms that are used in Somalia? Please describe.
- For this study we are talking with NGOs, donors, government officials, international social protection specialists and also, community members. Can you think of anyone else that we should be talking to? (Please give names and contact details if possible).
- If you have any additional information that you think might be relevant to this study please let us know.

Annex 8: OECD's Ten Principles of Engagement in Fragile states

- Principle 1 Take context as the starting point
- Principle 2 Do no harm
- Principle 3 Focus on state building as the central objective
- Principle 4 Prioritize prevention
- Principle 5 Recognise the links between political, security and development
- Principle 6 Promote non-discrimination as a basis for inclusive and stable societies
- Principle 7 Align with local priorities in different ways in different contexts
- Principle 8 Agree on practical co-ordination mechanisms
- Principle 9 Act fast... but stay engaged long enough to give success a chance
- Principle 10 Avoid pockets of exclusion

Annex 9: Most recent IPC map: Most likely scenario (August to December 2013)



Source: FSNAU (2013)

Annex 10: List of some key global social protection related strategies

- ILO - resolution on social protection floor – 2011
- World Bank – Social protection and labour strategy – 2012-2022
- Social Protection Inter-agency Cooperation Board (SPIAC-B)
- Regional – African Union Social Policy Framework (2009), which includes a section on social protection. The framework encourages members to extend coverage and provide a minimum package of services.

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