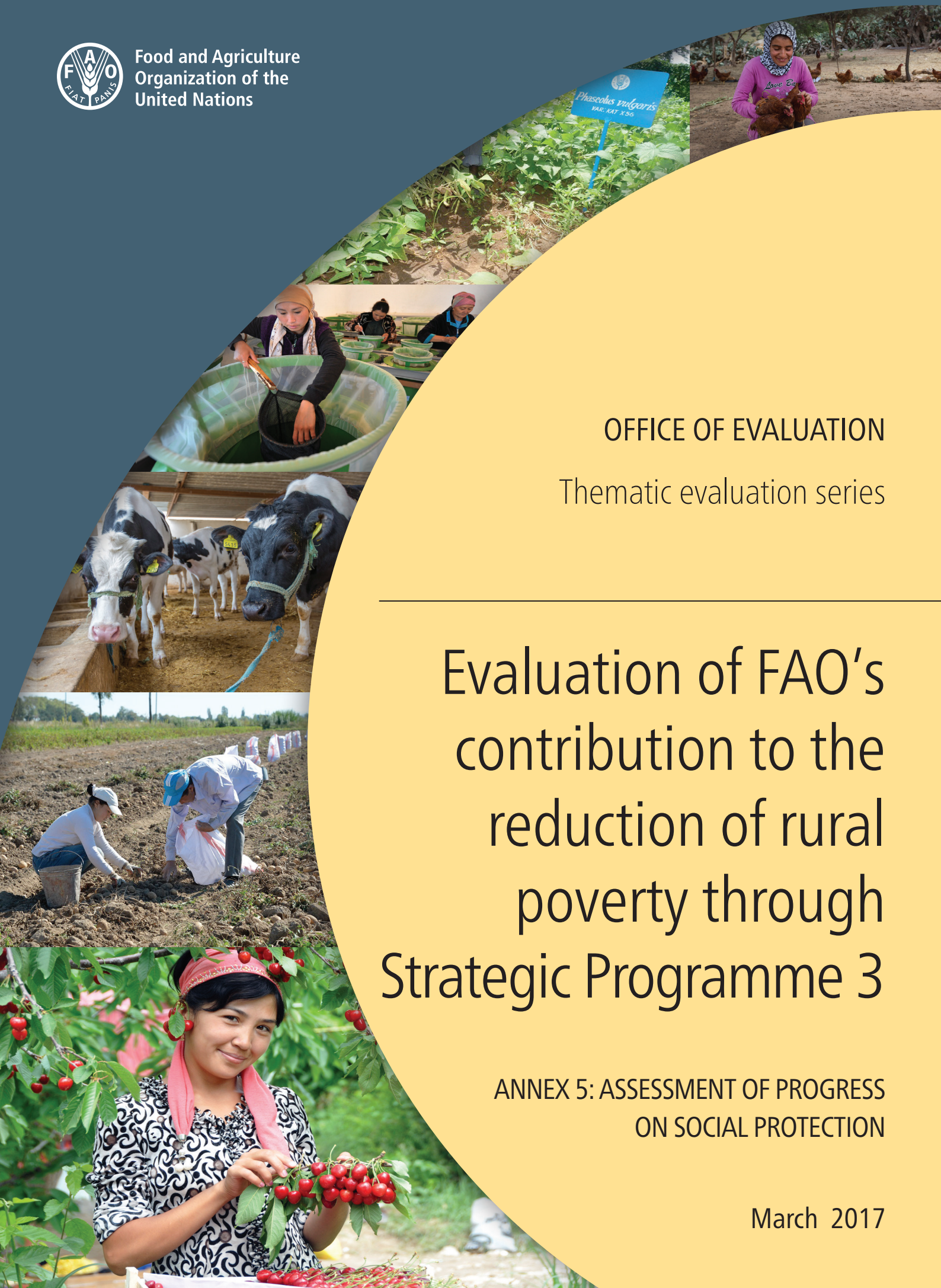




Food and Agriculture  
Organization of the  
United Nations



OFFICE OF EVALUATION

Thematic evaluation series

# Evaluation of FAO's contribution to the reduction of rural poverty through Strategic Programme 3

ANNEX 5: ASSESSMENT OF PROGRESS  
ON SOCIAL PROTECTION

March 2017



**THEMATIC EVALUATION SERIES**

**Evaluation of FAO's contribution  
to the reduction of rural poverty  
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**ANNEX 5: ASSESSMENT OF PROGRESS ON SOCIAL PROTECTION**

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS  
OFFICE OF EVALUATION**

**March 2017**

Food and Agriculture Organization of the United Nations

Office of Evaluation (OED)

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# 1. Introduction

## 1.1 Purpose and scope

- 1 This thematic assessment is an input to the evaluation of Strategic Objective 3 (SO3): Reducing Rural Poverty. The main **purpose** is to examine progress in the implementation of FAO's support to achieving the social protection outcome of SO3. The report does *not* represent a full in-depth evaluation of social protection work in FAO, but is intended to provide evidence and raise some key issues to feed into the wider evaluation of SO3.
- 2 **Scope:** The assessment focuses on Organizational Outcome OO3 of FAO's Strategic Programme 3 (SP3): '**Social protection systems strengthened in support of sustainable rural poverty reduction**'. It mainly covers the period 2014-2015 and the current biennium 2016-2017, up until December 2016. The report is not strictly limited to the social protection work reported against SO3 in the FAO reporting system: social protection work is always closely connected to poverty reduction, and FAO has made many internal partnerships across Strategic Objectives, so that most social protection activities have some link to SO3 even when they are reported under another strategic objective.
- 3 The evaluation sought to analyse strategic relevance, programme design, communication, partnerships, effectiveness and sustainability. The **evaluation questions** are shown in Box 1.

### Box 1: Evaluation questions

- i. Strategic relevance:** Is the FAO approach appropriate?
- ii. Programme design:** Are FAO interventions and delivery mechanisms adequate?
- iii. Communication:** Is there a common understanding and commitment to FAO's intervention logic among FAO headquarters, FAO decentralized offices, country counterparts and development partners?
- iv. Partnerships:** Is FAO selecting and leveraging partnerships to achieve the intended results?
- v. Effectiveness and sustainability:** Is SP3 bearing signs of results in the form of institutional change, improved policy frameworks and enhanced resource mobilization?

## 1.2 Methods

- 4 This evaluation was led by the FAO Office of Evaluation (OED) and conducted with the support of external consultants with geographic and thematic expertise. It used mixed methods and tools to collect information. Sources of data included programme and project documentation, evidence from past evaluations<sup>1</sup>, literature from FAO and partner organizations, etc. Primary data was mainly gathered through interviews of FAO staff and stakeholders involved in FAO's rural poverty alleviation work in a sample of countries<sup>2</sup>.
- 5 The evaluation team reviewed over 500 documents<sup>3</sup> and interviewed over 600 FAO staff and development partners (including national and subnational governments, civil society organizations CSOs, private sector)<sup>4</sup> in 27 countries, 16 of which were visited by the team<sup>5</sup>. International development partners and other stakeholders working on rural poverty

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1 This included, for example, recent and ongoing country programme evaluations in Bangladesh, Egypt, Kyrgyzstan, Myanmar, Niger and Tanzania and the recent evaluation of SO5.

2 The countries selected for study were largely chosen based on the volume of SP3 interventions reported in the biennium 2014-15 & 2016-17, and their membership of Regional initiatives.

3 Please refer to the main report for list of references (appendix 2).

4 Please refer to the main report for list of people consulted (appendix 3).

5 Albania, Georgia, Tajikistan, Lebanon, Tunisia, Sudan, El Salvador, Paraguay, Colombia, México, Zambia, Kenya, Malawi, Senegal, Ghana

reduction were also interviewed, including staff of Rome-based agencies (international Fund for Agricultural Development IFAD and the World Food Programme WFP), other UN agencies (International Labour Organization ILO, United Nations Fund for Children Emergency UNICEF, UN Women and the United Nations Development Programme UNDP), international financing institutions (World Bank and regional banks), and key bilateral donors.

- 6 For each of the countries visited, the team scored seven key indicators against a rubric on a scale of 0, 1 and 2 (no, limited, significant) designed to assess strategic relevance and progress with SP3 implementation. The seven indicators used were: (i) national commitment to SP3 themes, (ii) prioritisation in country programmes, (iii) analytical base of SP3 interventions, (iv) country office capacities in SP3 themes, (v) government and partners' awareness, (vi) partnership leverage, and (vii) evidence of contributions. A full description of the rubrics is included in the main SO3 evaluation report.

### **1.3 Limitations**

- 7 The reviewed Strategic Framework has been in effect for a little less than three years, so it is early to expect many results on the ground. Given the broad scope and variety of the subject, the team could not examine specific projects and programmes in depth. Furthermore, some social protection activities were not always reported against SO3, so there was a need to conduct additional research. The evaluation could not visit all regions: there were no field visits to Asia Pacific, and the evaluation used information from country programme evaluations in some countries where some SO3 activities have taken place. Finally, social protection is a growing agenda in FAO and this report should be taken as a snapshot of the situation at the end of 2016.

## 2. Description of the social protection programme

### 2.1 Background and rationale for FAO's involvement in social protection

8 The 2030 Agenda highlights social protection as a key strategy to attain the Sustainable Development Goals (SDGs), including the eradication of poverty, gender equality and women's empowerment, and the reduction of inequality within and among countries (United Nations General Assembly, 2015). Since the turn of the century, many governments in low and middle-income countries (LMICs) have given increased emphasis to social protection<sup>6</sup>.

9 However, the coverage of social protection is low in rural areas in some regions of the world, and even when social protection is extended to rural areas, it is often not well-designed or well-coordinated with other rural policies<sup>7</sup>. This is a very important gap to address, as it is now widely recognised that social protection has many benefits for agricultural growth, rural transformation and poverty reduction. These include, for example<sup>8</sup>:

i) Social protection programmes are effective in reducing poverty and food insecurity:

- In 2013, social protection helped lift up to 150 million people out of extreme poverty (<US\$1.25/day).
- Social protection programmes can raise food consumption and dietary diversity.
- Social protection can overcome seasonal hunger and its long-term consequences including undernutrition.

ii) Social protection can increase human capital, improving nutrition and health, education and productivity.

Social protection can empower women and reduce child labour.

Social protection strengthens rural livelihoods, instead of fostering dependency:

- Social protection can promote savings and investment in both farming and non-farm activities.
- Social protection can reduce the risks poor households face, helping them to undertake activities offering higher returns.
- Social protection does not reduce overall work effort.

iii) Social protection programmes can stimulate economic growth and rural transformation:

- Social protection beneficiaries spend their money in the local economy, multiplying the benefits.
- Public works programmes can provide important infrastructure and community assets.
- Social protection can strengthen social networks such as informal savings associations.
- Social protection can facilitate urban-rural linkages and prevent distress migration.

iv) Social protection can mitigate or prevent shocks and crises, potentially averting the need for humanitarian aid.

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6 For example, the World Bank (<http://documents.worldbank.org/curated/en/415491467994645020/pdf/97882-PUB-REVISED-Box393232B-PUBLIC-DOCDATE-6-29-2015-DOI-10-1596978-1-4648-0543-1-EPI-1464805431.pdf>) recorded that 77 LMICs had published national social protection policies and strategies, almost all since 2000, and that these were planned in another 31 LMICs.

7 Rural Development Report 2016.

8 World Social Protection Report 2014-15: Building economic recovery, inclusive development and social justice. Report. Available at: [http://www.ilo.org/global/research/global-reports/world-social-security-report/2014/WCMS\\_245201/lang-en/index.htm](http://www.ilo.org/global/research/global-reports/world-social-security-report/2014/WCMS_245201/lang-en/index.htm); Nutrition and social protection. Available at: <http://www.fao.org/3/a-i4819e.pdf>; World Development Report 2008: Agriculture for Development. Washington DC: World Bank. Available at: <http://go.worldbank.org/C3TCZPDAJ0>; and The state of social safety nets 2015. Available at: <http://documents.worldbank.org/curated/en/415491467994645020/pdf/97882-PUB-REVISED-Box393232B-PUBLIC-DOCDATE-6-29-2015-DOI-10-1596978-1-4648-0543-1-EPI-1464805431.pdf>.

- 10 Despite the many benefits listed above, social protection by itself cannot move poor rural households out of poverty; it needs to be combined with other food security and rural development policies and programmes<sup>9</sup>. However, there are still many gaps in knowledge around this, including, for example what types of interventions work best in what circumstances, how to target poor rural people with multiple interventions, and how to design programmes so they can be responsive to shocks<sup>10</sup>.
- 11 The main **rationale** for FAO's involvement in social protection is that FAO has the mandate, convening power and skills to address these important gaps. FAO works with partners to expand the reach of social protection programs to rural areas, in particular to the under-served rural poor, and to promote coherence between social protection and other policies in agriculture, food and nutrition security and rural development. Box 2, taken from FAO's Social Protection Framework<sup>11</sup>, gives more detail, including FAO's operational definition of social protection, mission, reasons for engagement and value added.

**Box 2.** FAO's work in social protection: definition, mission, rationale and value added

**Operational definition**

In terms of FAO's engagement and support to countries, social protection comprises a *set of policies and programmes that addresses economic, environmental and social vulnerabilities to food insecurity and poverty by protecting and promoting livelihoods.*

**Mission within FAO's mandate**

FAO is committed to supporting government to eradicate hunger and poverty of present and future generations, and recognizes the role of social protection in achieving its goals. In this line, FAO recognizes the transformative capacity of social protection and its contribution to enhancing the economic and productive capacity of even the poorest and most marginalized. FAO supports governments and other stakeholders in promoting greater policy coherence between social protection and FSN, agriculture and rural development policy-making and programming. Informed by the knowledge and evidence acquired at global, regional and national levels, FAO also aims to build institutional capacities to promote and maintain inclusive and transformative social protection systems.

**FAO's engagement in social protection is based on:**

- Solid evidence on the critical role that social protection plays in maximizing FSN and rural development outcomes;
- FAO's commitment to address multiple social, economic and environmental vulnerabilities to promote sustainable, resilient livelihoods by strengthening the capacity of households, communities and institutions to prevent and withstand threats that have an impact on FSN and rural development;
- FAO's role in supporting countries to realize the right to food and the right to social protection.

**FAO's Value added**

- FAO is advocating for expanding social protection coverage by effectively reaching the rural poor in all agricultural sub-sectors (SDG 1.3).
- FAO's research and the evidence acquired continues to strengthen the economic case for social protection, highlighting that *social protection is an investment, not just a cost.*
- FAO is contributing to maximizing the impact of social protection – from protection to production – by *operationalizing linkages (social protection+)* between social protection and agriculture, FSN and rural development.
- FAO's engagement is *widening the audience* of social protection: it is facilitating *dialogue* between social and agriculture, natural resource management and resilience-related sectors.
- FAO can help to build and strengthen *nationally owned* social protection systems that are well integrated in broader livelihood promotion and rural development strategies.
- *Source: FAO's Social Protection Framework: Enhancing food security, nutrition and rural development outcomes for all (pages 5-6)*

9 Les transferts productifs (CASH+) au Niger et au Burkina Faso Une approche innovante pour renforcer les moyens d'existence vulnérables au Sahel. Available at: <http://www.fao.org/3/a-i5993f.pdf>.

10 Barrientos, 2016; Cirillo et al., 2016; Davies et al., 2013

11 FAO's Social Protection Framework: Enhancing Food Security, Nutrition and Rural Development Outcomes for All.

## 2.2 Social protection within FAO's reviewed Strategic Framework

- 12 FAO's reviewed Strategic Framework has five Strategic Outcomes (SOs), including SO3: Reduction of Rural Poverty. In recognition of the growing importance of the social protection agenda, FAO raised social protection to the status of an Organizational Outcome (OO) under SO3: social protection systems strengthened in support of sustainable rural poverty reduction
- 13 SO3 also has two other major OOs: OO3.1 – Access and Empowerment and OO3.2 – Decent Rural Employment (DRE). The majority of social protection work in FAO is planned and reported under OO3.3. However, social protection is an important instrument for achieving a variety of outcomes. OO3.3 therefore works closely with other FAO Strategic Programmes including SP1 (Help eliminate hunger, food insecurity and malnutrition) and SP5 (Increase the resilience of livelihoods to threats and crises).

## 2.3 The social protection themes and contribution to gender equality

- 14 FAO has defined four main themes for its social protection work, which all have an SP3 (OO3.3) component. These are:
- Expansion of coverage of social protection to the rural poor (SP3)
  - Social protection, agriculture and natural resource management (SP3)
  - Nutrition sensitive social protection (SP3/SP1)
  - Social protection and resilience (SP3/SP5)
- 15 The crosscutting area of gender is also integrated across social protection work.
- 16 The main OO3.3 contribution to each of the four themes is summarised below, together with the OO3.3 contribution to FAO's gender equality objectives. A detailed list, including specific activities and knowledge products, is in Appendix 4.

### Theme 1: Expansion of coverage of social protection to the rural poor (SP3)

- 17 The main objectives of OO3.3 work under this theme are to:
- Make the economic case for expansion and adequate finance for social protection in rural areas (through producing targeted, high-quality evidence that social protection for poor rural people is a good investment).
  - Help social protection reach under-served groups such as fishing- and forest-dependent communities.
  - Assess the feasibility of extending social security and insurance to non-formal agricultural workers.
  - Assess the potential role of rural institutions and cooperatives in helping to provide social protection.

### Theme 2: Social protection, agriculture and natural resource management (SP3)

- 18 The main objectives of OO3.3 work under this theme are to "improve coherence" between social protection and agricultural/natural resource management programmes. This is a broad and complex theme, some examples might be:
- Developing appropriate agricultural interventions that can be added to ('layered') or 'sequenced' (in time) with cash transfers to help get poor rural people out of poverty.
  - Assessing the value of cash transfers that can be layered with agriculture programmes for the poor, for example, to help overcome seasonal credit constraints in buying farm inputs.
  - Developing better methods for targeting farmers and rural people, who may be left out of some social protection systems.

- Helping to design joint beneficiary registries which list all the different government benefits and subsidies that a household or individual is receiving, to help improve targeting and avoid inappropriate overlaps.
- Advising on pro-poor budget allocations to agricultural and social protection programmes.
- Strengthening institutional coordination mechanisms.
- Helping to improve the design of public works programmes to help farming and the rural economy, for example, good seasonal timing of jobs for farmers, and addressing the specific needs of women as well as men.

### **Theme 3: Nutrition-sensitive social protection (SP1/SP3)**

19 The main objectives of OO3.3 work under this theme are to:

- Make better two-way linkages between social protection and food security and nutrition policies and programmes, aiming to achieve not only social protection systems that promote nutrition and agriculture but also FSN interventions that incorporate social protection appropriately.
- Support national governments in building or improving social protection programmes with better results in food security and nutrition outcomes.
- Promoting homegrown school feeding and nutrition – various aspects including improving production of food by small-scale farmers for schools, promoting nutrient-rich diets, food safety and school meals standards.

### **Theme 4: Social protection and resilience building (SP5/SP3)**

20 The main objectives of OO3.3 work under this theme are to:

- Build a common vision across FAO and with partners on the role that social protection can play in resilience building.
- Support national governments in the design of *CASH+* (combined transfers of cash and productive in-kind assets and interventions).
- Promote well-designed shock-responsive social protection systems that are sensitive to rural livelihoods.

#### **2.3.1 Contributions to FAO gender equality objectives**

21 The main objectives of OO3.3 work under this theme are to implement FAO's gender equality policy in the area of social protection<sup>12</sup>, specifically:

- Equal access to social protection
- Design and implementation of social protection to benefit women equally with men
- Complementing social protection schemes – particularly cash transfers and public works programmes – with additional livelihood interventions and services designed especially for rural women.

#### **2.4 Timeline with key dates**

22 A detailed timeline of FAO's work in social protection is shown in Appendix 1. Some key dates were:

2011: FAO initiates work in social protection through a collaborative project with seven African governments, UNICEF and other partners (Box 3). This project provides solid evidence that social protection is an important instrument for agricultural growth and rural development as well as poverty reduction.

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<sup>12</sup> The goal of the policy (FAO, 2013b) is "to achieve equality between women and men in sustainable agricultural production and rural development for the elimination of hunger and poverty. Gender equality is not only an essential means by which FAO can achieve its mandate, it is also a basic human right." Among other things, the policy sets out minimum standards for gender mainstreaming and for women specific targeted interventions.

- 2013: FAO introduces a reviewed Strategic Framework with five Strategic Objectives (SOs), including **SO3: Reduction of Rural Poverty**.  
Social protection is included as an Organisational Outcome under SO3  
Social protection technical team established under the ESP Division
- 2014: Preparation of FAO's flagship publication The State of Food and Agriculture (SOFA) dedicated to social protection (published in 2015)
- 2015: Outcome targets agreed for work in partner countries 2016-2017 (Table 6).  
FAO defines four thematic priorities for social protection
- 2016: FAO is engaged in social protection in more than 30 countries (Figure 1 and Table 5).

### Box 3: The 'PtoP' project

The 'From Protection to Production' ('PtoP') project (2011-2015) was a key step in FAO's evolution towards working in social protection. PtoP was a collaborative effort between FAO, UNICEF and the governments of Ethiopia, Ghana, Kenya, Lesotho, Malawi, Zambia and Zimbabwe, with funding from DFID and the EU. PtoP formed part of the larger UNICEF-led Transfer Project<sup>13</sup> on the design, implementation and impact evaluation of cash transfers in sub-Saharan Africa. PtoP built on ongoing impact evaluations of government-led cash transfer programmes<sup>14</sup> in seven countries, working closely with government and other partners to investigate the effect of transfers on poverty, food security and livelihoods, and the local economy.

The findings and practical outcomes of the PtoP project are recorded in a recent book co-authored by FAO, UNICEF and many international partners, including decision-makers from partner governments<sup>15</sup>. It concludes that PtoP was effective in generating high quality evidence (that had previously been lacking) about the positive value of cash transfers as an instrument to stimulate agricultural investment and the rural economy, and in countering assumptions that cash transfers are unaffordable and may lead to dependency. As one example, studies supported by the PtoP found that "the Zambia Child Grants Programme generates local income multipliers of up to 1.87 kwacha per kwacha transferred to poor households. Lesotho's Child Grants Programme creates a local multiplier of 2.23 per maloti transferred."<sup>16</sup> This evidence was taken up and used by governments, because PtoP was designed together with national policy-makers to answer their key questions and paid attention to a range of political economy factors<sup>17</sup>.

Evidence coming from PtoP strengthened the argument for FAO to invest in work on social protection and its links to agriculture and rural transformation. Under FAO's reviewed Strategic Framework, PtoP was included in SO3, and the leader of the PtoP project became the SO3 leader in 2015.

*Source: Compiled by evaluation team from references cited and additional information by FAO.*

## 2.5 Inputs

### 2.5.1 Human resources

- 23 Within FAO, the responsibility for delivering OO3.3 is distributed across the organization, including regional and technical divisions. Table 1 lists the technical divisions that contribute to this outcome. A key technical team to note is the Social Protection Team<sup>18</sup> based in the Social Policies and Rural Institutions (ESP) Division<sup>19</sup> in Rome. This team has

13 The Transfer Project. Available at: <https://transfer.cpc.unc.edu>

14 Ethiopia Tigray Social Cash Transfer Programme (SCTP), Ghana Livelihood Empowerment Against Poverty (LEAP), Kenya Cash Transfers for Orphan and Vulnerable Children (CT-OVC), Lesotho Child Grant Programme (CGP), Malawi Social Cash Transfer (SCT), Zambia Child Grant Programme (CGP) and Zimbabwe Harmonized Social Cash Transfer (HSCT)

15 From evidence to action: the story of cash transfers and impact evaluation in sub Saharan Africa. FAO/UNICEF/Oxford University Press. Available at: <http://www.fao.org/3/a-i5157e.pdf>.

16 Beyond Experiments in Development Economics: Local Economy-wide Impact Evaluation. Oxford University Press; and Productive Spillovers of Social Cash Transfers in Africa. One pager no. 256, IPC and FAO-PtoP. Available at: [http://www.ipc-undp.org/pub/eng/OP256\\_Productive\\_Spillovers\\_of\\_Social\\_Cash\\_Transfers\\_in\\_Africa.pdf](http://www.ipc-undp.org/pub/eng/OP256_Productive_Spillovers_of_Social_Cash_Transfers_in_Africa.pdf).

17 The Political Economy of Cash Transfer Evaluations in Sub-Saharan Africa. In: From Evidence to Action: The Story of Cash Transfers and Impact Evaluation in Sub Saharan Africa, eds Benjamin Davis, Sudhanshu Handa, Nicola Hypher, Natalia Winder Rossi, Paul Winters, and Jennifer Yablonski.

18 FAO Social Protection. Available at: <http://www.fao.org/social-protection/en/>

19 Social Policies and Rural Institutions. Available at: <http://www.fao.org/economic/social-policies-rural-institutions/en/>

three functional sections: evidence generation, policy support (and communications) and capacity development. Individuals/sub-teams within the Social Protection Team are assigned responsibilities for the four social protection thematic areas of work, for geographic regions and the following crosscutting areas: gender, DRE and migration and cooperatives/producer organizations.

**Table 1:** Technical divisions of FAO that contribute to OO3

Division code and short title	Theme (SP = social protection)				Examples of types of outputs (detailed activities and outputs are listed in Appendix 2)
	Expanding SP (S03)	Agriculture-SP (S03)	Nutrition -SP (S03/S01)	SP-Resilience (S03/S05)	
ESA Economics					Evidence and analysis of impact of cash transfers and agriculture programmes, e.g. on poverty, livelihoods, nutrition, local economic development
ESN Nutrition					Nutrition-sensitive social protection/agriculture programmes, Home-Grown School Feeding
ESP Social Policies and Rural Institutions					A variety of global products and support to regions and countries in all four social protection themes (Social Protection team); Gender-sensitive social protection; Links between social protection and DRE; Links between social protection and rural finance; Rural institutions for delivering social protection
ESS Statistics					Development of indicators for tracking social protection/agriculture; livelihood analysis tools
FIA/FOA/NRC Fisheries/Forestry/Natural Resources					Expansion of social protection to fishers, forest dependent communities, and communities in biospheres; social protection – natural resources management (NRM) policy coherence
LEG Legal					Human rights based approach to social protection; Legal aspects of access to social protection in agriculture sector
TCI Investment Center					Links to National Agriculture Investment Plans and development banks/others supporting these.
TCS Technical Cooperation					Resource mobilization and project development for OO3/sp

Source: summarised by evaluation team from Appendix 3, which contains more details.

- 24 Each office and division participating in OO3 has a social protection focal point with specified terms of reference that include participation in planning, reporting and communicating social protection work. In this report, the terms **“social protection group”** or **“OO3.3”** are used to mean the broader group of people working on social protection throughout FAO.
- 25 Some FAO country offices have specialists in social protection, although many have related skills that can be built on, including social development, gender, food security and economics. Some offices have designated a social scientist or economist specifically to cover

social protection and given them some professional training in this area. To address this issue, the social protection team in FAO headquarters has identified 13 focus countries where it is concentrating resources to provide direct technical support to country office activities with national governments. As part of this, OO3.3 has financed or supported consultancy posts for social protection specialists in several countries<sup>20</sup>. With few exceptions, social protection staff in country and regional offices are on temporary contracts.

- 26 **Internal capacity building** has been an important input to the scale-up of the social protection agenda inside FAO. Some key training activities are listed in Box 4. An internal virtual 'technical network' has also been created on social protection (in March 2015), which has been joined by nearly 200 FAO staff in 18 countries<sup>21</sup>.

**Box 4:** Examples of social protection internal capacity development activities

2013 Training of 32 social protection-OO3 group staff from 12 FAO divisions, including 5 regional divisions in Lessons from social protection policy and programmes.
2014 Training of 32 social protection-OO3 group staff from 14 FAO divisions, including 6 regional divisions: in Harnessing the Potential of Social Protection for FAO's Global Development Goals.
2015 Social Protection Workshop for RAF FAO-R and social protection focal points – 19 countries participated, with 16 FAO Representatives.
2016 A workshop for REU FAO-R to identify entry points for social protection, agriculture and food security in the region.
2016 Training of FIRST Project Officers: Nutrition Social Protection Session and Guidance Note.
2016 Development of Capacity Building Programme and materials on Gender Sensitive Social Protection (internal and external).
<i>Source: evaluation team, based on SP3 data</i>

**2.5.2 Financial resources**

- 27 The financial resources available to OO3.3 are shown in Table 3. In 2016-17, OO3.3 has a budget of US\$12.9 million, amounting to around 6% of the total budget and 15% of the 'regular programme' budget of SP3. SP3 has a budget of around US\$160 million per biennium, which corresponds to around 6% of FAO's total budget. The majority of work under OO3.3 is funded from FAO's resources (regular programme).

**Table 2:** SP3 (OO3) funding for social protection

Funding source	Expenditures 2014-2015 (US\$m)	Budget 2016-2017 (US\$m)
<b>Regular program</b>	10.3	8.9
<b>Extra-budgetary</b>	2.8	4.0
<b>Subtotal</b>	13.1	12.9

Source: FAO's Medium Term Plan 2014-17

**2.6. Approaches and partnerships for the OO3.3 agenda**

- 28 FAO contributes to its Strategic Objectives via activities at global, regional and country levels. This section describes some of the key instruments and partnerships at each level.

20 OO3 has financed or part-financed sp consultants in Lesotho and Zambia. OO3.3 has also worked with other SPs and regional and country offices to arrange financing for social protection specialists in Mali (with SP5 and FAO Mali) and Malawi (SP1) and to recruit national social protection consultants for four Sahel countries (Burkina, Senegal, Chad and Niger) through a Technical Cooperation Project (TCP/RAF/3514). RLC has hired a consultant to analyse social protection in Bolivia and Paraguay. Finally, there are plans for Associate Professional Officers to work on social protection in Kyrgyzstan and Guatemala. Many of these positions have been established in the second half of 2016, so for most of the period covered by this evaluation, the available specialist staff were much fewer.

21 Source: Technical Network internal website, accessed 16 December 2016.

### 2.6.1 Global level

- 29 At the global level, OO3 uses its financial resources to support work on social protection across the organization (Table 1). The headquarters teams support countries and regional offices with technical assistance, communications<sup>22</sup> and capacity building.
- 30 FAO has defined a variety of global products and services under its Strategic Programmes<sup>23</sup>. The initiative entitled “Universal Social Protection: expansion of coverage of social protection for the rural poor” aims at “joint advocacy with strategic partners (WB/ILO and Social Protection Inter-Agency Coordination Board) to support the expansion of coverage of social protection to the rural poor – contributing to SDG1, Target 1.3” (p. 17)<sup>24</sup>.
- 31 Partnerships are key to the delivery of OO3, and FAO has a large variety of partners including country governments, regional organizations, non-governmental organizations (NGOs), universities and think-tanks, international agencies (as well as funding agencies). Table 4 lists examples of major global partners and partnerships.

**Table 3:** Examples of global FAO partnerships in social protection

Partner	Examples of partnership
ILO	Universal Coverage Initiative Design and funding of coherent agricultural and social protection policies (Malawi, Zambia, ASEAN) (with AU)Expansion of social security to rural workers including through cooperatives (Cameroon, Cote d'Ivoire, Kenya, Malawi, Zambia ) Capacity development on social protection through the ILO International Training Center (ITC) Developing ISPA tool for nutrition and social protection
UNICEF	Evidence generation on the social and productive impacts of cash transfers (and cash+)-Transfer Project Joint Policy work (Sub-Sharan Africa)- scale-up of social protection programmes Shock responsive social protection; Social Protection in protracted and fragile contexts; Social protection and resilience (SPIAC-B group)
WFP	Social protection and resilience (SPIAC-B group) Home Grown School Feeding resource framework; Impact Evaluation Frameworks for HGSP Production by Africans for Africa (PAA) project
World Bank	Universal Coverage Initiative Collaboration on Livelihoods Empowerment Programme (Lesotho) Rolling out social protection programme in rural areas (Senegal) Social protection and resilience (SPIAC-B group)
European Union	Impact Evaluation (Funder of PtoP Programme) Shock responsive social protection; Social Protection in protracted and fragile contexts; Social protection and resilience (SPIAC-B group)- DevCo and ECHO
International Policy Centre for Inclusive Growth (IPC-IG)	Gender-sensitive social protection: online community and webinars Communication and sharing, in particular through the Socialprotection.org platform hosted by IPC-IG <sup>25</sup> Home Grown School Feeding (IPC is responsible for PAA monitoring and evaluation)
Other think tanks and universities	Many aspects, e.g.: Impact evaluation (national research organizations and universities) Development of training material and delivery of training: EPRI (South Africa), IDS(UK), IPC-IG (Brazil) Impact evaluation, modeling :UC Davis, Uni North Carolina CH (USA); Analysis on coherence of agriculture-social protection : ODI(UK)

Source: FAO internal documents, interviews inside and outside FAO

22 A communications strategy was approved in 2016 and quarterly internal newsletters are produced on social protection, as well as a webpage, brochures and technical briefs series.

23 Strategic Programmes 2016-17: Main interregional and global products and services, 31 May 2016. FAO internal document.

24 Strategic Programmes 2016-17: Main interregional and global products and services, 31 May 2016. FAO internal document. Some examples of the activities conducted under this initiative are a study on the barriers and opportunities to ensure effective reach of social protection; Engagement with SPIAC-B, and the development of and piloting of ISPA tool; Support to the Global SPIAC-B event on Universal Social Protection Systems; and Policy Briefs on Economic Case for Social Protection

25 [http://socialprotection.org/sites/default/files/Socialprotection\\_org\\_Annual\\_Report\\_2016\\_0.pdf](http://socialprotection.org/sites/default/files/Socialprotection_org_Annual_Report_2016_0.pdf)

- 32 FAO is active in key global platforms and networks on social protection, including:
- The Social Protection Inter-Agency Cooperation Board (SPIAC-B)<sup>26</sup>
  - The Informal SPIAC-B group on social protection in humanitarian fragile and risk-prone contexts<sup>27</sup>
  - Leading one of the working groups developing Inter-Agency Social Protection Assessment (ISPA) tools<sup>28</sup>, developing a tool linking social protection with food security and nutrition
  - The social protection and human rights platform<sup>29</sup>
- 33 Knowledge products are an important output for FAO at global level. Most are listed under the relevant theme (see next section). Overarching global knowledge products produced under OO3 include:
- FAO's flagship report, The 2015 State of Food and Agriculture, SOFA<sup>30</sup> focused on the links between social protection and agriculture. The World Food Day 2015 was used to widely publicise the SOFA.
  - FAO's Social Protection Framework: Enhancing Food Security, Nutrition and Rural Development Outcomes for All<sup>31</sup>.
  - Information Brochure on FAO work in Social Protection: Enhancing social protection systems to foster rural development and food security (Revised version 2016)<sup>32</sup>
  - Social protection and decent rural employment<sup>33</sup>.
  - Social protection for rural poverty reduction<sup>34</sup>.

## 2.6.2 Regional level

- 34 FAO's work in the regions is led from its five regional offices (Africa-RAF, Asia and the Pacific-RAP, Europe and Central Asia – REU, Latin America and the Caribbean – RLC, and the Near East - RNE), as well as sub-regional offices<sup>35</sup>.

### Box 5: FAO Regional Initiatives that support social protection work

- LAC (SO3): Family Farming and Inclusive Food Systems for Sustainable Rural Development<sup>36</sup>. One of the objectives of this RI is to 'strengthen comprehensive social protection systems in rural areas, aligned with agricultural development and employment policies'. A key objective is to promote 'productive inclusion' by working with governments and other partners to link the poorest rural households (receiving transfers) to agricultural services from which they have traditionally been excluded, to help lift them out of poverty.

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26 Social Protection Inter-agency Cooperation Board. Available at: <http://www.ilo.org/newyork/issues-at-work/social-protection/social-protection-inter-agency-cooperation-board/lang--en/index.htm>

27 SPIAC-B informal groups. Available at: <http://socialprotection.org/connect/communities/spiac-b-informal-group-social-protection-humanitarian-fragile-and-risk-prone>

28 Improving Social Protection for all. Available at: <http://ispatools.org/>

29 Social Protection and Human Rights. Available at: <http://socialprotection.org/institutions/social-protection-and-human-rights-platform>

30 Les transferts productifs (CASH+) au Niger et au Burkina Faso Une approche innovante pour renforcer les moyens d'existence vulnérables au Sahel. Available at: <http://www.fao.org/3/a-i5993f.pdf>.

31 FAO's Social Protection Framework: Enhancing Food Security, Nutrition and Rural Development Outcomes for All.

32 Enhancing social protection systems to foster rural development and food security. Available at: <http://www.fao.org/documents/card/en/c/5da92304-e24a-43fa-9310-348fd9dab6c6/>

33 Guidance Note: The role of social protection in protracted crises: Enhancing the resilience of the most vulnerable. Available at: <http://www.fao.org/3/a-i6636e.pdf>.

34 Social protection for rural poverty reduction. FAO. Available at: <http://www.fao.org/3/a-i5229e.pdf>.

35 Worldwide Offices. Available at: <http://www.fao.org/about/who-we-are/worldwide-offices/en/>

36 Family farming and inclusive food systems for sustainable rural development. Available at: <http://www.fao.org/americas/prioridades/agricultura-familiar/en/>

- LAC (SO1/SO3/SO4): Hunger-Free Latin America and Caribbean Initiative<sup>37</sup>. This RI works closely with the Community of Latin American and Caribbean States (CELAC) to provide direct technical support to the CELAC Food Security, Nutrition and Hunger Eradication Plan 2025. This includes school feeding and other social protection programs (in particular Conditional Cash Transfers) as well as family farming support and other aspects. Two regional courses have been delivered under this RI: Social protection, food security and nutrition; and School Feeding and Zero Hunger.
- RAF (SO1): Africa's Commitment to End Hunger by 2025<sup>38</sup>. This RI has funded activities in nutrition sensitive social protection at country and regional level, as well as diagnostics and policy dialogue in Ethiopia, Angola and Rwanda on linking social protection, food security and agriculture.
- RAF (SO5): Building Resilience in Africa's Drylands<sup>39</sup>: This RI started out with a more agricultural focus, and then integrated social protection as a result of demand from partner countries (initially those in the Sahel), and is now a joint initiative with SO3. It supported the start-up of social protection work in Mali, Chad and Niger. It is also supporting the recruitment of a social protection specialist for Mali.
- REU (SO3): Empowering Smallholders and Family Farms for Improved Rural Livelihoods and Poverty Reduction<sup>40</sup>. This RI has supported a publication on Gender equality, social protection and rural development in Eastern Europe and Central Asia, with contributions from country experts, helping to identify issues and entry points<sup>41</sup>.
- RNE (SO3): The Small-Scale Family Farming (SSFF) RI<sup>42</sup> includes an outcome on social protection. This RI recently supported a publication on Social Protection in Near East and North Africa: Regional Trends<sup>43</sup>, which identifies instruments, institutions challenges and possible entry points.

Source: evaluation team, based on FAO data

- 35 Fifteen FAO Regional Initiatives (RIs)<sup>44</sup>, managed by the Regional Offices, were officially launched in 2014-2015. There are no RIs with a specific "social protection" label but a number of RIs do integrate social protection as one of the important instruments needed to achieve their objectives. Examples are in Box 5.
- 36 Regional Technical Cooperation Projects (TCP) also provide a mechanism for FAO at regional level to work with several countries. For example:
- TCP/RAF/3514: Promoting social protection for food and nutrition security in the Sahel, working with the governments of Burkina Faso, Chad, Niger and Senegal. So far this has resulted in a workshop and several country assessments<sup>45</sup>. This TCP has also enabled the placement of social protection specialists in these countries.
  - TCP/RAF/3510: Promoting social protection for vulnerable rural workers and members of their families in Africa. This TCP has supported analysis and case studies of delivering social insurance and social assistance through cooperatives in Cameroon, Cote d'Ivoire, Kenya and Malawi, a workshop to discuss this with Ministries of Labour and Agriculture.
  - TCP/RLA/3513: Support to the implementation of the Action Plan for Family Farming and Rural Development of CELAC: This has components on linking social protection

37 FAO Regional Office for Latin America and the Caribbean. Available at: <http://www.fao.org/americas/perspectivas/apoyo-iniciativa/en/>

38 Africa's Commitment to End Hunger by 2025. Available at: <http://www.fao.org/africa/perspectives/end-hunger/en/>

39 Building Resilience in Africa's Drylands. Available at: <http://www.fao.org/africa/perspectives/resilience-in-drylands/en/>

40 Empowering Smallholders and Family Farms for Improved Rural Livelihoods and Poverty Reduction. Available at: <http://www.fao.org/europe/regional-perspectives/smallholders-family-farms/en/>

41 Gender equality, social protection and rural development in Eastern Europe and Central Asia: Insights from the region. Budapest: FAO. Available at: <http://www.fao.org/3/a-i5575e.pdf>.

42 Small Scale Family Farming. Available at: <http://www.fao.org/neareast/perspectives/sustainable-agriculture/en/>

43 Social Protection and Rural Development in the NENA Region. Regional Initiative on Small-scale Family Farming, Food and Agriculture Organization of the United Nations (FAO), Regional Office for the Near East and North Africa, Cairo, Egypt. Available at: <http://www.fao.org/3/a-i6540e.pdf>.

44 FAO's Strategic Framework Regional Initiatives. Available at: <http://www.fao.org/about/what-we-do/regional-initiatives/en/>

45 Revue des politiques, strategies et programmes nationaux visant a renforcer la securite alimentaire et reduire la pauvrete rural en rapport avec la protection sociale. FAO and Government of Burkina Faso.

and agriculture policy and programmes, increasing access to the poorest rural people through policy dialogue and the production of technical documents on good practices.

- 37 Many **regional partnerships** have been established. In Africa, FAO is collaborating on social protection issues with the African Union, New Partnership for Africa's Development (NEPAD), South African Development Community (SADC), Economic Community of West African States (ECOWAS), Réseau de Prévention des Crises Alimentaires (RPCA) and the Global Alliance for Resilience Initiative (AGIR)<sup>46</sup>, among others. In Latin America, FAO collaborates on social protection issues with Community of Latin America and Caribbean States (CELAC)<sup>47</sup> and the Parliamentary Front against Hunger<sup>48</sup>. Collaboration on social protection has moved FAO beyond its traditional partnerships with the agriculture/rural development departments of these agencies to work with departments responsible for economic and social issues. FAO also participates in a number of **regional networks on social protection**, for example, the African Platform on Social Protection<sup>49</sup>, the Africa Community of Practice on cash transfer programmes<sup>50</sup> and others.
- 38 Box 6 gives an example of how these instruments have worked together in one regional programme.

**Box 6:** Regional example: RO for Africa programme on social protection, 2014-2016

*Resources:* two staff in the FAO regional office; funding from RIs and TCPs

*Themes:* all four (expansion of social protection, agriculture-social protection, social protection and nutrition, social protection and resilience).

*Five pillars:* policy dialogue, capacity development, knowledge generation, development of analysis tools and integration of social protection into FAO programmes.

*Ways of working:* scoping country demand, engaging interest and commitment of FAO representatives (FAORs), establishing FAO country office focal points, building capacity in FAO and partner organizations, partnering with existing social protection actors in country and in the region, accessing technical expertise from FAO headquarters.

*Selected accomplishments*

- Organizing policy dialogue on agriculture-social protection coherence and/ or social protection-resilience at both parliamentary and technical levels, for example, with the African Union, ECOWAS, Rwanda, Senegal and Uganda
- Capacity building for 40 partners from Niger (32) and four other countries
- Knowledge generation: reviews of policies and programmes to analysis their linkages and coherence with social protection in Burkina Faso<sup>51</sup>, Mali, Niger, Senegal<sup>52</sup>.
- Analysis tools: technical brief on integrating social protection into agricultural programmes, as input to formulation of National and Regional Agricultural Investment Plans (Cisse et al., 2016)
- Integration of social protection into FAO programmes: workshop on social protection for 19 countries/16 FAORs<sup>53</sup>.

Source: evaluation team based on FAO data.

46 Food crisis prevention network. Available at: <http://www.oecd.org/site/rpca/aboutus/>; and Global Alliance for Resilience (AGIR) - Sahel and West Africa. Available at: <http://www.oecd.org/site/rpca/agir/>

47 The CELAC Plan for Food and Nutrition Security and the Eradication of Hunger 2025. Available at: <http://www.fao.org/3/a-bo925e.pdf>

48 Frente Parlamentario Contra el Hambre de América Latina y el Caribe. Available at: <http://parlamentarioscontraelhambre.org>

49 The Africa Platform for Social Protection. Available at: <http://africapsp.org/>

50 Community of Practice on Cash Transfer in Africa. Available at: <http://socialprotection.org/connect/communities/community-practice-cash-transfer-africacommunaut%C3%A9-de-pratique-sur-les-transferts>

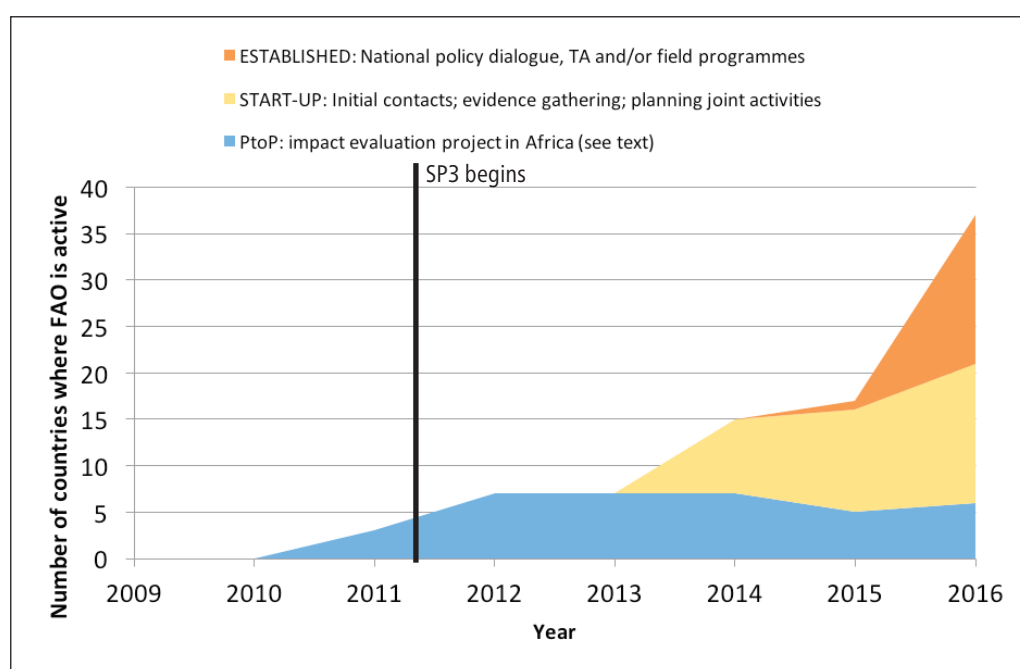
51 Revue des politiques, stratégies et programmes nationaux visant à renforcer la sécurité alimentaire et réduire la pauvreté rurale en rapport avec la protection sociale. FAO and Government of Burkina Faso.

52 Revue des politiques et programmes dans le domaine de la protection sociale en relation avec la sécurité alimentaire et nutritionnelle au Sénégal. Unpublished report., FAO.

53 Programme Implementation Report 2014-15: for the Fortieth Session of Conference, Rome, 3-8 July 2017. Available at: <http://www.fao.org/3/a-mp989e.pdf>.

### 2.6.3 Country level

- 39 FAO has offices in more than 80 countries. Since 2011, FAO has been using three-year Country Programming Frameworks (CPFs) to manage work in countries. CPFs are planned together with and signed off by the government, and fit with national policy frameworks and priorities along with those of FAO and the United Nations Development Assistance Framework (UNDAF).
- 40 Figure 1 shows how quickly FAO country-level work in social protection has expanded in the three years since the adoption of the reviewed Strategic Framework. Table 5 summarises the distribution of social protection-OO3 activities among the four thematic areas across different regions, while Appendix 2 shows the data in more detail, by country and stage of work. Activities have been undertaken under all thematic areas, although they are less widespread in the area of resilience and social protection than the other three. In geographical terms, FAO's social protection work is the most advanced in sub-Saharan Africa, but all regions have recorded at least a few start-up activities.



**Figure 1:** Number of countries with FAO activities in social protection

Source: Constructed by evaluation team, from information supplied by SP3 team, triangulated

**Table 4:** Summary of FAO social protection activity areas, 2013-2016

Region	Expansion of SP (S03)	SP/ agriculture (S03)	Nutrition and SP (S01/S03)	Resilience and SP (S05/S03)	Regional total
LAC	1	2	4		7
RAF	12	9	7	5	33
RAP	1	1	1		3
REU		1	3		4
RNE	1			1	2
<b>Theme total</b>	<b>15</b>	<b>13</b>	<b>15</b>	<b>6</b>	<b>49</b>

Source: constructed by evaluation team from data in Appendix 3, excluding plans for future activities. Note that each country/theme pair is only counted once. There may be several ongoing activities under one theme (depending on how an activity is defined) so this is a conservative estimate.

41 FAO has a wide variety of partnerships at country level, depending on the activity. The Organization still maintains its traditional strong partnerships with Ministries of Agriculture and Rural Development, but under the reviewed Strategic Framework, FAO has also established partnerships in many new sectors. In *social protection*, these include partnerships with:

- High-level units or special initiatives located in the Presidency: for example, El Salvador, Mexico and Senegal.
- Ministries of Finance/Planning, for example, Malawi and Zambia.
- Ministry of Social Affairs/Welfare/Social Development/Women (or similar titles): many countries, for example, Zambia, Lesotho, Colombia Mexico, Paraguay and El Salvador.
- Ministry of Labour, for example, Cameroon, Cote D'Ivoire, Kenya, Kyrgyzstan, Lebanon and Zambia.
- Other line ministries, in particular education, for Home-Grown School Feeding (many countries in Africa and Latin America), health (El Salvador), environment (El Salvador), and specialised agencies related to indigenous peoples (Paraguay, El Salvador).
- FAO is increasingly engaging in/facilitating dialogue with parliamentarians, for example, in Colombia, El Salvador, Mexico, Paraguay, Rwanda and Kyrgyzstan.

42 Box 7 describes an example of FAO's work at country level.

**Box 7:** FAO's work in social protection at country level: the example of Zambia

Zambia has had a national social protection strategy since 2005 (updated 2014). There are several different social protection programmes; prominent among these is the Social Cash Transfer Scheme (SCT)<sup>54</sup> (220k households in 2016). In addition, there are two programmes largely aimed at farming households: the Farmer Input Support Programme (FISP) targeted at members of Farmer Organizations (FOs) with 0.5 ha- 5 ha land (estimated 1M households in 2015), and the Food Security Pack (FSP) targeted at 'vulnerable but viable' households with less than 1 ha land together with other indicators of vulnerability such as a high dependency ratio (14k households). The vision is that vulnerable households will graduate from the FSP to FISP, but for most, this has proved very difficult for several reasons, including labour and credit constraints, prohibitive membership costs of FOs and the lack of appropriate agricultural services for this group. The national budget for the FISP still dwarfs the budget for cash transfers, which still get a lot of aid funding, although national budgets for the SCT have been greatly increased over the past few years<sup>55</sup>. This is the context in which FAO is promoting better coherence between agriculture and social protection.

FAO's social protection activity in Zambia started with a PtoP baseline survey in 2011. Evidence from PtoP helped contribute to the scaling up of the SCT<sup>56</sup>. However FAO technical support to the social protection agenda really started up in 2015/16, when FAO began supporting the UN Joint Programme on Social Protection. FAO is active in several areas:

*Agriculture-social protection*

- FAO has been mobilizing political support for better coherence in agriculture and social protection programmes, including through a 1-day event organized by FAO in May 2016 with good participation from GoZ, CSOs, and the private sector and development partners.
- With the IMF, UNICEF and ILO, FAO is supporting the Ministry of Finance to further develop its macro-simulation model used for informing resource allocation between different agricultural and social protection programmes.

54 According to (Beazley and Carraro, 2013), the SCT has various components including pensions, but here we will concentrate on the unconditional cash transfer scheme. This is targeted at the poorest 10% of households and provides approx. \$19/ month. Other sp schemes include the Public Welfare Assistance Scheme (PWAS) and the Women's Empowerment Fund (WEF).

55 "In the 2015 budget, ZMW 1.3 billion is included for social protection, which is 2.7 percent of the total Budget, but the majority is for the Public Service Pension Fund. The amount allocated to social cash transfers – ZMW 180 million – is only 0.4 percent of the total budget... A further K1.1 billion (2.3 percent of the total budget) has been allocated to the Farmer Input Support Programme (FISP). (Pruce and Hickey, 2017)

56 From evidence to action: the story of cash transfers and impact evaluation in sub Saharan Africa. FAO/UNICEF/ Oxford University Press. Available at: <http://www.fao.org/3/a-i5157e.pdf>; and The politics of promoting social protection in Zambia. Manchester: Effective States and Inclusive Development Research Centre (ESID).

- FAO has also been working to strengthen institutional coordination mechanisms, building capacity on social protection in the Ministry of Agriculture through organizing training and learning visits to other countries, and providing technical support for programme design and operational arrangements.
- With ILO, FAO is supporting the development of the single registry of beneficiaries of social protection programmes by facilitating experience sharing between this and the registry developed by FAO through the "Conservation Agriculture Scaling-Up" (CASU) project. In addition, FAO is profiling livelihoods of farming households to inform the design and targeting of complementary packages of social protection and agricultural interventions.
- FAO is supporting the Ministry of Community Development and Social Welfare in assessing the operation of the Food Security Pack and identifying options for better linking this with other agricultural programmes and the HGFS.
- Zambia was one of the four case study countries for a FAO-led study on policy coherence, which was discussed with national policy-makers and produced guidance material and an assessment tool<sup>57</sup>.
- *Expansion of social protection*: With ILO, FAO is supporting the Ministry of Labour and the National Pension Scheme Authority to assess the technical, financial and institutional feasibility of options for expanding social insurance to informal agricultural workers.
- *Social protection-nutrition*: With WFP, FAO is supporting the Government to evaluate the impacts of a combined Home Grown School Feeding (HGFS) and agricultural support intervention, in order to inform the upscaling of this model.
- *Resilience and social protection*: As a step towards shock-responsive social protection, FAO estimated the required top-up of the Social Cash Transfer size in order to enable vulnerable households to maintain their cereal consumption in the context of rising food prices, vis-à-vis the drought induced by El Niño in 2015/16.

Source: evaluation team, based on (Asfaw et al., 2016; Beazley and Carraro, 2013; Davis et al., 2016; Harman, 2015; Phe-Goursat, 2015; Pruce and Hickey, 2017; Richards and Bellack, 2016) and information from FAO on activities.

**Table 5:** Output and outcome targets for Outcome 3.3 (Social Protection)

Output	Indicator	Target 2014-15	Reported achievements 2014-15	Current target, 2016-2017
3.3.1 Policy advice, capacity development and advocacy are provided for improving social protection systems to foster sustainable and equitable rural development, poverty reduction, and food security and nutrition	Number of countries in which support was provided for improving the design and implementation of pro-poor, age- and gender-sensitive social protection systems that target rural populations	7	12	17
3.3.2. Information systems and evidence-based knowledge instruments are improved to assess the impact of social protection mechanisms on reducing inequalities, improving rural livelihoods and strengthening ability of the rural poor to manage risks	Number of countries in which support was provided for improving capacities for monitoring social protection systems and their impact on rural poverty reduction	6	5	12

Source: Programme Implementation Report (FAO, 2016g) and internal FAO monitoring documents

## 2.7 Organizational targets

- 43 Current 'output' and 'outcome' targets established for social protection under FAO Strategic Objective 3 are set out in Table 6, together with reported achievements for the 2014-15 biennium<sup>58</sup>. Appendix 3 gives examples of specific deliverables.

57 Combatting poverty and hunger by bringing together agriculture and social protection. Available at: <http://www.fao.org/economic/ptop/publications/reports/agssp/en/>

58 The results for 2014-15 in Table 6 should be read with caution. The evaluation team found inconsistent (and often under-) reporting at country level. Furthermore, some activities with a social protection component may be reported under other outputs and outcomes (e.g. home grown school feeding).

## 3. Assessment of progress

### 3.1 Strategic relevance

#### 3.1.1 Links between social protection and Sustainable Development Goals (SDGs)

- 44 FAO's work in social protection is highly relevant to the attainment of a number of the SDGs and their targets, as listed in Appendix 4<sup>59</sup>.
- 45 Under Goal 1: 'End poverty in all its forms everywhere', social protection is the focus of 'Target 1.3: Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and vulnerable.'
- 46 FAO Theme 1 (expansion of social protection to the rural poor) includes several work streams that contribute directly to Target 1.3, and also to some of the Goal 1 intermediate outcomes such as Goal 1a (resource mobilisation for poverty reduction) and 1b (pro-poor policy frameworks). These work streams include:
- Building the economic case for social protection for poor rural people, thereby encouraging increased investment (particularly domestic investment) in expanding social protection coverage<sup>60</sup>
  - Expansion of social protection to under-served rural groups, including fisheries and forest-dependent communities
  - Expansion of social protection to informal rural workers and to members of cooperatives and producer associations.
- 47 FAO's social protection programme can also contribute to targets under Goal 2 (Ending hunger) and Goal 10 (Reduction of inequality) (see Appendix 4). Finally, where FAO's activities contribute to well-designed gender- and nutrition-sensitive social protection systems for the rural poor, they also contribute to other SDGs, e.g. on growth, nutrition, education and climate change.

#### 3.1.2 Added value of the reviewed Strategic Framework and SO3/OO3.3

- 48 There is evidence that the adoption of the reviewed Strategic Framework, and specifically the Strategic Objective on Rural Poverty Reduction (SO3) and its Organisational Outcome OO3.3, has catalysed and supported FAO's work in social protection:
- The detailed timeline in Appendix 2 shows that although FAO had initiated various projects and activities in social protection as far back as 2008, social protection was given high priority after the adoption of the reviewed Strategic Framework.
  - The timeline also shows the rapid evolution of the social protection agenda in FAO after the adoption of the reviewed Strategic Outcomes: from initial brainstorming and conceptualising (2013) to internal capacity building and building networks, with a few regional and country activities (2013-2014), to the identification of clear thematic areas of work and a massive scale-up of activities in partner countries (2015-2016), as depicted in the graph in Figure 1.
  - Conceptually, the analysis of how to tackle poverty and resilience under the reviewed Strategic Framework has broadened the organization's vision, moving it away from purely agriculture/natural resource management issues to seeing the value of

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59 SP3 as a whole will use a selection of SDG targets and indicators to track its contribution to FAO's Medium Term Plan 2018-21 (FAO, 2016h). These are targets 1.1 – eradicate extreme poverty, 1.2 – reduce poverty headcount by half, 1.4 – ensure equal rights for all, 8.6 – reduce youth out of work or education, 8.7 eradicate forced and child labor, 2.3 – double incomes of small-scale producers and 10.1 reduce income inequality. As listed in Appendix 5, social protection can be an important input in achieving these.

60 ...and also (where appropriate) increasing the level of transfer and regularity of payment

integration with complementary instruments such as social protection. This was evident in the evaluation team's interviews with FAO staff at country level (although some regions have been quicker to change than others). The uptake of the new ideas is visible in the most recent Country Programming Frameworks, with over half including objectives and outcome targets related to social protection (Table 8).

- The reviewed Strategic Framework also supported the broadening of FAO's partnerships, something that is essential for the social protection agenda.
- The resources available through SP3 have also been important in allowing the social protection-OO3 group to make linkages across FAO and support strategic activities in partner countries, including the provision of technical assistance. This has been complemented by resources from the Regional Initiatives – another innovation under the reviewed Strategic Framework.

### 3.2 Design of interventions

- 49 To illustrate the many areas of technical focus and their linkages, we developed Figure 2, which shows the social protection-related areas in which FAO has started to get engaged<sup>61</sup>, or (in two cases) where demand has been expressed by stakeholders.
- 50 Figure 2 strikingly illustrates the number and complexity of issues in which FAO is already involved, after just a few years of working on social protection<sup>62</sup>. This highlights the high levels of commitment and productivity of the social protection-OO3 group in FAO and the rapidity with which FAO staff are taking up the new agenda. All these topics are relevant to international needs and expressed demands from countries.
- 51 This broad approach that FAO has taken, exploring many possible entry points, seems appropriate for a new agenda, and it has helped generate interest across the organization and among partners. However, for the future, given the limited resources, it will probably be necessary for FAO to set more explicit priorities among topics. This would also help FAO social protection focal points at country level, who act as the 'funnel' through which most of these ideas and interventions pass.
- 52 FAO has been heavily engaged in national and international advocacy (blue arrows in Figure 2) on the four main social protection themes, that is, expansion of social protection to rural areas, coherence between agriculture/NRM and social protection, integration of social protection into resilience and linkages between nutrition and social protection. Communication and advocacy is an important step in sharing novel concepts and evidence, and in facilitating policy change.
- 53 To move beyond written policy, country decision-makers need solutions to a wide range of practical implementation issues (listed in the boxes shown towards the outside of Figure 2). This may require both technical assistance and generation of new evidence.<sup>63</sup>
- 54 In the evaluation, our interviewees identified a number of areas of social protection where they would welcome greater investment by FAO<sup>64</sup>. These included:

61 Figure 2 does not cover every possible technical area. For example, it does not cover rural insurance, an area that the social protection team is currently exploring.

62 The reality is even more complex, because specific issues often vary by country and location.

63 For example, FAO identifies the following areas of work as point 5 of its framework for increasing coherence between agriculture and social protection: "Supporting programme design and implementation: selecting the appropriate instruments (e.g. subsidy and/or cash transfer); determining the benefit/transfer size commensurate with desired impact; ensuring the timely and predictable delivery of benefits/transfers; ensuring sensitivity to rural and agricultural seasonality and to the profiles of beneficiaries; messaging regarding use of the benefits/transfers and support services." (Gavrilovic et al., 2016), cited in (FAO, 2017a)

64 Note that this was not a representative survey, but this list and the list in Box 8 are offered for consideration

- Evidence generation (see below). We noted particular interest from Latin American governments, who are keen to move from Conditional Cash Transfers (CCTs) to productive inclusion<sup>65</sup> but are concerned about a lack of evidence-based strategies to implement the agricultural side, and the sustainability and scale-up capacity of existing interventions<sup>66</sup>.
- Analysis of linkages and trade-offs between different instruments with social protection functions, in particular the trade-offs between cash transfers, agricultural input subsidies<sup>67</sup> and other (particularly food) subsidies<sup>68</sup>. FAO's Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST) and Monitoring African Food and Agriculture Policies (MAFAP) programmes<sup>69</sup> may be well positioned to collaborate with the OO3.3 group on this.
- Influencing large rural investment programmes to consider social protection issues<sup>70</sup>. Opportunities for this may arise through the FAO Investment Centre<sup>71</sup> and other sector experts in FAO who provide LMICs and regional organizations with technical and design advice on agricultural and natural resource investments, including National Agriculture Investment Plans (NAIPs) and the Comprehensive Africa Agriculture Development Programme (CAADP). Partnering with IFAD and regional development banks could also be scaled up.
- Taking a more strategic role on the scale-up of Home Grown School Feeding, including modelling national food needs, examining alternative food supply chains at scale, following on earlier work<sup>72</sup>, and investigating critical links in the theory of change<sup>73</sup>.

55 Evidence generation is a vital part of the agenda, especially as specific solutions will vary to some degree by location. Box 8 has examples of important practical questions where lack of evidence is a constraint to policy implementation. However, the lessons from OO3.3 are that it is important for evidence generation to be demand-led at country level (paragraph 34).

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65 Las perspectivas de la protección social y la inclusión productiva en Centroamérica y República Dominicana, en el marco de las tendencias Latinoamericanas. Secretaría de la Integración Social Centroamericana (SISCA). Available at: [http://www.socialprotectionet.org/sites/default/files/las\\_perspectivas\\_de\\_la\\_proteccion\\_social\\_y\\_la\\_inclusion\\_productiva\\_spanish.pdf](http://www.socialprotectionet.org/sites/default/files/las_perspectivas_de_la_proteccion_social_y_la_inclusion_productiva_spanish.pdf).

66 In the region, FAO has promoted linking social protection and FSN through online and face-to face courses staff and partners. Available at: <http://www.fao.org/in-action/capacitacion-politicas-publicas/cursos/ver/es/c/425838/>.

67 FAO is already involved in joint studies in Malawi and Zambia on this topic.

68 Although this type of analysis has often been carried out by IFIs, many interviewees felt that FAO is in a good position to support governments to answer policy questions that they generate themselves.

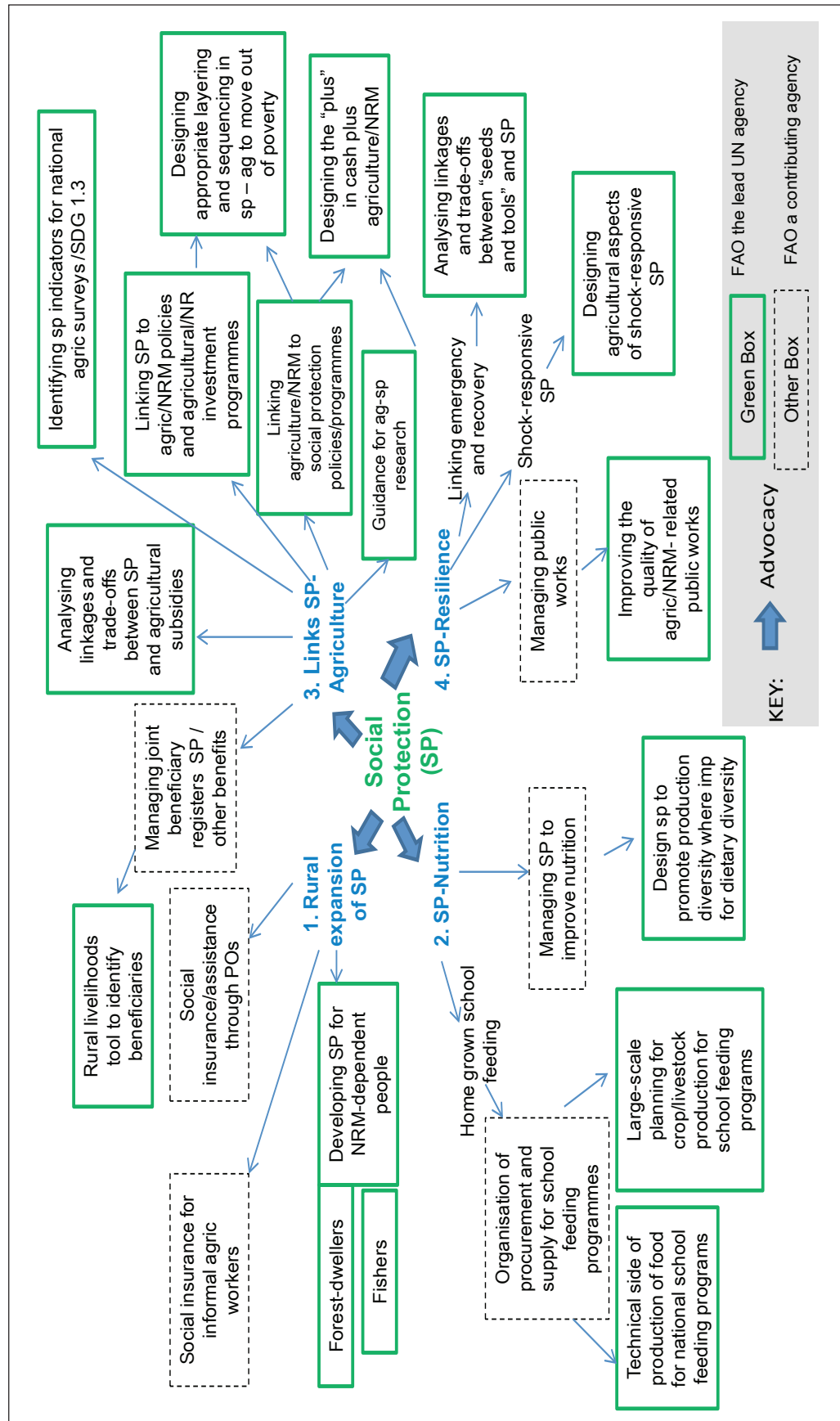
69 Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST). Available at: <http://www.fao.org/europeanunion/eu-projects/first/en/>; and Monitoring and Analysing Food and Agricultural Policies (MAFAP). Available at: <http://www.fao.org/in-action/mafap/home/en/>

70 This is already happening in some countries, e.g. Malawi's National Agricultural Investment Plan.

71 Investment Centre. Available at: <http://www.fao.org/technical-cooperation/investment-centre/en/>. This has also been identified as a priority action for SO3 by the management team.

72 A comparison of supply chains for school food: exploring operational trade-offs across implementation models. PCD, HGSF Working Paper. London. Available at: [http://hgsf-global.org/en/bank/downloads/doc\\_download/471-hgsf-working-paper-7-comparison-of-supply-chains-for-school-food-exploring-operational-trade-offs](http://hgsf-global.org/en/bank/downloads/doc_download/471-hgsf-working-paper-7-comparison-of-supply-chains-for-school-food-exploring-operational-trade-offs).

73 Global School Feeding Sourcebook: Lessons from 14 countries. Imperial College Press. Available at: [http://hgsf-global.org/en/bank/downloads/doc\\_download/476-global-school-feeding-sourcebooklessons-from-14-countries](http://hgsf-global.org/en/bank/downloads/doc_download/476-global-school-feeding-sourcebooklessons-from-14-countries); and Home-grown school feeding: A framework to link school feeding with local agricultural production. World Food Programme. Available at: [http://documents.wfp.org/stellent/groups/public/documents/newsroom/wfp204291.pdf?\\_ga=1.94007317.987303575.1480415905](http://documents.wfp.org/stellent/groups/public/documents/newsroom/wfp204291.pdf?_ga=1.94007317.987303575.1480415905).



**Figure 2:** Illustration of the range of FAO social protection activities

Source: constructed by evaluation team from data provided by FAO (see also Appendix 2 and Box 3)

**Box 8:** Examples of practical social protection questions where there is demand for evidence of what works

- i. Layering and sequencing in rural 'productive inclusion' (SP-rural livelihoods) programmes: How can households move out of poverty through a combination of social protection and livelihood support? Can households realistically be categorized into clear stages of support, with different packages? How does this vary by location, gender and other factors? **Are there simpler and cheaper alternatives to the BRAC/CGAP model?** <sup>74</sup> We noted particular demand from Latin American countries for rigorous evidence on what works best in the Latin American context.
- ii. How can social protection programs be designed for better targeting of rural people? FAO is already investigating this e.g. in Lesotho, but there is demand from other regions, for example Eastern Europe and Central Asia<sup>75</sup>.
- iii. Cash+ in a protracted crisis: What is the best agricultural "plus" in "cash plus"? For example: seeds (what type), training, livestock, training, animal health, a mixture of two or more? Is the "plus" fairly predictable for each location and type of household? (i.e. can tools be developed to help decision makers choose?) If not, what then? How best to manage the "plus" for sustainable recovery (seed systems etc)?<sup>76</sup>
- iv. How can 'shock responsive social protection systems' be best designed to support rural livelihoods? How can shock responsiveness be linked with 'graduation' to help people who fall back into poverty after 'graduating'<sup>77</sup>.
- v. How to ensure social protection policies are designed to meet the needs of people dependent on natural resources? For example, how can fisheries management and conservation policies be designed to work well together with compensatory mechanisms via social protection?<sup>78</sup>
- vi. (A key question for SO3): How should specific rural social protection programs best be designed so that they work with other programmes to lead to rural transformation and promote "no-one left behind"?<sup>79</sup>
- vii. What are the key practical organizational and budgetary issues that need to be addressed to promote coherence between agriculture and social protection, building on relevant cross-sectoral work in nutrition<sup>80</sup> while ensuring that systems are not overly complex to manage?<sup>81</sup>
- viii. How can the design, implementation and evaluation of social protection be better adapted to local rural contexts, in particular the needs of specific ethnic and cultural groups? This issue was raised in relation to indigenous peoples in Latin America (but is widely relevant.)

Source: evaluation team, based on interviews and document review

56 **We found all the four themes of work of OO3.3 to be important and relevant.** We would single out the following themes which stakeholders raised as being of particular value, where OO3.3 is potentially filling an important gap in international support:

- Linkages between agriculture and social protection, in particular coherence between cash and agriculture/food related subsidies.<sup>82</sup>
- Expansion of social protection into natural resources-dependent populations (forests, fishers), and coherence between NRM policy and social protection policy.
- Linking social protection into the SP5 agenda, in particular FAO's humanitarian and resilience activities.

74 Banerjee et al., 2015; de Montesquiou and Sheldon, 2014; Sulaiman, 2016.

75 In many countries of the region, social protection is concentrated in urban areas. One factor is the difficulty of targeting in the context of informality of the rural sector. The definition of poverty adopted by the government may exclude many rural poor, for example in Kyrgyz Republic and Georgia, having even one head of livestock makes households ineligible for state social benefits.

76 Longley, 2001; Pingali et al., 2005.

77 Mariotti et al., 2016.

78 Béné et al., 2015.

79 Béné et al., 2012.

80 Pomeroy-Stevens, D'Agostino, et al., 2016; Pomeroy-Stevens, Shrestha, et al., 2016.

81 Mariotti et al., 2016.

82 This is also an area of interest for the World Bank, but stakeholders felt that FAO's mandate and relationships made it important that FAO should invest in this area

### 3.2.1 Contributions to FAO gender equality objectives

- 57 Gender is a critical issue for OO3.3 Social protection, if well designed, has the potential to improve gender equality and women's empowerment in the agricultural sector<sup>83</sup>. Due to various social and practical constraints, women may also find it much more difficult than men to 'graduate' from social protection programmes<sup>84</sup>. The three areas identified in FAO's social protection framework (equality of access, gender-sensitive programme design/ implementation and complementary interventions for women) are all relevant.
- 58 OO3.3 has given a lot of attention to gender issues, developing many knowledge products and training materials and starting to give courses in this area (Appendix 5). It is too early however to evaluate the effectiveness of this work.

**Box 9:** Example of OO3 work on gender: Gender analysis of a public works programme in Rwanda

Through PtoP, FAO carried out an investigation into rural women's economic empowerment in the public works component of Rwanda's flagship social protection programme: Vision 2020 Umurenge Programme (VUP). The findings suggested that VUP was having some positive impacts, but needed to improve its design and implementation for the full benefits to reach women (and men). Many practical issues were identified; here are three:

- The majority of workers are women, but the payments mostly go to the male heads of households, who have accounts with rural finance institutions. (Other research has shown that access by women to funds may increase agricultural productivity as well as the health and nutrition of the household.) This suggests that support to women to be able to open accounts, manage funds and access credit would be useful.
- Participating women had increased workloads, and offloaded some household responsibilities to their children. (Other research has shown that this may have negative implications for nutrition and health). This is partly because VUP work sites are far from home – 2.5-3 hours on average, in one survey. VUP could consider broadening the programme to public works located closer to households (e.g. more agricultural activities), providing transport to worksites, and/or providing childcare.
- VUP did have a small effect on reducing distress migration (e.g. during drought) of both women and men, but not as much as it could do, due to the lack of a minimum number of days of guaranteed work, the distance to work sites, and low and delayed payments. Addressing these issues is likely to help reduce distress migration.

The study findings were fed back to participants and stakeholders at all levels (village, district and national) and were also discussed with key policy makers and international agencies supporting VUP.

Source: summarized by evaluation team from (Pavanello et al., 2016) and other documentation.

- 59 A recent review of the effectiveness of different gender approaches in aid concluded that it is important to be very concrete in identifying priority changes needed: "Too often strategies, programmes and projects are vague about the [gender] outcomes they seek to achieve ..."<sup>85</sup>. *Evidence generation* is a powerful tool in translating gender concepts into practical, location-specific issues to be addressed. OO3.3 has produced some excellent evidence on gender (for example see Box 7). One question to consider is how to integrate evidence collection like this more systematically into programs. OO3 (PtoP) has produced useful methodological guidance for conducting similar studies which is a good start<sup>86</sup>.
- 60 Many of the SO3 focal points (and social protection focal points) are also gender officers, so they should be in a good position to promote the 'gender agenda' in social protection.

83 Transforming gender constraints in the agricultural sector: The potential of social protection programmes. Global Food Security. Available at: <https://www.sciencedirect.com/science/article/pii/S2211912416300311> (accessed 31 January 2017)

84 Say for Development. Available at: <http://www.sayfordevelopment.net/can-all-women-graduate-the-challenges-of-graduation-programmes/>

85 Grown et al., 2016

86 Pavanello et al., 2015

### 3.2.2 Areas of geographical focus

61 Globally, the largest numbers of rural poor (Table 7) are in South Asia and sub-Saharan Africa. As summarised in Table 2, most FAO social protection activities to date have been in sub-Saharan Africa (Table 5). In southern and eastern Africa this partly reflects building on successful programmes and partnerships already in place prior to SP3, both with national governments and international agencies such as UNICEF. In West Africa, it probably reflects a very active group of FAO regional office staff who made links across many West African countries<sup>87</sup> and regional organizations such as ECOWAS (Box 5). Social protection work in South Asia is at an earlier stage. For example, there are plans for joint work on resilience and nutrition in Nepal, the FAO India Country Programming Framework contains an output on social protection (Table 8)<sup>88</sup>, and there has been work on social protection related to forestry and fisheries in China and Myanmar.

**Table 6:** Global distribution of rural poverty (headcount)

Region	Estimated numbers of rural people in poverty (millions), using:	
	Multi-dimensional (MPI) poverty	National income poverty headcount
South Asia	719.5	389.3
Sub-Saharan Africa	402.6	198.0
East Asia and Pacific (excluding China)	46.8	49.7
Latin America and Caribbean	20.0	43.9
Middle East and North Africa	19.7	23.9
Europe and Central Asia	5.5	17.7

Source: Extracted from Alkire et al (2014), Tables 1 and 3. Note that the two columns cannot be directly compared because estimates were based on different sets of countries and time periods (MPI was the most recent data available between 2003 and 2013, income data was from <http://wdi.worldbank.org/table/2.7#> accessed May 2014), as well as using different methodologies. China is excluded from both due to lack of recent data.

- 62 Numbers of poor people are of course only one criterion in choosing partner countries for FAO investment; other very important considerations are country demand and the ability of FAO to make a difference<sup>89</sup>. As already mentioned, when this involves complex technical issues such as designing 'productive inclusion', it is likely to involve major investments in evidence generation and technical assistance. Organizing additional resource mobilisation for a few (3-5) focus countries where demand exists might be helpful in demonstrating results on the ground<sup>90</sup>.
- 63 At the same time, the social protection agenda is expanding to many more partner countries (Figure 1), and social protection expertise and support is being demanded by a rapidly-increasing number of FAO country offices and partners, putting increasing demands on the headquarters team. In other organizations, expanded demand for technical advice from country staff has been managed in various ways to reduce the burden and improve efficiency and knowledge management, for example by giving responsibility for providing advice to a small group of headquarters staff; by supporting regional staff to take on this role; or by outsourcing part of the work to an external technical expert group that can advise staff in country<sup>91</sup>. Technical networks can also help staff to help each other.

87 As well as initiating policy work with Rwanda, Uganda and Angola

88 This is a result area under Output 2 (Reducing vulnerability): "FAO technical support to (a) strengthening social protection, and (b) risk management (including crop insurance) mechanisms to enhance resilience building, especially in arid and disaster risk prone districts". However it is not reported against SO3.

89 This can be more challenging in larger and richer countries such as many Asian countries, for example.

90 For example, FAO has now got two people working on social protection in (each of) Lesotho, Malawi and Zambia; but two people is still a relatively light team for a complex agenda.

91 For example, GRSDC <http://www.gsdr.org/> started out as a help-desk for DFID advisers located in country offices around the world

### 3.3 Programme design: adequacy of intervention logic and delivery mechanisms

64 This section looks at intervention logic, funding mechanisms and approaches used by FAO to advance the social protection agenda.

#### 3.3.1 Intervention logic

65 The *FAO Social Protection Framework* sets out a broad vision of transformative social protection<sup>92</sup>. The analysis it contains is in line with the dominant international analysis of this area. However, it is a framework not a strategy. It identifies a broad target group<sup>93</sup> and a large number of potential entry points<sup>94</sup> and embraces the complexity of the topic, for example, in listing over 30 types of interventions of interest, including enablers and interventions with social protection functions<sup>95</sup>. The framework does not provide clarity about where FAO will and will not get involved, or situate the work of FAO within the work of other international agencies in this area (although it does commit FAO to working in partnerships). We would suggest therefore that the framework is complemented with a short strategy paper that addresses these points.

66 At country level, OO3.3 supports work on a variety of themes and topics (see example in Box 6). The theory of change for each activity is not always explicit, although interviews with FAO staff make it clear that there is always an implicit theory of change, usually based on evidence generation and making country-level partnerships.

#### 3.3.2 Poverty analysis

67 OO3.3's work is potentially very important for poverty reduction. Strategic Objective 3 as a whole is moving FAO away from its traditional focus (agricultural productivity and growth) and its traditional target group (small farmers) to focus on a much broader target group of the rural poor, including landless farm labourers, farming households with severe land and labour constraints, and the poorest people dependent on natural resources for their livelihoods (e.g. woodcutters and poor fishers). The OO3.3 work on expanding social protection to reach these poorest groups can have major benefits not only for their lives and livelihoods but also for the wider rural economy, as demonstrated by evidence from PtoP (Box 3).

68 However, not every social protection intervention is pro-poor.<sup>96</sup> Our interviewees (both in FAO and among partners) expressed a wide range of views on the value of social protection, from those who saw social protection mainly as an instrument to reach the very poorest groups (without much expectation of their 'graduation'), to those whose main interest was in finding ways of graduating poor (but not the poorest) people off

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92 Devereux and Sabates-Wheeler, 2004

93 (p 16-17): "FAO's work will support social protection for all... In particular, it will strive to support countries to ensure that social protection interventions reach the following groups:

- those whose livelihood depend on natural resources such as farming, livestock, fisheries or forestry or, more generally, on food systems;
- those whose sources of *production-, labour- or transfer-*based income and food are too limited to sustain resilient livelihoods; and
- those whose food security is highly vulnerable to risks, be they natural (droughts, earthquakes, floods, etc.) or the result of human activity (e.g. conflict or inflation); correlated (e.g. market price fluctuations, social and ethnic discrimination, lack of rainfall, etc.) or uncorrelated (e.g. illness, loss of job, death of breadwinner)."

94 e.g. p. 35: "FAO aims to focus on the following key strategies for its engagement in social protection: promoting and supporting policy dialogue at global, regional and country levels...; generating and disseminating knowledge and evidence ... including strengthening data collection, impact evaluation and operational research; developing capacities at regional and country levels, including of sub-national and community structures, to support the preparation, implementation, monitoring and evaluation of evidence-based policies and programmes; increasing evidence-based advocacy and outreach...; and facilitating strategic partnerships... between governments, development partners, civil society and the private sector, including south-south collaboration..."

95 "Figure 2, Focus of FAO's work on social protection"

96 This is not a criticism. Social protection has many important functions, including risk management, which are relevant for other income groups.

social protection as quickly as possible, to those who saw social protection as a useful instrument to promote national economic growth and cushion urbanisation. These views are not all necessarily incompatible, but they may lead to slightly different programmes with slightly different target groups.

- 69 OO3.3, as part of Strategic Objective 3 (Reduce Poverty), has an important function in mainstreaming poverty analysis and monitoring throughout social protection work. Such analysis may also help in prioritising topics for OO3.3 support when resources are limited. While poverty analysis is explicit in all the *analytical* work of OO3.3, it is not always visible in field interventions tagged to OO3.3. The expected scale and depth of poverty reduction is another important consideration that is sometimes missed out from documentation.

### 3.3.3 Approaches and instruments

#### Regional Initiatives

- 70 From our country visits, the evaluation team formed the impression that RIs are potentially very useful instruments and appreciated by countries, particularly in taking forward new agendas such as social protection. Four main reasons were given for this:
- RIs are based on consultation at country and regional level and reflect regionally-identified priorities.
  - RIs can provide flexible financial and human resources for introducing new areas of work in partner countries.
  - Many RIs are structured to work closely with regional organizations (e.g. ECOWAS in West Africa or CELAC in Latin America), so when regional policies include social protection issues, this can form a useful entry point for policy dialogue at national level.
  - Internally, RIs can be helpful to “translate” the new SO thinking into concrete themes. Also, RIs are focused on outcomes and can bring together several SPs as needed.
- 71 The lack of an RI with the words “social protection” in the title does not seem to have held the social protection agenda back to date. However, given that there is a specific SDG (1.3) relating to expansion of coverage of social protection, there may be an argument for developing a regional programme (and mobilising resources) for a key aspect of expansion of social protection, for example, expansion to NR-dependent communities (such as indigenous people), when there is a major gap in provision and FAO's advocacy and support would be valuable.

#### Country programmes

- 72 As explained earlier, since 2011 FAO has been using three-year Country Programming Frameworks (CPFs) to manage its work in partner countries. Understandably, first generation CPFs were largely ‘retrofitted’ to work already in progress. The second round of CPFs is now underway and CPFs have started to reflect FAO's reviewed Strategic Objectives much more closely, including new agendas such as social protection. To get an idea of how commonly social protection is integrated in CPFs, the evaluation reviewed a sample of all the available (23) CPFs that covered a period of work starting in 2016<sup>97</sup>. The results are shown in Table 8. Nearly half (11) CPFs had social protection as or within one of the main outputs or objectives. In four CPFs, social protection was not a specified output, but the CPF contained some relevant social protection activities. Together, the above countries represented four of FAO's five regions (and the fifth region was not represented in the 2016 CPFs), showing that interest in the social agenda has spread widely within FAO. Just over a third of CPFs (8) did not specify any output or activities in social protection. However, virtually all the CPFs contained some activities with social protection functions.

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97 This is not a complete list of CPFs including social protection, as some countries integrated it earlier – examples from evaluation case study countries include Malawi, Paraguay and Zambia.

**Table 7:** Analysis of social protection within Country Programming Frameworks starting in 2016

Focus area/output/result	Minor area of engagement, or new area under development	Not mentioned (but see text)
Antigua and Barbuda Armenia Bahamas Georgia Guyana Jamaica India Mozambique St Kitts and Nevis St Lucia St Vincent	Belize Cambodia Moldova Suriname	Barbados Eritrea Honduras Liberia République Centrafricaine Tajikistan Ukraine Uruguay

Source: Evaluation team analysis of all available CPFs starting up in 2016/98

- 73 The recent SO5 evaluation found that “The country programming frameworks (CPF) are filling a real need at country level. They helped clarify the mutually agreed areas of work between government and FAO, attract the attention of donors, and identify possible areas of collaboration. In the staff survey, the CPF was rated as the single most useful FAO mechanism”<sup>99</sup>.
- 74 CPFs, however, set out what FAO *wishes* to accomplish, and many CPFs end up only partially funded. Many FAO country offices have very few permanent staff; most are fixed-term staff and consultants employed on temporary contracts largely financed by donor-funded projects. This is challenging for new areas of work such as social protection because donors often base their offers on FAO’s previous profile and skills rather than on the emerging FAO agenda. Interviewees from other international agencies working at country level noted that it is essential to build up and clearly communicate a profile of specialist skills and knowledge that can make a unique contribution to partnerships<sup>100</sup> and may also attract funders.
- 75 The evaluation also noted that some FAORs could be more proactive in linking social protection work to FAO’s broader agendas in the partner country, e.g. agricultural subsidy reform, training of agricultural extension workers or drought management. Even where social protection has been introduced as a new theme of work, it may be isolated from other key policy issues if the country office is fragmented in its approach.

### Policy dialogue and advocacy

- 76 Interviewees agreed that FAO has a very useful role to play in policy dialogue and in advocating for the four main social protection themes, i.e. expansion of social protection to rural areas, coherence between agriculture and social protection, integration of social protection into resilience and linkages between nutrition and social protection. FAO’s convening powers, perceived neutrality, good linkages with Ministries of Agriculture, and ability to link national, regional and international levels were all cited as benefits for FAO’s involvement.
- 77 OO3 has been strategic in its policy dialogue at different levels. One example is the work done with SP5 on integrating social protection and resilience. OO3 worked closely with

98 In several CPFs (especially in the Caribbean), the only social protection output listed was Home Grown School Feeding, which is related to the regional project “Strengthening School Feeding Programs in the Framework of the Zero Hunger Initiative in Latin America and the Caribbean 2025” that is reported under SP1.

99 Evaluation of FAO Strategic Objective 5: Increase the resilience of livelihoods to threats and crises. Available at: <http://www.fao.org/3/a-bq613e.pdf> (page 8).

100 For example, WFP has built up significant skills in managing procurement to benefit small farmers especially in Home Grown School Feeding <http://www1.wfp.org/centre-of-excellence-against-hunger> while ILO is known for its expertise in design of social insurance and is building expertise on the management of single beneficiary registries.

SP5 to develop common policy and position papers<sup>101</sup>, culminating in a presentation at the 2016 World Humanitarian Summit<sup>102</sup>. OO3 has also been working very closely with partners on these policies, including DFID, UNICEF, WFP, the World Bank and ECHO. This has helped moved thinking forward both in FAO and globally.

- 78 The main message received from evaluation stakeholders in partner countries has already been emphasised in this report: that in-country presence is vital wherever FAO wishes to engage in policy dialogue at country level, and that this will need to extend beyond the relatively few countries where FAO has social protection experts in place. It is therefore important that FAO staff in key policy-related positions have a minimum understanding of relevant social protection policy issues (paragraph 40). It is also important to have clear institutional objectives and milestones for policy dialogue around these topics.

### Evidence generation

- 79 Evidence generation has been a key part of the FAO social protection agenda from the beginning (Box 3) and has been highly relevant to FAO's effectiveness (Table 11). The social protection analytical group<sup>103</sup> in ESP has built up an excellent international reputation in generation of rigorous evidence to inform policy on agriculture and social protection. Other parts of FAO have also engaged in evidence generation under OO3, for example, the ongoing evaluation of FSN impacts of the National Conditional Cash Transfer Program in Dominican Republic. FAO is uniquely positioned to manage policy-relevant evidence generation not only because of its UN mandate and broad acceptance by partner governments, but also because FAO can respond to the needs of particular countries without being subject to the 'publish or perish' constraints of many other research organizations, and because FAO has a broad sphere of activity which enables it, for example, to compare potential benefits and costs from social protection to those of other investments in agriculture and rural development.
- 80 Some of the key lessons learned from experience with evidence generation to inform policy<sup>104</sup>, are:
- i "Demand was primarily for domestic rather than regional or international evidence, and external evidence was not identified as an adequate substitute for domestically derived evidence in terms of effective policy influencing"<sup>105</sup>.
  - ii Wherever possible, generate evidence on nationally-owned programmes rather than pilots that may be perceived as donor-driven<sup>106</sup>.
  - iii A variety of research approaches are useful, including (for example) quick surveys, economic modelling, qualitative assessments, political economy analysis, operations research and both process and impact evaluations. Qualitative and quantitative evidence are both important. Where possible, it is cost-effective to build on existing research programs.
  - iv Working closely with policy-makers to generate evidence to answer their priority questions and doubts. For example, three important questions directly addressed by PtoP were the effects of cash transfers on dependency of beneficiaries, the use of cash transfers for productive investment by the poorest and fiscal sustainability of social protection programmes.
  - v Timing evidence generation to feed into key decisions. Often, the biggest policy effect is from quick studies that are well timed<sup>107</sup>, although more rigorous, longer research studies may be important to verify the results.

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101 Information sheet: Complementing Social Protection and Agriculture: combining cash transfers with Home Gardening production and Nutrition during El Niño emergency response; and FAO Position Paper: Social protection and resilience: supporting livelihoods in protracted crises, fragile and humanitarian contexts. Unpublished draft.

102 Social protection in protracted crises, humanitarian and fragile contexts. Available at: <http://www.fao.org/emergencies/resources/documents/resources-detail/it/c/415688/>

103 The PtoP team recently evolved into the Analytical Group within the social protection team in ESP, and its research skills are in increasing demand, including from other parts of FAO.

104 Principally from PtoP/TP (Davis et al., 2016)

105 McCord et al., 2016 (p.36).

106 See (Pruce and Hickey, 2017) on the Zambian experience

107 See Lesotho study in Davis et al; and McCord et al., 2016 (p.36).

- vi Using national researchers and, where needed, building national research capacity is not only good practice but also helps build national ownership.
- vii Maintaining close relationships with policy-makers throughout the process makes it more likely that they will take ownership of the conclusions and act upon them.
- viii Package evidence appropriately for various audiences, including tackling myths and misperceptions. One of the most powerful messages from PtoP was that “social investment is an investment, not a cost”.
- ix Policy change may require long-term engagement through the ups and downs of political change. For example, the Malawi case study concluded that the evidence generated initially had little immediate impact on policy, but it kept up interest in maintaining the cash transfer programme through a difficult political period and was then taken up when conditions were more favourable.
- x Regional bodies and networks are an important audience not only strengthening cross-country learning but also feeding into regional policy commitments (e.g. by the African Union) which then reflect back into national policy commitments.

81 For FAO, two of the most important conclusions are:

- There will be a continuing demand for evidence generation on social protection since policy-makers want evidence from their own country and will rarely be satisfied with a report from somewhere else (lesson a).
- Wherever possible evidence generation is best organized by people who are based in the country long-term, working closely with national policy-makers and other key stakeholders (lessons d-i).

82 Managing evidence generation as an integral part of country programmes will require appropriate skills in country offices (see paragraph 40) as well as additional resource mobilisation. In this context, it is worth noting that other resources (both financial and human) already exist in FAO for some types of evidence generation that could be important for social protection, and that there might be scope for better cross-linkages and making use of these opportunities. For example, some resources exist in FIRST and MAFAP (which both have their own funding) to carry out analyses such as (for example) public expenditure reviews and modelling of cash transfers vs. agricultural subsidies. The same may be true of other FAO projects.

### Analytical tools

83 As mentioned earlier, FAO has developed/is developing various analytical tools in the area of social protection, including several national-level diagnostic tools: e.g. assessing coherence between social protection and agriculture policies<sup>108</sup> between social protection and fisheries policies (forthcoming) and how social protection contributes to food security and nutrition outcomes. As a normative agency, FAO is working well within its mandate to create such tools, and clearly the social protection-OO3 group is making good efforts to coordinate and harmonise with others, in particular with the Inter-agency Social Protection Assessment (ISPA). However, it is worth mentioning the risk that countries can be overwhelmed by different types of external assessments and that harmonisation at one level (social protection) does not preclude overlap with tools created by other groups (for example sector assessments). This issue has been raised in a recent international workshop on social protection<sup>109</sup>. However, there is no evidence that this is happening for any OO3 tools.

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108 Strengthening coherence between agriculture and social protection to combat poverty and hunger in Africa: a Diagnostic Tool. Rome: FAO. Available at: <http://www.fao.org/3/a-i5385e.pdf>.

109 Social Protection Systems, Tying the Knots Documentation of the Symposium on Social Protection Systems, September 5 & 6, 2016. Bonn-Rhein-Sieg University of Applied Sciences, Friedrich-Ebert-Foundation, GIZ, the German Development Institute, and the Maastricht Graduate School of Governance. Available at: [https://www.h-brs.de/files/documentation\\_symposium\\_2016.pdf](https://www.h-brs.de/files/documentation_symposium_2016.pdf).

## Capacity development

- 84 The FAO social protection framework<sup>110</sup> identifies three main capacity development aims:
- *enhance the capacity of internal and external global, regional and national partners on the development and use of analytical tools* to inform policy and programme design ... and to assess the effectiveness of social protection systems;
  - *establish regional learning hubs* and connect government representatives to reference institutions in “champion countries” of their region to allow for exchange of experience and expertise;
  - *provide rural institutions and organizations with support to provide social protection and linked agricultural services* and to participate in national consultation related to social protection systems<sup>111</sup>.
- 85 OO3 (with partners in SP1 and SP5) has been very active in preparing training materials and delivering training courses (Box 10) on a variety of themes related to social protection, including agriculture and food security, gender and nutrition, in several regions. As mentioned earlier, FAO has also developed partnerships with well-established training organisations including the Institute of Development Studies (IDS), the International Training Center of the International Labour Organization (ILO) and United Nations University (UNU)/Maastricht University. It is too early, however, to evaluate the effectiveness of these products.
- 86 Capacity development is a potentially very important part of FAO's work on social protection at global, regional and country levels. That being the case, it would be useful for OO3.3 to develop a capacity development strategy that could situate OO3.3 training activities within a wider theory of change for capacity development (covering individual, organisational and institutional aspects), drawing on FAO's capacity development policies and expertise<sup>112</sup> and also making appropriate provision for monitoring and tracing results.

### Box 10: External training courses carried out by or in collaboration with OO3.3

- 2014 “Strengthening Coherence between Agriculture and Social Protection”, Regional Consultative Workshop, South Africa 90 participants
- 2015 Learning exchange on linking social protection with food security and agriculture-based livelihoods in Southern Africa (in collaboration with the Southern Africa Food Lab at Stellenbosch University and REOS Partners, Lesotho, Mozambique and South Africa, 35 participants
- 2015 Training for FAO staff and external researchers on Local Equilibrium Wide Impact Evaluation (LEWIE) methodology, 18 participants
- 2016 Series of regional trainings focusing on cash in emergencies (design and implementation) led by the Cash Unit, FAO-TCE
- 2016 Module on Social protection, food security and agriculture, IDS Training programme on Social Protection,
- 2016 ITC-ILO Social Security Academy FAO Elective course “Linking social protection with agriculture and food security, 16-30 participants

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110 FAO's Social Protection Framework: Enhancing Food Security, Nutrition and Rural Development Outcomes for All.

111 The full text (p. 32) is: “provide rural institutions and organizations with: (1) a knowledge and evidence base to inform institutions' provision of agricultural extension services and consultations as part of social protection interventions; (2) technical support to develop and strengthen the capacity of rural organizations to provide, for example, access to social protection, credit, markets and resources to increase rural people's productivity, agricultural inputs, agro-extension advice and training in related areas; and (3) support to develop accountability and participatory approaches to facilitate the active participation of non-formal and community-based organization in the development of social protection systems.”

112 FAO Capacity Development. Available at: <http://www.fao.org/capacity-development/en/>

### 3.4 Communications: shared and common understanding and commitment among stakeholders

#### 3.4.1 Internal communications and capacity development

87 Social protection is a new agenda for FAO, and good internal communication is vital to mobilize staff to take it on. In a large organization such as FAO it is not always straightforward to introduce any novel area of work because it demands new ways of thinking<sup>113</sup> as well as new kinds of skills. Internal communication and capacity development are therefore closely related.

88 The evaluation team found that the social protection team in FAO headquarters, together with regional social protection officers, have managed to get a good degree of internal engagement in this new agenda within a few years (as evidenced by the rapid rise in country-level activities (Figure 1 and Table 5) and appearance of social protection in CPFs (Table 8). Some of the factors which may have promoted this rapid rise include:

- The choice of social protection as the topic for FAO's flagship publication *State of Food and Agriculture 2015* sent a signal internally (as well as externally) that this is an important agenda for FAO.
- Many FAO staff have been trained in social protection-related issues (Box 4)<sup>114</sup> and an internal virtual Technical Network on social protection has been set up<sup>115</sup>.
- Internal communications have been pitched at a strategic level, directly engaging FAORs and other key decision-makers (Box 4). For example, a technical workshop was held for FAORs and technical staff from 20 African regional and country offices to look at the state of evidence on social protection and agriculture, map possible entry points for social protection, and define the support needed from headquarters, regional offices and partners<sup>116</sup>. Some FAORs told us that this was an excellent introduction and that they have followed up in their partner country. A similar workshop was held recently for the Regional Office for Europe and Central Asia (REU).
- OO3.3 resources were also used to engage the different technical teams in FAO to take forward a wide variety of activities on social protection related to their specialist areas (Table 1 and Appendix 3). Based on our interviews, this "let a hundred flowers bloom" approach seems to have been successful in generating interest and enthusiasm in many technical teams and in showing how social protection could be relevant to their work. An example of this is the passionate engagement of fisheries staff in integrating social protection with labour issues and human rights for fishers.
- OO3 has also worked hard to increase FAO's social protection capacity through recruitment, using a combination of OO3, regional and country funding to recruit consultants at country level, and also gaining some permanent staff positions (see Table 2 and accompanying text).

89 The evaluation team finds that this is an impressive level of accomplishments in a few years. However, FAO is large and there is yet more to do. Two suggestions for consideration are:

**(a) Targeted support to country-level staff:** Despite efforts made to date there are only a small number of FAO country office staff specialised in social protection, and with few exceptions these are working alone in their country or regional office. Some organizations

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113 If technical staff are focused on agricultural productivity as their main objective, or they are working with implicit assumptions that higher agricultural productivity will naturally lead to poverty reduction, then they may see less value in social protection. For this reason, awareness-raising for social protection may be more successful if it is well embedded within a broader SO3 agenda of awareness raising and capacity development on rural poverty and how to achieve poverty reduction.

114 This has mostly been via courses organized externally, in particular by the Institute of Development Studies (<http://www.ids.ac.uk/study/short-professional-courses/csp-training>) and the Academy on Social Security, International Training Centre of the ILO (ITC-ILO) (<http://www.itcilo.org/en/areas-of-expertise/social-protection/academy-on-social-security>), including taking advantage of training courses for partners to train some FAO colleagues.

115 Until now the Social Protection Technical Network has mostly been used as an information service for external events. However, the social protection team has plans to step up two-way communications in 2017, e.g. through webinars.

116 FAO Regional Conference for Africa, Twenty-ninth Session Abidjan, Côte d'Ivoire, 4-8 April 2016: Reporting on the Recommendations of the 28th Session of the FAO Regional Conference for Africa. Available at: <http://www.fao.org/3/a-mp589e.pdf>.

support their professional cadres through regular global and regional meetings but this requires significant financial resources. Given resource limitations, more modest suggestions would be (i) to use the virtual technical network more proactively (this is planned for 2017) and (ii) to organize regional groups of social protection staff who could support each other including regular virtual meetings.

*(b) Identifying the social protection skills and competencies<sup>117</sup> needed by staff who are not social protection specialists especially at country level, and planning structured capacity building to address these needs.* For example:

- Many FAO staff are in prime positions to influence national and regional policy: for example FAORs, FIRST officers<sup>118</sup> and co-convenors of national working groups on food security or agriculture. These staff do not need to be specialists in social protection but they could be trained in the key policy issues and trade-offs related to social protection<sup>119</sup> – including up-to-date evidence of what works and what doesn't, and (in some cases) how to manage evidence generation (see next point). National staff members in particular may be an under-used resource: they are in an excellent position to influence policy and often stay in a country office for the long periods of time needed to see through real policy change into implementation and impact.
- If FAO is to roll out evidence generation as a key instrument for improving social protection in-country then selected FAO staff at country level (with appropriate backstopping from headquarters staff) would need specific skills in managing research and building partner capacity<sup>120</sup>. Any staff member managing evidence generation needs specific skills in designing research and managing the research-policy interface. This would include, for example: (i) identifying important policy questions that are amenable to evidence generation, (iii) getting key stakeholders on board, (ii) writing high quality terms of reference appropriate to the type of research/evidence required, recruiting and managing researchers, (iii) managing stakeholder learning, and (iv) developing capacities of country partners to do this type of work. Many FAO staff reportedly have skills in these areas but not everyone in country offices will have the full skillset required.
- Social protection may put new demands on the agriculture and natural resources skills of FAO. FAO is not a cheap provider of technical assistance (TA), and interviewees from partner countries made it clear to the evaluation team that they expect FAO to provide high quality TA with specialised experience and skills, especially where countries are using their own resources to finance the TA and/or where there are many highly-skilled nationals. For example, specialised technical and social skills in agriculture and natural resources may be needed: i) to work with groups of people that may not have been traditionally the focus of FAO, such as the poorest labour constrained households, indigenous peoples or natural resource dependent populations; ii) to develop appropriate agricultural combinations for the "plus" in "cash plus"; and iii) to provide technical support and oversight for agriculture-related public works. Some of these skills exist in FAO but not necessarily in country offices, and not necessarily adapted to the reality of a particular country. Even where FAO is outsourcing the technical side of a social protection project, for example to an NGO, it is important for the FAO manager to have a clear understanding of the issues.

### 3.4.2 External communications

90 According to our interviewees, within just a few years FAO has become very visible in international circles concerned with social protection. Part of the reason for this is that FAO has made significant investments in communication around social protection and ensured

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117 The World Bank identifies specific social competencies that are needed from all staff in certain decision-making positions (Gross and LeDuc, 2010). DFID, (n.d.) uses professional competency frameworks that identify the sets of professional skills needed for different types of technical posts. These are used for capacity development (to identify specific skill gaps) as well as recruitment, placement and promotion of staff.

118 Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST). Available at: <http://www.fao.org/europeanunion/eu-projects/first/en/>. There is already some social protection training planned for FIRST officers, for example on nutrition sensitive social protection in 2017, but a more comprehensive look at their training could be useful.

119 To promote social protection as part of the wider SO3 agenda, policy specialists also need many general skills in social areas which were traditionally not given much prominence in FAO, in particular poverty and gender analysis, and also cross cutting topics such as gender, youth and indigenous peoples.

120 FIRST Project officers for example would be prime candidates for such work, but they are not active in every FAO country (<http://www.fao.org/europeanunion/eu-projects/first/en/>).

that its products are made available to key users<sup>121</sup>. FAO has produced many high-quality knowledge products, as listed elsewhere in this report. In fact, interviewees from another international agency cited written communication as one of the “top skills” of FAO in the social protection area.

- 91 FAO has used its knowledge products effectively to influence the global agenda of linking agriculture and social protection. For example:
- The 2015 State of Food and Agriculture SOFA focused on the links between social protection and agriculture. Several interviewees from other international agencies praised the SOFA as innovative, raising important issues that had not been previously raised.
  - PtoP (Box 3) was cited by many interviewees as being ‘outstanding’ and key in establishing FAO as an important international player in social protection.
  - OO3.3 teamed up with SP5 to prepare and present analytical and briefing materials for the 2016 World Humanitarian Summit and the Committee for Food Security<sup>122</sup>. This has helped establish FAO as an important international player in linking social protection and the resilience agenda.
- 92 Influencing national agendas usually requires face to face engagement and a good understanding of political economy, especially in environments where research evidence is less valued than practical experience. More than one national interviewee pointed out to us that many people do not take time to read written materials especially with a flood of new publications coming out all the time. FAO's country offices have been key to communication of FAO's social protection agenda in partner countries. The regional offices have also played key roles in promoting social protection – for example, in facilitating high level national discussions (e.g. RAF with the headquarters team in the Rwandan Parliament<sup>123</sup>), in linking regional and national policy advocacy (e.g. RAF's work with ECOWAS, RPCA and various West African countries, Box 5) and in helping to negotiate new programmes (e.g. supporting Home Grown School Feeding in many Caribbean and Central American countries through a regional project in LAC<sup>124</sup>).

### 3.5 Partnerships

- 93 As mentioned earlier, following the reviewed Strategic Framework, FAO's partnerships have evolved and this has been very important for the social protection agenda:
- At country level some FAO offices have moved beyond the Ministries of Agriculture to non-traditional partners: not only other line ministries, but importantly, Ministries of Finance and Planning and (in some countries) the Presidency.
  - Internationally FAO has built strong partnerships with leaders in the social protection agenda such as ILO and UNICEF (Table 4).
- 94 The evaluation made the following observations on social protection partnerships with international agencies, based on our interviews with partners:
- a. *The World Bank<sup>125</sup>, regional development banks and the IFAD*: These are major financing agencies for large agricultural investments in LMICs, as well as for large national social protection programmes. FAO often provides technical assistance for programme design in agriculture (particularly but not exclusively through the FAO Investment Centre) and there are significant opportunities for FAO to work more closely with these agencies in improving policy linkages between social protection and agriculture. SO3 has already

121 The Social Protection.org website for example already contains more than 50 social protection publications from FAO. Available at: <http://www.social-protection.org/gimi/gess/ShowPublications.action>

122 See (FAO, 2016i and forthcoming) and others

123 FAO explaining Coherence between social protection and agriculture to Rwanda's Parliament. Available at: <http://www.fao.org/africa/news/detail-news/en/c/456047/>

124 ADD REF. Reported under SP1

125 World Bank, ILO Announce New Push for Universal Social Protection. Available at: <http://www.worldbank.org/en/news/press-release/2016/09/21/world-bank-ilo-announce-new-push-for-universal-social-protection>

identified partnership with the Banks as an important area of focus for its 2018-2021 work plan.

- b. The *International Food Policy Research Institute (IFPRI)* is well known for its high-quality research and impact evaluations on social protection, agriculture, value chains, nutrition, Home Grown School Feeding and food and agriculture policies. In the last few years, under pressure from its donors, IFPRI has taken its research further downstream and opened up policy centres in several countries, working to advise Ministries of Agriculture and other parts of government<sup>126</sup>, and these centres have been evaluated as being influential<sup>127</sup>. IFPRI interviewees see FAO as having a leading international role in agricultural policy and unique convening power. Some of them expressed a wish to work more closely with FAO, for example, in impact evaluations.
- c. UN agencies such as the ILO and UNICEF are very active in social protection but have little knowledge of the agriculture and natural resources sector. Interviewees were generally appreciative of the skills that FAO can bring to collaborative work.
- d. WFP frequently partners with FAO on social protection issues (Table 4 and Box 7), particularly in relation to resilience. WFP has also been active in Home Grown School Feeding for many years<sup>128</sup> and the two agencies are collaborating in the multi-country PAA project. WFP has been redefining its role and mandate in recent years, leading to high-level discussions about the respective roles of the Rome-based agencies<sup>129</sup>. Some of WFP's newer areas of expertise include aspects of social protection and activities that are complementary to social protection. Examples include advising governments on structuring public procurement to purchase from small-scale farmers, providing technical advice to farmers involved in purchasing programmes, agriculture-related insurance, delivering cash transfers in emergencies and managing public works programmes with natural resources components. Joint strategies at regional level and project level<sup>130</sup> have been found to be useful in clarifying the specific roles of each agency and improving efficiency<sup>131</sup>.

### 3.6 Effectiveness

- 95 It is early to expect impact from FAO's social protection agenda<sup>132</sup>, however, there is evidence that FAO has already contributed to some policy and budgetary changes in partner countries, which is the first step towards practical impacts on poverty. There are also a few cases where social protection has been scaled up nationally with direct benefits to poor households, which is in part due to evidence generated with the help of FAO. Some examples are given in Table 9. In each case the evidence cited is based on careful reconstruction of the history of policy changes by a group of people representing government and other partners as well as FAO (see notes on Table 8).
- 96 Another source of evidence on results came from the 16 evaluation case study countries (see paragraph 6). Over two thirds of these (11 countries) were judged by the evaluation team to have a 'high' degree of national policy commitment to social protection, while the remaining countries (5) were judged to have a more limited commitment. Figure 3 shows scores given by the evaluation team of FAO's progress in social protection-related work in

126 This means that there is a certain potential overlap with some of FAO's work. However, IFPRI tends to be more focused on the production of International Public Goods (IPGs). FAO on the other hand has the mandate to work with its member governments to answer evidence questions that may not always be IPGs, but are of great importance for national policy.

127 Evaluation of the CGIAR Research Program 'Policies, Institutions and Markets' (PIM): Volume 1 - Evaluation Report. Rome, Italy: Independent Evaluation Arrangement (IEA) of CGIAR. Available at: [http://iea.cgiar.org/sites/default/files/PIM\\_Volume%20FINAL.pdf](http://iea.cgiar.org/sites/default/files/PIM_Volume%20FINAL.pdf).

128 Home-grown school meals. Available at: <http://www1.wfp.org/home-grown-school-meals>; and Centre of Excellence against hunger. Available at: <http://www1.wfp.org/centre-of-excellence-against-hunger>.

129 Collaboration among the United Nations Rome-based Agencies: Delivering on the 2030 Agenda. FAO/IFAD/WFP; and Resource Framework on Home Grown School Meals. Synopsis - November 2016. World Food Programme (WFP), the WFP Centre Excellence in Brazil (WFP CoE), the Food and Agriculture Organization (FAO), the Global Child Nutrition Foundation (GCNF), the Partnership for Child Development (PCD) and the New Partnership for Africa's Development (NEPAD). Available at: <http://www.nepad.org/download/file/fid/4730%20>.

130 e.g. Collaboration for strengthening resilience: Country Case Study, Kenya. Available at: <http://www.fao.org/3/a-i5059e.pdf>.

131 Some interviewees suggested that clear guidance from headquarters would also help avoid any unintentional duplication and tensions at country level.

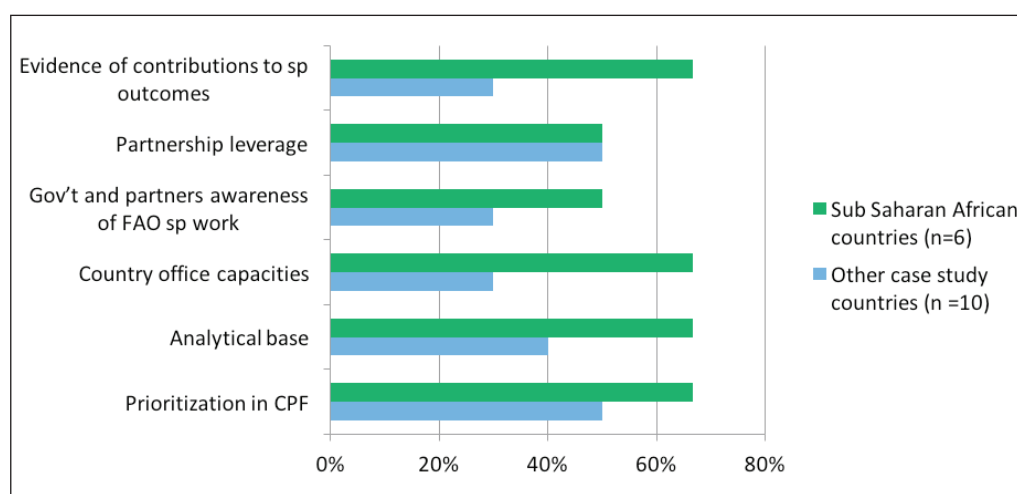
132 To give some idea of timescales required: most results in Table 8 relate to work which started in 2011.

the case study countries. More than half of Country Offices in case study countries in sub-Saharan Africa, and more than a third in other case study countries<sup>133</sup> had made progress with the social protection agenda: conducting analysis, nominating staff to work on social protection and making strategic partnerships. Government and partners were aware of FAO's work in social protection and there was evidence of contribution to intermediate changes in policy and practice. Some examples of early results are in Table 9.

**Table 8:** Evidence of policy changes in social protection to which FAO activity has contributed, with outcomes where known

Country	Date and result (intermediate outcome)	FAO contribution
Cape Verde	2016 National School Nutrition Strategy includes Home Grown School Feeding	TA/P
Ghana	2013/14 (TP/PtoP) GoG increased funding to the national social protection programme, LEAP	EG/P
Kenya	2013 (PtoP/TP) GoK increased commitment and budget for social protection	EG/P
Lesotho	2011/13 (TP/PtoP) GoL scales up coverage of Child Grants Programme nationally (2011) and commits to taking over the administrative and direct costs of the programme (2013), with direct benefits to over 24 000 additional poor households 2016 (PtoP) GoL adding homestead gardening inputs for all child grant beneficiaries	EG/P
Malawi	2015 (PtoP) GoM increased transfer amount to beneficiaries	EG/P
Zambia	2014 (PtoP/TP) Large increase in national budget and coverage for cash transfers, benefiting over 80 000 additional poor households	EG/P

Notes: Evidence for changes in Ghana, Kenya, Malawi, Zambia and Lesotho are all taken from case studies in (Davis et al., 2016), Cape Verde from the case study in (Drake et al., 2016) and additional evidence for Zambia from (Pruce and Hickey, 2017). EG = Evidence generation, P= Policy dialogue; TA – Technical Assistance, TP – Transfer Project. Some cases predate SO3, but FAO inputs are relevant. The Cape Verde example is from work led by SP1.



**Figure 3:** Evaluation team scores of FAO progress with social protection in 16 case study countries (Oct 2016)

Notes: Bars represent countries scored 1 or 2 for each category. See footnote 3 for list of case study countries. Note that countries were not randomly selected (see footnote 102). Full explanation of country selection and rubric scoring can be found in the main report.

- 97 Many more social protection activities are under way (Appendix 5), and it will be useful to document the results. Much of the OO3.3 work seeks to feed into national and regional policies but FAO does not yet have a system to monitor this type of work. Although it is possible to reconstruct FAO's contribution after the event, it is not easy to disentangle

<sup>133</sup> These percentages should be treated with caution as the countries were not randomly selected – they were selected for their involvement in the SO3 (but not necessarily social protection) agenda.

different contributions<sup>134</sup>. FAO may consider establishing mechanisms to monitor its policy and advocacy work regularly, for example, through one of the methods suggested by Tsui et al., 2014<sup>135</sup>. This issue obviously goes well beyond social protection.

**Table 9:** Examples of progress towards results in evaluation case study countries at different stages of FAO involvement in social protection

Case study country and year of FAO entry in social protection	Examples of intermediate results observed (in all cases work is ongoing, and more is in the pipeline)
Zambia (2011)	See Box 6
Malawi (2011)	<p>FAO is piloting coordination of social protection efforts in four districts (including supporting the GoM district offices with equipment) and <b>trailing the new Universal Beneficiary Register UBR, linking to a farmer registry</b>. FAO also supported learning visits to Zambia for officials of the Ministry of Finance and Economic Planning and Local Development Fund.</p> <p>FAO has <b>pioneered approaches to watershed management</b> in two traditional authorities and has commissioned a paper on different watershed approaches to feed into national guidelines. The objective is to support the Malawi Local Development Fund (LDF) to improve the quality of public works.</p> <p>Working with the Ministries of Education and Agriculture and WFP, <b>FAO supported the production side of the Purchase by Africans for Africa (PAA) Project Phase II (2013-15)</b>. Nearly 3800 farmers, of which nearly two thirds were women, organized in Farmer Organisations (FOs) through an INGO (WeEffect), received pulse seeds (groundnut, cowpea, soya and pigeon pea seeds (some of which were returned through a seed recycling scheme) and business and technical training. PAA also provided support to FOs to register and acquire legal status. The FOs also received a warehouse and grading equipment. The FOs sold a variety of foodstuffs including vegetables, meat and (in some areas) fish to schools. Over 10,000 students were fed through PAA<sup>136</sup>. FAO also supported a learning visit to Brazil for officials of the Ministry of Education.</p>
Senegal (2013)	<p>FAO supported a study and workshop on the integration of social protection and agriculture programmes and has been facilitating policy dialogue on inter-sectoral coordination. The <b>revised national social protection strategy</b> now integrates food security and nutrition.</p> <p>The PAA project in Senegal supported farmers to produce rice which is sold to schools through cooperatives, via forward contracts organized with the help of WFP. FAO supported the production side together with the Ministry of Agriculture, and a local NGO. Participating farmers (1000, with nearly half being women) were provided with seeds and fertilizer distribution as well as training in rice production. Farmers' cooperative organizations were also provided with support from PAA, including rice shelling machines. Up to 20,000 children were fed through PAA<sup>137</sup>.</p>
Paraguay (2015)	<p>FAO has established <b>new partnerships</b> with the Social Action Secretariat SAS (who leads the implementation of social protection programs, particularly Conditional Cash Transfers), the National Indigenous Institute INDI and Ministry of Women. FAO has promoted the creation of a <b>working group</b> with partners, co-led by SAS and the Ministry of Agriculture, which aims to facilitate the articulation between social protection programs and productive development interventions.</p>
Lebanon (2015)	<p>FAO has supported the Ministry of Social Affairs to produce a <b>mapping of agriculture and social protection services</b> and look at possible synergies between agriculture centres and social development centres. Awareness-raising material on social protection/child labour work in particular has been produced for support to refugees and host communities</p>

Source: evaluation team, from desk review and field discussions

134 See for example the excellent discussion in the PtoP Kenya case study (Bosworth et al. in Davis et al., 2016)

135 Monitoring and evaluation of policy influence and advocacy. Working Paper 395, London: Overseas Development Institute. Available at: <https://www.odi.org/publications/8265-gates-monitoring-evaluating-advocacy>.

136 Source: PAA monitoring

137 Source: PAA monitoring

### 3.7 Sustainability

98 Sustainability in the context of this evaluation refers to “the probability of continued long-term benefits and the resilience to risk of the net benefit flows over time.”<sup>138</sup> Sustainability has multiple aspects including financial, social and environmental.

#### 3.7.1 Sustainability of OO3.3 approaches

99 The objective of the social protection agenda in FAO is to introduce and promote sustainably-funded and managed national policies and systems that link agriculture, nutrition and social protection to support poor rural people and (where possible) bring them out of poverty, while taking into consideration larger forces such as migration and climate change. Therefore, sustainability is at the heart of FAO's social protection aims.

100 The approaches used by OO3 generally promote sustainability, including policy dialogue, evidence generation and partnerships with national, regional and international actors. As previously discussed, PtoP has been a model for working with countries to generate evidence that answers policy-makers' critical decision questions, which is more likely to result in sustainable policy change. Another approach often taken by FAO in novel areas of work (the example given here is looking for opportunities to extend social protection to fishing- dependent communities) has been to start with a literature review and framework<sup>139</sup> followed by case studies in a small selection of partner countries to identify issues and challenges, then discussing the results in-country<sup>140</sup> and internationally<sup>141</sup> and finally building on this learning process to move towards national programming in interested partner countries. This approach seems to have resulted in some country-level activities within a few years (see examples in Table 11).

**Table 10:** Examples of country-level work on social protection by FAO technical divisions

Code	Short title	Output	Countries
<b>FIA</b>	Fisheries	Policy advice is provided to include Decent Rural Employment and Social Protection in SSF Guidelines and capacity development activities to strengthen organizations in collaboration with ILO	MM - Myanmar
<b>FOA</b>	Forestry	Application of a diagnostic on social protection needs and opportunities for forest-dependent communities.	KE - Kenya, TZ - Tanzania, United Republic of, ZM - Zambia
<b>LEG</b>	Legal	Technical support to legal review on access to Social Security in the Agriculture sector	LB - Lebanon
<b>NRC</b>	Natural Resources	Explore linkages between SP and NRM focusing on communities that are located within Biosphere Reserves Comment: Technical support should be led by RLC. HQ support will be provided upon request and in close collaboration with RLC (Guatemala, El Salvador, Honduras, Bolivia)	BO - Bolivia, Plurinational State of, GT - Guatemala, HN - Honduras, SV - El Salvador
<b>TCI</b>	Investment Center	Support the operationalization of the synergies between cash transfer and various aspects, namely: local procurement; youth employment (in coordination with OO2/ ICA programme); and technical support to gender sensitive participatory communication for contributing to social protection existing mechanisms and/or new programmes	SN - Senegal

Source: extracted from FAO outcomes list for 2016/17 (Appendix 3)

138 Definition from OECD-DAC <http://www.oecd.org/dac/evaluation/2754804.pdf>. UN Evaluation Group poses these questions regarding sustainability: What is the likelihood that benefits will continue to flow long after [an FAO intervention] and without over-burdening local organizations and partner institutions? Is the capacity being developed adequate to ensure that institutions/organizations will take over? To what extent has the programme built in resilience to future risks? Does the work adhere to sustainable environmental practices and standards?

139 Béné et al., 2015

140 Report of the workshops to present the initial research findings from a nationwide survey and analysis on social protection and poverty dimensions in support of rural development and poverty reduction on Myanmar, 29-30 Sep 2015. Myanmar: FAO. Available at: <http://www.fao.org/3/a-i5348e.pdf>.

141 Social protection to foster sustainable management of natural resources and reduce poverty in fisheries-dependent communities, Report of the technical workshop, 17-18 Nov 2016, Rome. FAO Fisheries and Aquaculture Proceedings, 51. Available at: <http://www.fao.org/3/a-i6880e.pdf>.

- 101 A valuable part of OO3.3's work is building sustainability into the resilience agenda both inside FAO (under SP5) and globally. OO3.3 is promoting two sustainable approaches: first, averting crises using shock-responsive social protection, and second, more sustainable crisis responses (for example, cash+ schemes to restore livelihoods). One potential area to strengthen, which has already been identified by SP3 in its work plan, is linkages with national agriculture investment planning, building on FAO's strong position in country and regional forums<sup>142</sup> and making better linkages to the World Bank (especially through the FAO Investment Center) and Regional Investment Banks.
- 102 One risk to consider is the large number of activities and entry points in some regions and countries, as per the examples in Box 5 and Box 6. There is a risk that some activities may be started up and then not followed through to policy implementation especially when there is a hiatus in staffing. However, working in partnerships with other agencies will mitigate this risk to some extent.
- 103 OO3.3 is hardly involved at all in project implementation in the field. However, in the few cases where OO3.3 is involved in field projects led by other parts of FAO (such as the PAA project led by SP1 or some of the cash+ projects under SP5), we identified some implementation issues that pose well-known risks to project sustainability (and equity)<sup>143</sup>, including the provision of free seeds and inputs to farmers, donation of large items of equipment to farmer organizations<sup>144</sup>, and other hidden subsidies such as the cost of technical assistance. Some of these issues have already been raised in the Strategic Objective 5 (SO5) evaluation<sup>145</sup>. As mentioned earlier, FAO is working to address these issues, including through collaboration with OO3.3 under Strategic Programme 5 (SP5).

### 3.7.2 Sustainability of OO3.3 inputs

- 104 **Sustainability of funding:** As a new area of work, OO3.3 started with a modest budget and little external financing (Table 3). OO3.3 has used its funding strategically to leverage interest across the organization, initiating lines of work on social protection in many divisions (Table 1) and making linkages with other SPs, particularly Strategic Programme 1 (SP1) on food security and nutrition (FSN) and SP5 (resilience). SP1 and SP5 have now themselves set outcome targets that include social protection<sup>146</sup>. Apart from other benefits, these long-established and well-funded areas of FAO work can potentially leverage a large amount of financial resources for social protection-related activities.
- 105 **Sustainability of human resources:** OO3.3 does not have many permanent FAO staff who are specialists in social protection (Table 2) and very few of them are located in country offices. OO3.3 has promoted the placement of social protection staff in some key country offices either through funding or co-funding consultancy (temporary) positions or by supporting country or regional offices to develop projects which can fund such positions. It is hoped that as demand for social protection inputs from FAO increases, resources will be mobilised to support longer term staff positions at country level (similar to the FIRST programme). Another strategy used by OO3.3 is to develop the capacity of staff who carry out relevant work in country offices, for example FAORs or other staff who play key roles in national policy dialogue (as mentioned earlier), who will also then be in a better position to support resource mobilisation at the national or multi-country levels.

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142 This is already happening in some areas, such as with ECOWAS

143 (Francesconi and Wouterse, 2015; Sperling and McGuire, 2010)

144 See Table 9 for examples. PAA set targets for this type of support.

145 Evaluation of FAO Strategic Objective 5: Increase the resilience of livelihoods to threats and crises.

146 Not all of these are reported against OO3.3 or SP3, but that is unimportant from the point of view of sustainability.

## 4. Conclusions

106 This report does not make formal recommendations as it is a contribution to the SO3 evaluation and not a full evaluation of social protection in FAO. However, some suggestions have been included for consideration by FAO.

**Conclusion 1. FAO has made a commendable start with this new agenda.** Under Strategic Objective 3, FAO has produced new evidence and respected frameworks on the linkages between social protection and agriculture and nutrition. In the space of three years, FAO has initiated social protection activities in over 35 countries and become a valued contributor to international forums on social protection. Evidence generated with the support of FAO has already contributed to some policy and budgetary changes in partner countries, which is the first step towards practical impacts on poverty.

**Conclusion 2 FAO's reviewed Strategic Framework has been essential for taking the social protection agenda forward.** The focus on tackling poverty under Strategic Objective 3 has helped broaden vision away from purely technical issues of agricultural production and made clear the advantages of engagement with complementary poverty reduction instruments such as social protection. The resources available through SP3 have also been important in allowing the social protection team to make key linkages across technical teams and in supporting start-up activities in countries. For example, SP3 has commissioned innovative work with the fisheries teams on how to reach remote fishers with social protection instruments. As well as helping some of the world's poorest people, social protection may have benefits for the sustainable development agenda, for example, by supporting fishers during the closed season.

**Conclusion 3. Social protection is a very broad and multifaceted agenda. Prioritisation would help concentrate some resources to be able to demonstrate practical outcomes more quickly.** FAO has initiated social protection activities in more than 14 work streams under four main thematic areas: expansion of coverage of social protection to the rural poor, nutrition sensitive social protection (with Strategic Programme 1), agriculture and social protection, and social protection and resilience (with Strategic Programme 5). Exploring many possible workstreams and partnerships has been a productive approach for the new agenda. However, this has now generated a large and complex set of issues and partnerships, and given the rising interest in partner countries, future demands on the FAO teams could be overwhelming. Some thematic and geographic prioritisation would be useful. In terms of geographical prioritisation, it may be useful to consider mobilising additional resources for work in a fewer (3-5) countries to increase the chances of demonstrating practical outcomes within the next few years. At the same time, it will be difficult to ignore expanding country demand for technical assistance. Two solutions that have been adopted by other organizations are establishing an internal (or outsourced) group of experts responsible for responding to country requests, and strengthening regional networks of advisers to help each other.

**Conclusion 4. Country office staff will be essential in taking the social protection agenda forward and they need the right skills to do so.** FAO's country office staff are in the best location to take up new ideas and follow them through with partners to the practical changes which have real impacts on poor people's lives. Key people such as FAO country representatives and food security specialists within country teams could benefit from training on social protection issues in the agriculture and rural sector (including gender aspects). Moreover, the new agenda may make new demands on the technical skills of FAO staff, for example, working with the very poorest rural people who have not been the traditional focus of FAO's activities. An assessment of roles, competencies and skills needs would be a good starting point for planning capacity development activities.

**Conclusion 5. FAO could have a useful role in helping partner countries generate evidence to support the social protection-agriculture agenda and could mobilise resources for this.** Country policy-makers need practical solutions to a wide range of practical implementation issues, and many of these are still poorly understood. Two important examples are defining the nature of the agricultural "plus" in "cash plus" programmes and layering and sequencing social protection with productive support to help get rural people out of poverty at an affordable

level of investment. Given its mandate and skills, FAO is in an excellent position to support partner countries in formulating questions and generating evidence to inform policy decisions in these areas.

**Conclusion 6. FAO has made a good start with partnerships, but they could be more structured.** FAO has been proactive and has developed a large number of partnerships in social protection. However, roles and responsibilities are often defined ad hoc for each project and country. In the medium term, developing more detailed memorandums of understanding with some of the key UN agencies working in this area (in particular WFP, UNICEF and ILO) would be useful to spell out what specific areas will be the special focus of each agency. This will facilitate partnerships and help each agency build up their knowledge and skills in their chosen priority areas. The social protection team should also look for more opportunities to work with development banks and partner countries on upcoming large agricultural and social protection investments; the FAO Investment Centre could be a good partner in this.

## Appendices

### Appendix 1. FAO progress in social protection: activities and outcomes as of January 2017

Region (FAO code)	Country	Highest level of activity achievement reported				Key changes where FAO made a credible contribution -  only for intermediate outcomes (4) and above	FAO input to in this change
		S03	S03	S01/S03	S05/S03		
		Expansion of coverage	SP and Agric/NRM	Nutrition-SP	Resilience		
<b>RAF</b>	<i>Regional</i>		3				P
	Angola		1				
	Burkina Faso	3	2				
	Cameroon	2					
	Cape Verde		1	4		2016 National School Nutrition Strategy including Home Grown School Feeding (Drake et al., 2016)	TA/P
	Chad	3	2				
	Congo		1				
	Cote d'Ivoire	2					
	Ethiopia						
	<i>Ghana</i>	4		3		2013/14 (TP/PtoP) GoG increased funding to the national social protection programme, LEAP	EG/P
	<i>Kenya</i>	4			2	2013 (PtoP/TP) GoK increased commitment and budget for social protection	EG/P
	Lesotho	5	4	3	4	2011/13 GoL scales up coverage of Child Grants Programme nationally (2011) and commits to taking over the administrative and direct costs of the programme (2013). Approx. 24,000 more poor households benefited. 2016 (PtoP) GoL adding homestead gardening inputs for all child grant beneficiaries	EG/P
	<i>Malawi</i>		3	3	3	2015 (PtoP) GoM increased transfer amount to beneficiaries	EG/P
	Mali	3	2				
	Mozambique			3			

Region (FAO code)	Country	Highest level of activity achievement reported				Key changes where FAO made a credible contribution -  only for intermediate outcomes (4) and above	FAO input to in this change
		S03	S03	S01/S03	S05/S03		
		Expansion of coverage	SP and Agric/NRM	Nutrition- SP	Resilience		
	Niger		2				
	Rwanda		2				
	<i>Senegal</i>	3	3	3			
	Somalia				3		
	Tanzania	3					
	Uganda	1	1				
	<i>Zambia</i>	5	3	2	3	2014 (PtoP/TP) Large increase in coverage and national budget for cash transfers, benefiting over 80,000 additional poor households.	EG/P
<b>LAC</b>	<i>Regional</i>						
	Bolivia		1				
	<i>Colombia</i>	1	2	3			
	<i>El Salvador</i>	2		3			
	Guatemala	1					
	<i>Mexico</i>		1	3			
	<i>Paraguay</i>	1	3	3			
	St Kitts & Nevis	1					
<b>REU</b>	<i>Albania</i>			3			
	Armenia			2			
	Kyrgystan		3	2			
<b>RNE</b>	<i>Regional</i>		3				
	<i>Lebanon</i>	3			2		
<b>RAP</b>	Cambodia			3			
	China	1					
	Myanmar	3					
	Nepal			1	1		

Source and notes: Constructed by evaluation team from FAO documentation and internal reporting, external publications, and stakeholder interviews. Countries in italics were visited by evaluation team and have more complete triangulation. FAO inputs: EG: Evidence generation, P: Policy dialogue; TA: technical assistance; PtoP: From Protection to Production project (FAO-led); TP Transfer Project (UNICEF-led) Evidence on changes influenced by PtoP comes from case studies in (Davis et al., 2016).

#### KEY TO PROGRESS

1	First contacts: For example: Participation of nationals in regional seminars or training; initial country visit regarding sp; potential for intervention identified by stakeholders; short case study undertaken as part of an international study, but without significant involvement of national policy makers
2	Start-up: Project in planning or start-up stage; dialogue in initial stages
3	En route: Activities to outputs - e.g. policy dialogue well underway; initial small-scale studies, small project, or development/piloting of tool well underway
4	Intermediate outcomes: Evidence of FAO contributions to significant policy change or design of large-scale programmes
5	Practical impacts: Evidence of FAO contribution to impacts <i>at scale</i> on the ground

## Appendix 2: Timeline for SO3 Social Protection work in FAO

Note: A short version of this timeline, with key events is in the main report. In the table, **events of main interest are shown in bold**

External environment	Year	Key FAO activities and outputs
<p>2008 UN High Level Task Force on the Global Food Crisis defined a Comprehensive Framework for Action to achieve long-term food and nutrition security, with expanded social protection systems as a key pillar.</p> <p>2009 Framework for Africa's Food Security FAFS links agriculture and social protection<sup>147</sup></p> <p>2009 Start-up of the Transfer Project, a multi-country participatory research project on social transfers in Africa (Initially, designed by Save the Children Fund and UNICEF with DFID support<sup>148</sup>)</p>	2010 and earlier	<p>2008 FAO commissions analysis on linking agriculture and social protection in three African countries, and holds a workshop to discuss the results<sup>149</sup>.</p> <p>2009 FAO/RLC organized a series of international seminars on Conditional Cash Transfers Programmes (CCTs) for food and nutrition security, in partnership with ECLAC, WFP and UNDP<sup>150</sup></p>
	2011	<p>Protection to Production (PtoP) starts up as an additional element to the Transfer Project, focusing on the economic and productive impacts of cash transfers, in collaboration with seven African governments<sup>151</sup>.</p> <p>EU/FAO "Improved Global Governance for Hunger Reduction Programme" (2011 to 2016) starts up. This project supported FAO's thinking on linking ag and sp and contributed to designing 003.</p>
Endorsement by Committee on World Food Security of expert report on importance of social protection for food security (HPLE, 2012)	2012	New FAO Director General is elected <sup>152</sup> .
	2013	<p><b>Revised FAO Strategic Framework with Reducing Rural Poverty (SO3) as one Strategic Objective. Social Protection included as one of the Organizational Outcomes under Strategic Objective 3.</b></p> <p>Position paper on FAO's work in Social Protection presented to the governing Council<sup>153</sup></p> <p><b>A Social Protection Team is established</b> and located in the ESW division which is renamed ESP (SP stands for Social Protection)<sup>154</sup>. SO3 is led by the Director of ESP. FAO allocates additional regular budget to the SP component of SO3 (initially \$5M)<sup>155</sup>.</p> <p>SP team develops a training programme in collaboration with the Institute of Development Studies (UK) and the Economic Policy Research Institution (RSA), and starts training FAO staff. FAO starts to develop key partnerships in social protection (e.g. ILO, WFP), and engages in the Social Protection Inter-agency Coordination Board, SPIAC-B<sup>156</sup></p>

147 NEPAD, 2009

148 Development of the overall conceptual framework. Available at: [https://transfer.cpc.unc.edu/?page\\_id=784](https://transfer.cpc.unc.edu/?page_id=784)

149 Devereux et al., 2008; Devereux and Davis, 2008

150 The proceedings of the IV International seminar that took place in 2009 can be found in this link: <http://www.fao.org/documents/card/en/c/55422c69-ad2a-43b5-af91-e25aa08cd68b/>.

151 From Protection to Production (PtoP). Available at: <http://www.fao.org/economic/ptop/home/en/>

152 FAO Director General Biography. Available at: <http://www.fao.org/about/who-we-are/director-gen/biography/en/>

153 FAO's Work in Social Protection. Available at: <http://www.fao.org/docrep/meeting/029/MI557E.pdf>

154 However the PtoP programme remains in ESA.

155 Medium-Term Plan 2014-17 and Programme of Work and Budget 2014-15, Information Note No. 10 – June 2013: FAO's Comparative advantage in relation to Social Protection.

156 Social Protection Inter-agency Cooperation Board. Available at: <http://www.ilo.org/newyork/issues-at-work/social-protection/social-protection-inter-agency-cooperation-board/lang--en/index.htm>

External environment	Year	Key FAO activities and outputs
African Union Malabo Declaration includes a commitment "to integrate measures for increased agricultural productivity with social protection initiatives focusing on vulnerable social groups through committing targeted budget lines within our national budgets..." <sup>157</sup>	2014	The SP team launches an interdivisional brainstorming exercise on the Role of FAO in Social Protection, as well as recruiting an international social protection expert to develop the concepts <sup>158</sup> into an initial framework for FAO's work in social protection. <b>Preparation of FAO's flagship publication <i>The State of Food and Agriculture (SOFA) dedicated to social protection (published in 2015)</i></b> Launch of country-level work in the Sahel: Niger, Chad, Senegal and Burkina Faso <sup>159</sup> , and agreement on a project in Kyrgyzstan. Development of a policy assessment tool for social protection and food security – now with ISPA for testing.
Social Protection Plan for the Informal Economy and Rural Workers (SPIREWORK) mainstreamed into the Comprehensive African Agriculture Development Programme (CAADP) by Ministerial decision <sup>160</sup>	2015	3 new permanent technical expert posts (at HQ) and a further \$1.5 M reallocated to social protection <sup>161</sup> . Internal reorganisation, with two social protection specialists (one from PtoP) moved into leadership of the SO3 strategic programme, and a new (sp expert) head for the sp team. <b>Ambitious targets set for FAO helping countries achieve "improved social protection systems that link social protection with rural poverty reduction, food security and nutrition, and sustainable management of natural resources"</b> <sup>162</sup> . <b>Four thematic priorities defined: expansion of coverage, agriculture and sp, nutrition sensitive sp and sp and resilience</b> Internal cross-FAO Technical Network created for social protection, with nearly 200 members <sup>163</sup> .
Sustainable Development Goal Target 1.3 agreed: "Implement nationally appropriate social protection systems and measures for all..." with indicator 1.3.1 "Proportion of population covered by social protection floors/ systems..." <sup>164</sup> Community of Latin American and Caribbean States includes social protection in its action plan <sup>165</sup> WB/ILO Initiative on Universal Coverage on Social Protection	2016	Major publication resulting from PtoP: <i>From evidence to action: cash transfers and impact evaluation in Sub Saharan Africa</i> <sup>166</sup> . <b>FAO engaged in social protection in over 35 countries (see Figure 1)</b>

Source: Evaluation team, compiled from information provided by various FAO staff, and triangulated to the fullest extent possible (see footnotes for documentation).

157 Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods. Malabo. Equatorial Guinea. Available at: [http://pages.au.int/sites/default/files/Malabo%20Declaration%202014\\_11%202026-.pdf](http://pages.au.int/sites/default/files/Malabo%20Declaration%202014_11%202026-.pdf). This was then reflected in indicators for tracking action and coverage ([http://www.nepad-caadp.net/sites/default/files/the\\_caadp\\_results\\_framework\\_2015-2025.pdf](http://www.nepad-caadp.net/sites/default/files/the_caadp_results_framework_2015-2025.pdf)).

158 Social protection for rural poverty Reduction. Available at: <http://www.fao.org/3/a-i5229e.pdf>

159 Projects TCP/RAF/35 and GCP/GLO/674/RUS

160 Social Protection for Inclusive Development. Available at: <https://riopluscentre.files.wordpress.com/2015/05/final-report-ministers-sdle-english.pdf>

161 Name also changed to Social Policies and Rural Institutions Division, to include rural finance (Medium Term Plan 2014-17 (reviewed) and Programme of Work and Budget 2016-17).

162 Medium Term Plan 2014-17 (reviewed) and Programme of Work and Budget 2016-17 (p. 57). The target given is 4 countries by 2015 and 8 by 2017. The sub indicators are not specified in detail, but relate to commitment and capacity to analyse and implement sp programmes for poor rural people.

163 In December 2016 the Technical Network had 191 members listed, in FAO offices around the world.

164 *Final list of proposed Sustainable Development Goal indicators. Inter-Agency and Expert Group on SDG Indicators*. Available from: <https://sustainabledevelopment.un.org/content/documents/11803Official-List-of-Proposed-SDG-Indicators.pdf>.

165 Plan de acción de la CELAC 2016. Comunidad de Estados Latinoamericanos y Caribeños (CELAC). Available at: <http://www.sela.org/media/2088262/iv-cumbre-celac-plan-accion-2016.pdf>.

166 Davis et al., 2016

### Appendix 3. Examples of social protection-related deliverables reported under OO3 from FAO technical divisions, 2016-2017

Division	Short title	Deliverable(s)	Geographic coverage
ESA	Economics	Develop cross-country comparisons and case studies on the impacts of cash transfers and/or other livelihood enhancing programmes on household economic activities, spillover effects, resilience and climate change	90 - Global
ESN	Food and Nutrition Security	Advocacy and information notes on FAO's work on nutrition-sensitive social protection are developed and disseminated to FAO country offices	90 - Global
ESN	Food and Nutrition Security	Organize and facilitate a follow-up event to the Global Forum on Nutrition Social Protection	90 - Global
ESP	Social Policy and Rural Institutions	Provide policy and operational support to countries in the design and implementation of evidence-based strategies and facilitation of inter-sectoral, multi-level and multi stakeholder policy dialogue on nutrition sensitive social protection by the end of 2017. Support will be provided through revision and adoption of national policies and national legislation; operationalization of linkages between social protection, nutrition and agricultural interventions across the food systems; strengthening of monitoring tools; knowledge generation and dissemination on combined interventions; and south-south collaboration and partnership with strategic actors (BRICS, World Bank, UNICEF, WFP and other) at Global and National level (Ethiopia, Guinea Bissau, Kirgizstan, Mozambique, Zambia) by the end of 2017	90 - Global, ET - Ethiopia, GW - Guinea-Bissau, KG - Kyrgyzstan, MZ - Mozambique, ZM - Zambia
ESP	Social Policy and Rural Institutions	Provide policy and operational support to countries in the design and implementation of evidence-based strategies and facilitation of inter-sectoral, multi-level and multi stakeholder policy dialogue to enhance coherence between social protection and resilience by the end of 2017. Support would be provided through the implementation of a position paper on cash transfers in fragile contexts, the development of a social protection strategy in RNE linked with the RI on Small Holder Farmers, technical support at country level to operationalize linkages, as well as support in the development of technical policy discussions to strengthen linkages between social protection and resilience at Global and Regional level and in priority countries (Lebanon);	90 - Global, 97 - Regional Near East, LB - Lebanon
ESP	Social Policy and Rural Institutions	Operational research to support the design and implementation of social protection programmes and their linkages with agricultural development including gender sensitive social protection design, integration of agricultural livelihood indicators in social protection registry systems, and strengthening M&E systems for beneficiaries of SP and productive programmes. Support will be provided at national level (Burkina Faso, Guatemala, Nicaragua and Niger) by the end of 2017	BF - Burkina Faso, GT - Guatemala, NE - Niger, NI - Nicaragua
ESS	Statistics	Assess the role of social protection systems in improving food security on agricultural households using panel data from household budgets surveys, including the publication of a paper.	90 - Global
FOA	Forestry	A side event of 23rd COFO: Social protection for building resilience of forest dependent people.	90 - Global

<b>Division</b>	<b>Short title</b>	<b>Deliverable(s)</b>	<b>Geographic coverage</b>
FOA	Forestry	Lessons and practices of social protection in rural forestry, and indicators of social protection for rural forest restoration and management.	CN - China
LEG	Legal	Publication and dissemination of a study on Human Rights based approach to the framework for Social Protection	90 - Global
TCS	Technical cooperation	In collaboration with RAF and RAP, identification and implementation of a SSC project in the domain of social protection between two or more SO3 Focus Countries, through formulation mission identifying specific topic, countries and delivery mechanisms; carrying out a study tour; implementation of identified SSC activities	87 - Regional Africa, AP - Regional Asia Pacific

Note: the table above includes deliverables that have already been achieved or (in a few examples with multiple deliverables) partly achieved.

## **Appendix 4. Links between FAO's social protection work and the Sustainable Development Goals**

Social protection and 'productive inclusion can potentially contribute to many of the SDG goals and targets. Here is a selection:

### **Goal 1. End poverty in all its forms everywhere**

1.1 By 2030, eradicate extreme poverty for all people everywhere, currently measured as people living on less than \$1.25 a day.

1.2 By 2030, reduce at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions.

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

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

### **Goal 2. End hunger, achieve food security and improved nutrition and promote sustainable agriculture**

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

2.3 By 2030, double the agricultural productivity and incomes of small-scale food producers, in particular women, indigenous peoples, family farmers, pastoralists and fishers, including through secure and equal access to land, other productive resources and inputs, knowledge, financial services, markets and opportunities for value addition and non-farm employment.

### **Goal 10. Reduce inequality within and among countries**

10.1 By 2030, progressively achieve and sustain income growth of the bottom 40 per cent of the population at a rate higher than the national average

10.4 Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality.

FAO's social protection programme could also potentially contribute to intermediate outcomes such as Goal 1a (resource mobilisation for poverty reduction) and 1b (pro-poor policy frameworks).

Finally, if FAO's activities contribute to well designed, gender and nutrition-sensitive social protection systems for the rural poor, they would also contribute to SDGs on growth, nutrition, education, climate change etc.

Source: (IAEG-SDGs, 2016) selected by evaluation team

## Appendix 5: Detailed list of social protection activities and products by theme

Source: Compiled by evaluation team from unpublished FAO internal reports and information supplied by FAO on activities, complemented with references cited and interview evidence where possible.

### Theme 1: Expansion of coverage of Social Protection to the rural poor (SP3)

**Objective:** Evidence-based advocacy, in partnership with strategic actors to: (i) support the expansion of coverage of social protection programmes (SDG 1.3); (ii) ensure the effective reach to the rural poor; (iii) promote (progressive) domestic financing of social protection systems.

#### FAO contribution

- Enhancing the economic case for social protection and advocacy for programme scale-up
- Providing knowledge on innovative solutions for expansion of coverage to traditionally non-formal sectors, including building on experience of rural institutions and cooperatives.
- Assessing feasibility (financial, technical, institutional) of extending social security and insurance to non-formal agricultural workers.

#### Example activities undertaken

##### *Analysis and tools*

- Generating evidence for governments and other stakeholders that social protection is a worthwhile investment in agriculture and rural development, e.g. through PtoP in seven countries in SSA and Myanmar.
- Development of the Rural Livelihoods Information System (RuLiS), together with the World Bank and IFAD, to assist in policy making and programming with improved targeting of rural poor men and women. RuLiS currently has data for over 30 countries and plans to have data for 100 countries within three years.
- Case studies and workshops on the extension of sp to natural resource-dependent communities such as fishers and forest dwellers, for example forest dependent communities in Tanzania and China, and fishers in Myanmar and (starting 2017) the Mediterranean.
- With ILO, analysis on access to social for informal rural workers (e.g. Zambia).
- Working with the African Union and ILO through SPIREWORK<sup>167</sup> to explore the extension of social insurance and social assistance through rural cooperatives<sup>168</sup>.

##### *Technical assistance*

- Strengthening capacity to deliver social protection programmes in the context of youth and employment (El Salvador<sup>169</sup> and Paraguay).
- Technical inputs to the National Plan for Extension of Social Protection in Mali, developing a strategy to strengthen social protection for vulnerable populations.

#### Examples of knowledge products

- Presentation on the "*Economic case for social protection*" at the WB/ILO Universal Coverage Conference (New York, Sept 2016).
- Social protection and sustainable natural resource management: Initial findings and good practices from small-scale fisheries, and report of a technical workshop.
- PtoP publications providing evidence of economic benefits of transfers, Many<sup>170</sup>, including

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167 SPIREWORK = Social Protection Plan for the Informal Economy and Rural Workers (SPIREWORK) of the Comprehensive African Agriculture Development Programme (CAADP)

168 SPIREWORK Expert Meeting 12-14th December 2016. Available at: <http://www.saspen.org/home/en/spirework-expert-meeting-12-14th-december-2017/>

169 TCP/RLA/3602

170 From Evidence to Action: The story of cash transfers and impact evaluation in sub-Saharan Africa. Available at: <http://www.fao.org/economic/ptop/publications/en/>

- Productive Spillovers of Social Cash Transfers in Africa.
- Qualitative research and analyses of the economic impacts of cash transfer programmes in sub-Saharan Africa: Kenya Country Case Study Report.

## Theme 2: Social protection, agriculture and natural resource management (SP3)

**Objective:** enhance the productive and economic potential of the rural poor by promoting coherence between social protection and agriculture and natural resources management interventions.

**FAO contribution:** Supporting countries to operationalize the linkages and coherence between social protection, rural development and agriculture programmes (policy, programmatic and evidence generation work) and associated national budget allocations. For example: evidence generation, capacity development, technical assistance

### Example activities

#### *Analysis and tools*

- Analysis of policy coherence/linkages between agriculture and social protection in eight African countries (e.g. Slater and Nyukuri, 2016 for Kenya and Malgoubri, 2015 for Burkina Faso), culminating in a framework and a diagnostic tool (see below).
- Development of a diagnostic tool to assess policy coherence between fisheries and social protection policies – initial testing in Cambodia and Thailand carried out; case studies forthcoming in 2017.
- Survey and national social protection workshop in Myanmar.
- Cost-effectiveness analysis in Zambia and Malawi of the synergies and trade-offs between social protection and agricultural programmes to inform programme design and budget allocations.
- Identifying social protection indicators that can be integrated in agriculture surveys, including to support country's monitoring efforts around the SDG 1.3.
- Social protection and Forestry: online discussions<sup>171</sup> and side event at the Committee on Forestry COFO<sup>172</sup>.
- Livelihoods profiling to inform design of complementary packages of agricultural and social protection interventions (Lesotho, Zambia).
- Developing human capacities for supporting coherence (Lesotho, Malawi, Zambia).
- Contributing to the design of National Agricultural Investment Plan in Malawi to ensure coherence with social protection.

#### *Policy dialogue*

- Promoting coherence and specific policy linkages between agriculture and social protection; e.g.: Facilitating collaboration between the departments of Agriculture and Rural Economy and Social Affairs of African Union to mainstream social protection into CAADP; and many country examples, e.g. Zambia, Malawi, Rwanda, Lesotho.
- Contributed to the formulation of the Plan of Action for the implementation of the ASEAN Declaration on Strengthening Social Protection<sup>173</sup>.

#### *Technical assistance*

- Supporting unified beneficiary registries, in Burkina Faso, Lesotho, Malawi and Zambia, with the aim to eventually facilitate coordination between agricultural and social protection programmes. In Mexico, the approximately 170k rural poor who

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171 Social protection for building resilience of forest dependent people. Available at: <http://www.fao.org/fsnforum/activities/discussions/social-protection-forestry>

172 Social Protection for Building Resilience of Forest Dependent People. Available at: [http://foris.fao.org/meetings/download/\\_2016/social\\_protection\\_for\\_building\\_resilience\\_of\\_forest/misc\\_documents/cofo\\_23\\_side\\_event\\_social\\_protection\\_tentative\\_program.doc](http://foris.fao.org/meetings/download/_2016/social_protection_for_building_resilience_of_forest/misc_documents/cofo_23_side_event_social_protection_tentative_program.doc)

173 Results and Priorities for FAO in Asia and the Pacific Region. Available at: <http://www.fao.org/3/a-mp734e.pdf>

are beneficiaries of a long-established FAO-supported programme (PESA- Special Programme for Food Security<sup>174</sup>) – are gradually being added to the government united beneficiary registry (SIFODE) that started up in 2015.

- Analysis and tools to strengthen mechanisms to improve access to social protection and insurance for family farming, and link CCTs better to agricultural policies and programmes, Colombia<sup>175</sup>.

### Capacity development

- Delivered modules on social protection, agriculture and food security as part of the IDS Training Programme on Social Protection and with the ILO-ITC training center.

### Example knowledge products

- Strengthening Coherence between Social Protection and Agriculture: Framework for Action<sup>176</sup>, Diagnostic Tool<sup>177</sup> and seven country case studies on three continents<sup>178</sup>:
- PtoP publications: many, including evidence and guidance on methods<sup>179</sup>.
- Technical note on coherence between social protection and agriculture for West Africa<sup>180</sup>.
- Studies on coherence between social protection and agriculture in Burkina Faso, Niger, Chad and Senegal.
- Towards Social Protection for Rural Livelihoods: A Context Analysis [Lebanon]<sup>181</sup> Social protection and food security indicators: an inquiry through data from 10 household budget surveys<sup>182</sup>.

### Theme 3: Nutrition sensitive social protection

(SP1/SP3 – not always reported under SP3)

**Objective:** Enhance the design and implementation of social protection programmes to maximize nutrition outcomes (*SO1/SO3 Joint Programme on Nutrition Sensitive Social Protection*).

**FAO contribution:** support to countries in:

- Operationalizing the linkages between social protection, nutrition and agricultural interventions across the food systems. (This includes technical support for FAO's active engagement in policy dialogue with national governments on social protection, agriculture and nutrition; develop structures that facilitate the harmonization of existing SP, nutrition and agriculture interventions; and/or piloting combination of interventions, eg: school feeding, nutrition education, national school meals standards, dietary guidelines, promotion of nutrient-rich locally produced foods, small farmer/enterprise-friendly procurement mechanisms).
- Strengthening of monitoring tools, including nutrition and Nutrition-Sensitive indicators for impact assessments of social protection, and multi-sector interventions.
- Impact assessment, knowledge generation and dissemination on combined interventions focusing on impacts on food security, nutrition and rural development.
- South-south collaboration and partnership with strategic actors.

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174 Proyecto Estratégico para la Seguridad Alimentaria (PESA). Available at: <http://www.sagarpa.gob.mx/ desarrolloRural/Documents/MICROSITIO%20PESA/Que%20es%20el%20PESA.pdf>

175 TCL/RLA/3513

176 Gavrilovic et al., 2016

177 Strengthening coherence between agriculture and social protection to combat poverty and hunger in Africa: a Diagnostic Tool. Rome: FAO. Available at: <http://www.fao.org/3/a-i5385e.pdf>.

178 Strengthening coherence between agriculture and social protection policies. Available at: <https://www.odi.org/projects/2793-strengthening-coherence-between-agriculture-and-social-protection-policies>

179 From Evidence to Action: The story of cash transfers and impact evaluation in sub-Saharan Africa. Available at: <http://www.fao.org/economic/ptop/publications/en/>

180 Cisse et al., 2016

181 Osman, 2016

182 Mane et al., 2015

## Example activities

### *Analysis and tools*

- With ILO, GIZ and Save the Children, developing a tool for assessing how social protection programmes contribute to food security and nutrition outcomes, under the auspices of the Inter-agency Social Protection Assessment (ISPA)<sup>183</sup> This is a joint exercise between SP1 and SP3. Piloting is foreseen in Paraguay and Cambodia.

### *Policy dialogue*

- Policy dialogue, e.g. in Zambia, where FAO is adding its weight to national discussions on integration of nutrition issues into social protection<sup>184</sup>.
- With the ILO, promotion of ASEAN-SAARC sharing of experience in the development of social protection strategies and plans of action, and the dissemination of best practices linking social protection, rural employment, food security and nutrition <sup>185</sup>.

### *Technical assistance*

- Supporting Home Grown School Feeding (HGSF) programmes in five countries in Africa (Ethiopia, Malawi, Mozambique, Niger and Senegal) through the Purchase by Africans for Africa PAA project, an example of south-south cooperation with Brazil as well as cooperation with WFP<sup>186</sup>.
- Home Grown School Feeding – Regional Project “Strengthening School Feeding Programs in the Framework of the Zero Hunger Initiative in Latin America and the Caribbean 2025”
- Communal kitchens (Mexico) – technical support to garden for 500 communal kitchens
- Developing Capacity for Strengthening Food Security and Nutrition in Selected Countries of the Caucasus and Central Asia” project - under development in Kyrgyzstan and Armenia
- Resource Framework on Home Grown School Meals<sup>187</sup>.

### *Capacity building*

- Courses on Rural Poverty, Food Security, nutrition and inclusive social protection systems for Bolivia, Colombia, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay and Peru (2016).
- Training of government and other partners in Niger and Chad on role of social protection in food security, nutrition and resilience (2016).

## Example publications

- Nutrition and social protection<sup>188</sup>.
- Linking agriculture and social protection for food security: the case of Lesotho<sup>189</sup>.
- The rights to social protection and adequate food ... legal underpinnings<sup>190</sup>.
- Purchase from Africans for Africa (PAA Africa) Phase I Learning and Results Report<sup>191</sup>.
- Has ten-year implementation of the regional agriculture policy of the Economic Community of West African States (ECOWAS) contributed to improve nutrition?<sup>192</sup>

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183 Practical Tools Improving Social Protection for All. Available at: <http://ispatools.org/>

184 Richards and Bellack, 2016

185 Results and Priorities for FAO in Asia and the Pacific Region. Available at: <http://www.fao.org/3/a-mp734e.pdf>

186 Miranda, Gyoeri and Soares, forthcoming.

187 Joint Statement FAO, WFP and UNICEF on Resilience Collaboration. Available at: [www.fao.org/3/a-au216e.pdf](http://www.fao.org/3/a-au216e.pdf).

188 Nutrition and social protection. Available at: <http://www.fao.org/3/a-i4819e.pdf>.

189 Daidone et al., 2016.

190 Morlachetti, 2016

191 Purchase from Africans for Africa (PAA Africa) Phase I Learning and Results Report. Available at: [http://paa-africa.org/wp-content/uploads/2015/02/Report-Phase-I\\_low.pdf](http://paa-africa.org/wp-content/uploads/2015/02/Report-Phase-I_low.pdf).

192 Has ten-year implementation of the regional agriculture policy of the Economic Community of West African States (ECOWAP) contributed to improve nutrition? A publication in the framework of the Regional Projects GCP/RAF/476 & 477/ GER 'Establishing a zero hunger initiative in West Africa and mainstreaming nutrition in CAADP and Agriculture Policies and Programmes in Sub-Saharan Africa', FAO Regional Office West Africa. Available at: <http://www.fao.org/3/a-i5859e.pdf>.

#### Theme 4: Social protection and resilience building

(SP5/SP3 – not always reported under SP3):

**Objective:** Building a common vision on the role social protection can play in resilience building and contribute to the operational knowledge on cash and cash+ interventions and risk informed and shock-responsive social protection.

(Also responding to demand from FAO's SP5 resilience team, which received demand from countries for support with social protection)

#### FAO contribution

- Qualitative and quantitative impact evaluations to assess the impacts of social protection programmes (or combination of interventions) on resilience.
- Resilience measurement and vulnerability analysis.
- Support national governments in the design of **CASH+** (combine transfers of cash and productive in-kind assets and interventions) to accelerate results for poverty reduction and resilience.
- Support capacity development of to design, implement, monitor and rigorously evaluate shock-responsive social protection programmes.

#### Example activities

##### Policy dialogue

- Presentation of the FAO Director General at the World Humanitarian Summit (2016) High Level Panel on Managing Disasters Differently, focusing on the role of SP in humanitarian contexts, and presenting a statement on behalf of the SPIAC-B on the same topic.
- Active FAO engagement in the SPIAC-B group on Social Protection resilience, contributing to develop a common approach on this area with partners such as DFID, UNICEF, WFP, World Bank, and ECHO.
- Active engagement in the IASC- Group on Cash in Humanitarian Contexts
- Working with FAO SP5 to develop common positions and analysis that fed into the above external policy dialogue (see list of publications).

##### Analysis and tools

- Impact evaluation of a pilot "cash plus" a home gardening package for poor, mostly female-headed households as a drought response in Lesotho, leading to national scale up in 2016<sup>193</sup>.
- Support to the Lebanon Crisis Response Plan (LCRP) 2015-16 mapping links between agriculture and social protection centers.

##### Technical assistance

- Help with reformulation of the FAO Cash for Work (CFW) programme in Somalia, to strengthen its focus on resilience building.
- Development of "cash +" programs (cash transfers plus complementary interventions (the "plus"), such as productive assets, activities, inputs and/or training/ extension services) in Burkina Faso, Lesotho, the Niger, Mali and Mauritania<sup>194</sup>.
- Joint SP3/SP5 support to countries to strengthen linkages between SP and resilience-work ongoing in Somalia, Mali, Lebanon and Chad.
- Climate change – biodiversity- resilience support in El Salvador (Corredor Seco) and Mexico (PESA-CONABIO, started in Chiapas and due to be scaled up<sup>195</sup>).

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193 Daidone et al., 2016; and Information sheet: Complementing Social Protection and Agriculture: combining cash transfers with Home Gardening production and Nutrition during El Niño emergency response (LESOTHO).

194 Social protection in the Sahel and West Africa. Available at: <http://www.fao.org/resilience/resources/resources-detail/en/c/449556/>.

195 <http://www.sagarpa.gob.mx/Delegaciones/bajacalifornia/Boletines/Paginas/FIRMANSAGARPA.aspx>

### *Capacity building*

- Training of government and other partners in Niger and Chad on role of social protection in food security, nutrition and resilience (2016)

### **Sample knowledge products**

- Brief on Social protection in protracted crises, humanitarian and fragile contexts prepared for the World Humanitarian Summit <sup>196</sup>.
- Guidance note on Social Protection and Protracted crises, under CFS Framework for Action for Food Security and Nutrition in Protracted Crises<sup>197</sup>.
- Social Protection and Resilience Building: Supporting Livelihoods in Protracted Crises, Fragile and Humanitarian Context. FAO position paper forthcoming 2017.
- Social protection in the Sahel and West Africa<sup>198</sup>.
- Productive transfers in the Sahel – technical paper<sup>199</sup>.
- Impact of food prices increase among Lesotho's poorest<sup>200</sup>.
- Information sheet: Complementing Social Protection and Agriculture: combining cash transfers with Home Gardening production and Nutrition during El Niño emergency response (LESOTHO)<sup>201</sup>
- Collaboration for strengthening resilience: Country Case Study, Kenya<sup>202</sup>.

### **Contributions to FAO gender equality objectives**

**Objective:** To translate and implement FAO's gender equality policy (FAO, 2013b) in the area of social protection. The goal of the policy is "to achieve equality between women and men in sustainable agricultural production and rural development for the elimination of hunger and poverty. Gender equality is not only an essential means by which FAO can achieve its mandate, it is also a basic human right." Among other things, the policy sets out minimum standards for gender mainstreaming and for women specific targeted interventions.

### **FAO contribution**

FAO's Social Protection Framework (FAO, 2017a) p. 14 spells out three areas:

- "supporting countries to adopt measures that would contribute to achieve equality between women and men in *access to social protection*, as a way of promoting more sustainable pathways to food security and poverty reduction." This includes... "disseminating knowledge about the rights of rural people living in poverty and ensuring that social protection benefits reach both women and men."
- "supporting the roles of rural institutions and organizations in the *gender-sensitive design and implementation of social protection schemes*."
- "reinforcing the *linkages between social protection and women's economic empowerment*, recognizing women's productive and reproductive role. This includes complementing and reinforcing the linkages between social protection schemes – particularly cash transfers and public works programmes – with additional livelihood interventions and services designed especially for rural women."

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196 Social protection in protracted crises, humanitarian and fragile contexts. Available at: <http://www.fao.org/emergencies/resources/documents/resources-detail/it/c/415688/>

197 Guidance Note: The role of social protection in protracted crises: Enhancing the resilience of the most vulnerable. Available at: <http://www.fao.org/3/a-i6636e.pdf>.

198 Social protection in the Sahel and West Africa.

199 Les transferts productifs (CASH+) au Niger et au Burkina Faso Une approche innovante pour renforcer les moyens d'existence vulnérables au Sahel. Available at: <http://www.fao.org/3/a-i5993f.pdf>.

200 Prifti et al., 2016

201 Complementing Social Protection and Agriculture: combining cash transfers with Home Gardening production and Nutrition during El Niño emergency response (LESOTHO).

202 Collaboration for strengthening resilience: Country Case Study, Kenya. Available at: <http://www.fao.org/3/a-i5059e.pdf>.

## Example activities

### *Analysis and tools*

- Country studies on programmes in Lesotho, Malawi and Rwanda, and guidance developed on approaches to qualitative work on gender.

### *Capacity building*

- Development of Capacity Building Programme and materials on Gender Sensitive Social Protection (2016). The course materials were used with regional participants in Guatemala and Paraguay as part of a broader training course, and were due to be revised based on lessons learnt.
- In joint work with SP1, the RLC courses on Rural Poverty, Food Security, nutrition and inclusive social protection systems included specific sessions on gender sensitive design and the role of women in Nutrition-Sensitive social protection<sup>203</sup>.

## Sample knowledge products

- The impact of cash transfers on the economic advancement and decision-making capacity of rural women<sup>204</sup>.
- Technical and briefing papers on the evidence on social protection and women's empowerment<sup>205</sup>.
- Gender policy notes for social protection and rural working women in Latin America<sup>206</sup>
- Training materials on promoting Gender Sensitive Social Protection<sup>207</sup>.
- Five webinars organized together with IPC on gender and social protection, including presentations on Africa, Asia, Latin America and the Caribbean<sup>208</sup>
- A short paper summarizing issues raised in the webinars<sup>209</sup>.
- Gender equality, social protection and rural development in Eastern Europe and Central Asia: Insights from the region<sup>210</sup>.
- Research guidance for qualitative research on gender-sensitive social protection<sup>211</sup>.
- Promoting gender-sensitive design and implementation of social protection programmes: towards rural women and men's empowerment and poverty reduction concept note for FAO's capacity development programme on Gender-sensitive social protection programming in rural areas (GSSP)<sup>212</sup>.

Note: Many other FAO / SO3 activities in gender also make an indirect contribution to social protection and agricultural activities related to social protection – for example work to strengthen legal rights, land tenure and voice of rural women in policy debates. These are covered under the gender section of the main report and its gender annex.

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203 Núcleo de Capacitación en Políticas Públicas. Available at: <http://www.fao.org/in-action/capacitacion-politicas-publicas/cursos/es/>

204 The impact of cash transfers on the economic advancement and decision-making capacity of rural women. Available at: [www.fao.org/3/a-i4726e.pdf](http://www.fao.org/3/a-i4726e.pdf).

205 de la O Campos, 2015

206 Notas de política sobre mujeres Rurales. Available at: <http://www.fao.org/americas/recursos/politicas-mujeres-rurales/en/>

207 Promoting gender-sensitive design and implementation of social protection programmes: towards rural women and men's empowerment and poverty reduction Concept note for FAO's capacity development programme on Gender-sensitive social protection programming in rural areas (GSSP). FAO Gender and Social Protection teams Social Policies and Rural Institutions Division (ESP).

208 Gender-Sensitive Social Protection. Available at: <http://socialprotection.org/connect/communities/gender-sensitive-social-protection>

209 Gender and social protection: current issues and policy trends. FAO and IPC-IG. Available at: [http://www.ipc-undp.org/pub/eng/OP332\\_Gender\\_and\\_social\\_protection\\_current\\_issues\\_and\\_policy\\_trends.pdf](http://www.ipc-undp.org/pub/eng/OP332_Gender_and_social_protection_current_issues_and_policy_trends.pdf).

210 Gender equality, social protection and rural development in Eastern Europe and Central Asia: Insights from the region. Budapest: FAO. Available at: <http://www.fao.org/3/a-i5575e.pdf>.

211 Pavanello et al., 2015.

212 Promoting gender-sensitive design and implementation of social protection programmes: towards rural women and men's empowerment and poverty reduction Concept note for FAO's capacity development programme on Gender-sensitive social protection programming in rural areas (GSSP). FAO Gender and Social Protection teams Social Policies and Rural Institutions Division (ESP).



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