ISPA tools
South Asia and East Asia Pacific Regional ISPA
Face-2-Face Training
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Team and Work Plan

Team

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Agenda

- Introduction to the tool
- How is CODI different from other ISPA tools? From other types of assessment?
- Presentation of country experience with CODI (Philippines)
- CODI Clinique: Resources, Exercises, Case Studies, Questions and Answers
- What have we learned? What is next on the agenda for CODI application?
1. Introduction to CODI. How is CODI different from other ISPA tools? From other types of assessment?

2. Conceptual framework: Mapping of the social protection system

3. CODI assessment criteria

4. How to apply CODI?

5. Q&A
WHAT IS THE CORE DIAGNOSTIC INSTRUMENT?
Core Objectives of Diagnostic Instrument

- Map the elements of a social protection system in a given country, including national objectives, strategies, policies, programs, and schemes of the social protection system.

- Analyze social protection system performance against national social protection objectives and track progress against a standardized set of performance criteria over time.

- Serve as an evidence base for country dialogue on how to strengthen a social protection system and identify a set of entry level policy reform options, taking into account local conditions.

- Promote exchange & coordination between national & international partners.
WHY CODI? THEORY OF CHANGE

Assessment of the Social Protection System
- Diagnostic
- Assessment
- Formulation of Policy Options
- Assessing Policy Options
- Revising policy options and identification of options for in-depth feasibility assessments

Evidence based formulation of policy options

- Inventory of existing schemes
- Legal, financing, governance and policy making frameworks
- Benchmarking against international principles and standards
- Benchmarking against comparable programmes/systems performance
- Identification of social protection gaps
- Defining objectives and target groups
- Defining Qualifying conditions
- Setting benefit parameters
- Estimating the costs
- Analysing impact on government budget
- Simulating social and economic impact
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<thead>
<tr>
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<td>In Progress</td>
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<td>Implementation in this country was carried out by the World Bank Group's Identification for Development (ID4D) initiative.</td>
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<td>South Asia (Regional) - WB</td>
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What are other tools for SP system analysis?

Traditional – country level analysis
- Social welfare/protection system assessment
- Social expenditure analysis
- Pension sustainability analysis
- Programme audit/ process evaluation
- Impact evaluations

New – international/global
- SPPOT
- SP Index
- ASPIRE
- SOCX, MISSOC, ESSPROS
CODI provides a coherent framework for a systematic analysis of SP systems

The framework facilitates the following:

1. **Mapping** the national social protection system: inventory of schemes and programmes

2. Analysis of the SP system **performance**: assessment against national objectives and standardized set of CODI performance **criteria**

3. Identification of policy, programmes and implementation strengths and weaknesses

4. Promotion of **dialogue, exchange & coordination** between national & international partners
VIEW OF THE SOCIAL PROTECTION SYSTEM: MAPPING “KEY AREAS”
Original CODI framework for assessing social protection system:
3 modules & 18 Key areas

**Policy**
- Legal & Policy Framework
- Needs of the Population
- Policymaking Process
- Policy Implementation & Institutional Capacity
- Public Expenditure & Financing
- Information & Awareness
- Monitoring & Evaluation

**Program Design**
- Eligibility Criteria
- Benefit Design
- Expenditures & Financing
- Incentives

**Program Implementation**
- Identification
- Eligibility Verification
- Enrolment
- Benefit Delivery
- Monitoring & Evaluation
- Complaint & Appeals
Levels of analysis

- **System level analysis**
- **Pillar level analysis**
- **Program level analysis**

**Social Protection System:**
- **Policy, Design and Implementation**

1. Pillar or area of social protection e.g. Pensions
   - Policy, Design & Implementation
2. Pillar or area of social protection e.g. Family
   - Policy, Design & Implementation
3. Pillar or area of social protection e.g. DRM
   - Policy, Design & Implementation
4. Pillar or area of social protection e.g. Labor Market
   - Policy, Design & Implementation
ANALYSIS OF SP SYSTEM PERFORMANCE
(CODI ASSESSMENT CRITERIA)
10 criteria to analyze the performance of the social protection system

1. Inclusiveness – who is covered?
2. Adequacy – what benefits/services are provided?
3. Appropriateness – do benefits and services address actual needs?
4. Respect for Rights and Dignity
5. Governance and Institutional Capacity
6. Financial and Fiscal Stability
7. Coherence and Integration – internally and across different policy areas
8. Responsiveness – to shocks and to demographic, social or economic developments
9. Cost-Effectiveness
10. Incentive Compatibility
1. Inclusiveness

The social protection system should guarantee that everyone is protected along the life cycle, including the poorest and most vulnerable. This entails ensuring non-discrimination, gender equality, responsiveness to special needs, availability of and accessibility of programs and benefits.
**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

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Latent 1</th>
<th>2</th>
<th>3</th>
<th>Advanced 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gender equality, non-discrimination, and special needs</td>
<td>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.</td>
<td>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.</td>
<td>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.</td>
<td>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.</td>
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<tr>
<td>Effective coverage</td>
<td>Most of target and potentially eligible population is excluded in practice from receiving benefits when a contingency occurs.</td>
<td>Less than half of all eligible population receives benefits in practice.</td>
<td>A majority of potential eligible population receives benefits in practice.</td>
<td>Practically all eligible population receive benefits in practice.</td>
</tr>
<tr>
<td>Accessibility</td>
<td>Important impasses 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.</td>
<td>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.</td>
<td>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.</td>
<td>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.</td>
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</tbody>
</table>
2. Adequacy

Programs provide regular and predictable benefits and quality services that are adequate to meet the needs of the population and achieve national/program objectives. As a minimum, benefits and services contribute to poverty reduction, equity and to ensure income security (for contributory benefits: income replacement), access to health and other services along the life cycle.
3. Appropriateness

SP system and national objectives and targets are appropriate regarding the combination of schemes and programmes as well as in relation to social protection needs, financing and institutional capacities. This requires policy decisions to be guided by evidence.
4. Respect for rights and dignity

• Entitlements to benefits are anchored in law and regulations, specifying the range, qualifying conditions, and levels of the benefits.
• Programs and benefits design and their delivery are in line with human rights standards and principles, including the protection of private individual information.
• The general public is well informed about SP measures.
• Enforcement mechanisms are in place and efficient and accessible complaint and appeal procedures are available.
5. Governance and Institutional Capacity

The SP governance framework has

• Internal rules that specify the **roles and responsibilities** of actors involved in social protection
• Channels to **inform** stakeholders and structures that enable them to **participate** in the design, implementation, and monitoring of social protection programs
• **Accurate, reliable, accountable, and transparent** financial and delivery systems that minimize errors, fraud, and mismanagement
• **Institutional capacity** (appropriate equipment and an adequate number of staff with the right set of skills and training)
• A diversity of financing and delivery mechanisms, high quality public services, and effective enforcement mechanisms
6. Financial and fiscal sustainability

- The financial resources raised and allocated are aligned with actual and expected program outcomes, demographic patterns, and economic development.
- Contributions are designed based on beneficiaries’ contributory capacity.
- Budgets are executed as planned.
- There is a clear plan for phasing out external financial support.
- Legal and institutional frameworks should articulate the long term financial requirements to ensure long term funding commitments.
7. Coherence and Integration

• Social protection policies are balanced with related social, economic, and sectoral policies (external coherence) and
• the set of existing programs complement each other (internal coherence).
• Coordination is ensured across institutions responsible for the design, administration, and delivery of social protection programs.
• Common/shared delivery systems minimize the administrative resources required to implement individual programs.
• As a result, fragmentation, overlaps, and duplication are minimized.
8. Responsiveness

Flexibility to evolve and adapt the balance and scale of programs in light of changing social protection needs arising from socioeconomic, socio-demographic, natural or political developments (rapid response or longer term adjustments).

Responsiveness requires regular monitoring and periodic evaluation of these developments as well as of the social protection programs and schemes.
9. Cost-Effectiveness

Delivery systems implement existing programs with the minimum resources required to achieve the desired impact and reduce the cost for beneficiaries to access social protection programs. Cost-effectiveness refers both to the efficiency (how efficiently inputs are employed to produce outputs) & to the effectiveness (changes in system outcomes per unit of input).
10. Incentive compatibility

Incentives for persons of working age to work, save, participate in risk-pooling arrangements; incentives for employers to register their workers and pay the required contributions, for tax authorities to collect the required contributions; for social protection service providers to enroll all eligible beneficiaries and provide good quality services and for eligible beneficiaries to become a member of a scheme and take up benefits.
HOW TO APPLY CODI?
What is in CODI toolbox?

“What Matters” Guidance
- Lays technical foundation for assessment
- Provides good practices from international experience
- Provides instructions to gather information
- Describes how the assessment is organized

Data collection framework
Gathers qualitative and quantitative information

Overview of findings
Assesses against the agreed criteria on a four point scale

Country Report
- Presents the findings
- Highlights strengths and weaknesses in relation to good international practice
- Summarizes complex landscape of policies and institutions
- Provide policy options to be used as jumping off point for future dialogue between stakeholders

Implementation Guidelines
Outlines the process of application of ISPA tools from start to completion
## Program Inventory = Administrative Data Collection

Inventory of SP schemes, programs and benefits
Information should be provided for ALL SP programs operating in the country

<table>
<thead>
<tr>
<th>Program/ benefit category</th>
<th>Risk covered / function</th>
<th>Target population</th>
<th>Benefit level and indexation method</th>
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</thead>
<tbody>
<tr>
<td>Non-contributory social assistance programs</td>
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<td>Program A</td>
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<td>Benefit 1</td>
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<td>Benefit 2</td>
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<td>Benefit 3</td>
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<tr>
<td>Program B</td>
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<tr>
<td>Benefit 1</td>
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<td>Benefit 2</td>
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<tr>
<td>Benefit 3</td>
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<tr>
<td>Contributory Social Insurance Programs/Schemes</td>
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<td>Program A</td>
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<td>Benefit 1</td>
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<td>Benefit 3</td>
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<td>Program B</td>
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<td>Benefit 1</td>
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<td>Benefit 3</td>
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<td>Labor Market Measures and services</td>
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<td>Program A</td>
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<td>Program B</td>
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<td>Program C</td>
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The questionnaire is organized according to the key areas – some examples

<table>
<thead>
<tr>
<th></th>
<th>National Legal and Policy Frameworks</th>
<th>Response</th>
<th>Source</th>
<th>Assessment Criteria</th>
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<tbody>
<tr>
<td>1</td>
<td><strong>What are the key laws and other acts regulating SP policies and their financing and implementation? (Please list and provide text or link)</strong></td>
<td>Text</td>
<td>Ministry</td>
<td>Rights and Dignity, Governance</td>
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<tr>
<td>2</td>
<td><strong>General provisions - i.e. laws setting out the overall objectives and the types and schemes and programs that form part of the SP system (Constitutional Law, Social Security Law, Labour Codes, etc.)</strong></td>
<td>Ministry</td>
<td>Rights and Dignity, Coherence and Integration</td>
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<td>3</td>
<td><strong>Specific laws by function (i.e. laws containing benefit parameters - range, qualifying conditions, benefit levels, etc...)</strong></td>
<td>Ministry</td>
<td>Rights and Dignity, Adequacy, Inclusiveness</td>
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</tbody>
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*Poverty and social exclusion  
*medical care  
*Children/ family  
*Maternity  
*Sickness  
*Unemployment  
*Employment injury  
*Disability  
*Survivors  
*Old-age  
*Housing  
*ALMPs

| 4 | **Laws related to the implementation, administration, financing and delivery (including accountability mechanisms and related controls)**                                                                                           | Ministry | Rights and Dignity, Governance                           |
### Questionnaire examples continued

<table>
<thead>
<tr>
<th>15.A</th>
<th>Benefit Delivery</th>
<th>Responses</th>
<th>Source</th>
<th>Relevant assessment Criteria</th>
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</thead>
<tbody>
<tr>
<td>164</td>
<td>For cash benefits: What is the delivery mechanism for paying the benefit? Is the delivery mechanism prescribed by law? Describe responsible agencies and payment modalities:</td>
<td></td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness</td>
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<td>*in cash</td>
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<td>*into bank accounts</td>
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<td>*electronically through other means (smart cards, mobile phones)</td>
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<td>For in kind benefits: What is the delivery mechanism for delivering the benefit? - Describe the responsible agencies</td>
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<tr>
<td>165</td>
<td>In the case of in-kind benefits (e.g., food) or services (e.g., medical services), is the delivery of these benefits verified electronically?</td>
<td>Yes-Partially- No</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness, Cost effectiveness</td>
</tr>
<tr>
<td>166</td>
<td>What is the method of verification (PIN, biometric, other)?</td>
<td>Text</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness, Cost effectiveness</td>
</tr>
<tr>
<td>167</td>
<td>How quickly is this information generated and available to the program administration?</td>
<td>Text</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness, Cost effectiveness</td>
</tr>
<tr>
<td>168</td>
<td>Is this information used to compensate providers/distributors?</td>
<td>Yes-Partially- No</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness, Cost effectiveness</td>
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### International instruments, principles and provisions

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<tr>
<th>Row</th>
<th>International Instruments</th>
<th>Principles &amp; Related Provisions(^{20})</th>
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</thead>
</table>
| 1. Policy Framework | - Universal Declaration of Human Rights, UDHR, Art. 22 and 25  
- International Covenant on Economic, Social and Cultural Rights, ICESCR, Art. 9 | Social Security as a Right/Universality:  
- "Everyone, as a member of society, has the right to social security and is entitled to realization, through national effort and international co-operation and in accordance with the organization and resources of each State, of the economic, social and cultural rights indispensable for his dignity and the free development of his personality."
- "1. Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control. 2. Motherhood and childhood are entitled to special care and assistance. All children, whether born in or out of wedlock, shall enjoy the same social protection."
- States have an obligation to fulfill the right to social security by facilitating, promoting and providing effective access to social protection for the population.  
- States should ensure that social security is adequate, affordable, and accessible;  
- States should provide for measures that complement social protection policies such as social services, policies for poverty reduction, livelihood promotion and social inclusion. |
Lessons learned

- Multiple uses of CODI: flexible tool that can fit many purposes
- Detailed review of policy, governance framework and programs design and implementation helps to ensure breadth and depth of analysis
- No fixed link between assessment matrices and questionnaire
- Next steps: develop additional quantitative criteria and benchmarking
- Next steps: better understanding the performance drivers
- Next steps: faster, more agile applications delivering results
YOUR QUESTIONS?
LEARN MORE:

ISPATools.org
Please navigate to the ISPA website, where you can learn more about the ISPA initiative, the ISPA tools, and how to get involved with improving social protection for all.

follow the conversation
#ISPA_tools

Contact us: info@ispatools.org
wodsak@ilo.org & lrodriguez3@worldbank.org