
CODI

CORE DIAGNOSTIC INSTRUMENT

 **ASSESSMENT MATRIX**



SYSTEM



Assessment Matrix

1. Inclusiveness Refers to the system's capacity to protect all members of society along the life cycle with special consideration for the most vulnerable				
Areas	Latent	Advanced
	1	2	3	4
Gender equality, non-discrimination, and special needs	Gender equality, non-discrimination, and special needs of vulnerable persons are not taken into consideration in social protection laws, policies, strategies, and programs' design, nor in practice in the implementation.	Only for few programs, gender equality, non-discrimination, and special needs of vulnerable persons are taken into consideration in social protection laws, policies, strategies, programs' design, and in practice.	Gender equality, non-discrimination, and special needs of vulnerable persons are taken into consideration in some programs' design and implementation and related legal provisions exist for a majority of programs.	Gender equality, non-discrimination, and special needs of vulnerable persons are taken into consideration in the majority programs' design and implementation and related legal provisions exist for all programs.
Coverage: non-contributory	Coverage of overall target population (as defined nationally) across the life cycle through non-contributory programs is very low.	Coverage of the target population (as defined nationally) across the life cycle through non-contributory programs is low.	Coverage of the target population (as defined nationally) across the life cycle through of non-contributory programs cover a majority of the target population.	Coverage of the target population (as defined by the nationally) across the life cycle through non-contributory programs is high.
Coverage: contributory	Small share of economically active population (including informal sector workers) are covered by contributory social security (insurance) programs/mechanisms and labor market.	The majority of the economically active population in the formal economy are covered by contributory social security (insurance) programs/mechanisms and labor market services and programs, but coverage of informal economy workers is low.	The majority of the economically active population (including informal sector workers) is covered by contributory social security (insurance) programs/mechanisms and labor market services and programs, but some groups are excluded (e.g., migrants).	All (or almost all) of the economically active population (including informal sector workers and migrants) is covered by contributory social security (insurance) programs/mechanisms and labor market services and programs.
Effective coverage	Most of target and potentially eligible population is excluded in practice from receiving benefits when a contingency occurs.	Less than half of all eligible population receives benefits in practice.	A majority of potential eligible population receives benefits in practice.	Practically all eligible population receive benefits in practice.
Accessibility	Important impediments in accessing social protection programs exist due to high transaction costs. For example: the inability to enroll, long periods between enrollment rounds, and/or lack of awareness among potential beneficiaries.	Access to social protection programs is a challenge due to moderate transaction costs. For example: the modest information campaign or irregular rounds of enrollment with no or limited access to individually request for enrollment.	Almost universal awareness of social protection programs. For example due to effective communication, good access to enrollment process, proactive efforts to minimize enrollment cost to beneficiary, and short periods between enrollment rounds with possibility for enrollment at individual requests.	Proactive measures minimize costs to beneficiary. For example, to facilitate enrollment processes, rolling updates or automatic enrollment (i.e. through employment contracts), effective, tailored, and timely communication lead to universal awareness.

2. Adequacy				
Refers to the sufficiency of the system's benefit levels				
Areas	Latent	Advanced
	1	2	3	4
Benefit levels compared to social protection needs	Benefits or services across social protection programs are neither regular, nor predictable, and are not adequate to meet social protection needs of the population.	Benefits and services of a minority of programs are regular and predictable and adequate to meet social protection needs of the population.	Benefits and services of majority of programs are regular and predictable and adequate to meet social protection needs of the population.	Benefits and services are regular and predictable and adequate to meet social protection needs of the population.
Benefit level compared to national benchmarks	Benefit level across programs is not adequate with respect to national benchmarks (poverty line, minimum wage, market wage, etc.).	Benefit level of a majority of programs appear too low with respect to national benchmarks (poverty line, minimum wage, market wage, etc.).	Benefit level of a minority of programs appear too low with respect to national benchmarks (poverty line, minimum wage, market wage, etc.).	Benefit levels are adequate with respect to national benchmarks (poverty line, minimum wage, market wage, etc.) for all programs.
Impact of benefits on economic activity	There are neither benefits nor services to promote productive economic activity for those in working age.	The combination of benefit and services is not adequate to promote productive economic activity for those in working age.	The combination of benefit and services is overall adequate to promote productive economic activity for those in working age, but does not sufficiently take into account local market conditions and employers' needs.	The combination of benefit and services is adequate and suitable to promote productive economic activity for those in working age.
Benefits compared to national / program objectives	The overall combination of program benefits is entirely inadequate to achieve national / program objectives.	Benefits across programs are contributing very little to achieving national social protection objectives.	Benefits are contributing to achieving most of the national social protection objectives.	Benefits are adequate to achieve national social protection objectives.
Redistributive or poverty reduction effects	The system does not aim for and does not achieve a distribution of resources in favor of the poor, nor does it provide equal protection against risks and vulnerability, or reduce poverty.	The design of the system aims for, but does not achieve, significant results regarding the distribution of resources in favor of the poor, equal protection against risks and vulnerability, or reduction of poverty.	The design of the system achieves the distribution of resources in favor of few selected groups, some protection against risks and vulnerability for everyone, and has some impact on poverty.	The design of the system ensures the distribution of resources in favor of the poor, equal protection against risks and vulnerability, and reduces poverty.
Benefit provision and services delivery standards	There are no benefit provision and service delivery standards.	Some programs have defined benefit provision and service delivery standards, but they are not consistently enforced.	Most programs have defined benefit provision and service delivery standards, but these are consistently enforced for only a few programs.	There are clearly defined service benefit provision and delivery standards and they are fully enforced across programs.

3. Appropriateness				
Refers to the system's overall arrangements to respond to national context and needs				
Areas	Latent	Advanced
	1	2	3	4
Formulation of objectives, targets, and timeframes	Social protection main policies / objectives are not well formulated, and lack clear targets and timeframes. A national strategy is not formulated.	Social protection main policies / objectives are formulated, however with unrealistic targets and timeframes. A draft strategy on social protection exists with no clear action plan for the strategy implementation.	Social protection main policies / objectives are partially formulated and those formulated have realistic targets and timeframes. A national strategy on social protection has been approved with no clear action plan for the strategy implementation.	Social protection main policies / objectives are well formulated and set realistic targets and timeframes in an approved national social protection strategy. A clear action plan exists.
Alignment of social protection policies / programs / strategy	Social protection main policies / strategy / program design are not aligned with national social protection needs.	Social protection main policies / strategy / program design are somewhat aligned with national social protection needs.	Social protection main policies / strategy / program design are largely aligned with national social protection needs.	Social protection main policies / strategy / program design are aligned with national social protection needs.
Combination of schemes and programs	Mix of social protection programs is arbitrary, the majority of functions are not covered at all.	Mix of social protection programs does not reflect population needs and socioeconomic realities. The majority of functions are partially addressed.	Mix of social protection programs is fairly balanced and in line with social protection needs and socioeconomic realities. The majority of functions are addressed.	Mix of all social protection programs complement each other and fully reflect social protection needs and socioeconomic realities. All functions of social protection are addressed.
Composition of expenditure	Composition of expenditures does not reflect the population needs and is allocated in a hoc manner across functions of social protection.	Composition of expenditures is reflective of certain population needs - they are concentrated only in one function of social protection.	Composition of expenditures is reflective of most population needs - they are concentrated in a limited number of social protection functions.	Composition of expenditures fully reflects population needs across all social protection functions.
Evidence-based policy and program design	Policies and programs (including their budgeting) are not designed on the basis of evidence (risks and vulnerability analysis, social protection needs, and gaps assessments, etc.).	Few policies and programs (including their budgeting) are designed on the basis of evidence (risks and vulnerability analysis, social protection needs, and gaps assessments, etc.).	Policies and programs (including their budgeting) are designed on the basis of evidence (risks and vulnerability analysis, social protection needs, and gaps assessments, etc.).	Most policies and programs (including their budgeting) are designed on the basis of updated, comprehensive (all functions), and disaggregated (including local levels) evidence (risks and vulnerability analysis, social protection needs, and gaps assessments, etc.).

4. Respect for Rights & Dignity				
Refers to social protection entitlements and implementation arrangements being anchored in law				
Areas	Latent	Advanced
	1	2	3	4
Entitlements anchored in law	Social protection entitlements are not prescribed by law.	Entitlements regarding the range, duration, qualifying conditions, and levels of benefits are specified in the legal framework for some schemes.	Entitlements regarding range, duration, qualifying conditions, and benefit levels are specified in the legal framework for the majority of schemes and programs.	Entitlements regarding the range, duration, qualifying conditions, and levels of benefits for all schemes and programs are prescribed by law.
Enforcement mechanisms: public authority, complaint and appeal mechanisms, and public awareness	Enforcement mechanisms are not existent: no public authority, no complaint and appeal mechanisms in place, and the public is not informed about existing programs.	Inefficient enforcement mechanisms: weak public authority, inefficient and inaccessible complaint and appeal mechanism, and the general public is not sufficiently informed about their entitlements.	Enforcement mechanisms are responsive: efficient public authority for some programs, efficient and accessible complaint and appeal mechanisms are partially in place, and a majority of the population is informed about their entitlements.	Efficient and responsive enforcement mechanisms are in place: strong public authority, efficient and accessible complaint and appeal mechanisms, and the population are well-informed regarding their benefit entitlements.
Respect for dignity and human rights	Benefit design and delivery mechanisms (application, registration, delivery) do not respect human rights standards and principles.	Benefit design and delivery mechanisms (application, registration, delivery) of a few programs respect human rights standards and principles.	Benefit design and delivery mechanisms (application, registration, delivery) of some programs respect human rights standards and principles.	Benefit design and delivery mechanisms (application, registration, delivery) of all programs respect human rights standards and principles.
Confidentiality of private information	There are no mechanisms in place to protect private individual information.	Mechanisms do not sufficiently protect private individual information.	There are mechanisms in place for most programs that sufficiently protect private individual information.	Private individual information is effectively protected.

5. Governance & Institutional Capacity				
Assesses the system's rules, regulations, roles, responsibilities, and related implementation capacities				
Areas	Latent	Advanced
	1	2	3	4
Reporting mechanisms, roles, and responsibilities anchored in law	Legal framework does not prescribe the reporting mechanisms, roles, and responsibilities of different agencies / entities across the different programs and schemes of the social protection system.	Legal framework mentions but does not specify the functioning of reporting mechanisms, nor the roles and responsibilities of different agencies / entities across the different programs and schemes of the social protection system.	Legal framework mentions and provides some specifications for the functioning of reporting mechanisms and roles and responsibilities of different agencies / entities across the different programs and schemes of the social protection system.	Legal framework clearly states the functioning of the reporting mechanisms and roles and responsibilities of different agencies / entities across the different programs and schemes of the social protection system.
Program implementation guidelines / operational manuals state reporting mechanisms, roles, and responsibilities	Most programs do not have implementation guidelines / operational manuals defining reporting mechanisms, roles, and responsibilities of agencies for the administration, delivery, and monitoring of programs.	Only some programs have implementation guidelines / operational manuals which define the reporting mechanisms, roles, and responsibilities of agencies for administration, delivery, and monitoring of programs.	Implementation guidelines / operational manuals which define the reporting mechanisms, roles, and responsibilities of agencies for administration, delivery, and monitoring of programs exist for most programs.	Implementation guidelines / operational manuals which define the reporting mechanisms, roles, and responsibilities of agencies for administration, delivery, and monitoring of programs exist for all programs.
Enforcement mechanisms	There are no mechanisms in place to enforce compliance with program rules and minimize error and fraud for the majority of programs.	Mechanisms in place to enforce compliance with program rules and minimize error and fraud are generally weak and do not exist for all programs.	Mechanisms in place to enforce compliance with program rules and minimize error and fraud are responsive for a majority of programs.	There are strong and efficient mechanisms in place to enforce compliance with program rules and minimize error and fraud for the majority or all programs.
Institutional supervisory capacity	None or minimal institutional capacity (staff, equipment, financial capital) to carry out or supervise tasks related to policy and program design, implementation, and monitoring.	Limited institutional capacity (staff, equipment, financial capital) to carry out or supervise tasks related to policy and program design, implementation, and monitoring.	Sufficient institutional capacity (staff, equipment, financial capital) to carry out or supervise nearly all tasks related to policy and program design, implementation, and monitoring.	High institutional capacity to carry out or supervise all tasks related to policy and program design, implementation, and monitoring.
Staff implementation capacity	Program staff are not adequate in numbers and not sufficiently trained to carry out respective tasks.	Staff is either not adequate in number and/or not adequately trained to carry out respective tasks .	There is an adequate number of program staff and staff are adequately trained carry out respective tasks, but not consistently across all programs.	There is an adequate number of program staff and staff are adequately trained to carry out respective tasks for the majority or all programs.
Stakeholder participation	There are no structures and processes in place to ensure relevant stakeholders are well informed, consulted, and able, where necessary, to participate in the design, implementation, and monitoring of most programs.	Across social protection programs, structures and processes are in place to ensure that some, however not all, relevant stakeholders are well informed, consulted, and able to participate where necessary in the design, implementation, and monitoring.	Structures and processes are in place to ensure that all relevant stakeholders are well informed, consulted, and able to participate in the design, implementation, and monitoring, however not for all programs.	Structures and processes are institutionalized and well-functioning to ensure all relevant stakeholders are well informed, consulted, and able to participate when necessary in the design, implementation, and monitoring of key policies and programs.

6. Financial & Fiscal Sustainability				
Refers to the system's financial and fiscal sustainability				
Areas	Latent	Advanced
	1	2	3	4
Domestic or external financing	Most of the social protection financing is based on external funding.	External funding plays a significant role (less than 50 percent of social protection expenditures are financed from domestic resources).	External funding does not play a significant role (more than 50 percent of social protection expenditures are financed from domestic resources).	Social protection expenditures are fully financed from domestic sources.
Contributory capacity taken into account in financing arrangements	Generally social protection budget is not aligned with financing / contributory capacity.	Social protection budget is aligned with financing / contributory capacity only for few programs.	Social protection budget is aligned with financing / contributory capacity for most of the expenditure of most programs.	Social protection budget is aligned with financing / contributory capacity for the cost of all programs.
Alignment of budget allocation with policy priorities	Social protection budget allocation is not aligned with priority programs.	Social protection budget allocation is aligned with a minority of priority programs.	Social protection budget allocation is aligned with a majority of priority programs.	Social protection budget allocation is fully aligned with priority programs.
Long term budget planning in line with demographic developments	Budget planning processes do not take projected economic and demographic developments into account for planned social protection allocation of future years.	Budget planning processes take projected economic and demographic developments into account for planned social protection allocation of future years for some of the programs.	The projection of individual program costs under different demographic and socioeconomic scenarios is available and often used to plan and budget programs' financing. Some of the system's programs are cost-effective. Budget planning processes take projected economic and demographic developments into account for planned social protection allocation of future years for most of the programs.	The projection of individual program costs under different demographic and socioeconomic scenarios is available and often used to plan and budget programs' financing. Budget planning processes take projected economic and demographic developments fully into account for planned social protection allocation of future years for all programs.
Long term financial commitments considered in legal framework and social protection strategy	Long term vision of social protection and related financial commitments are not addressed in the legal framework and / or the social protection strategy.	Long term vision of social protection and related financial commitments are generally overlooked in the legal framework and / or the social protection strategy.	Long term vision of social protection and related financial commitments are partially addressed in the legal framework and / or the social protection strategy.	Long term vision of social protection and related financial commitments are clearly addressed in the legal framework and / or the social protection strategy.
Reliability and progressivity of social protection financing	Social protection financing is unstable, unreliable, and regressive.	There are frequent delays and irregularities in the provision of social protection financing, large part of the taxes are regressive.	There are occasional delays and irregularities in the provision of social protection financing and some of the taxes are regressive.	Social protection financing is stable, reliable, and progressive.

7. Coherence & Integration Refers to the alignment and coherence of the system across its policies, programs, and administrative structures, as well as coherence with related policy areas				
Areas	Latent	Advanced
	1	2	3	4
Complementarity of social protection policies / degree of duplication and overlap	Social protection policies and programs do not complement each other within and across social protection functions, giving rise to duplications and inefficiencies.	There is a plan to achieve complementarity of policies and programs within agencies, but not across agencies.	Social protection policies and programs are reasonably coherent and complement each other within agencies but not across social protection such that some duplications are avoided but some inefficiencies exist.	Social protection policies and programs are coherent and complement each other within and across social protection functions, avoiding duplications and inefficiencies.
Institutional framework to ensure coordination	Neither legal provisions, institutional arrangements, nor other frameworks ensure coordination, integration, and complementarity across social protection programs.	Limited legal provisions, ad hoc arrangements, or other frameworks mean limited coordination, integration, and complementarity of social protection programs.	Reasonable legal provisions, institutional arrangements, and other frameworks ensure coordination, integration, and complementarity across some social protection programs.	Clear and detailed legal provisions, institutional arrangements, and other frameworks ensure coordination, integration, and complementarity of the social protection system across all social protection programs.
Integration of program implementation	Each program has separate non-interoperable implementation and information processes.	Some programs share at least one delivery system (ID / transaction / targeting / enrollment / MIS) and there is some ability to share and validate information across a few programs.	Most programs share some delivery systems (ID / transaction / targeting / enrollment / MIS) and there is good ability to share and validate information across the majority of programs.	Programs share common delivery systems.
Possibility of integrated analysis of social protection financing	The classification of budget expenditure and revenues does not allow for an integrated analysis of social protection expenditures and financing.	The classification of budget expenditure allows for an integrated analysis of social protection expenditures and financing for some social protection functions.	The classification of budget expenditure allows for an integrated analysis of social protection expenditures and financing across a majority of social protection functions.	The classification of budget expenditures allow for an integrated analysis of all social protection expenditures and financing.
Coherence with other policy areas	There are neither mechanisms nor procedures to ensure coherence between social protection and other sectors.	Some consideration is given in the policy set-up to ensure coherence between social protection and other sectors, but this is generally not applied in practice.	There are mechanisms and procedures to ensure coherence between social protection and some other sectors and these are applied in some circumstances.	There are mechanisms and procedures that are applied in practice to ensure coherence between social protection and all other relevant sectors.

8. Responsiveness				
Refers to the system's M&E framework and flexibility to adjust / adapt in response to socio-economic crises				
Areas	Latent	Advanced
	1	2	3	4
Responsiveness of budget and implementation mechanisms	There are no budget or implementation mechanisms in place to effectively respond to shocks, crisis, socio-economic changes, or demographic developments for the majority of programs.	There are inefficient budget and implementation mechanisms in place to respond to shocks, crisis, socioeconomic changes, or socio-demographic developments. These mechanisms are not contemplated in the legal framework.	There are budget and implementation mechanisms in place to effectively respond to shocks, crisis, socioeconomic changes, or socio-demographic developments but only for some programs. Legal provisions may exist for some programs.	There are budget and implementation mechanisms in place to effectively respond to shocks, crisis, socio-economic, or socio-demographic developments changes for the majority of programs. Detailed legal provision are in place.
Availability, quality, and timeliness of data on trends and social protection programs	Data, statistics, and monitoring reports are produced ad hoc, not accessible to main agencies, and are not used to inform policy actions to adapt the system to evolving needs and socio-economic trends. There are no program evaluation available.	Data, statistics, and monitoring reports are accessible to main agencies, but are not produced periodically and in a timely manner, and are insufficient to revise and adapt the system to evolving needs and socio-economic trends.	Data, statistics, and monitoring reports are accessible to main agencies, produced in a timely manner, but not always used to revise and adapt the system to evolving needs and socio-economic trends. Evaluations are done only ad hoc.	Data, statistics, monitoring reports, and regular program evaluation are accessible to main agencies, produced periodically and in a timely manner, and routinely used to revise and adapt the system to evolving needs and socio-economic trends.
Information dissemination mechanisms	There are no information dissemination mechanisms in place to publicize changes in program implementation.	Partial capacity for information dissemination, outreach, and awareness raising including as regards short term / emergency changes, but not always adapted such that it reaches all relevant parties.	Most programs have adequate capacity for information dissemination, outreach, and awareness raising including for short term / emergency changes that is adapted to reach most relevant parties.	All programs have full capacity and mechanisms in place for information dissemination and awareness raising including for short term / emergency changes that is adapted to reach all relevant parties.
Mechanisms for parametric adjustments	Programs do not have a mechanism to carry out parametric adjustments.	Programs have a mechanism in place to carry out parametric reforms but this is not applied in practice.	Most programs have a mechanism in place for parametric adjustment and this is usually applied in practice.	All programs have a well-functioning mechanism in place for parametric reforms that is applied consistently.
Coverage of emergency response operations in practice	Only a small share of the population is included in relief programs in case of disasters or shocks and with significant delays.	A significant share of the population is included in relief programs if affected by disasters and shocks is, but with significant delays.	The majority of the population is included in emergency relief / disaster responses but not all on a timely basis.	All (or almost all) of the population affected by disasters and shocks are included in case of shocks or emergency responses in a timely manner.

9. Cost-effectiveness Refers to cost effectiveness both for those financing and for those benefiting from a program (apply only if evidence exists)				
Areas	Latent	Advanced
	1	2	3	4
Cost of program delivery	The individual programs delivery cost is high rendering low benefit / cost ratios and making the system costly and ineffective.	The delivery cost varies by program but the majority of programs have a relatively low benefit / cost ratio making the system overall costly and ineffective.	The delivery cost is moderate across programs and the benefit / cost ratio is moderate, making the system moderately cost-effective.	Individual program delivery cost is low, resulting in high benefit / cost ratios across the majority of programs.

10. Incentive Compatibility Refers to ensuring that the system's programs don't generate distortionary effects (apply only if evidence exists)				
Areas	Latent	Advanced
	1	2	3	4
Consideration of incentives in program design	Incentive compatibility is not at all considered in the design and implementation of the social protection system.	There is little attention in program design regarding behavioral incentives for workers, employers, or social protection administrators.	There is an effort when designing social protection programs to create positive behavioral incentives for workers, employers, or social protection administrators.	The design of social protection programs succeeds in creating positive behavioral incentives for workers, employers, or social protection administrators.
Incentives for persons covered	Programs often create disincentives for beneficiaries to work, save, or participate in risk-pooling arrangements.	There are mixed incentives for beneficiaries to work, save, or participate in risk-pooling arrangements.	Some programs succeed in creating the positive incentives for beneficiaries to work, save, or participate in risk-pooling arrangements.	Overall, the system provides positive incentives for beneficiaries to work, save, or participate in risk-pooling arrangements.
Incentives for employers	Generally, employers have little incentives to register workers with social security programs.	The majority of employers have little incentives to register workers with social security programs.	Most of the employers have incentives to register workers with social security programs.	Generally, employers have strong incentives to register their employees with social security programs.
Incentives for scheme administrators	There are no incentives for scheme administrators to enroll eligible beneficiaries and increase program take-up.	There insufficient incentives for scheme administrators to enroll eligible beneficiaries and increase program take-up.	There are reasonable incentives for service providers to enroll eligible beneficiaries and increase program take-up.	There are strong incentives for scheme administrators to enroll eligible beneficiaries and increase program take-up.