

SOCIAL PROTECTION

PART 1: Policy Basis

Social protection, which seeks to keep individuals from falling into poverty, must be carefully constructed and delivered so as to avoid further stresses on the environment—a mandate impeded and complicated by climate change. Recognising and clarifying the myriad linkages between social protection and sustainable development, the European Union (EU) has developed a set of policy directions; these are outlined in the following documents.

- 'Increasing the impact of EU development policy: An agenda for change' (EC, 2011) calls for a more comprehensive approach to human development, supporting increased access to quality health and education services and enhanced social protection in support of inclusive growth.
- 'Social protection in European Union development cooperation' (EC, 2012) sets the policy framework for development cooperation in this sector, highlighting that 'social protection and climate change adaptation measures should...be closely linked in order to reduce the vulnerability of poor people to the effects of climate change'.
- The Rio Declaration on Environment and Development (1992) is unequivocal in stating as its first principle that 'Human beings are at the centre of concerns for sustainable development. They are entitled to a healthy and productive life in harmony with nature'.
- 'A decent life for All: Ending poverty and giving the world a sustainable future' (EC, 2013) establishes an overarching framework in which to address poverty eradication and sustainable development in the context of the current work towards establishing Sustainable Development Goals (SDGs). This framework integrates both basic human



'Social protection...comprises a discrete set of interventions which can reduce vulnerability to poverty and to climate hazards across a range of timescales'.

—WORLD BANK, 2011

development—including social protection—and the sustainable management of natural resources while incorporating 'drivers for sustainable and inclusive growth and development that are necessary for structural transformation of the economy, needed to ensure the creation of productive capacities and employment and the transition to an inclusive green economy capable of addressing climate challenges'.

PART 2: Why Mainstream?

Poverty is intrinsically linked to environmental degradation and can be exacerbated by climate change; for this reason, social protection must integrate environment and climate change considerations.

The poorest members of society are often those most exposed to environmental degradation and climate change, affecting their food production and nutrition (e.g. lower crop yields due to land degradation and drought), increasing their exposure to natural hazards (e.g. irregular settlements in risk-prone areas, increased risk of flash floods associated with deforestation and climate change), affecting their health (e.g. acute respiratory infections associated with indoor air pollution from the burning of wood and charcoal), and affecting their access to education (e.g. lower school attendance in rural areas if children need to help their parents recover from environmental and climatic shocks). In many situations, the poor revert to unsustainable use of natural resources as a survival

strategy, which contributes to further exacerbating poverty over the long term. Climate change thus expands the social risks that must be addressed by national social protection systems and creates new distributive problems.

Climate change and environmental protection policies may conflict with traditional social protection policies. For example, policy measures such as green taxes, elimination of energy subsidies and of state aid to polluting industrial sectors can have a distributive impact, affecting the poorest sectors of the population—e.g. by increasing energy and water costs or eliminating some jobs. The establishment of protected areas can also have adverse impacts on livelihoods—e.g. by limiting activities such as fishing, hunting and felling of trees (Schrekenbert *et al.*, 2010).

On the other hand, investments in social protection can increase the adaptive capacities of vulnerable

populations, including to climate change. Social protection instruments also have the potential to contribute to climate change mitigation, climate change adaptation, and disaster risk reduction; and to enhance the sustainable management of natural resources.

However, social protection initiatives could also result in impacts on the environment. This can be the case for some infrastructure works; similarly, the introduction of certain financial instruments (e.g. subsidies, reduced taxes) may incentivise the use of polluting substances (e.g. agrochemicals, fossil fuels) or activities.

Table 1 presents the key reasons to mainstream environment and climate change; these four categories provide a structure for presenting opportunities for mainstreaming in this guidance note.

TABLE 1: **Why mainstream environment and climate change in the social protection sector?**

<p>To address environment- and climate-related risks and constraints that could jeopardise achievement of EU programme/project objectives</p>	<ul style="list-style-type: none"> ● To ensure that EU programme/project results are sustainable in light of climate change and environmental degradation—social protection gains may be compromised by increased poverty associated with environmental degradation and climate change (e.g. reduced crop yields, increased morbidity due to air pollution)
<p>To identify, avoid and mitigate any harmful impacts of EU development cooperation on the environment and climate</p>	<ul style="list-style-type: none"> ● To ensure that EU programmes/projects do not cause significant environmental damage or contribute significantly to greenhouse gas emissions, including impacts on biodiversity (e.g. environmental degradation may be intensified by adverse coping mechanisms adopted by chronically poor households and others affected by poverty shocks)
<p>To realise opportunities for longer-term benefits for socio-economic development</p>	<ul style="list-style-type: none"> ● To integrate environmentally sustainable low-carbon options in programme/project activities (e.g. labour opportunities in environmental protection and climate change adaptation activities), which bring about economic yields in the long term ● To reduce people's vulnerability to external shocks and threats to their lives and livelihoods (e.g. crop loss and food insecurity due to drought or floods) ● To generate and enhance income opportunities from natural resources and ecosystem services
<p>To realise opportunities contributing to EU policies on the environment and climate change</p>	<ul style="list-style-type: none"> ● To contribute to global efforts to reduce greenhouse gas emissions ● To ensure sector development will not interfere with global commitments to protect biodiversity and combat desertification ● To strengthen developmental synergies between climate change interventions and social protection initiatives, building cross-sectoral linkages that enable individual policies to generate cross-cutting effects—improving the prospects for achieving complex outcomes such as climate change mitigation, more sustaining and sustainable livelihoods, and more inclusive and sustainable economic growth

DID YOU KNOW THAT...?

About 5.1 billion people—75% of the world population—are not covered by adequate **social security** (ILO, 2011) and 1.4 billion people live on less than USD 1.25 a day; social protection programmes currently prevent an estimated 150 million people from falling into poverty (World Bank, 2013)

By 2050, the number of people at risk of **hunger** is expected to increase by an additional 10–20% as a result of climate change, and the number of **malnourished children** is expected to increase by 20 million—29% more than without climate change (WFP, 2009)

Economic losses from **disasters** triggered by natural events rose from USD 50 billion/year in the 1980s to almost USD **200 billion**/year in the last decade; losses sustained by lower- and middle-income countries over the last 30 years are equivalent to a third of all development assistance in the same period (World Bank, 2014)

PART 3: When and How to Mainstream

There are various opportunities for mainstreaming throughout the cycle of operations. Table 2 shows entry points and tools for different stages of the cycle. Policy dialogue (Box 1) occurs at all phases as an ongoing process.

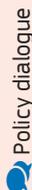
Guidance for each phase is provided below; also see the glossary for definitions of the tools and other key terms.

 **PROGRAMMING**

Identifying environmental and climate change risks and opportunities early in the cycle of operations means they will be more effectively addressed, as necessary financial provisions can be made and the framework set for mainstreaming in subsequent phases.

The key elements of the EU’s development cooperation in any given country or region are specified in the programming documents, which highlight the **overall objectives**, **specific objectives**, **expected results** and **indicators** for programming at that level. Programming documents include the National Indicative Programme (NIP), the Multilateral Indicative Programme (MIP), the Country Strategy Paper (CSP), the Single Support Framework (SSF) and the Regional Indicative Programme (RIP).

TABLE 2: Mainstreaming opportunities throughout the cycle of operations

Phase	Main tool	
 Programming	<ul style="list-style-type: none"> Country Environmental Profile (CEP) 	 Policy dialogue
 Identification and formulation	<ul style="list-style-type: none"> Screening for a strategic environmental assessment (SEA) SEA Project environmental screening—i.e. environmental impact assessment (EIA) screening and climate risk screening EIA Climate risk assessment (CRA) 	
 Implementation	<ul style="list-style-type: none"> Environmental management plan (EMP) Climate risk management plan (CRMP) Monitoring indicators Results-oriented monitoring (ROM) missions 	
 Evaluation	<ul style="list-style-type: none"> Evaluation indicators 	

Note: — = programmes; — = projects; — = both.



BOX 1: Policy dialogue: a key element of effective mainstreaming

Experience shows that simply applying tools such as an SEA, EIA or CRA does not necessarily lead to changes that result in improved environmental and climatic performance of a sector, especially if they remain donor-led exercises with little or no national ownership. This is where policy dialogue comes in. Such dialogue can help partner governments and the EU reach consensus on the goals and priorities of development cooperation, and it plays a critical role in the promotion of the environment and climate change mainstreaming agenda.

Policy dialogue takes place throughout the entire cycle of operations. Mainstreaming should be an integrated part of this dialogue:

- **Relevance of mainstreaming from a development perspective.** Policy dialogue should address the economic and social costs of environmental degradation and climate change (e.g. the impact of land degradation on rural livelihoods), as well as the economic and social benefits provided by ecosystem services (e.g. increased resilience to climatic hazards from natural sea defences).
- **Need for, and value of, monitoring environmental performance and climate resilience of the sector to allow for informed decision-making,** e.g. to validate that climate change mitigation policies are not having a distributive social impact.
- **Need for integrating social protection considerations into the design of climate change mitigation and adaptation policies,** e.g. ensuring energy pricing schemes do not increase the social vulnerability of the poorest.
- **Options for harnessing the social and economic benefits of sustainable use of natural resources,** e.g. to enhance agricultural productivity, generate new opportunities for rural livelihoods, generate new opportunities for livelihoods in the context of protected areas.
- **Capacity and institutional needs to enable national stakeholders to engage in these options,** e.g. the awareness and capacity of social workers to promote climate resilience; the collection of data on climate change indicators; and the inclusion of environmental and climate change items in sector policies, plans and budgets.
- **Reflection on lessons learned and environmental performance of the sector.**

Remember that policy dialogue is most effective when backed up with evidence and information, such as data, studies and examples of previous experiences.

STEP 1: Explain the key environment and climate change challenges in the analysis of the sector

A CEP provides an overview of a country's environmental and climate change issues, as well as of the related institutional, policy and regulatory framework. It analyses these vis-à-vis their relationship to poverty, and previous and ongoing donor support; and provides recommendations to the EU Delegation for better mainstreaming. Thus, a well-prepared CEP ensures that environmental and climate challenges and opportunities are identified and analysed, and informs the strategic orientation within these. The CEP should also cover the economic opportunities linked to improved environmental management and climate change mitigation and adaptation. Important points to map in the social protection sector include the following:

- **The nature, magnitude and severity of impact that environmental degradation and climate change**

have, or are likely to have, on levels of social protection—e.g. as related to agricultural productivity, increased risk of extreme weather events, health effects

- **Underlying reasons for vulnerability to climate variability/change and extreme events**—e.g. lack of alternative/supplementary income opportunities, dependence on crops/varieties which are not drought tolerant, poor access to insurance, deforestation, limited access to health services, energy poverty
- **Existing and potential incompatibilities between climate change mitigation and social protection policies**
- **Opportunities and locally available capacities**—e.g. new opportunities such as income generation from ecosystem services, alternative livelihoods associated with protected area management

If a CEP is not available and cannot be developed, a range of other documents can be consulted for information on a country's environmental and climate change situation. [Part 5](#) provides a list of possible sources of information.

STEP 2: **Integrate key environmental and climate change opportunities and challenges in the cooperation strategy for the sector**

Reflect on the potential harmful effects that sector development could cause, as identified in Step 1. Next, reflect on the risks and challenges that can threaten the impact and sustainability of the sector, as identified in Step 1.

Based on the potential harmful effects and challenges identified, brainstorm as to how to mainstream climate change and the environment into the cooperation strategy to avoid or mitigate environmental damage and contribute to climate resilience. [Part 4](#) provides examples of specific mainstreaming actions.

Look for opportunities in the programming document to contribute to the transition to a green economy. These opportunities should be reflected in the document's overall objective, specific objectives, expected results and/or indicators. Again, [Part 4](#) provides examples of specific mainstreaming actions.

In identifying opportunities for mainstreaming, consider the following actions.

- Develop or strengthen the policy and regulatory framework.
- Build capacities of different actors in recognising and addressing relationships between environment, climate change and social protection.
- Communicate and raise awareness (e.g. through television and radio campaigns).

STEP 3: **Indicate the use of specific environment/climate change assessment tools to be applied during identification and formulation**

Three tools are available to analyse in detail the relationships between a programme/project and the environment and climate change: an SEA (applicable to programmes),

an EIA (applicable to projects) and a CRA (applicable to projects).

These tools help analyse the potential impacts of implementing a programme/project on the environment and on climate vulnerability and the effects of environmental degradation and climate change on programme/project effectiveness. They also help in identifying appropriate measures to minimise risks and impacts and to make best use of opportunities.

Indicate in the programming document if programmes will be subject to SEA screening and projects subject to project environmental screening and, if required, to an SEA, an EIA and/or a CRA.

STEP 4: **Include indicators in the programming document that capture key environmental and climate change concerns**

The European Commission (EC) Directorate-General for International Cooperation and Development – EuropeAid (DEVCO) has developed [Sector Indicator Guidance for Programming](#) (2013), which provides a list of indicators that can be used in each sector, including environmental and climate change indicators for the social protection sector. See Box 2 for examples drawn from DEVCO.



BOX 2: **Examples of environment and climate change indicators for social protection in country programming**

- Proportion of population (women and men) with access to improved drinking water source
- Proportion of population (women and men) with access to improved sanitation
- Proportion of population (women and men) living in a (clean or controlled) non-polluted environment
- Number of persons (women and men) benefitting from sustainably managed natural resources and ecosystems (e.g. eco-tourism, diversified income)
- Number of persons who benefit from micro-insurance for climate-related events
- Time spent (by women and men) in collecting water and firewood



IDENTIFICATION AND FORMULATION

Mainstreaming is especially important during identification and formulation. The identification of a programme/project begins with an analysis of the situation, which should include environmental and climatic concerns and opportunities. Formulation fleshes out the programme/project design, which must address measures to minimise environmental impacts and climatic risks and make best use of opportunities to enhance the state of the environment and contribute to low-carbon, climatically resilient development.

Figure 1 shows the stages of mainstreaming during this phase, from screening to final programme/project formulation.

STEP 1: Ensure the problem analysis identifies links with environment and climate change

Part 4 provides some insight into the environmental and climate change risks and opportunities in the social protection sector. These linkages can also be identified by reviewing certain key documents (listed below) from a perspective that links these risks and opportunities to the capacities of social protection to tackle vulnerabilities across the various stages of people's lives.

- **Policy documents**—such as sector policies, strategies and plans for the environment and climate change—may provide an overview of the environmental and climate change challenges in the country. They may also include specific environmental protection and climate change adaptation/mitigation activities relevant to the sector (e.g. commitments to increase access to weather insurance and early warning systems).
- The **National Communications to the United Nations Framework Convention on Climate Change** (UNFCCC) provide an overview of the country's vulnerability to climate change.

See [Part 5](#) for additional documents with useful information and analyses.

This **life-cycle approach to social protection** recognises how both idiosyncratic and covariate shocks affect people differently in various life stages and situations. Climate

change increases natural risks to security and livelihoods, with cascading impacts on a range of vulnerabilities. Social protection strengthens household, community and national resilience through a number of mechanisms and better enables households to lift themselves from poverty and cope effectively with future shocks. An integrated approach that tackles escalating climate change risks within a larger social protection framework provides a more comprehensive strategy for addressing vulnerability and strengthening inclusive growth and development.

In analysing the links between social protection, environment and climate change, reflect on the relationships between **covariant shocks** (where environmental degradation and climate change can be a significant factor) with **idiosyncratic shocks** that affect individuals and against which social protection is provided.

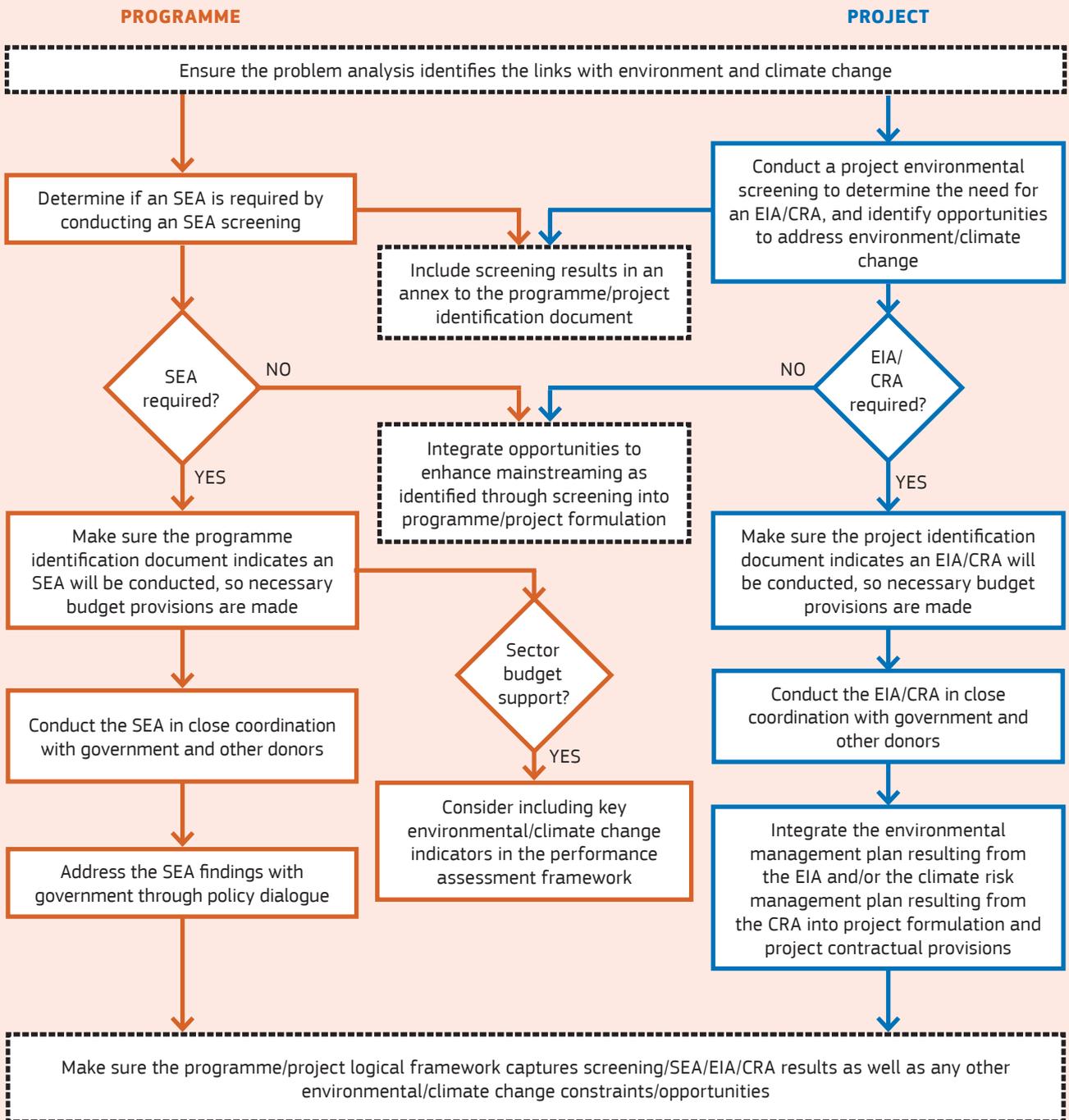
Because the identification of programmes and projects is undertaken in close coordination with the partner government, ensure that environmental and climate change aspects are addressed through policy dialogue (see [Box 1](#)). Similarly, make sure to identify and engage relevant environment and climate change stakeholders (e.g. competent authorities, civil society organisations, non-governmental organisations, community-based organisations, community leaders, academia) in programme/project identification and formulation; these stakeholders can provide useful insights into the sector's environmental and climate change challenges.

STEP 2: Determine if the programme/project is environmentally or climatically sensitive, thus requiring a detailed analysis to identify environmental and climate-related risks and opportunities

The formulation phase involves fleshing out the programme/project as well as analysing its feasibility. Environmental and climatic factors may compromise this feasibility and thus deserve careful attention. In the case of **more environmentally and/or climatically sensitive interventions**, SEAs (for programmes) and EIAs and CRAs (for projects) can be used to help explore linkages to the environment/climate change and identify appropriate measures to address these linkages adequately.

For programmes, the need for an SEA is determined by a screening process, which is delineated in [Annex 3](#) of the [Guidelines](#). For projects, the need for an EIA is

FIGURE 1: Steps during identification and formulation



Note: — = programmes; — = projects; --- = both. Country systems and procedures should be followed wherever possible. Depending on the situation, support can be provided at various stages to strengthen or supplement these systems and procedures.

usually determined by national legislation, but the EC can also determine this based on the project environmental screening process described in Annex 7 of the Guidelines. The need for a CRA is also determined on the basis of the project environmental screening. Screening processes should be carried out during the identification phase (if not before); the actual SEA, EIA and/or CRA is prepared during formulation. Box 3 provides an example of the use of an EIA in the project formulation phase.

Normally SEAs, EIAs and CRAs are not required in the social protection sector, but the screening processes will provide relevant information on more sensitive environmental or climate aspects to take into account.

STEP 3: Ensure the environmental and climate change concerns and opportunities are reflected in the programme/project specifications and that necessary budget provisions are made

Environmental and climate-related considerations identified under Step 2 need to be integrated into the programme/project objectives, expected results and/or indicators (see Box 4), as relevant. For specific suggestions on opportunities for mainstreaming environment and climate change which can be reflected in sector programme/project objectives, see [Part 4](#).

Even in the case of **non-sensitive programmes and projects**—which do not require an SEA, EIA or CRA—environment and climate change should be considered.



BOX 3: **Case study: Assessing environmental risks in Mozambique's Productive Social Action Programme**

While the social protection sector normally does not require EIAs, the increasingly popular 'productive' social protection instruments often involve a range of decentralised activities that can generate important and sometimes risky environmental impacts. For instance, as the Government of Mozambique scales up its Productive Social Action Programme, labour-intensive public works create both risks and opportunities for environmental impact. The World Bank, as one of the major development partners supporting this initiative, thus required an environmental assessment. The study recognised an important feature that characterises many social protection programmes employing project-based public works: the characteristics of specific projects are not known at the time of the environmental assessment.

The assessment recognised the likelihood of a mix of positive and negative environmental impacts, concluding that on balance the net effects would yield a positive environmental contribution. A number of mitigating actions were recommended, as well as a process to screen out projects posing the greatest environmental risk. An initial screening process implemented by the National Institute for Social Action, the agency responsible for the social protection programme, rejects the riskiest projects and refers the others for further assessment by the appropriate government environment authority (either the National Directorate for Environmental Impact Assessment or the Provincial Directorate for Environmental Coordination). These institutions assess the projects based on criteria including the number of affected people or communities, the affected ecosystem, geography, the likelihood and size of impacts, the effects of the impacts and whether the impacts are permanent or reversible. The assessment thus clears the most environmentally sound projects for immediate implementation and subjects the riskier projects to further monitoring and evaluation processes. This triage mechanism offers a cost-effective approach to balancing environmental risk with the priorities to scale up effective social protection programming.

Source: República da Moçambique, 2012.



BOX 4: Examples of environment and climate change indicators for monitoring performance of sector programmes and projects

- Policy framework for weather index insurance in place
- Number of households subscribing to weather index insurance
- Number of persons (women and men) under public works programmes engaged in environmental and/or climate change adaptation/mitigation activities
- Number of renewable energy system vouchers granted
- Number of social workers who have received training on climate change
- Selection criteria for recipients of social protection schemes including climate risk criteria

NOTE: When defining an indicator:

- Make sure it provides a measure of the key environmental/climate change concerns identified.
- Make sure the data required to measure the indicator can be readily obtained. Is there an organisation that captures/generates the required input data on a routine basis? Are those data of good quality and reliable?
- Be clear about the mechanisms that will be used to discuss indicator findings and agree on appropriate responses to adverse trends.

The [Guidelines](#) provide specific guidance on integrating these considerations into formulation studies: Annex 4 of the Guidelines covers programmes and Annex 9 projects. Annex 6 of the Guidelines provides further insight into 'greening' the programme/project logical framework.

Budget allocations for the programme/project should take into consideration any additional costs that pertain to environmental and climate change mainstreaming. The tools and opportunities for mainstreaming in budget support are fewer than for programmes and projects; Box 5 provides a brief description of the key mainstreaming approaches available.

BOX 5: Mainstreaming and sector budget support

Selection of indicators is critical under budget support, as they are the primary tool available to the EC to ensure the support it provides is delivering results. If there are any key environmental and/or climate change concerns associated with the sector (e.g. as informed by an SEA), the performance assessment framework should include indicators that capture such concerns, e.g. in relation to variable tranches.

Other mainstreaming options in relation to budget support are to include discussions on the environment and climate change in sector policy dialogue (see [Box 1](#)), and support capacity development for national stakeholders on mainstreaming.

Further guidance on mainstreaming under budget support is provided in Section 5 of the [Guidelines](#).



IMPLEMENTATION

During implementation, the programme/project has to be monitored to ensure it does not cause harmful environmental and climatic impacts, or that its results are jeopardised by climate change or environmental degradation—and to enable appropriate remedial action to be taken as necessary. Also during implementation, new options/activities can be identified to further enhance positive environmental and climatic impacts. Environmental and climatic performance can be strengthened throughout implementation regardless of, or in addition to, previous mainstreaming efforts.

Regardless of whether prior mainstreaming has taken place, an opportunity to address the environmental and climate-related performance of a programme/project is during a results-oriented monitoring exercise. The Delegation can include relevant indicators to ensure this external monitoring identifies opportunities to enhance programme/project environmental and climate change performance.

SCENARIO 1: *The environment and climate change were mainstreamed into programme/project formulation*

If substantive mainstreaming occurred during identification and formulation, all that remains to be done during implementation is to (i) track the relevant measures that

were integrated in the programme/project design; and (ii) when dealing with a project that was subject to an EIA or a CRA, make sure the corresponding EMP and/or CRMP is implemented and monitored. This tracking should be integrated into the monitoring system.

An EMP is one of the products of an EIA. It specifies how the mitigation measures identified will be implemented (by whom, when, where) and how these will be monitored to verify their effectiveness to contain adverse environmental impacts. A CRMP is one of the products of a CRA. It identifies the actions needed to implement the CRA recommendations in the form of an operational plan. As EMPs/CRMPs are normally prepared by consultants as recommendations, ensuring their implementation and monitoring means incorporating these recommendations in the project contractual conditions (e.g. for construction works).

Programme/project monitoring should include appropriate indicators that can (i) help identify if key environmental and climate change concerns and opportunities have been addressed, (ii) track the efficiency and effectiveness of mainstreaming measures, and (iii) allow prompt identification of adverse environmental impacts that may arise, thereby enabling the programme/project to be adapted or revised accordingly. The participation of relevant stakeholders during monitoring should be encouraged.

SCENARIO 2: **The environment and climate change were not mainstreamed into programme/project formulation**

For ongoing programmes/projects where mainstreaming was not integrated in the design, options still exist for enhancing their environmental and climatic performance. Existing activities can be assessed to identify opportunities to enhance their environmental and climate change performance, and activities re-oriented or complemented accordingly. The [Guidelines](#) (Section 6.3) provide useful ideas on enhancing the environmental and climate change performance of an ongoing programme/project; also see Box 6 for opportunities specific to the social protection sector.

Assess the situation with regard to the four objectives in [Table 1](#). Depending on the programme/project stage of implementation, this assessment can be done as part of the midterm evaluation, which offers a unique opportunity for re-orienting a programme/project if needed; as

BOX 6: **Examples of mainstreaming opportunities in an ongoing programme/project**

Programme/project activities:

- Promote policy dialogue or exchange of experiences among stakeholders on climate-resilient social protection policies

Programme management and operations:

- Adopt a green procurement policy (e.g. purchase/use fuel-efficient vehicles, energy-efficient lighting and appliances, recycled/Forest Stewardship Council (FSC) certified paper, FSC certified or Forest Law Enforcement, Governance and Trade (FLEGT) licensed wood for construction, biodegradable cleaning products, recycling and waste sorting)
- Raise awareness and promote water use efficiency and sustainable consumption and production (see examples above)

part of a ROM mission; or through independent assessment of the programme/project environmental footprint. The findings may show that there is a need to re-orient existing activities, add some complementary activities, and/or add environmental and climate change-related indicators to the monitoring system.

Complementary activities such as capacity building and awareness raising can enhance the mainstreaming capacity of partner governments and stakeholders, including their provision of inputs to policy dialogue. Mainstreaming should also look at opportunities related to programme/project management and operations for reducing the environmental and climate footprint.

Box 7 provides an example of environmental and climate change mainstreaming in the implementation of a social protection project.



BOX 7: Case Study: Building climate change response into South Africa's Expanded Public Works Programme

In 2004 the South African government launched the Expanded Public Works Programme (EPWP) as part of its strategy 'to reduce poverty through the alleviation and reduction of unemployment'. While the programme's initial implementation phase included infrastructure, economic, environmental and social sector projects, the design did not mainstream climate change response in terms of adaptation or mitigation objectives. Nevertheless, the government's larger planning framework enabled the EPWP to respond flexibly to evolving policy priorities, particularly in light of continuous monitoring and evaluation activities.

In 2011, a new National Climate Change Response Policy was launched, including a Climate Change Response Public Works Flagship Programme. This social protection initiative consolidated and expanded existing environmental public works projects and refocused them on strengthening national resilience to climate change impacts while contributing to global efforts to stabilize greenhouse gas concentrations. For example, the flagship programme is scaling up public works that aim to restore a million-acre thicket of spekboom vegetation degraded through livestock overgrazing in the Eastern Cape. Spekboom ('elephant food') has been called a 'superplant', for its 'extraordinary carbon storing capabilities' (Pierce *et al.*, 2009). The spekboom projects are generating employment, restoring degraded land, mitigating climate change, generating carbon credits—and demonstrating how integrated planning can produce more comprehensive interventions with cross-cutting impacts.

The introduction of climate change response into EPWP's ongoing implementation reflects a larger lesson characterising South Africa's development planning process. Policymakers balance climate change adaptation and mitigation goals with immediate employment and growth concerns as well as a longer-term human capital and investment agenda. Integrated and comprehensive approaches enable multiple policy sectors to work together and strengthen prospects for achieving joint objectives. Competition for resources can yield to cooperative approaches built on complementarities and cross-sectoral linkages.

Source: Government of South Africa, 2011.

EVALUATION

The evaluation phase looks at the relevance, effectiveness, efficiency, impact and sustainability of the programme/project, so as to draw lessons to inform the next cycle of operations. There are two main points at which evaluation takes place: during the **midterm review** and at the end of a programme/project. The midterm evaluation results inform the continuation of the programme/project; the **final evaluation** results inform the next programming period.

STEP 1: Ensure the evaluation criteria selected capture the key environmental and climate change concerns

Examples of environmental and climate change-related aspects that could be addressed in evaluation follow. The indicators suggested in Boxes 2 and 4 for incorporation in the programming document and the project/programme logical framework, respectively, can also be useful impact indicators in evaluation.

- Whether an SEA, EIA and/or CRA was required and, if so, whether it was carried out
- Whether and to what extent the environment and climate change-related measures recommended (e.g. by SEAs, EIAs, CRAs or midterm evaluations) were implemented—and, if so, how successfully
- Whether the programme/project has addressed the environmental/climate change issues in a **relevant** manner (e.g. the most important environmental issues and options were identified in the problem analysis and activities were appropriately designed to address them)
- Whether programme/project actions were **effective** in promoting environment-friendly and climate-resilient practices (labour opportunities in environmental protection and climate change mitigation activities such as reforestation)
- Whether the programme/project made environmentally **efficient** use of means (e.g. minimising the use of polluting substances and water)

- Whether the programme/project has had any positive **impact** by contributing to sustainable development, including environmental sustainability, low-carbon development and climatic resilience (e.g. strengthened resilience of vulnerable population, reduced environmental and carbon footprint of inputs by introducing green procurement)
- Whether the programme/project has had a direct or indirect negative **impact** on the environment and climate resilience (e.g. impact on water quality from construction works, polluting activities encouraged through cash transfers and subsidies)
- Whether the programme/project's **sustainability** is threatened by environmental degradation and/or climate change (e.g. increased poverty associated with reduced agricultural productivity)

To ensure that the above points are adequately addressed in evaluations, (i) environment and climate change-related key points should be clearly reflected in

the evaluation terms of reference, and (ii) the evaluation team should have relevant environment and climate change expertise. Experience shows that if these factors are lacking, evaluation coverage tends to be shallow and unlikely to adequately capture associated issues and opportunities.

STEP 2: **Ensure the evaluation results inform continuation of the programme/project and of future programmes/projects**

The results of the **midterm evaluation** should be discussed and necessary changes integrated in the programme/project to enhance its environmental and climate change performance. Lessons from the **final evaluation** regarding environmental and climate change performance should be drawn and disseminated to inform the design of future programmes/projects. Moreover, evaluation results can inform policy dialogue.

Box 8 provides an example of a country programme evaluation which assessed the environmental performance of cooperation in the social protection sector.



BOX 8: **Case study: Evaluating social protection for climate change impacts in Ethiopia**

The Government of Ethiopia, together with its development partners, launched the Productive Safety Net Programme (PSNP) in 2005, employing both unconditional cash transfers to households without labour capacity as well as labour-intensive public works that largely build environmental and social assets. The programme provides a nurturing environment for exploring innovative policy reforms, with a rich diversity of evidence-building social policy pilots linked to core social protection interventions. Moreover, the PSNP—called the ‘largest climate change adaptation programme in Africa’ by the UK’s Environmental Audit Committee—has the potential to contribute to climate change mitigation, particularly with regard to deforestation, which costs Ethiopia an estimated 200 000 hectares of trees per year.

An evaluation of the PSNP aimed to answer the question of whether household participation in the programme discouraged or supported investment in tree-planting. Tree-planting provides households with productive assets that strengthen livelihoods, contributing to inclusive economic growth while fortifying food security. Its inclusion reflects a general trend in integrating environmental and/or climate change criteria into social protection evaluation designs: the environmental outcome is usually directly linked to economic and social objectives. The study adopted a quasi-experimental methodology that leveraged existing household panel data sets of PSNP project sites. Through a propensity score matching approach, the study identified a credible comparison group to PSNP beneficiaries. This provided a strategy for rigorously attributing the impact of the programme, controlling for selection bias even in the absence of an experimental design.

The study found that the programme enables participants to significantly (statistically and materially) increase investments in tree-planting, due to the forestry skills the associated public works projects provide and the risk management benefits provided by a secure income source that lengthens the investment horizon of the vulnerable households.

Robust impact evaluations contribute to a rich evidence base informing more environmentally protective and productive social policy across the developing world. The wealth of evaluations of Ethiopia’s PSNP exemplifies the increasingly evidence-based approach that enables lessons of experience to strengthen both social and environmental outcomes.

Source: Andersson, Mekonnen and Stage, 2009.

PART 4: Environment and Climate Change Risks, Hazards and Opportunities for Sector Activities

IMPROVING SOCIAL PROTECTION		
Areas of intervention	<ul style="list-style-type: none"> • Social service provision • Social transfers (food/cash transfers) • Social pension schemes • Public works programmes • Livelihood diversification • Risk insurance • Finance • Asset protection • Capacity building/training 	
Key risks and hazards	What they are	How to address/avoid/minimise
Key risks and hazards	<ul style="list-style-type: none"> • Effects of climate change affect primary livelihoods, increasing pressure on social protection systems and expanding range of target population: <ul style="list-style-type: none"> – Climate change effects include, e.g. increased frequency and intensity of natural hazards such as intense rainfall, floods, landslides, mudslides, heat waves, cold spells, drought, wildfires, hurricanes/cyclones, glacial melt; impacts of sea level rise including inundation of low-lying areas, salinity intrusion, coastal erosion; changes in extent and range of vectors and infectious diseases; changes in temperature, rainfall and humidity variables – Social impacts include, e.g. impacts on crop yields, income and subsistence; availability of drinking and irrigation water; loss of employment; loss and damage to assets, including livestock; loss of employment; decrease in fisheries; increased rates of morbidity and mortality • Social impacts of environmental degradation, increasing pressure on social protection systems and expanding range of target population, e.g.: <ul style="list-style-type: none"> – Impacts on crop yields, income and subsistence associated with deforestation/soil erosion – Impacts on health associated with pollution (atmospheric and indoor) and water pollution • Social impacts of climate change mitigation and environmental policies, differentiated impacts on poorest sectors of the population: <ul style="list-style-type: none"> – Green taxes – Removal of subsidies to energy and fossil fuels – Pricing of water to reflect true costs – Restriction of livelihood activities and displacement of population in protected areas 	<ul style="list-style-type: none"> • Promote the concept of adaptive social protection, which places social protection in the context of the impacts of natural phenomena, particularly climate, establishing a framework for social protection measures to strengthen poor people's resilience to disaster risks that acknowledge the changing and unpredictable nature of climate-related impacts (Davies, Oswald and Mitchell, 2009) • Promote the coordination of authorities responsible for social protection, climate change adaptation and mitigation, environmental protection and disaster risk reduction. • When promoting social protection floors in accordance with the Social Protection Floors Initiative, seek to promote the broader concept of Socio-Environmental Protection Floors; this concept, promoted at the Rio+20 Conference and supported by organisations such as the United Nations Development Programme and the International Labour Office, calls for social protection initiatives to put emphasis on environmental activities • Promote the development of weather-index insurance as a measure that increases resilience and contributes to climate change adaptation to rural communities: under this scheme, contracts are written against specific perils or events that are defined and recorded at the regional level; indemnifications are triggered by pre-specified patterns of the index, as opposed to actual yields, which provides an incentive to farmers to make productive management decisions • Where relevant, microfinance has the opportunity to address climate change adaptation and environmental protection measures (e.g. erosion control, rainwater harvesting) • Public works programmes can be linked to environmental protection and climate change adaptation and mitigation activities; e.g. elevation of roads (an infrastructure climate-proofing activity), reforestation activities, de-silting irrigation canals, strengthening embankments, mosquito breeding site control, etc.

IMPROVING SOCIAL PROTECTION		
	What they are	How to address/avoid/minimise
Key risks and hazards		<ul style="list-style-type: none"> • Cash transfers (conditional and unconditional) can be useful in reducing the vulnerability of the poorest sectors of the population to climate-related shocks and stresses; socio-ecological vulnerability and/or climate vulnerability indexes can be used for targeting households and social groups • Conditional cash transfer (CCT) programmes can potentially be combined with payment for environmental services (PES) as a way to link poverty reduction and environmental protection initiatives; integrated PES-CCT systems, or payments for environmental and poverty alleviation services (PEPAS) could be explored • Capacity building and training of social protection institutions on implications of environmental degradation and climate change for the sector • Analyse the social impacts of nature conservation initiatives; various frameworks are available to assess social impacts of protected areas (see Schreckenberg <i>et al.</i>, 2010)
Potential impacts of sector development	<ul style="list-style-type: none"> • Energy subsidies and price controls are often used as social protection instruments, but they have the potential to contribute to climate change through increased greenhouse gas emissions if inefficient consumption of fossil fuels is promoted • Public works programmes can generate solid and hazardous wastes that require adequate management 	<ul style="list-style-type: none"> • Seek opportunities to shift necessary energy subsidies to renewable energies (e.g. subsidise generation of renewable energies instead of fossil fuel-based energy) • Promote energy efficiency as part of any energy subsidies package • Integrate waste management plans for public works programmes

PART 5: Resources

General guidance on mainstreaming

Applying Strategic Environmental Assessment – Good Practice Guidance for Development Cooperation (Organisation for Economic Co-operation and Development Development Assistance Committee, 2006). Guidelines prepared in response to commitments under the Paris Declaration for Harmonisation of Donor Approaches to Environmental Assessment. Provide an overview of different approaches to SEA used by donors and basic principles for SEA. Complementing the guidance, Advisory Notes have also been prepared on:

- SEA and Biofuel Development (2011)
- SEA and Post-conflict Development (2010)
- SEA and Disaster Risk Reduction (2010)
- SEA and Climate Change Adaptation (2010)
- SEA and Ecosystem Services (2010)

Global Climate Change Alliance. EU initiative with training materials on climate change mainstreaming.

Guidelines on the Integration of Environment and Climate Change in Development Cooperation (EC, 2011). Key reference document for mainstreaming environment and climate change in EC development cooperation. Provides model terms of reference for CEPs, SEAs and EIAs; and environmental and climate risk screening procedures.

UNDP-UNEP Poverty-Environment Initiative (PEI). EU-supported programme on county-led environmental mainstreaming, which has developed a comprehensive methodology and toolbox on mainstreaming.

Guidance for mainstreaming in the social protection sector and relevant documents

World Bank Building Resilience to Disaster and Climate Change through Social Protection Toolkit, including the following guidance notes:

- Guidance Note 1: Building flexible and scalable social protection programs that can respond to disasters
- Guidance Note 2: Beneficiary targeting
- Guidance Note 3: Adapting benefit transfer mechanisms to respond to disasters and climate change-related events
- Guidance Note 4: Monitoring and evaluating social protection programs' efforts to respond to natural disasters and climate change-related shocks
- Guidance Note 5: Communication following a disaster

IDS Connecting Social Protection and Climate Change Adaptation report (2007)

IFAD Weather Index-based Insurance in Agricultural Development: A Technical Guide (2011)

UNEP, 'Towards a unified scheme for environmental and social protection: Learning from payments for environmental services and conditional cash transfer experiences in developing

countries', Ecosystem Services Economics Working Paper No. 11. United Nations Environment Programme, Nairobi.

Environment and climate change

Country Environmental Analyses (CEAs). Detailed state of the environment reports prepared by the World Bank for some countries; provide good overview of environmental issues.

Country Environmental Profiles. CEPs provide an overview of the state of the environment (including pressures and trends); the expected impacts of climate change; the institutional, policy and regulatory framework for environment and climate change; an overview of donor activity in environment and climate change; and recommendations for EU programming.

National Adaptation Programmes of Action (NAPAs). Produced by all least developed countries and submitted to the UNFCCC. They identify priority climate change adaptation projects. In many cases, NAPAs are outdated.

Nationally Appropriate Mitigation Actions (NAMAs). Prepared in the context of the UNFCCC by developing country parties to the convention. They identify priority climate change adaptation actions. Discussions are ongoing in climate negotiations to see if NAMAs could qualify for carbon credits under the New Market Mechanisms.

National Communications to the UNFCCC. All countries that are a party to the UNFCCC have to submit these reports to the UNFCCC Secretariat. They include an overview of the country situation, expected impacts from climate change, an inventory of greenhouse gas emissions, an indication of climate change vulnerabilities in different sectors, and an indication of opportunities for greenhouse gas reductions and adaptation.

National Environmental Summaries (NESs). Prepared by UNEP for some countries; offer a good synthesis of a country's most important environmental issues.

Web-based resources

IFAD-WFP Weather Risk Management Facility (WRMF)

ELDIS website on Adaptive Social Protection

Useful information sources on country's environmental and climate change situation

- National Communications to the United Nations Framework Convention on Climate Change (UNFCCC)
- National Adaptation Programmes of Action (NAPAs)
- Nationally Appropriate Mitigation Actions (NAMAs)
- National Environmental Summaries (UNEP)
- National reports to the Convention on Biological Diversity (CBD)
- National Biodiversity Strategies and Action Plans (NBSAPs)
- National Reports to the United Nations Convention to Combat Desertification (UNCCD)

- National agriculture, food security and rural development policies
- National Environment Policy
- National Water Policy
- National Land Use Policy/Plan
- National Climate Change Policy
- National State of the Environment reports
- Country Environmental Analyses (CEAs) produced by the World Bank
- Any Strategic Environmental Assessment (SEA) carried out in the sector
- Research, evaluations and analysis produced by other donors in the social protection sector

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