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SOCIAL PROTECTION ASSESSMENTS

SOCIAL PROTECTION PUBLIC WORKS PROGRAMS

PROGRAM

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HelpAge International
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
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Overseas Development Institute (ODI)
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About ISPA

The **Inter Agency Social Protection Assessments (ISPA)** tools are the result of a multi-agency initiative that aims to put forth a unified set of definitions, assessment tools, and outcome metrics to provide systematic information for a country to assess its social protection system, schemes, programs, and implementation arrangements. Assessments are done with the goal of improving performance and analyzing trends over time. The ISPA tools are part of a free and publicly available platform, building on existing work by the United Nations system, the World Bank, bilateral donors, and other development agencies.

Within the context of ISPA, **social protection** refers to the set of policies and programs aimed at preventing or protecting all people against poverty, vulnerability, and social exclusion throughout their lives, with a particular emphasis toward vulnerable groups. Social protection can be provided in cash or in kind through noncontributory schemes providing universal, categorical, or poverty-targeted benefits such as social assistance; contributory schemes, with social insurance the most common form; and by building human capital, productive assets, and access to jobs.

Application of the ISPA tools should be conducted at the request of the government and involve all essential national representatives of stakeholders, including the relevant government ministries and agencies, social partners, civil society organizations, national social protection practitioners, and academic experts. They will work together with partner international agencies and other external advisers. ISPA tools are meant to identify strengths and weaknesses of social protection systems and enable governments to identify a set of entry level reform options based on global best practices.

This tool is not intended for use in cross-country comparisons. It is one of the ISPA tools that takes an in-depth assessment at the **PROGRAM**/branch level of analysis. It is complemented by more assessment tools operating at the **SYSTEM** level or looking into specific **DELIVERY**/administrative aspects.

SYSTEM

Assess the social protection system and policies in a country

PROGRAM

Deeper analysis on the different types of social protection programs and branches

DELIVERY

In-depth analysis of different implementation aspects

Foreword

This Inter Agency Social Protection Assessments (ISPA) tool focuses on providing guidance on how to collect information and assess the performance of a country's public works programs as part of a social protection scheme. To assess public works as a public infrastructure investment scheme, this tool may need to be supplemented.

There is growing interest and experience in public works programs around the world. For example, recent reviews show that they are present in about 80 developing countries, with an exponential increase over the past decade. Many of these programs have been subject to robust impact evaluations and are carefully documented in a range of published materials and resources.

As part of the broader ISPA initiative, this document presents a tool to assess the performance of a public works program and set out possible options for enhancement. At the same time, the tool also generates stylized information on the broader universe of public works programs available in a country, helping to interpret the assessment from a "system" perspective.

Like all ISPA tools, the Social Protection Public Works Programs tool includes four parts:

1. The **"What Matters" Guidance Note** provides background for those wishing to carry out or commission a country or program assessment for one or more public works programs. The set of criteria described in the "What Matters" Guidance Note lays down the conceptual foundation for the assessment on the basis of good practices and illustrations from real world experiences.

2. The **Data Collection Framework** is designed to collect quantitative and qualitative information on social protection system attributes and on some key social protection programs. Its structure and content correspond to the Guidance Note.

3. The **Overview of Findings** helps to organize the findings from the Data Collection Framework. It uses a four-point scale. The assessment approach helps to identify social protection areas that may benefit from strengthening or are in line with good practices, as well as ensuring that trade-offs between criteria are explicit to policy makers.

4. The main deliverable of an ISPA assessment is the **Country Report**. This document presents the findings, highlights strengths and weaknesses in relation to good practice, summarizes the complex landscape of policies and institutions, and serves as the common starting point for future dialogue between stakeholders.

Abbreviations

ASPIRE	Atlas of Social Protection Indicators for Resilience and Equity
CBPP	Community-Based Participatory Practice
CBO	Community-Based Organization
CCT	Conditional Cash Transfer
CfWTEP	Cash for Work Temporary Employment Program
CSO	Civil Society Organization
GDP	Gross Domestic Product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
HSBP	Household Asset Building Program
ICT	Information and Communications Technology
ILO	International Labor Office
KKV	Kazi Kwa Vijana
LIWP	Labor Intensive Works Program
LYEP	Liberia Youth Employment Program
M&E	Monitoring and Evaluation
MIS	Monitoring Information System
MGNREGA/S	Mahatma Gandhi National Rural Employment Guarantee Act/Scheme
NGO	Non-Governmental Organization
ODI	Overseas Development Institute
PATI	Programa de Apoyo Temporal al Ingreso
PEP	Public Employment Program
PSNP	Productive Safety Net Program
PWP	Public Work Program
SP	Social Protection
ISPA	Inter-agency Social Protection Assessments
SSN	Social Safety Net
VUP	Vision 2020 Umurenge Programme
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
YES	Youth, Employment, Skills (Project)
WFP	World Food Programme
W&S	Waste & Sanitation

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"WHAT MATTERS" GUIDANCE NOTE

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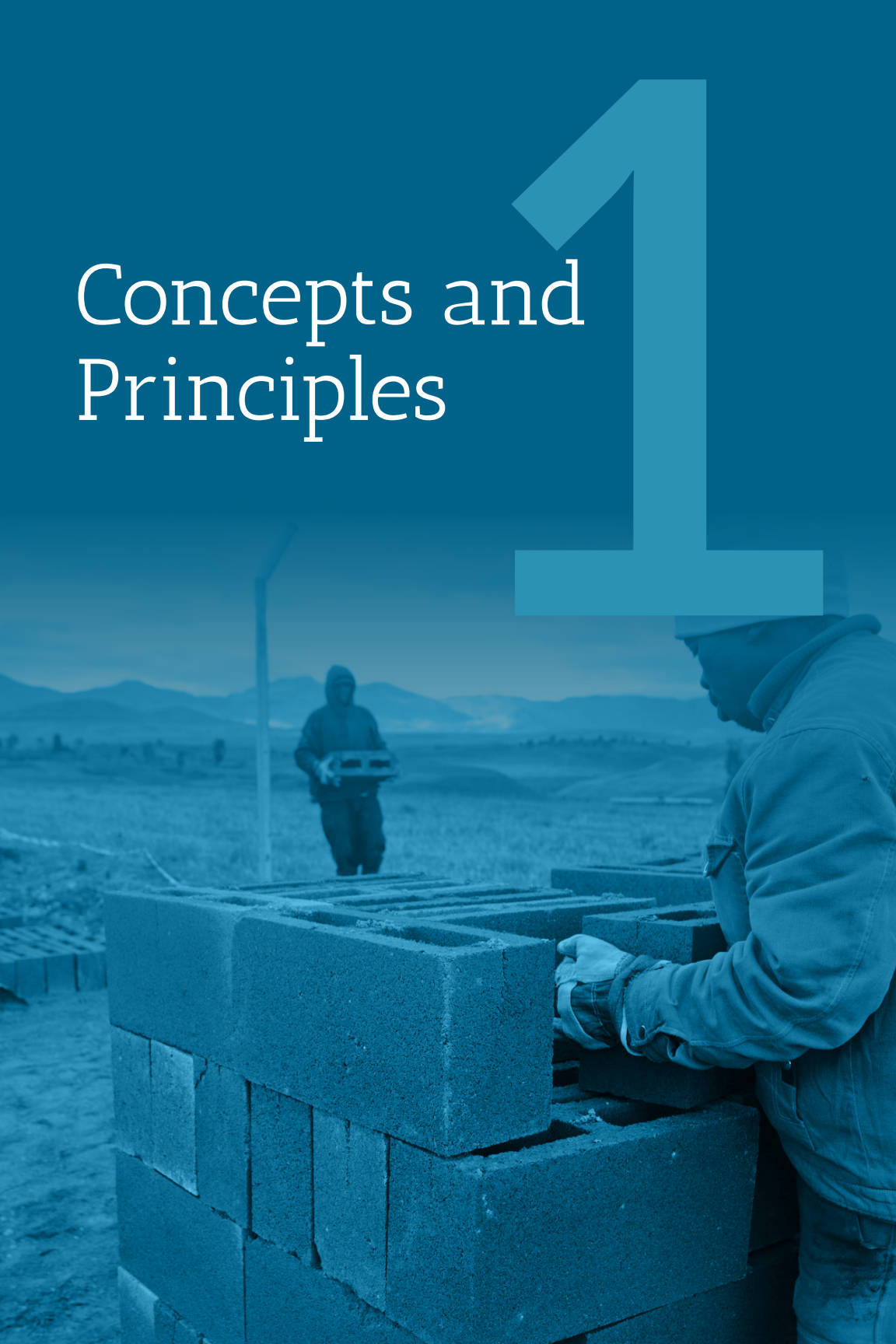
Concepts and Principles



In general, the term public works refers to community-based and public financed programs that support poor and food insecure people, including by providing a source of income, or transfers in cash, or in-kind by generating employment and creating, maintaining, or rehabilitating assets and infrastructure. Public works programs (PWPs) are a key component of social protection systems. As such, they are one of the many social protection interventions and their appropriateness should be gauged on a context-specific basis. In this regard, it is important to clarify upfront the definition of social protection as referred to in this document and as used in other ISPA tools:

Defining Social Protection

Within the context of ISPA, social protection refers to the set of policies and programs aimed at preventing or protecting all people against poverty, vulnerability, and social exclusion throughout their lifecycles, with a particular emphasis towards vulnerable groups. Social protection can be provided in cash or in-kind, through non-contributory schemes, providing universal, categorical, or poverty-targeted benefits such as social assistance, contributory schemes with social insurance being the most common form, and by building human capital, productive assets, and access to jobs. The most common forms of social protection provision in developing countries are cash transfers, conditional cash transfers, and public works programs, which can lead to building human capital, productive assets, and increasing access to jobs, if designed properly.

For the purpose of this tool, the PWPs that should be assessed are those that aim to prevent or protect all people in active age against poverty, vulnerability, and social exclusion, including both long and short-term interventions. The Ethiopia Productive Safety Net Program (PSNP) may largely fall under this category. Apart from explicitly stating this social protection objective in the program documents, these types of programs typically have a share of labor cost above 50 percent of total project cost. This will not include infrastructure investments which create employment, but have the main objective of creating infrastructure and assets or services, like the Indian Pradhan Mantri Gram Sadak Yojana (PMGSY), which is a national rural roads program with the objective to provide all-weather quality road access in India.

Even for programs that fall within the social protection framework, there is a wide range and scope of policy choices and opportunities whether to use public works "as a crisis response, as part of a long term employment policy, or as a complementary element within wider social protection policy."[1] The design and key objectives of such

1 See *Towards the Right to Work: Innovations in Public Employment Programmes (IPEP)*, ILO 2011.

programs also vary considerably, between short-term emergency programs on the one end (e.g., post-disaster or conflict) and universal employment guarantees (e.g., addressing market failures) on the other end of the spectrum.

The latter are typically concerned not only with the quantity of employment, but also with improving the quality of employment and labor practices to the extent possible, operating in contexts where working conditions often are very poor, adherence to labor legislation is minimal, and wages are insufficient. They also often aim at investing in skills/human capital for employability and ensuring a minimum level of quality of assets and services.

When assessing PWPs, it is important to keep in mind the different typologies of public works, especially in the design and evaluation of such public works programs, since all too often they are all bundled into one definition of public works without much consideration for the different motivations and main objectives that drove their conception. It is important to be clear about what they were meant to accomplish and that the design is consistent with these objectives. In a number of cases, they are evaluated for what they were not meant to achieve.

The benefits of PWPs[2] are three-fold: they provide immediate income and support to participants in the form of wages or similar compensations, such as cash and/or in-kind benefits, in return for their labor and co-responsibilities (or generating "direct" impact); they are often meant to generate meaningful employment and, increasingly, enhance skills (or bolstering "indirect" impact through jobs and skills); and they all create, maintain, or rehabilitate assets and/or provide services for communities and beyond (or sparking "indirect" impact through assets or infrastructure). In practice, finding the right balance between those three sets of objectives is challenging and may generate trade offs, especially in contexts of high poverty, food insecurity, unemployment, and weak public assets and infrastructure. As a social protection intervention, Employment Guarantee Schemes are able to provide predictable and stable income support, while indirect impacts are also offered through the other two objectives.

In the case of this tool, a modular approach is adopted that, while being social protection oriented, includes additional criteria around employability and working conditions. Those sections were progressively developed as part of the ISPA initiative, including dedicated reference and technical working groups on public works. The tool

2 A program is here intended as a larger initiative than a "project." Hence a public works program may include a number of projects, as noted in Key Area C.

Public Works Programs and Their Contribution to Social Protection

Among a broad variety of public works programs three specific forms stand out: Public employment programs (PEP), which may offer payments in cash or in-kind benefits for work. This more common and traditional form is often adopted as a temporary response to specific shocks and crises, as well as having a longer-term horizon as part of predictable and multi-year programs. These programs are often also called Public Work Programs by some institutions.

- Employment guarantee schemes (EGSs) refer to long term rights-based programs in which some level of entitlement to work is provided.
- Public investment programs (PIP) are public investments in rural or urban infrastructure. For example, in rural infrastructure, countries' investment in rural roads, irrigation, and water management and supply. These programs provide opportunities for employment creation when labor-based technologies are used and small-scale contracting modalities, including community contracting are used for implementation.

While PWPs can contribute to several development objectives, they are not able to serve all objectives to the same extent at the same time. In practice, the policy design and implementation requires the prioritization of one function over others, along the following lines:

- **Employment function:** Emphasis on job creation in programs that focus on the state as the employer of last resort.
- **Social protection function:** Emphasis on income security and transfers in cash or in-kind.
- **Labor-based investment function:** Emphasis on the quality and nature of infrastructure constructed, assets created, or services provided.

Where the main priority is not clearly defined, the monitoring and evaluation of a program against its objectives will be hampered. It is therefore necessary to clearly define, separate, and articulate the objectives of a program, and to link it effectively to other employment and social protection policies.

PWPs do not address all needs, given that the central element of employment excludes those who are not able to work, for whatever reason. Some PWPs (e.g., in Ethiopia and India) therefore combine employment guarantee schemes with unconditional transfers for those who are permanently or temporarily not able to work, or for whom work is not available.

Source: Based on *World Social Protection Report 2014/15: Building economic recovery, inclusive development and social justice*. International Labor Office - Geneva: ILO, 2014, p. 39.

can (and should) be used to assess PWPs not explicitly pursuing a social protection objective—where appropriate, the assessment might provide insights into how SP objectives could be added or strengthened in the case of programs with a weak performance in this regard.

Overall, the PWP tool includes 8 Key Areas selected on the basis of cross-country evidence around key issues in public works design. These include:

A. Targeting & Eligibility
B. Nature of Benefits, Timing & Duration
C. Asset Creation & Services
D. Institutions, Coordination & Financing
E. Monitoring & Evaluation (M&E)
F. Coherence & Integration Across Programs
G. Skills & Employability
H. Conditions of Work & Labor Practices

Those Key Areas are structured and discussed in a way that tries to highlight the specificities of each domain. Yet a certain degree of overlap might occur. In some cases, linkages may emerge naturally, as for example between "Conditions of Work" and "Benefits" sections when discussing minimum wages; or between the "Targeting" and "Benefits" sections when considering self-selection mechanisms or measures to promote women participation. Hence, Key Areas should be seen as mutually-reinforcing and complementary components, rather than standalone pillars.

Overall, underpinning such public works initiatives is a set of core principles for the assessment, including the following:

- **Recognize that public works programs can be an integral part of national social protection systems.** PWPs should not be considered as a stand-alone intervention, but as a relevant and integrated component of wider social protection systems.

- **Ensure country, community, and individual ownership.** Governments should design and implement PWPs through the participation of and in line with national, sub-national, and community priorities and approaches. Donor-driven approaches risk implementing projects that are not suitable to the given context and at best, fail to reach their potential developmental impact, and at worst, undermine local mechanisms of social protection, asset creation, or economic development dynamics.

- **Set out a common systems-oriented platform.** PWPs do not operate in isolation in the context of an overall social protection system, framework of employment policies, and infrastructure investments. This needs to be taken into account in the design of PWPs to maximize their developmental impact, enhance policy coherence, avoid duplications, and minimize undesired consequences. The tool can be a powerful mechanism to highlight the performance of different aspects and categories of public works, promote their linkages, enhance efficiency through harmonization and integration of approaches, foster a shared understanding of challenges and opportunities among actors, and identify areas for possible further improvement and collaboration.

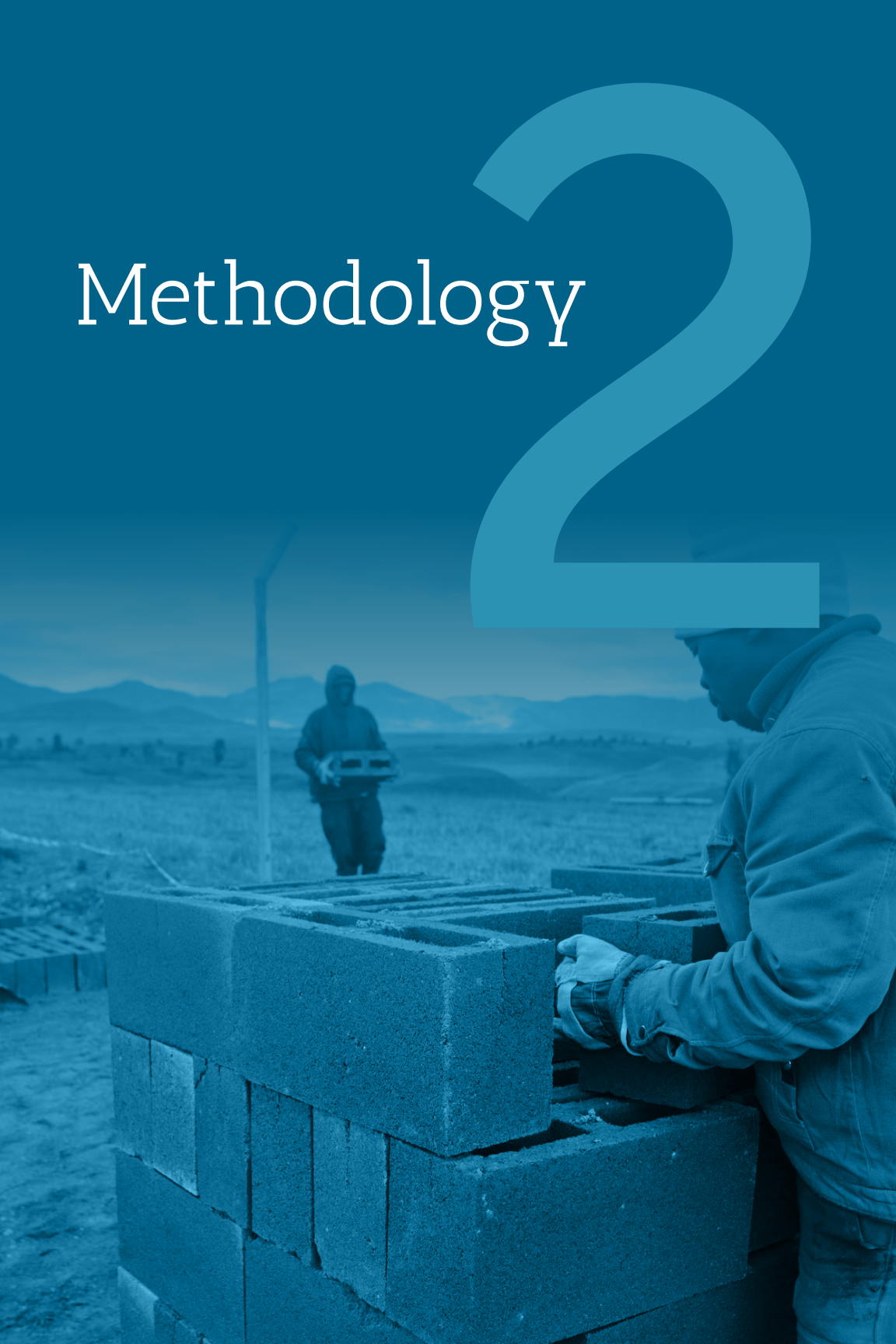
- **Promote dynamic and collaborative learning.** The improved coordination of social protection, labor market, and economic policies facilitates learning opportunities across sectors and improved policy decisions. In cooperation with the many agencies which have contributed to the development of this tool, it is expected that the tool will promote ongoing and future dialogue and applications of it.

- **Provide a simple, practical, and rapid assessment.** The tool is meant to offer a rapid and practical approach that for a basic assessment can be applied within approximately 10 days of reviews and field work, and then subsequently updated in future reviews as appropriate. The duration of the mission will change according to the complexity of the assessment.

- **Be context sensitive.** Although placed within a global public works, social protection system, and community asset creation framework, the tool should be interpreted in the light of the specifics that characterize a given setting, including in terms of the factors and constraints that affect design, implementation, and performance.

- **Do not reinvent the wheel.** The tool does not seek to duplicate efforts, but instead to identify, systematize, and synthesize large volumes of information on both process and performance that may be scattered and fragmented.

2 Methodology



The Data Collection Framework has three components:

- **Overview of Key Social Protection Programs.** This section sets out key features of the major social protection programs implemented in a country, in addition to the public works program under review.

- **Program Data.** This section summarizes key contextual and program features and data, including the socio-economic context, key actors, main design features as well as program data on coverage, expenditure, incidence and adequacy as available from various sources.

- **Detailed information on the selected PW program(s).** This section comprises eight Key Areas each addressing different aspects of public works design, implementation, and outcome.

A. Overview of Key Social Protection Programs

This section of the Data Collection Framework provides a rapid overview of a country's main social protection programs in order to position the public works program within the overall national context. Specifically, it asks to list the three largest social protection programs by coverage (as a minimum).[1]

In addition to a brief description, the following minimum information should be compiled for each program: (i) program name; (ii) program typology[2] and duration; (iii) objective/target group; (iv) managing institution; (v) annual coverage (number of individual and participant households); (vi) entitlements (levels of wage and other benefits; modality of payment (cash or in-kind)) and (vii) annual total budget (disaggregated by program and benefit expenditure).

1 Should there be a need for or interest in an in-depth analysis of the performance of the overall social protection system, the application of the related ISPA tool, the Core Diagnostic Instrument (CODI), should be considered.

2 By typology the tool refers to: (i) poverty and social exclusion (general social assistance), (ii) old age, (iii) survivors, (iv) health, (v) sickness, (vi) disability, (vii) employment injury, (viii) maternity, (ix) children/families with children, (x) active labor market programs, (xi) unemployment, and (xii) other, specify (housing, nutrition, basic education including subsidies, etc.).

B. Program Data

The objective of this section is to summarize important data of the program. It is meant to offer an overview of the rationale, key characteristics of the program, and actors, as well as to lay out some key data on all existing PWPs in the country. It is divided in three areas:

- **Context.** Questions 1.1 – 1.4 gather information to learn about the decision making process that led to the selection of public works as the appropriate policy response, and the broader (socio-economic, political) context where the program operates. Background information and data is examined to document, when possible, the rationale for the public works versus other social protection interventions.

- **Program Overview.** Questions 1.5 – 1.30 are aimed to give an overview of the key characteristics of the program such as name, status, start date, duration, location, main and secondary objectives, whether this is a universal program or not (and reasons why), core components, geographical scope, coverage, basis of remuneration, financing, legislation, the availability of independent evaluations, as well as other relevant information.

- **Overview of Program Actors & Roles.** This matrix maps key actors and their roles within the program. In this regard, the first column of the matrix specifies main roles, project and participant selection, project implementation, delivery of payments/in-kind transfers, monitoring, and evaluation. The top row of the matrix corresponds to the main actors, from central to local governments, community arrangements, civil society, NGOs, international organizations, and the private sector. More information about the roles and interaction of these actors is covered under Key Area D.

C. Guidance for Overview of Findings

A color-coded rating system was designed to illustrate the current status of an individual Key Area and highlights the overall pressure points of the program from a systemic perspective. This color-coded assessment is meant to increase dialogue and discussion over matters, and is not meant to be used for comparative purposes. In this regard, "Latent" highlights that significant attention needs to be paid to a particular dimension; "Emerging" conveys that a dimension requires vigilance. Elements for effective performance are in place, but gaps or constraints persist; "Moderate" indicates moderately satisfactory performance, with most of the elements showing

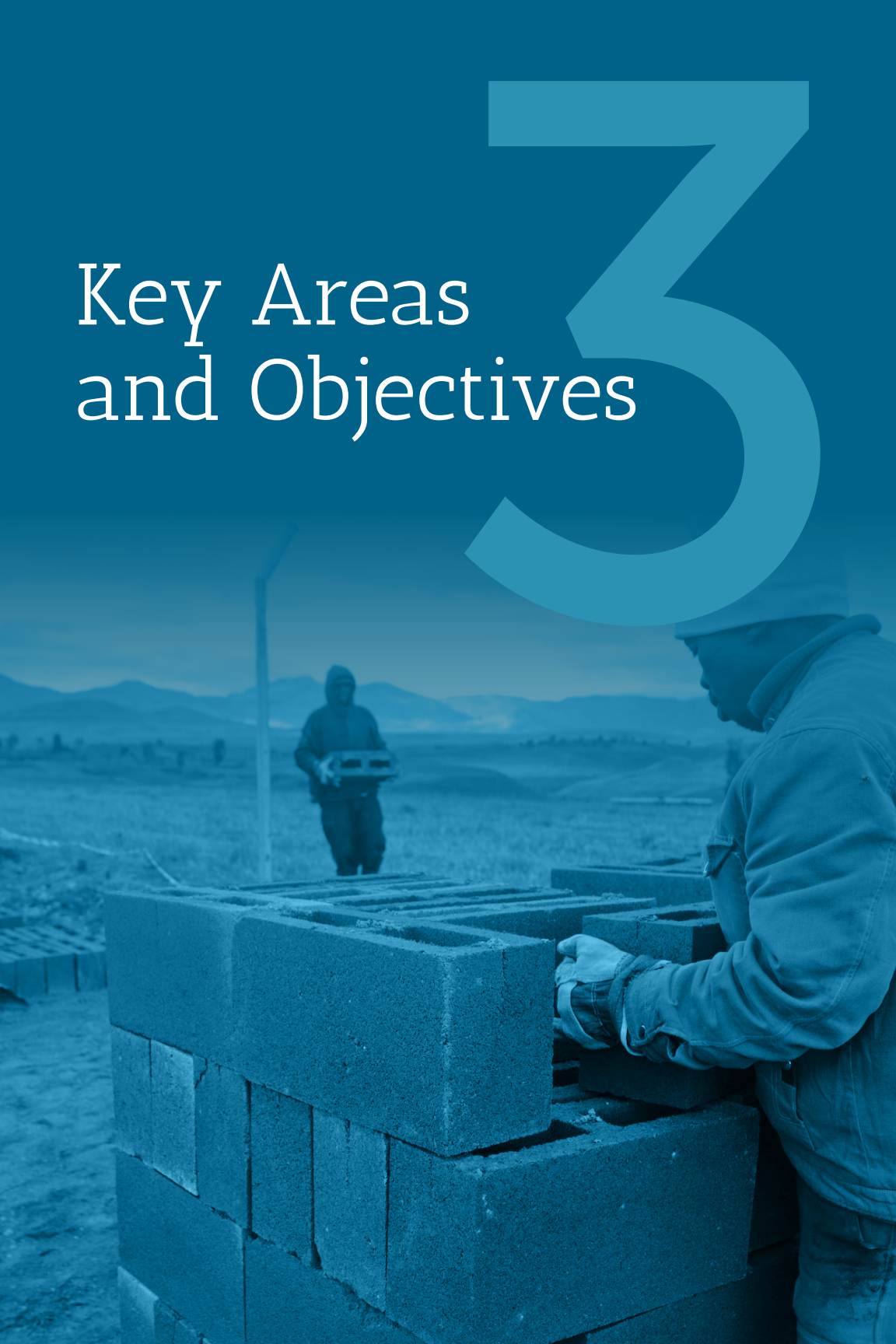
effective and efficient parameters; finally, "Advanced" indicates a well- performing practice, with broad-based success in the examined elements. Such generic description applies to all Key Areas (see the Overview of Findings for a summary of Key Area specific practices).[3]

Color	1	2	3	4
Description	**Latent:** Significant attention needs to be paid to this dimension	**Emerging:** This dimension requires vigilance. Elements for effective performance are in place but gaps and constraints persist.	**Moderate:** Satisfactory performance, with most of the elements showing effective and efficient parameters.	**Advanced:** Highly satisfactory practice, with broad-based success in the examined elements.

3 A separate Excel file with average numerical scores attached to each section could be kept for validation purposes - that is, it would not be a primary vehicle for generating information (that's the instrument with no scores included), but could represent an additional layer of cross-reference.

3

Key Areas and Objectives



A. Eligibility & Targeting

Objective: The program efficiently reaches its target population and addresses the needs of the vulnerable and poor.

The purpose of this Key Area is to assess the eligibility criteria and targeting mechanisms of the program. Programs should clearly define the eligibility criteria for selecting the persons the intervention aims to reach. The target population of PWP usually consists of individuals able to work, drawn from households that are poor, food insecure, or vulnerable. Additional eligibility criteria may apply such as age, gender, employment status, area of residence, or belonging to a vulnerable group (disabled, refugee, indigenous group etc.). The latter are often not applied as strict eligibility criteria but participation of persons fulfilling these criteria are prioritized in the selection process. Targeting refers to the method used to select the participants in the program on the basis of the defined eligibility criteria. In some cases tailored activities are included for people with disabilities.

In order to reach the specified target group, effective targeting and identification mechanisms are required, as well as measures to promote inclusive participation (e.g., for women, youth, and persons with disabilities). Ideally, public works programs should be designed and implemented as part of a national social protection system or in tandem with other complementary social protection programs for those with different vulnerabilities. This allows the program to draw on existing targeting, identification, or membership management mechanisms of other programs, ensuring coherence and reducing administrative costs.

This Key Area is divided into three sub-sections: (i) **Targeting Criteria**; (ii) **Targeting Methods**; and (iii) **Measures for Inclusiveness**. **Additional Boxes** (iv) are included to provide the following information: Summary of Targeting and Selection Process, Discrepancies Between Design and Implementation, and Plans for Design Changes.

i. Targeting Criteria

Through the following questions, this section aims to determine the main target group and eligibility criteria.

A.1 This question explores if the program has an explicitly defined target population specified in its objectives. Target groups are usually defined in relation to needs on the basis of measures relating to socio-economic status (income, vulnerability,

Best Practices & Guidance in Determining Targeting & Eligibility Arrangements for Public Works Programs

Useful tips in determining targeting and eligibility arrangements:

- Clearly define target population
- Define eligibility criteria to select participants
- Decide on targeting and identification mechanisms to use
- Analyze the viability of self-targeting mechanisms
- Define the number of workers to be selected at each public work site
- Define mechanisms to deal with excess demand for work
- Take measures that encourage female participation
- Consider establishing a minimum quota (and not a ceiling) for participation of women, youth, persons with disabilities, and other vulnerable groups, as applicable
- Set equal wages for women and men
- Establish flexible work modalities
- Locate projects near participants homes or within reasonable walking distance
- Offer child care facilities
- Set up adequate information campaigns and registration procedures, in addition to putting measures in place to avoid discretionary application of targeting and eligibility rules in participants selection

For specific guidelines on targeting and eligibility, refer to Resources section for guidance and examples.

food insecurity, etc.), employment status, or other demographic or categorical characteristics (youth, war returnees, etc.).

A.2 Specify if the program has eligibility criteria to select participants within a target group. Once a target group has been identified, programs usually establish a set of eligibility or ineligibility criteria to select participants. The El Salvador's PATI program, for example, targets youth between 16 and 25 years of age; within that group, priority is given to young mothers who are heads of households.

Examples of eligibility criteria are:

- Individuals should be able to work[1]

1 Programs could envision activities tailored to meet the specific needs of people with disabilities, as shown in the pilot countries (Liberia and El Salvador) where this tool was tested.

- Individuals should be of the age specified for the work under consideration[2]
- Individuals should be unemployed or underemployed
- Individuals should belong to poor, food insecure, or vulnerable households

ii. Targeting Methods

This section identifies the targeting mechanisms used by the program to reach its intended population and select program participants. The section also explores measures for dealing with excess demand for work, as well as discussing possible bottlenecks and inefficiencies that need to be addressed to improve targeting.

A.3 List the targeting mechanisms used by the PWP. A range of complementary methods may be used for targeting. A survey of 77 programs in 66 countries showed that 78 percent used a combination of two or more mechanisms.[3] Using several targeting methods often helps to improve targeting outcomes.

The most common methods used are the following:

- Geographic: e.g., poorest regions or districts, chronically food insecure districts or villages, rural or urban areas, post disaster-affected areas, etc.
- Self-selection using wage rate: wages lower than the market rate for a given task and skill at a given point in time (or season)
- Categorical: specific groups, such as ex-combatants, returnees, indigenous communities, ethnic minorities, etc.
- Means testing: income-based measure
- Proxy means testing: using easy-to-observe household characteristics as proxies for household income/poverty
- Community-based: using participatory community approaches to identify those eligible according to agreed criteria
- Others (specify)

2 See the ILO Declaration on the Fundamental Principles and Rights at Work (1998) and ILO Convention Number 138 and 182.

3 Subbarao et al. (2013).

Most programs use geographic targeting as a first step to select locations with high prevalence of poverty or food insecurity. Administrative criteria are often used to define poverty, food insecurity, or vulnerability, e.g., households living under the poverty line or households that have not met their food consumption needs in three subsequent months, etc.

A.4 Identify if the program has mechanisms to deal with excess demand for work. Excess demand is a common issue in PWPs, since the pool of eligible people seeking employment is usually larger than the support available through the program, requiring a means to prioritize provision and ration access. For example, a program may use household or participant ranking based on poverty or vulnerability, based on criteria established by the community or the government, and give the first opportunity to work to the most vulnerable households. This is one of the most common mechanisms to manage excess demand. In an analysis of 50 public works programs, 58 percent used wealth ranking. Other mechanisms include the use of lotteries, including the random selection of eligible participants by communities, as in Liberia.

In addition, programs may adapt benefit arrangements (including timing, number of days, and amount or projects) to address issues of excess demand. For example, programs may fix the number of days (assigning quotas based on family size) for a given project, establish shorter and more frequent projects in order to accommodate more individuals throughout the program duration, or reduce the amount of time worked per participant in the same project to accommodate more participants.

iii. Measures for Inclusiveness

Quotas and other measures may be used to promote participation by particular target groups. If the objective is to ensure wider participation of women, then quotas by themselves will not necessarily produce the desired results, unless combined with other measures.[4] This section aims to identify whether program features have been adjusted to address barriers to participation by particular target groups, such as, in the case of women, cultural and social constraints and the demands on their time from domestic activities. Similar considerations apply to other groups that may otherwise be excluded from labor-intensive works, such as people with disabilities and older workers. This section investigates if the program adopts specific measures to promote participation of these groups.

4 In some cases, programs may not necessarily aim at ensuring wide women participation (e.g., in case of programs for ex combatants, etc.).

A.5 Does the program have set objectives for female or other groups participation. Specify the actual participation rate. Quotas can be perceived as maximum limits not to be exceeded, and so setting objectives may be more appropriate. For example, Liberia's CfWTEP, the predecessor of the YES program, had a 30 percent female quota but the actual participation rate was 45 percent in 2009. Also, India's MGNREGA aimed to ensure that one-third of beneficiaries were women. At the national level, female participation increased to over 50 percent in 2012–13, and in states like Kerala, even reached over 90 percent.[5]

Questions **A.6 - A.10** assess whether program design features address some common gender-specific constraints. These include whether the program features quotas or objectives for female participation, flexible schedules, equal pay among men and women, participation in design, and presence of childcare or toilet facilities.

A.11 Does the program have specific measures to meet the needs of vulnerable groups, such as people with disabilities, older workers, pregnant women, indigenous people, etc.

iv. Additional Boxes

Summary of Targeting and Selection Process. Use this section to summarize the targeting mechanisms and the process of selecting participants.

Discrepancies Between Design and Implementation. Here the instrument can describe if and why there have been major discrepancies between project design and actual implementation. Implementation may differ from the original program design for a number of reasons, including unpredictable events, contextual factors not fully taken into account at the design stage, inadequacy of resources, delays, insufficient knowledge of program operational rules by program managers, discretionary application of rules at local levels etc.

Plans for Design Changes. This open-ended question explores if the program has plans for design changes and adjustments as far as targeting is concerned. Such plans may often be the result of recommendations from process or impact evaluations.

5 http://orissa.gov.in/e-magazine/Orissareview/2013/Feb-Mar/engpdf/76-80.pdf

B. Nature of Benefits, Timing & Duration

Objective: The program provides entitlements that are adequate, appropriate, and compatible with local context.

The determination of wage levels for the work performed has an important impact on program performance. Wage levels (in cash or in-kind) need to be consistent with program objectives and national legislation with regard to wages, and should be adequate to ensure respect for the dignity of the persons participating in the program. In this regard, various considerations can influence the determination of the wage level. On the one hand, the level can be set to ensure household consumption needs are met, on the other hand, some schemes use a low wage to promote self-selection by the poorest, and to keep overall program costs down, with implications for scalability and its possible universal application. However in such cases, there should be clear limitations regarding the floor for such wages to ensure that the program does

Best Practices & Guidance in Setting Benefits, Timing & Duration

Useful tips in determining wage and benefit levels:

- Establish clear criteria to decide whether to pay in-kind or in cash or mix of both
- Define if benefits besides wages will be offered
- Decide the length and timing of the public work projects (seasonal or year around)
- Define maximum person days per participant
- Collect information on prevailing market wages and assess the relationship between market and minimum wage rates and their adequacy in relation to household consumption needs
- Define the level of the wage rate and how it is determined
- Adjust the program wage rate if variations exist in market wage rate across localities
- Determine if there are similar programs which wages may affect the wage rate
- Monitor any effect the program wage rate may have on market wage rates, across sectors, gender and localities.
- Monitor labor market conditions
- Monitor social and poverty reduction impacts
- Check enforcement of minimum wage and decent working conditions

For specific guidelines on setting wages and timing, refer to Resources section for guidance and examples.

not end up exploiting the desperate situation of poor households by paying wages that are below market-rate for the work performed. The different factors influencing wage levels may imply trade offs in terms of effectiveness and efficiency. This allows the program to draw on existing targeting, identification, or membership management mechanisms of other programs, ensuring coherence and reducing administrative costs.

This Key Area identifies the overall package of entitlements provided to a program participant, including additional benefits. It draws particular attention to the various issues and trade-offs involved in the choice modalities, timing, and duration of the program. In particular, the will explore (i) **Comprehensiveness of Program Benefits**, (ii) **Adequacy and Appropriateness of a Cash Wage Rate**, (iii) **Adequacy and Appropriateness of Food Transfers (if applicable)**, and (iv) **Impact on Local Economy**. **Additional Boxes** (v) with open ended questions are included to provide a Summary of the Wage Setting Process, Discrepancies Between Design and Implementation, and Plans for Design Changes.

i. Comprehensiveness of Program Benefits

B.1 Specify if the program provides transfers in cash, in-kind, or a mix of cash and in-kind. The choice of transfers hinges upon a range of contextual factors, such as the functioning of markets, program objectives, implementation capacities, seasonality, availability of goods and services in different localities etc. For example, based on these factors, the PSNP provides transfers approximately 50 percent in food and 50 percent in cash.[6]

B.2 Specify the program benefit level and denomination, i.e., daily wage rate (in LCU), piece or task rates, in-kind transfers (e.g., for food in kilos and kilo/calories). In case of piece or task rate, convert into daily wage by gender.

B.3 Specify if the program wage is linked to fluctuations in food prices.

B.4 Specify if and why the program operates year round or only during certain seasons. Programs focused on long term objectives may operate all year around with the same intensity (e.g., Argentina's Jefes program) or with intensity varying between seasons (e.g., Peru's Trabajar Urbano). In these programs, consumption smoothing is accomplished even if programs may not serve an insurance function or

6 For instance, this is in line with the ILO-WFP 1997 guidelines and based on the Protection of Wages Convention of 1949.

provide sufficient income to raise the income level of participants above the poverty line. Programs focused on short-term income support may operate only during the agricultural slack season when unemployment/underemployment in rural areas increases, e.g., Ethiopia. In this case, programs provide important income support in the absence of unemployment insurance schemes or for workers in the informal economy without savings/contributory capacity.

B.5 Explain how many workdays per participant or per household are provided by the program. Specify how many hours per day, how many days per month, and how many months per year. For example, Yemen's Labor Intensive Public Works Program allows a maximum of 33 days per person and 100 per household and India's MGNREGA guarantees 100 days over a year of guaranteed employment to all rural households or a compensatory payment where the guaranteed number of days cannot be fulfilled by the program.

B.6 Some programs offer additional benefits, such as access to housing, employment injury insurance benefits, health services, meals, etc. with the ultimate aim to enable participants to enhance their livelihoods in the longer term. The Social Assistance Pilot Program in Labor and Human Capital in Djibouti, for instance, provides and additional nutrition and child-growth promotion components to the cash-for-work activities.

ii. Adequacy and Appropriateness of a Cash Wage Rate

The determination of the most appropriate transfer modality is context-specific. Establishing clear criteria for transfer selection is key, such as in the case of Ethiopia mentioned on the previous pages. Indeed, the PSNP requires the functioning of food markets and local-level (woreda) administrative capacities as key parameters for cash or in-kind transfer selection.

The determination of adequate wage levels and additional benefits generally depends on the particular needs of the participants. It may also be informed by national market and minimum wage, national poverty line, monetary value of set of necessary goods or services, income thresholds for social assistance and worker protection legislation, and/or political economy considerations e.g., precedents set by other programs or concerns to influence the market wage.

Questions **B.7 - B.8** explore issues around prevailing market wages and minimum wage rates. Specify whether, in setting the program wage rate, the following two types of wages are considered:

- **Prevailing market wage:** Typically, this refers to the market wage for casual unskilled labor. Such rate may vary across localities, seasons, types of activities, and between men and women. More generally, it is also important to consider the underlying objectives of a program. For example, in Argentina and El Salvador, the nature of the programs led to consider transfers as "compensations", and not wages per se.[7] As a result, market wages may be above or below the statutorily minimum wage where it exists.

- **Minimum wage:** This refers to the statutorily fixed wage rate enshrined in legal provisions. In some low-income settings, the minimum wage rate may be outdated, unclear, inadequate, or not enforced.[8]

B.9 Indicate if the legally established minimum wage is currently under review where necessary, in consultation with the social partners, to respond to the characteristics of the work and categories of workers concerned.

B.10 Specify if participants are informed of any deductions made from wages.

Questions **B.11 - B.12** outline the relationship between the program rate and the prevailing wage for casual unskilled labor. Three possible scenarios emerge:

- Program wage lower than prevailing market wage: While minimizing inclusion errors
  through self-targeting, resulting low wage levels may present challenges in meeting basic needs or providing transfers adequate to pursue, for example, nutrition-related objectives.

- Program wage higher than the prevailing market wage: For example, this is the case in Colombia, Liberia, and India. This may result in upward pressure on the market wage (as in the case of the MGNREGA program) and may have contributed in reducing inequalities such as gender disparities in wages.

7 Codes of Conduct negotiated between stakeholders including community representatives. Workers and employers' organizations are an important reference to determine wage levels and other benefits to be included in the package of remunerations and safeguards.

8 http://www.ilo.org/public/english/employment/recon/eiip/download/manmachine.pdf. PWP wage rates would need to be reviewed and revised from time to time in response to changes in labor market conditions and cost of living. If such adjustments are not made, effectiveness of public works implementation would decline because of lower participation and low productivity and the welfare impact would also be reduced. A periodic review of changes in rural labor market conditions and wage rates and in the cost of living would be required to determine whether the PWP wage rate needs to be revised and by how much.

- Program wage equal to the prevailing market wage: In this case the wage may not be adequate to meet program objectives relating to basic needs.

B.13 Determine if the public works program's wage differs between program areas. Some programs may adjust their wage rate since the market wage rate and cost of living may be different between rural and urban areas, or between regions. If this is the case, list the wage rates used in the program. The assessment should thus analyze if and how wage levels are changed/indexed over time (e.g., with prevailing market wages, minimum wages, inflation, etc. if this is the benchmark used).

B.14 Explain if the provided wage is similar to the wages or benefits provided in other public works or social protection programs. The level of transfer provided by other interventions in the same country or area can serve as a useful benchmark in the process of wage level setting for a new program.

B.15 Explain if the program regularly collects information on prevailing market wages. If so, explain how (i.e., through National Statistical Office, own survey, etc.) and how frequently. For example, since 2010, Rwanda's VUP public works program has systematized its process for monitoring market wage rates. Data is collected quarterly, based on the VUP monitoring and evaluation framework. If such data is not available, it should be generated by the project or program.

B.16 Specify how wages are paid to participants. Several payment options exist, ranging from the more traditional cash-based to new technology-enhanced methods. Wage payments can be delivered by either government agencies (e.g., Sri Lanka), NGOs, or the private-sector (e.g., banks, shops). Payments can be made via direct (onsite) manual cash, or indirectly in the form of checks, bank accounts, debit cards, smart cards, or mobile phones. In the case of manual payments, explain if payments are made on working days and where (e.g., at or near worksites).

B.17 Specify how frequently wages should be paid, i.e., every month, every x amount of days worked, bimonthly, etc.

B.18 Explain if transfers are actually paid on time and in full (correct amount), if not, what is the typical delay experienced. These modalities affect the consumption smoothing function of a public works program, as household consumption needs and patterns are influenced not only by the level of wage, but also by its timely, regular, and predictable delivery supporting the ultimate goal of assisting people to step out of poverty.

iii. Adequacy and Appropriateness of Food Transfers (if applicable)

As for the case with cash-based wages, the determination of the conditions in which to use in-kind transfers (e.g., food transfers) is context specific. Again, the functioning of markets, program objectives, and implementation capacities play a key role in shaping decision making on alternative modalities, or combinations thereof.

Question **B.19** seeks to understand how the level of food or other in-kind transfers were determined, i.e., on the basis of an assessment, and if so, which type of assessment. In addition, in **B.20** specify how frequently transfers should be distributed (i.e., every month, every x amount of days worked, bimonthly, etc.) and in **B.21**, if transfers are actually delivered on time and, if not, what is the typical delay experienced.

B.22 Indicate what are the main criteria motivating in-kind transfers. In the case of food, these can range from poorly functioning food markets, to implementation capacity, or preferences of participants, among other criteria.

Questions **B.23 - B.25** explore some basic logistics stemming from distributing in-kind transfers. In particular, this sub-section explores ways in which food providers are selected, if food is procured locally, nationally, regionally or globally, and if there are mechanisms to encourage the participation of small farmers in the process. In addition, in **B.26** specify where the food distribution takes place (for instance at work sites, or at distribution centers, etc.).

iv. Impact on Local Economy

B.27 Specify if the program has had any documented impact on the local food and agricultural markets, production, and/or prices.

Questions **B.28 - B.31** explore the impact on the local economy. **B.29** aims to understand if the program has caused changes in local wage rates, while **B.30** wants to understand if the program has contributed to reducing gender disparities in wages.

B.31 Explain if the program offers flexible modalities to participants, e.g., to attend household or own account production tasks. This might be achieved by the adoption of a task-based wage rate with flexible working hours, i.e., specific remuneration set for a particular task, such as digging a cubic meter of earth. If task-based wages are paid, specify the rate. Such approaches, as well as shorter and flexible schedules, are

modalities that allow participants to combine work with other activities, especially in the case of women.

v. Additional Boxes

Summary of the Wage Setting Process. In this section, explain how the program wage was determined for cash and/or in-kind transfer.

Discrepancies Between Design and Implementation. This section describes if and why there have been major discrepancies between program design and actual implementation.

Plans for Design Changes/Adjustments. This open-ended question explores if the program has plans for design changes and adjustments as far as the wage level, its timing, and/or duration are concerned.

C. Asset Creation & Services

Objective: Program's assets and services respond to community needs, with protocols in place for efficient management and implementation, plus quality assurance.

The purpose of this section is to understand the arrangements for selecting projects and activities, and how they conform to the overall objective above. Five dimensions are explored, namely (i) **Rationale for Projects Supported by the Program**, (ii) **Quality and Management**, (iii) **Environmental Impact of Assets/Projects/Programs**, (iv) **Costs of Implementing Projects**, and (v) **Preliminary and Follow-up Training and Technical Supervision at Worksites**. **Additional Boxes** (vi) with open ended questions complement the Key Area by summarizing the Process for Selection of Projects and providing information on Discrepancies Between Design and Implementation and Plans for Design Changes.

Assessments may consider including this initial set of cross-cutting issues and questions or, if available, compile also more nuanced objective-specific sub-Key Areas. At the moment, available sub-Key Areas include (A) **Agriculture and Natural Resources Management Projects**, (B) **Road Infrastructure Construction and Maintenance Projects**, (C) **Waste and Sanitation Management Projects**, (D) **Social Services Provision** and (E) **Social Infrastructure**.

Best Practices & Guidance in Assets & Services

Useful tips in determining projects & services:

- Define a clear menu of activities that can be implemented
- Define eligibility and ineligibility criteria to select specific type of projects
- Establish a clear project selection process
- Decide the labor intensity of the projects (e.g., share of labor cost above 50 percent or equal to 80 percent of program costs)
- Determine the location of the projects (rural, urban, or both)
- Assess if local materials are available
- Establish the institutional arrangement for managing the projects
- Ensure the assets to be built and services to be provided respond to the needs of the community and in particular poor, vulnerable, disadvantaged, or excluded groups in the community
- Determine the type of services that can be offered under public works
- Determine if additional training or services can be offered to participants
- Define the metrics to measure services or training offered (i.e., number of hours)
- Define the metrics to measure productivity and impact of infrastructure or assets (i.e., usage and access)
- Decide if participants would need to meet conditions to receive training or services (i.e., work a minimum number of hours a week, etc.)
- Conduct environmental assessment of projects to be implemented
- Is there indigenous knowledge and methods that could be used?
- Establish clear regulations for local competitive bidding processes when projects are outsourced
- Establish clear procurement guidelines for goods and services needed by the project
- Determine the best type of contracts to be used
- Define mechanisms to monitor quality control
- Establish provisions to maintain the assets

For specific guidelines on asset creation and services, refer to Resources section for guidance and examples.

i. Rationale for Projects Supported by the Program

C.1 Does the program offer a free choice or menu of projects (assets or services) that can be implemented? The menu of activities should be put together based on the needs and priorities of local communities. There is a need to find the right balance of optimizing labor-intensive activities with the creation of quality infrastructure and services. If the objective is to build sustainable assets, then the required material and

equipment inputs, including training, should be seen as necessary investment. List the type of projects and specify the percentage of project allocation in the program. Projects executed under public works can be grouped in, but are not limited to, the following categories:

- **Agriculture and Natural Resources Management Projects:** This includes integrated watershed management, soil and water conservations projects, land productivity, soil fertility, restoration, etc.

- **Road Infrastructure Construction and Maintenance Projects:** These include road construction and routine maintenance of existing primary, secondary, and feeder roads (e.g., roads connecting farms to markets, villages to districts, etc.), maintenance of bridges, etc.

- **Waste and Sanitation Management Projects:** These include primary collection (i.e., collection of waste from households and institutions to the designated secondary collection sites), secondary collection (i.e., from secondary collection sites to designated landfills, dumpsites, or waste processing centers), the establishment and management of dump sites/landfills, sewage networks, etc., as well as community awareness activities on waste and sanitation management.

- **Social Services Provision:** These include basic health and community services (e.g., home based care workers, assistants to primary health care providers), educational services (e.g., early childhood care and development workers, teaching aides, homework supervisors), food security services (promoters of community and school gardens), community safety (security guards), refuse collection, etc.

- **Social Infrastructure:** These involve construction and maintenance of schools, clinics, hospitals, community centers, public areas, etc.

- Others.

C.2 Explain the criteria for project selection. Most countries establish general guidelines for project eligibility. Some examples include:

- Have a clearly specified share of labor cost, for example, in the range of 50–70 percent depending on the choice of appropriate technology.

- Be demand-driven and meet the stated needs of the poor.

- Be technically, socially, and economically viable.
- Avoid adverse environmental impacts.
- Enable participation of women, youth, and persons with disabilities.

In addition, some programs also specify ineligibility criteria for project selection. Examples of criteria for project rejection include:

- Potentially benefit private plots or individuals (although in some contexts this may be functional to program objectives, such as in integrated watershed management projects or to increase land productivity of smallholder farmers, e.g., Ethiopia and India).
- Are hazardous to human health.
- Include complex components that are too difficult to execute in a rural village or community.
- Maintenance cannot be handled by communities.[9]
- Are harmful to the environment.

C.3 Describe if the selected projects are being developed in response to a natural disaster, conflict, or calamity.

C.4 Indicate if a national, regional, or local strategic plan influenced project selection. For instance, national/district development plans, natural disaster risk reduction schemes, national adaptation/mitigation plans, etc. For example, a cornerstone of Cambodia's government's medium-term strategy was to use public works interventions to promote better transport services in rural areas through well-maintained primary and feeder roads. Local decisions on choice of technology will also be key in such strategic frameworks.

C.5 Explain the setting of program implementation (rural or urban areas). If the program operates in both areas, specify the percentage of each.[10]

9 Maintenance is one of the activities with high potential to open development pathways, especially when offering participants the right skills and management training on the matter.

10 Program location will influence program implementation. Wages may differ in rural and urban areas. Targeting may be more challenging in urban contexts. Non-wage costs, like

C.6 Indicate if the asset/service was correctly selected, and if the asset was appropriately chosen to meet project/program objectives.

C.7 Specify if there has been any consideration for disaster risk management and the inclusion of such a component as part of the intervention.

Question **C.8** aims to identify if there is a maximum limit on material costs, and its percent share.

ii. Quality and Management

Questions **C.9 - C.18** assess the quality of assets created and projects developed.

C.9 Examine whether assets are designed to resist specific weather related shocks (peak rainfall intensity, floods, etc.), to be climate-resilient, or to resist future natural disasters, and if they have been adequately implemented from a technical point of view (**C.10**).

C.11 Have local resources been used for the implementation of projects, such as local contractors for tools and equipment, etc.? For instance, in Sri Lanka's Emergency Northern Recovery Project, items are procured directly from local suppliers, such as commercial outlets located in the vicinity of involved areas, or by obtaining quotes from at least three suppliers in the vicinity or in the nearest town. In Nias, Indonesia, community contracts were preferred over the use of contractors, to better handle the issue of land rights in the construction of roads and bridges, and most materials were procured locally.

C.12 Specify if participants are provided with the necessary tools and materials for performing their tasks.

C.13 Is there assigned responsibility and funding for maintaining the assets or projects during and beyond the intervention? For example, in community projects under the Kenya's KKV program, youth groups or community-based organizations make a clear commitment to operate and maintain projects after completion. Such projects include clear provisions for all components (financial and institutional) necessary to guarantee the future operation and maintenance of the works.

transportation of construction materials, may be higher in isolated rural areas. Transaction costs for participants may be higher in urban contexts.

C.14 Specify who owns the asset created or restored, and what are the arrangements and provisions.

C.15 Appraise whether projects include indicators for the type, quality, and quantity of the assets created. Arrangements for quality control need to be made. The complexity of the projects will determine what kind of expertise is required. Projects also need to comply with national standards and regulations. In the case of services or projects not focused on asset creation (C.16), it should be indicated how their quality and management are measured.

C.17 Is the program implementation manual being updated regularly taking into account lessons learned?

C.18 Is there a need to strengthen the capacity of the other actors involved in designing and implementing the projects (i.e., CBOs, contractors, consultants) to ensure timely implementation and quality works or services?

iii. Environmental Impact of Assets/Projects/Programs

This sub-section examines the use of safeguards and environmentally friendly materials.

Questions **C.19 - C.21** assess the environmental impact of assets built or maintained. Most programs conduct such assessments to ensure that the projects do not have adverse environmental impacts. For example, Rwanda's VUP public works projects are carefully monitored to ensure that there are no adverse environmental impacts through a very clear and robust regulatory framework. Ethiopia's PSNP established an Environmental and Social Management Framework (ESMF) requiring that all public works projects are developed by a participatory community-based watershed planning and development process (in which environmental issues are integrated).

C.19 It should be explained if the program uses appropriate environmental safeguards (preventing adverse environmental effects, using environmentally friendly material, and risk mitigation).

In questions **C.20 - C.21**, specify if projects consider measures to avoid, minimize, or remedy adverse environmental impacts, and if they assess the carbon footprint created by the program.

iv. Costs of Implementing Projects

A cost-effective program will channel most of its resources toward the achievement of its objectives. For example, when assessing cost- effectiveness using cost indicators for the construction of infrastructure by alternative methods or technologies, it is important to compare the costs of building the same infrastructure using high-labor intensity techniques together with local resources, as compared to other standard methods of building infrastructure, such as semi-mechanized and highly mechanized intensity techniques, and using imported material. Such cost-breakdowns are essential in optimizing the social impact of the program through the right choice of technology, especially in low-income/high un(der)employment settings.

C.22 Indicate the share of participants' wages out of total program costs. Consult the Program Data sheet for this question. An important objective is to determine the labor intensity of the program. Projects are considered labor intensive if a significant share of the cost is allocated to labor (i.e., share of labor cost is above 50 percent of project costs). Although this is in line with a social protection approach, it is important that programs attempt to not compromise the quality of the assets as much as possible.[11]

C.23 Specify the cost of transferring US $1.00 to the poor, including the calculation.

v. Preliminary and Follow-up Training and Technical Supervision at Worksites

Questions **C.24 - C.25** consider the provision of adequate preliminary training and technical supervision at worksites.

vi. Additional Boxes

Process for Selection of Projects. Describe the process (context analysis, needs assessments, etc.) for selection of projects, participants, and assets (public/community/private). List separately if different for different types of programs (e.g., different needs assessment for infrastructure or social services).

11 As discussed, identifying the optimal share for wages, employment, and investment is challenging and is directly related to the overall approach of the public program at hand. When possible, it would be desirable to discuss, for example, how a set of different combinations of wage and non-wage costs may affect program objectives, including a range of optimal to minimum ratios.

Discrepancies Between Design and Implementation. This section describes if and why there have been major discrepancies between the design of projects and services and their actual implementation.

Plans for Design Changes. This open-ended question explores if the program has plans for design changes and adjustments as far as this Key Area is concerned.

C(A). Agriculture and Natural Resources Management Projects

i. Rationale for Projects Supported by the Program

C(A).1 List the type of projects and specify the percentage of project allocation in the program, including physical soil and water conservation (level soil bund, stone bonds, stone faced soil bund, bench terracing, etc.), flood control and improved drainage (waterways, graded soil bund, etc.), water harvesting (water lifting, hand-dug wells, etc.), soil fertility management and biological soil conservation (compost making, fertilization and manuring, vegetative fencing, ley cropping, etc.), agro-forestry, forage development, and forestry (area closure, micro-basins, eyebrow basins, herring bones, etc.), gully control (stone check dams, brushwood check dams, gully reshaping, etc.), and others.

ii. Costs of Implementing Agriculture and Natural Resources Management Projects

C(A).2 Detail the average cost of implementing the individual projects mentioned above, by indicating the total cost and the share of labor cost, if available.

C(B). Road Infrastructure Construction and Maintenance Projects

i. Rationale for Projects Supported by the Program

C(B).1 List the type of transport projects and percentage of allocation in the program plus outputs, including construction of new roads (earth roads, gravel roads, low-cost surfacing of roads, etc.), construction of new structures (suspension bridges, beam bridges, truss bridges, floating bridges, etc.), maintenance of roads and bridges (routine maintenance, periodic maintenance, emergency maintenance, etc.), or others.

ii. Costs of Implementing Transport Projects

C(B).2 Detail the average cost of implementing the individual projects mentioned above, by indicating the total cost and the share of labor cost, if available. As discussed, an important objective is to determine the labor intensity of the program. In low income countries, the average share of wage costs for some successful public works involving road construction or maintenance ranges from around 60 percent in India's MGNREGA to 80 percent in Bangladesh's Food for Work Program. The share of wage cost varies depending on the type of activity: in Argentina, for example, the share was about 40 percent in construction projects, and a much higher 80–90 percent in service industry projects.

C(C). Waste and Sanitation Management Projects

i. Rationale for Projects Supported by the Program

C(C).1 List the type of projects and specify the percentage of project allocation in the program, including primary and secondary collection, establishment and management of dump-sites/landfills, sewage networks, etc., as well as community awareness activities on waste and sanitation management.

ii. Costs of Implementing Waste and Sanitation Management Projects

C(C).2 Detail the average cost of implementing individual projects by indicating the total cost and the share of labor cost, if available. An important objective is to determine the labor intensity of the program. For instance, Zambia's Public Works Program, which involves a component of sanitation and drainage, has a labor intensity of above 60 percent. In Liberia's LYEP program, a stated objective is to allocate 80 percent of resources to wages.

C(D). Social Services Provision

i. Rationale for Projects Supported by the Program

C(D).1 List the type of projects and specify the percentage of project allocation in the program, including basic health and community services (e.g., home based care workers, assistants to primary health care providers), educational services (e.g., early childhood care and development workers, teaching aides, homework supervisors),

food security services (promoters of community and school gardens), community safety (security guards), refuse collection, and other services.

ii. Costs of Implementing Social Services Projects

C(D).2 Detail the average cost of implementing the type of individual projects mentioned above, by indicating the total cost and the share of labor cost, if available.

C(E). Social Infrastructure

i. Rationale for Projects Supported by the Program

C(E).1 List the type of projects and specify the percentage of project allocation in the program, including health infrastructure (medical facilities, training facilities, etc.), education infrastructure (schools, tertiary education facilities, residential student accommodation, etc.), and civic infrastructure and utilities (community facilities, sport facilities, cultural facilities, etc.).

ii. Costs of Implementing Social Infrastructure Projects

C(E).2 Detail the average cost of implementing individual projects, by indicating the total cost and the share of labor cost, if available.

D. Institutions, Coordination & Financing

Objective: The program assigns roles and responsibilities among diverse actors to ensure effective implementation, coordination, and oversight. Institutional arrangements are also devised to ensure scalability and responsiveness in the face of crisis. Funding is adequately allocated and efficiently managed.

The purpose of this section is to understand the institutional arrangements for program implementation based on the above objectives. This includes identifying the actors and their role in implementing and managing the program at different levels. In particular, the Key Area explores (i) **Roles and Responsibilities Across Diverse Stakeholders and Actors**, (ii) **Coordination and Oversight Mechanisms**, (iii) **Community Participation**, (iv) **Capacity Building**, (v) **Flexibility to Scale Up** and (vi) **Financing**. **Additional Boxes** (vii) with open ended questions complement the Key Area

Best Practices & Guidance in Institutional Arrangements

Useful tips:

- Establish the institutional setup within the government across all levels for implementing the program
- Decide if some program activities will be outsourced to third parties (e.g., NGOs, etc.)
- Decide the involvement of workers and employers' associations
- Ensure community participation in program design and implementation
- Establish clear rules and regulations for:
  - Targeting and eligibility of participants
  - Nature of wages/benefits, timing, duration, transfer mechanism
  - Selection of projects for asset creation or services
- Establish clear procurement guidelines for the selection of implementing agencies
- Establish mechanisms for oversight of third party implementers
- Establish skills development strategy for all levels (implementing partners and participants)
- Delineate the role and responsibilities of the implementing agencies
- Define coordination mechanisms among institutions and stakeholders involved in the design and implementation
- Design a communication campaign to raise awareness about the program

For specific guidelines on asset creation and services, refer to Resources section for guidance and examples.

by providing an Overview of Program Actors and Roles, Discrepancies Between Design and Implementation, and Plans for Design Changes.

i. Roles and Responsibilities Across Diverse Stakeholders and Actors

Questions **D.1 - D.2** aim to understand if there is a legislative or policy framework in place.

There is a need to establish a strong legal basis of social protection systems and programs, for the implementation of the PWP. In particular the assessment will look at whether the law specifies:

- the persons covered by the scheme
- the benefits provided

- the conditions that persons covered need to meet to receive the benefits as well as the formalities to achieve access
- the level of benefits
- the cases and procedures for suspension, reduction and withdrawal
- complaint and appeal mechanisms, and mechanisms how to obtain redress for a violation of rights of persons covered

D.3 Specify the external and internal institutional actors (including local and national governments) in charge of different program functions (overall program implementation, participant selection, project selection, payment delivery, etc.), and explain their roles and responsibilities (**D.4**).

ii. Coordination and Oversight Mechanisms

D.5 Explain if there are coordination mechanisms within and between government institutions (i.e., both intra- and inter-government institutions).

D.6 Indicate if there are coordination mechanisms between government and other stakeholders/actors or their representatives involved in program implementation. For example, South Africa's National Economic Development and Labor Council (NEDLAC) secures commitment and active participation of all social partners in implementation of development programs. They have also established the Presidential Public Employment Coordinating Commission which is chaired by the President or Deputy President and composed of relevant Ministers, the nine premiers, and the South African Local Government Association.

D.7 Specify if the government has created a dedicated body or unit to run the program (e.g., such as in Niger and other countries) and, if so, outline its composition and role. This should also include an indication of the institution in which such unit is located, and its capacity.

D.8 Explain if there are clear regulations for bidding and procurement processes. Procurement methods vary across implementation systems, type and size of the projects, and specific circumstances of the communities where projects are implemented. When a program is directly implemented by governments, procurement decisions usually take place at the highest levels of government (central government may still be in charge of procurement even if projects are implemented by NGOs, CBOs, or private sector). In addition, donors and development partners may have their own guidelines for procurement. Furthermore, specify if there is a threshold after which bidding takes place. For example in Kenya's KKV, National Competitive Bidding

(NCB) for civil works is undertaken for sub-projects that cost in excess of US$80,000 and below US$500,000.

D.9 Determine if there is a well-defined mechanism for oversight (e.g., reporting lines, spot checks of field implementation) and for complaints and appeals.

D.10 Specify if coordination and oversight modalities have been redesigned since the program started. This might include a change in key implementing agencies, or an adjustment in the role of key stakeholders.

iii. Community Participation

Community participation in design and implementation is a key feature of many PWPs. This is consistent with efforts towards decentralization and local-level engagement. Community participation can have many advantages. With better access to information, national, regional, and community members are better able to select, design, implement, and monitor projects, often reducing administrative and coordination costs. Moreover, community involvement in program implementation can allow communities to take ownership of the program, promotes the execution of activities that genuinely respond to the needs of the poor, contributes to better-quality works, and may lead to better maintenance of the assets created with the program's support. However, the effectiveness of community participation may be adversely affected by a range of institutional, capacity, and political economy considerations.

To explore the extent of community participation, questions **D.11 - D.12** investigate the application of community-based participatory planning tools. These sometimes build and complement other tools at national and sub-national levels (e.g., Integrated Rural Accessibility Planning, Community Contracting, etc.).

D.13 Explain if and how the program conducts community sensitization to raise awareness about the program and its components. For example, India's MGNREGA and Ghana's Social Opportunity Project introduced a communication campaign to clarify participants' rights and responsibilities.

iv. Capacity Building

Question **D.14** inquires if a preliminary capacity assessment has been undertaken before the design of the program and, if so, if this has led to conclude (**D.15**) that there is need to build and/or strengthen capacity of the Ministry/Agency/Parastatal (PMU/PIU) in charge of program management and implementation. This objective often

features as a key component of the public works program. In El Salvador's PATI, efforts are devoted to strengthen institutional capacities at central and local levels; in Ghana's Social Opportunity Project, a key component focuses on institutional capacity building for M&E.

D.16 Indicate if the management and project staff benefits from South-South exchange on this program. These exchanges usually consist in South-South study tours where ministries and government representatives exchange visits, or knowledge-sharing events organized in the South, such as the South-South Social Protection Learning Forum organized and managed by UNDP.[12]

v. Flexibility to Scale Up

Questions **D.17 - D.19** gauge the flexibility of institutions to respond to unpredictable crises (e.g., natural catastrophes, socio-economic developments, etc), changing policy objectives. or different needs. Various dimensions should be taken into account, including capacity constraints, financing, and the track record of the program in scaling up and down in response to crises. For example, while the PSNP in Ethiopia is managed by Food Security Coordination Bureau (FSCB) of the Ministry of Agriculture and Rural Development (MOARD), it maintained clear institutional connections with government lines managing humanitarian responses, including a risk financing framework.

vi. Financing

D.20 Indicate the overall and annual budget of the program and expenditures and break down amounts by labor cost, training cost, project cost, admin cost, etc.

D.21 List the program's financial sources and their breakdown (e.g., local and national government entities, international donors, funds and their overall financing contributions over time, amount, and percentage).

Finally, list the overall government contributions as a share of GDP (%) annually (**D.22**).

vii. Additional Boxes

Overview of Program Actors and Roles. This is a matrix to map key actors and their roles within the program. In this regard, the first column of the matrix specifies main roles, project and participant selection, project implementation, delivery of benefits,

12 http://www.ipc-undp.org/about-us

monitoring and evaluation. The top row of the matrix corresponds to the main actors, from central to local governments, community arrangements, civil society, NGOs, international organizations and private sector. This matrix can be found in the Program Data sheet as well.

Discrepancies Between Design and Implementation. In this section, describe if there have been major discrepancies between institutions' design and actual implementation, including financial management, specifying which areas and explaining how.

Plans for Design Changes. This open-ended question explores if the program has plans for design changes and adjustments as far as this Key Area is concerned.

E. Monitoring & Evaluation (M&E)

Objective: Monitoring and evaluation protocols are in place to track results and impacts of the program. Mechanisms are established to promote transparency and reduce error, fraud, and corruption.

All public works programs need to prevent and manage possible cases of error, fraud, and corruption. To this effect, mechanisms to promote accountability, transparency, and compliance, as well as participant dignity and privacy within a program are critical.

In particular, three sets of issues are examined, namely the (i) **Monitoring and Evaluation System**, (ii) **Data Collection, Dissemination, and Use**, and (iii) **Measures to Promote Transparency, Reduce Error, Fraud, and Corruption**. **Additional Boxes** (iv) with open ended questions complement the Key Area by gathering information on the Monitoring Information System (MIS), Unanticipated Outcomes of the Program, Evaluations, Discrepancies Between Design and Implementation, and Plans for Design Changes.

i. Monitoring and Evaluation System

E.1 Indicate if the program has an M&E plan and if this is actually implemented.

E.2 Explain which of the following tools, if any, are used as part of the program M&E:

- MIS

Best Practices & Guidance in M&E

Useful tips in determining M&E and accountability systems:

- Develop an M&E framework/plan that establishes clear targets, indicators, milestones, and time frames, as well as assigning clear responsibilities
- Establish mechanisms to publicly disclose program information
- Involve the media and civil society to increase awareness and transparency
- Define incentives for staff to enhance professional performance
- Establish adequate program level controls to increase accountability (adequate financial and accounting processes)
- If possible, use IT-based technology to cross check and monitor program information (economic, financial, social, and environmental)
- Establish adequate mechanisms for the community and participants to provide feedback or social audits
- Work through existing government monitoring systems and supplement where necessary
- Establish MIS systems in the government to monitor the program
- Define a results chain process to monitor and evaluate the program from an economic, social, and environmental perspective
- Periodically collect process, performance, and impact indicators
- Establish a protocol for level, method, and instrument of data collection
- Establish timetable for data collection and dissemination
- Define sanctions to promote compliance with program rules
- Establish mechanisms to handle complaints
- Ensure sufficient resources for M&E

For specific guidelines on M&E, refer to Resources section for guidance and examples.

- Process reports and evaluations
- Impact evaluation
- Community feedback (e.g., social audits, score cards)
- Financial audits
- Others

E.3 Indicate if baseline data is available and, if so, from which year?

E.4 Explain if monitoring and evaluation is guided by a logframe. A logframe should be used as a management tool that shows how inputs, outputs, outcomes, and impacts are expected to attain the objectives of the program.

E.5 Explain if the program has output indicators (e.g., number of people employed, no. of wells built, etc.). Also, (**E.6**) indicate if the program has outcome and impact indicators for all objectives, relating to direct, indirect, and induced effects (e.g., social, economic, and environmental effects). Finally, (**E.7**) specify if the program has cost efficiency indicators and, if so, list them.

E.8 Indicate if the data required to measure the above mentioned indicators is easily available.

ii. Data Collection, Dissemination, and Use

In question **E.9**, specify if a project/program MIS is in place and describe it in the related box at the end of this Key Area, including information on data reliability and security.

E.10 Explain if there is a protocol for method and frequency of data collection, and if this is applied to all localities covered under the program. In the case of the PSNP, the government has committed to collect longitudinal data, which has been critical to the measurement of program impact over time and the conduct of different types of evaluations (e.g., biannual household surveys were conducted in 2006, 2008, and 2010, including about 3,336 households from 66 woredas).

E.11 Explain if the program performance information is made available on a regular basis (specify with what frequency, i.e., weekly, biweekly, monthly, yearly, etc.).

E.12 Indicate if program results routinely feedback into program decision making (e.g., change in design and operational features).

iii. Measures to Promote Transparency, Reduce Error, Fraud, and Corruption

E.13 Just like for other social protection and investment initiatives, determine if the program discloses program information (budget, work plan, benefits level, participants, assets created, or services provided) publicly to promote accountability. Should that be the case (**E.14**), describe if the program ensures the privacy of participant information. In the case of India's MGNREGA, information on all aspects of the program (i.e., muster

rolls, labor budget and expenditure, complaints, etc.) is available to the public through the program website.[13]

E.15 Explain if the program enforces sanctions against fraud and corruption. Sanctions and corrective actions serve as effective deterrents against fraud and corruption. In Argentina's Jefes, the program envisioned a commission in the Ministry of Labor to handle allegations of abuse. Criminal offenses were referred to a federal prosecutor.

E.16 Specify if and how the program provides mechanisms to manage complaints and appeals (e.g., the right to appeal for people who have been omitted or not selected as participant and to complain about the quality or quantity of benefits) and if these are functional.

E.17 Specify if financial and other audits are carried out and with what frequency. Financial audits as well as field audits or spot checks at project sites are key to prevent fraud and corruption.

E.18 - E.19 Explain if and how the program has arranged for external oversight, including community oversight and social audits. India's MGNREGA in Andhra Pradesh, for example, pioneered the social audits (a process by which citizens review and monitor government actions and raise demand for accountability at public hearings).

E.20 Describe the measures used to inform about program performance and eligibility criteria. Media, as well as the civil society, could play an important role in promoting better governance and reducing corruption, such as shown in Ghana and India.

iv. Additional Boxes

Monitoring Information System (MIS). Use this open ended section to briefly describe the type of MIS the program has in place, its functions and protocols, and its effectiveness and security. Also, indicate if the MIS is paper-based or electronic, and if it contains information on redressal.

Unanticipated Outcomes of the Program. Indicate if the program is having positive or negative outcomes that were not originally anticipated (e.g., social cohesion/ tension, environmental impacts, economic impacts, improved productivity, benefits from improved access to basic services and the employment opportunities created), and, if so, explain them.

13 http://nrega.nic.in

Evaluations. List and describe evaluations that may have been conducted and their key results.

Discrepancies Between Design and Implementation. This section describes if there have been major discrepancies between design and actual implementation, specifying in which areas and explaining how.

Plans for Design Changes. This open-ended question explores if the program has plans for design changes and adjustments as far as this Key Area is concerned.

F. Coherence & Integration Across Programs

Objective: The program is harmonized or designed to complement to contribute to shared objectives of similar programs - or has the potential for being harmonized.

Programs are more effective when they complement each other, including in terms of objectives, institutions, and shared operational platforms. The purpose of this Key Area is to assess the linkages that a public works program establishes with other interventions. Even if there are no current connections among programs, this Key Area seeks to identify potential areas of harmonization.

In particular, this Key Area examines (i) **Coherence and Integration Across Programs**, (ii) **Common Administrative Tools**, and (iii) **Potential for Coherence and Integration**. **Additional Boxes** (iv) with open ended questions complement the Key Area by gathering information on Plans for Design Changes.

i. Coherence and Integration Across Programs

F.1 Indicate if there is a national strategy or policy that guides coherence and integration of social protection programs including public work programs and policy coherence with related social, economic, and employment policies.

Determine if the public works program is linked to other public works programs (**F.2**), or social protection programs (**F.3**), or other complementary interventions (**F.4**), and describe such program(s), including objectives, coverage, duration, etc.

Specifically, complementary objectives may include the following:

- To design and promote a graduation agenda. There is an increasing trend in public works programs to offer training, measures for financial inclusion, etc., but more needs to be provided in terms of employability and job matching.

- To offer or ensure access to complementary benefits to people who may be excluded by the public works program (e.g., elderly and those unable to work).

- To provide alternatives to program participants to fulfill particular needs or as an exit strategy. For example, participant households that reach a certain food security threshold in Ethiopia's PSNP are linked to the country's Household Asset Building Program, which aims to diversify income sources and increase productive assets.

F.5 Describe if the government or some donors are a coordinating body promoting coherence and integration among programs.

ii. Common Administrative Tools

Question **F.6** aims to identify if a single registry is available and, if so, for which programs and if the program at stake is part of it.

Question **F.7** explores a possible common targeting strategy across programs.

Question **F.8** investigates the use of common mechanisms for the delivery of payments (e.g., debit cards, mobile phones, or biometric smart cards).

Question **F.9** aims to understand if there is a common wage rate across public works programs, and if this program is aligned with it.

In question **F.10**, if in-kind transfers are involved, indicate if there are common operational platforms (e.g., pipelines, distribution mechanisms, etc.).

F.11 Determine if programs have a common MIS. For instance, Yemen's Social Fund for Development uses its own MIS, which includes general information on different types of projects. This MIS will soon be integrated with a parallel MIS developed for a separate project called the Labor Intensive Public Works. The two systems will be integrated at the level of both inputs (collected data) and outputs (reports) indicators. Also refer to Key Area E for details on the program's MIS.

iii. Potential for Coherence and Integration

Question **F.12** aims to explore if the program has the potential to be linked with other interventions. Ff so, list them and indicate how such programs could be linked (administration, registry, MIS, etc.).

F.13 Explain if there is a common coordination forum (i.e., a technical group) through which program managers share results and experiences of program implementation with other programs. In El Salvador, for instance, the Intersectorial Committee for Universal Social Protection System (Comité Intersectorial del Sistema de Protección Social Universal, SPSU) provides a platform for discussion and exchange among stakeholders.

iv. Additional Boxes

Plans for Design Changes. This open-ended question explores if the program has plans for design changes and adjustments as far as this Key Area is concerned.

G. Skills & Employability

Objective: The program enhances the skills and, in turn, the overall possibilities of employability of its participants, through quality training that is aligned with the demands of the local job market.

Some programs include a component to enhance participants' longer-term employability. This is through the provision of trainings (e.g., basic, skills, job search, and self-employment) and complementary services (financial, job placement).

The purpose of this Key Area is to assess whether the program contributes to enhancing the capacity of participants in a way to increase the impact of the programs in terms of employability through the provision of (skill, literacy, financial, etc.) training. The Key Area is divided in four sub-sections: (i) **Nature and Content of Curricula**, (ii) **Delivery and Incentives**, and (iii) **Logistics**. **Additional Boxes** (iv) with open ended questions complement the Key Area by gathering information on Discrepancies Between Design and Implementation and Plans for Design Changes.

i. Nature and Content of Curricula

Question **G.1** seeks to understand if a preliminary assessment has been conducted to decide the content of training.

Question **G.2** aims to understand what types of training are being offered. The training types are listed first with description of what constitutes that type, examples of such programs, and some guidance on best practices, where available.

Types of Training Programs:

- **Basic/Foundational Skills:** Usually defined as training programs that include literacy, numeracy, language, and other cognitive development skills that get the participant the basic skills at least up to grade 9. They are often inserted at the beginning of a training program to assist particularly vulnerable participants in bringing up their skills to the required reading, writing, and math levels. "Second Chance' programs (a subset of basic skills programs) offer either young school dropouts or adults an opportunity of return to an alternative educational setting to acquire secondary education qualifications. These programs have been proven to be more successful when they eliminate asymmetries in information between employers and job seekers. A recognized certification is necessary in this regard. OECD countries have well documented experiences in these programs, but Chile califica showed success in program outcomes that demonstrated the needs for accreditation and certification within these types of programs.

- **Vocational and Technical Skills:** These programs develop skills specific to a particular trade or job that are demanded by employers. Technical skills can include analytical skills, manual skills, and routine processes. Success is deeply related with the content of the skills provided and how well they serve the local labor demand. Often hands-on training with relevant tools or instruments is combined with theory for this type of course. Competency-based training with private sector influenced standards is the best delivery method.

- **Work and Life Skills:** This broad category includes a number of trainings. For example, it envisions developing basic behavioral skills and personality traits on social interactions and work-related skills. These may encompass trainings on communication, leadership self-esteem, conflict resolution, decision making/ problem solving, occupational hazards, sexual education, hygiene, worker rights, social protection, and basic first aid. Work and life skills trainings also comprise basic job readiness skills to prepare and help people in searching and retaining a job. This may include teaching how to perform in job interviews, personal strategies for looking for jobs, interview techniques, and CV (or resume) preparation. Sometimes, basic ICT skills are included in the category, with trainings on Microsoft office or similar products, cash register managements, typing/word processing, email, and other basic ICT functions required for most jobs.

- **Entrepreneurship Skills:** Training programs promoting entrepreneurship are designed to promote self-employment among potential entrepreneurs, especially in labor markets with low wage employment, and to increase the productivity of existing micro- enterprises. The central feature of these programs is their promotion of entrepreneurial skills and attitudes, the ability to create and manage sustainable and efficient businesses that are capable of offering permanent jobs. The level of teaching should be tailored to program beneficiaries and simplified to be understandable to people with low educational levels (below secondary). Most training programs supporting entrepreneurship are complemented with other business services such as start-up grants, access to credit, and advisory services such as mentoring and counseling.

- **Comprehensive:** Comprehensive skills training is often considered a best practice and involves a combination of modalities (institution-based and on-the-job training) and training program types (at least 2).

- **Other:** Please list in notes.

Question **G.3** is looking at how appropriate the quality, content, and methodology of training are for the target groups. While many great curricula exist, often time the exercises, level of language, and examples used are outside the context of the most vulnerable groups. Curricula and training materials should be adapted for literacy and education level of the target group, local culture and context, and the aims of the project.

G.4 Indicate the types of jobs the participants are expected to have skills to apply for and work in after training.

- Semi-skilled
- Technicians
- Line management
- Others

ii. Delivery and Incentives

Question **G.5** aims to understand who is institutionally responsible for training within the program, and if this role is clearly delineated. Possible responsible institutions include:

- **Government Training Institutes:** In some instances existing TVET or other government training institutes have the responsibility for delivering training. This might be due to strong current structures, low capacity of private sector or NGOs in the country, budget constraints, or a centralized government strategy. Capacity to manage procurement and manage contracts can also affect the decision to have government training providers.

- **Contracted Training Providers:** Decentralization of the training system to private sector or NGOs is a current trend. Private training providers, local NGOs, or INGOs are all able to bid. The competition of the procurement can lead to stronger training plans and lower costs. It can also encourage innovation and knowledge transfer from other contexts and projects.

Question **G.6** aims to understand if the program is linked with national training institutions.

In question **G.7**, specify if there is training available through other existing programs.

G.8 Indicate who delivers the training (private or public sector).

G.9 Specify how well the training program aligns to job market and employer needs. Demand-driven training is oriented toward jobs and industries with growth. Providers must have regular contact with employers and effectively utilize labor market information and private sector partnerships to inform training delivery and design. Skills taught and training types match employer needs in such programs that effectively manage collaboration with the private sector. In addition, in **G.10**, specify if training curricula are updated regularly in line with market demand.

iii. Logistics

Question **G.11** asks for the teacher to student ratio and whether this meets the needs of the learning objectives.[14]

14 "Practitioners advocate a class size of 16–20 individuals (for a skills training component, although a life skills class can be larger and programs for special target groups may be smaller). Class groupings larger than this compromise effectiveness in reaching all the participants, and class sizes smaller than this may be too expensive." Some evidence of K–12 education demonstrates that the tipping point in classroom learning occurs at 17 students per teacher. According to this evidence, classroom size of 17 and under is a best practice. This may vary for older youth and vocational training programs, as the research was focused on K–12 education, but it is still a useful guideline (Honorati and McArdle, 2013).

In **G.12**, indicate if the effectiveness of "on-the-job" training versus or combined with "classroom training" has been considered.

G.13 Specify how many total hours of training each participant receives. This information helps to understand the depth of training, and if provided training represents a meaningful transfer of skills to participants (**G.14**).

In **G.15**, indicate if participants receive a certification upon completion of training, and if this certification belongs to a national qualification framework, or some other systems generally recognized by employers.

G.16 Indicate if there is a tracing or tracking system allowing public works programs to determine the effectiveness of their training and, if so, what are the findings of this system.

G.17 Specify if the cost effectiveness (training per trainee/day) of training has been assessed.

iv. Additional Boxes

Discrepancies Between Design and Implementation. This section describes if there have been major discrepancies between design and actual implementation, specifying in which areas and explaining how.

Plans for Design Changes. This open-ended question explores if the program has plans for design changes and adjustments as far as this Key Area is concerned, and, if so, explain them.

H. Conditions of Work & Labor Practices

Objective: The program ensures appropriate conditions of work by duly applying fair labor standards and respect for worker rights in the implementation of its projects.

The purpose of this Key Area is to gauge the program's compliance with national laws and regulations for appropriate conditions of work. It also assesses labor standards in terms of social protection benefits, safe and healthy working environment, respect of worker rights to collective bargaining, etc. In particular, it encompasses (i) **National Laws and Regulations for Conditions of Work** and (ii) **Application of Labor Standards**.

Additional Boxes (iii) with open ended questions complement the Key Area by gathering information on Discrepancies Between Design and Implementation and Plans for Design Changes.

i. National Laws and Regulations for Conditions of Work

H.1. - H.2 What national laws, regulations and codes of conduct were taken into consideration when designing the program (e.g., a special decree or agreement reached at government level for this particular project/program)? This relates to issues such as occupational safety and health, wages and incentive schemes, discrimination and equality of rights, minimum age, freedom of association and the right to collective bargaining, workers compensation in the event of injury or death, and others.

ii. Application of Labor Standards

H.3 Indicate if the program has adopted appropriate social protection measures. In a number of cases, programs may not include a package of benefits (e.g., health insurance, maternity protection, sick leave, injury etc.) or mandatory contributions offered by formal sector employment. Exceptions are more frequent in middle income countries where programs might provide sick leave and maternity benefits (e.g., the Expanded Public Works Program in South Africa and Productive Safety Net Programme in Ethiopia) or health insurance coverage (e.g., Argentina's Trabajar program).

H.4 - H.5 Specify if the program offers a safe and healthy working environment to participants (i.e., if it provides appropriate equipment, water, sanitation, shaded areas for breaks, precaution in the use of dangerous tools, etc.) as well as appropriate working hours. Also, (**H.6**) indicate if the program offers a safe "crèche" area for parent workers who bring their children on site, or alternatively, if any nursery has been created in other areas to support parent workers.

H.7 Specify how adequate site supervision is provided at worksites. Small projects/programs may only require a site manager, while large scale projects may need various layers of staff (site managers, crew leaders, foremen/women, technical experts) who report to either the community, the contractor, or any other agency charged with implementation of that particular project.

H.8 What basic amenities, such as first aid, toilets, drinking water, etc., are needed/available at worksites? In addition, to ensure worker safety, it is good practice to identify the nearest health center or clinic to be used in case of emergencies.

Questions **H.9 - H.10** deal with the recruitment process, with the aim to make sure (**H.9**) that a clear description of the recruitment process has been offered and the terms of employment have been made widely available prior to actual recruitment for all staff under the program (including those that manage/implement the scheme, as well as workers carrying out the project work). In addition, specify (**H.10**) if the program provides for a contract or document setting out employment terms that are shared with and understood by participants.

In **H.11 - H.13**, collective bargaining is taken into consideration. In particular, specify (**H.11**) if the program respects the right of all workers to establish and join organizations of their own choosing. Also, indicate (**H.12**) how the duration and termination of employment has been considered on the basis of the national laws and collective bargaining agreements. Finally, if collectively bargained wages exist for private sector construction workers, indicate (**H.13**) if and how these agreements have been consulted to determine if the labor-based sector is or should be included.

H.14 Specify if the program respects the minimum working age set by national laws for the kind of works involved.

H.15 Explain how the program ensures that performed work does not pose risks to participants' health and nutritional status, and those of their children. For instance, in the Expanded Public Works Program in South Africa, maternity leave features as an additional benefit: women who work 4 or more days per week in the program can take up to four consecutive months of unpaid maternity leave.

H.16 Indicate the possible opportunity cost of participation (e.g., livelihoods, child care, child labor).

H.17 Indicate if workers have been informed of their rights and of available dispute settlement/complaints and appeals mechanisms.

iii. Additional Boxes

Discrepancies Between Design and Implementation. This section describes if there have been major discrepancies between design and actual implementation, specifying in which areas and explaining how.

Plans for Design Changes. This open-ended question explores if the program has plans for design changes and adjustments as far as this Key Area is concerned, and, if so, explain them.

Annexes

Glossary

Administrative targeting: Administrative targeting is based on the use of a set of criteria for eligibility. These criteria can be poverty based (households whose total income falls under the national poverty line) or categorical.

Categorical targeting: A targeting method in which all individuals in a specific category (for example, a particular age group, geographic location, gender, or demographic composition) are eligible to receive benefits.

Community-based targeting: A targeting method in which a group of community members or leaders (whose principal functions in the community are not related to the transfer program) decide who in the community should benefit.

Energy requirement (kcal): A total of 2,100 kcal/person/day is taken as the average daily energy requirement for a "typical" population in a warm climate undertaking light physical activity. When data are available, the figure should be adjusted according to: i) Temperature: Add 100 kcal for every 5°C that the mean daily temperature falls below 20°C (i.e., +100 kcal at 15°C, +200 kcal at 10°C, +300 kcal at 5°C, +400 kcal at 0°C); ii) Physical activity level: Add 140 kcal for moderate activity, and 350 kcal for heavy activity (e.g., during construction or land preparation works); iii) Age/sex distribution: When adult males make up more than 50 percent of the population, requirements are increased; when the population is exclusively women and children, requirements are reduced. Adjustments of plus or minus 5 percent may be appropriate (WFP, Emergency Field Operations Pocketbook).

Food security: The situation in which all people, at all times, have physical, social, and economic access to sufficient, safe, and nutritious food which meets their dietary needs and food preferences for an active and healthy life.

Geographic targeting: A targeting method in which location determines eligibility for benefits or allocates budget to concentrate resources on poorer areas.

Graduation: The state in which vulnerable people that received public assistance may not require such support anymore to sustain or protect their livelihoods. Graduation is a long term process that hinges on a variety of factors, many of which beyond the scope of social protection. In general, exiting or being "deselected" from a program doesn't necessarily translate into graduation.

Input: It refers to the resources required to undertake the work program, e.g., personnel, equipment, and materials.

International assistance: Funding received by donors and development partners in the form of budget support, concessional loans, or grants.

Means test: A targeting method based on income that seeks to collect comprehensive information on household income and/or wealth and verifies the information collected against independent sources.

Output: It refers to the tangible products (goods and services) produced by undertaking a series of tasks as part of the planned work of the project activities. Examples might include: irrigation systems or water supplies constructed, areas planted/developed, children immunized, buildings or other infrastructure built, policy guidelines produced, and staff effectively trained. The delivery of outputs should be largely under activity management's control.

Proxy means test: A targeting method by which a score for applicant households is generated based on easy to observe household characteristics, such as the location and quality of households' dwelling, ownership of durable goods, demographic structure, education, etc.

Safety nets: Non-contributory transfer programs designed to provide predictable support to the target population. Transfers can be provided in cash, quasi-cash (vouchers), or in-kind. The terms safety nets, social transfers, and social assistance are used here interchangeably.

Self-selection: Self-targeted programs are technically open to everyone, but are designed in such a way that take-up is expected to be much higher among the poor than the non-poor, or the level of benefits is expected to be higher among the poor.

Social assistance: See safety nets.

Social protection: Within the context of ISPA, social protection refers to the set of policies and programs aimed at preventing or protecting all people against poverty, vulnerability, and social exclusion throughout their lifecycles, with a particular emphasis towards vulnerable groups. Social protection can be provided in cash or in-kind, through non-contributory schemes, providing universal, categorical, or poverty-targeted benefits such as social assistance, contributory schemes with social insurance being the most common form, and by building human capital, productive assets, and access to jobs.

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Tools

WFP Food basket calculator: http://home.wfp.org/oen/Reference%20Documents/English/Nutval.htm

Trainings

ILO International Training Centre (ITC) "Learning Forum on Innovations in Public Investment and Employment Programs" Turin, Italy. 30 September – 11 October, 2013.

World Bank Core Course on Safety Nets, Washington, DC. December 2–13, 2013.

Online Databases

ILO Employment Intensive Investment Database (ASISTDOC): http://www.ilo.org/dyn/asist/asistdocs.home

ILO Social Security Inquiry: http://www.ilo.org/dyn/ilossi/ssimain.home

World Bank ASPIRE: http://datatopics.worldbank.org/aspire/

HelpAge International Global Age Watch: http://www.helpage.org/resources/ageing-data/

CPRC Social Assistance Database: http://www.chronicpoverty.org/publications/details/social-assistance-in-developing-countries-database

ISPA
INTER AGENCY
SOCIAL PROTECTION ASSESSMENTS

SOCIAL PROTECTION PUBLIC WORKS PROGRAMS

DATA COLLECTION FRAMEWORK

PROGRAM

This section is a simplified version of the full Social Protection Public Works Programs Data Collection Framework, available at ISPATools.org. The full Data Collection Framework is available for download in Excel format and includes all fields necessary to complete the assessment.

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Overview of Key Social Protection Programs

1. List other main public works programs. For each program, specify main objective and managing institution.

	Program Name	Objective	Managing Institution	Annual Coverage	Entitle-ments	Annual Budget
Program 1						
Program 2						
Program 3						

2. List three main social protection programs (non-public works). For each one, specify program type, main objective, and managing institution.

	Program Name	Objective	Managing Institution	Annual Coverage	Entitle-ments	Annual Budget
Program 1						
Program 2						
Program 3						

Program Data

Context

1.1. Has any specific context analysis led to opt for this program?

1.2. Which key data can support this choice? Please list.

1.3. Is there any available background material that frames the program within the specific country context? Please list.

1.4. Is there a context situation that particularly affects (both positively or negatively) the performance of the program? Please explain. (i.e., political stability, security issues, weather related shocks, etc.)

Program Overview

1.5. Name of program

1.6. Start date

1.7. Program status (Planned, Active, Closed)

1.8. Planned duration (number of months/years)

1.9. One off/multi-year intervention

1.10. Program objective. State main program objective(s): (Consumption/income, Assets/infrastructure, Employment, Skills, Service provision, Others)
1.11. Secondary objectives (please list, if any)
1.12. Core components of the Program (please list)
1.13. Program location (Rural, Urban, Both)
1.14. Program scope (Nationwide, Regional)
1.15. Total number of beneficiaries (individuals, households)
1.16. Women, youth, persons with disabilities participation (%)
1.17. Is this a universal program (e.g., an employment guarantee scheme)? Explain reasons why
1.18. Total number of employment-days provided (days per participant)
1.19. Coverage as a percentage of the working age population
1.20. Coverage as a percentage of the poor (national poverty line)
1.21. Coverage (per year) (Annual no. of total program beneficiaries, Annual no. total households, Number of days per person per year)
1.22. Basis of remuneration (daily wage, task based wage)
1.23. Transfers as a share of monthly income or expenditures of participant households
1.24. Total volume of the program food transfers (i.e., MTs distributed per annum)
1.25. Share of participant wages in total cost per year
1.26. Budget (refer to budget section in Key Area D) (Domestic, International assistance)
1.27. Total program budget as a % of public expenditures
1.28. Regulated by which legislation/law (if available)
1.29. Availability of independent evaluations
1.30. Other Information

Overview of Program Actors & Roles

Mark with an X the main actors by function

	Central Gov/PMU	District Gov	Local Gov	Community Arrange-ments	NGOs Civil Soc	Private Con-tractors	Int'l Orgs	Other
Project selection								
Participant selection								
Local/ project imp.								
Delivery of benefits								
Monitoring								
Evaluation								

Key Area A - Targeting & Eligibility

Objective: The program efficiently reaches its target population and addresses the needs of the vulnerable and poor.

i. Targeting Criteria

A.31. Does the program have an explicitly defined target population in its objectives? Specify the target group(s).

A.32. Does the program have eligibility criteria to select beneficiaries within a target group? If so, list the criteria.

ii. Targeting Methods

A.33. What are the targeting methods used by the public works? List the methods.

- Geographic
- Self-selection using wage rate
- Categorical
- Means test
- Proxy means test
- Community based
- Administrative (specify)
- Other (specify)

A.34. Does the program have a mechanism to deal with excess demand? If so, explain.

- First come, first served
- Ranking and prioritization
- Adjusting time (# work days/duration and # of projects)
- Adjusting the benefit level
- Lottery
- Others

iii. Measures for Inclusiveness

A.35. Does the program have a set objective for female participation? Specify what this objective is and what the participation rate is in practice.

A.36. Do the program terms of employment offer flexible work modalities? Explain.

A.37. Are men and women receiving equal pay for work of equal value?

A.38. Are female participants involved in aspects of program design and implementation? If so, list these aspects (selection of project and beneficiaries, monitoring of workplaces, etc.).

A.39. Are there additional measures in place to facilitate women's participation (i.e., childcare, separate toilet facilities, etc)? Describe what these measures are.

A.40. Is the program advertised in locations were women often gather or work?

A.41. Has the program been adjusted to meet the needs of vulnerable groups? (e.g., people with disabilities, the elderly, indigenous people, etc.)

iv. Summary of Targeting and Selection Process

Please describe the program's targeting process.

iv. Discrepancies Between Design and Implementation

Describe briefly if there have been major discrepancies between project design and actual implementation. If so, in which areas? Explain.

iv. Plans for Design Changes

Are there any design changes or adjustments planned to what concerns targeting? Explain.

Key Area B - Nature of Benefits, Timing & Duration

Objective: The program includes benefits that are adequate, appropriate, and compatible with local context.

i. Comprehensiveness of Program Benefits

B.1. What type of wage is provided? Cash, in-kind, both (for in-kind, specify commodities)?

B.2. What is the program benefit level and denomination? i.e., daily wage rate (LCU), piece or task rates, or in-kind transfer (kilos and kilo/calories) (for piece or task rate, convert into daily wage by gender).

B.3. Is the program wage linked to fluctuations in food prices?

B.4. Does the program operate year round? If not, specify season/months, and why.

B.5. What is the number of workdays per participant? (See also Program Data).

B.6. Does the program provide additional benefits (e.g., insurance, meals, etc.)?

ii. Adequacy and Appropriateness of a Cash Wage Rate

B.7. What is the prevailing market wage for casual unskilled labor? Specify rates by area, type of activity, seasonal variation (if any).

B.8. Does the country enforce a minimum wage for casual unskilled labor? Specify the rate and type of activity.

B.9. Is the minimum wage currently under review?

B.10. Are participants informed of any deductions made from wages?

B.11. What is the relationship between the program rate and the prevailing wage for casual unskilled labor?

- Is program wage < market wage?
- Is program wage > market wage?
- Is program wage = market wage?

B.12. If the program wage is different from the market rate, explain the reasons (i.e., prevailing wage in similar programs, etc.)

B.13. Does the program wage differ between program areas? Explain reasons.

B.14. Is the program wage provided similar to other public works programs?

B.15. Does the program collect information on prevailing market wages regularly? If so, how often?

B.16. How is the wage delivered?

- Manually. If so, are wages paid on working days, at or near work sites?

- Via mobile or smartcard technology?
- Via bank transfer?
- Others?

B.17. How frequently should transfers be paid?

B.18. Are wages paid on time? If not, what is the typical delay?

iii. Adequacy and Appropriateness of Food Transfers (if applicable)

B.19. How was the food transfer level determined? Explain the type of assessment.

B.20. How frequently should payments be made?

B.21. Are transfers distributed on time? If not, what is the typical delay?

B.22. What are the main criteria motivating in-kind food transfers? Select any that apply.

- Poorly functioning food markets
- Nutrition-related objectives
- Preferences of participants
- Implementation capacity
- High or volatile food prices
- Other; describe

B.23. Is the food procured locally, nationally, regionally, or globally?

B.24. How are providers selected?

B.25. Is there any mechanism to encourage procurement from small farmers?

B.26. Where does the food distribution take place (work sites, distribution centers, etc.)?

iv. Impact on Local Economy

B.27. Is there any impact on the local food and agricultural markets, production, and prices? Explain.

B.28. Is there any type of impact on local economy by the public works program? Explain.

B.29. Has the program caused changes in local wage rates?

B.30. Has the public works program contributed to reducing gender disparity in wages?

B.31. Does the program offer flexible work modalities or other measures to allow participants to attend other activities (i.e., task based work, flexible or shorter schedules, substitution for another person within the family, etc.)?

v. Summary of the Wage Setting Process

Describe how the wage level was determined for cash and/or in-kind transfer.

v. Discrepancies between Design and Implementation

Are there any design changes or adjustments planned to what concerns targeting? Explain.

v. Plans for Design Changes

Are there any design changes or adjustments planned? Explain.

Key Area C - Asset Creation & Services

Objective: Program's assets and services respond to community needs, with protocols in place for efficient management and implementation, plus quality assurance.

i. Rationale for Projects Supported by the Program

C.1. List the type of projects and share of budget (%) in the program. (List may vary according to the program's menu of projects).

- Agriculture and Natural Resource Management Projects - C(A)
- Road Infrastructure Construction and Maintenance Projects - C(B)
- Waste and Sanitation Management Projects - C(C)
- Social Services Provision - C(D)
- Social Infrastructure - C(E)
- Others

C.1. What was the rationale for project selection?

C.2. Is this activity being developed in response to a natural disaster, conflict, or calamity?

C.3. Did national, regional, or local strategic plans influence project selection (national/district development plans, natural disaster risk reduction schemes, national adaptation/mitigation plans, etc.)?

C.4. Are projects implemented in rural or urban areas?

- Rural
- Urban
- Rural and urban

C.5. Was the asset/service correctly selected? Was the asset appropriately selected to meet project/program objectives?

C.6. Has there been any consideration for disaster risk management and the inclusion of such a component as part of the intervention?

C.7. Is there a maximum limit on material costs (%)?

ii. Quality and Management

C.8. Was the asset correctly designed (e.g., to resist specific climate and weather related disasters and shocks, such as peak rainfall intensity, floods, etc.)?

C.9. Was it adequately implemented from a technical point of view?

C.10. Are local materials and resources used in the projects (i.e., local contractors for materials, equipments, tools)? Explain.

C.11. Are participants provided working tools and equipment?

C.12. Has responsibility and funding been agreed for maintaining the assets created or the projects developed (during and beyond the intervention period)?

C.13. Who owns the assets created or restored (e.g., private, community, government)? Explain the arrangements and provisions.

C.14. Does the program include indicators in terms of the type, quantity, and quality of the assets?

C.15. In the case of services or projects not focused on asset creation, indicate how their quality and completeness are measured.

C.16. Is the program implementation manual being updated regularly (e.g., bi-annual, annual) taking into account lessons learned?

C.17. Is there a need to strengthen the capacity of the other actors involved in designing and implementing the projects (i.e., CBOs, contractors, consultants)?

iii. Environmental Impact of Assets/Projects/Programs

C.18. Are projects using appropriate environmental safeguards (e.g., preventing adverse environmental effects, using environmentally friendly material, and risk mitigation)?

C.19. What measures are considered to avoid, minimize, or remedy adverse environmental impacts?

C.20. Do projects assess the carbon footprint and carbon offset created by the program?

iv. Costs of Implementing Projects

C.21. What is the share of participants' wages out of total program costs? (See Program Data).

C.22. What is the cost of transferring US$1.00 to the poor? Include calculations

v. Preliminary and Follow-up Training and Technical Supervision at Worksites

C.23. Do participants receive prior technical training to undertake these projects?

C.24. Is technical supervision in place to ensure adequate performance of tasks?

vi. Process for Selection of Projects

Describe the process (context analysis, needs assessments, etc.) for selection of projects, participants, and assets (public/community/private).

vi. Discrepancies Between Design and Implementation

Describe briefly if there have been major discrepancies between project design and actual implementation. If so, in which areas? Explain.

vi. Plans for Design Changes

Are there any design changes or adjustments planned? Explain.

Key Area C(A) - Agriculture & Natural Resources Management Projects

i. Rationale for Projects Supported by the Program

C(A).1. List the type of projects and percentage of allocation in the program:

- Physical soil and water conservation (level soil bund, stone bonds, stone faced soil bund, bench terracing, etc.)
- Flood control and improved drainage (waterways, graded soil bund, etc.)
- Water harvesting (water lifting, hand-dug wells, etc.)
- Soil fertility management and biological soil conservation (compost making, fertilization and manuring, vegetative fencing, ley cropping, etc.)
- Agro-forestry, forage development, and forestry (area closure, micro-basins, eyebrow basins, herring bones, etc.)
- Gully control (stone check dams, brushwood check dams, gully reshaping, etc.)
- Others

ii. Costs of Implementing Agriculture and Natural Resources Management Projects

C(A).2. Detail the average cost of implementing a project (by type): (Please indicate the total cost and the share of labor cost, if available).

- Physical soil and water conservation (level soil bund, stone bonds, stone faced soil bund, bench terracing, etc.)
- Flood control and improved drainage (waterways, graded soil bund, etc.)
- Water harvesting (water lifting, hand-dug wells, etc.)
- Soil fertility management and biological soil conservation (compost making, fertilization and manuring, vegetative fencing, ley cropping, etc.)
- Agro-forestry, forage development, and forestry (area closure, micro-basins, eyebrow basins, herring bones, etc.)
- Gully control (stone check dams, brushwood check dams, gully reshaping, etc.)
- Others

Key Area C(B) - Road Infrastructure Construction & Maintenance Projects

i. Rationale for Projects Supported by the Program

C(B).1. List the type of transport projects and percentage of allocation in the program plus outputs:

1.1. Construction of new roads (specify also number of kms).

- Earth roads
- Gravel roads
- Low cost surfacing of roads (indicate type of surfacing)
- Other, please describe

1.2. Construction of new structures (like bridges, indicate type and span).

- Suspension bridges
- Beam bridges
- Truss bridges
- Floating bridges
- Other, please describe

1.3. Maintenance of roads and bridges (specify also number of kms).

- Routine maintenance (done annually) including activities such as erosion control on shoulders and slopes, clearing drains to allow free passage of water, clearing culverts and other waterways, minor repair to structures, repair, fill, and compacting potholes, grass cutting)
- Periodic maintenance (done every 4 to 7 years) including major repairs to structures, reshaping prior to resurfacing, regraveling, resurfacing of entire sections of road, spot improvement, installation of new culverts
- Emergency maintenance covering unforeseen damage to the road network caused by excessive floods or rains, such as landslides
- Other, please describe

ii. Costs of Implementing Transport Projects

C(B).2. Detail the average cost of implementing a project (by type): (Please indicate the total cost and the share of labor).

2.1. Construction of new roads (specify also number of kms).

- Earth roads
- Gravel roads
- Low cost surfacing of roads (indicate type of surfacing)
- Other, please describe

2.2. Construction of new structures (like bridges, indicate type and span).

- Suspension bridges
- Beam bridges
- Truss bridges
- Floating bridges
- Other, please describe

2.3. Maintenance of roads and bridges (specify also number of kms).

- Routine maintenance (done annually) including activities such as erosion control on shoulders and slopes, clearing drains to allow free passage of water, clearing culverts and other waterways, minor repair to structures, repair, fill, and compacting potholes, grass cutting)
- Periodic maintenance (done every 4 to 7 years) including major repairs to structures, reshaping prior to resurfacing, regraveling, resurfacing of entire sections of road, spot improvement, installation of new culverts
- Emergency maintenance covering unforeseen damage to the road network caused by excessive floods or rains, such as landslides
- Other, please describe

Key Area C(C) - Waste & Sanitation Management Projects

i. Rationale for Projects Supported by the Program

C(C).1. List the type of projects and percentage of allocation in the program:

- Primary garbage collection and disposal (waste from households, pathways, and institutions)
- Secondary collection from sites to designated landfills, dumpsites, or waste processing centers
- Establishment and management of dump-sites/landfills
- Awareness raising on waste and sanitation management
- Others, please describe

ii. Costs of Implementing Waste and Sanitation Management Projects

C(C).2. Detail the average cost of implementing a project (by type): (Please indicate the total cost and the share of labor cost, if available).

- Primary garbage collection and disposal (waste from households, pathways, and institutions)
- Secondary collection from sites to designated landfills, dumpsites, or waste processing centers
- Establishment and management of dump-sites/landfills
- Awareness raising on waste and sanitation management
- Others, please describe

Key Area C(D) - Social Services Provision

i. Rationale for Projects Supported by the Program

C(D).1. List the type of services provided or staffed with public works program participants and the percentage of the total spent on public works program service provision allocated to each type of service.

- Basic health and community services (e.g., home based care workers, assistants to primary health care providers)
- Educational services (e.g., early childhood care and development workers, teaching aides, homework supervisors)
- Food security services (promoters of community and school gardens)
- Community safety (security guards)
- Refuse collection
- Other

ii. Costs of Implementing Social Services Projects

C(D).2. Detail the average cost of implementing a project (by type): (Please indicate the total cost and the share of labor cost, if available)

- Basic health and community services (e.g., home based care workers, assistants to primary health care providers)
- Educational services (e.g., early childhood care and development workers, teaching aides, homework supervisors)
- Food security services (promoters of community and school gardens)
- Community safety (security guards)
- Refuse collection
- Other

Key Area C(E) - Social Infrastructure

i. Rationale for Projects Supported by the Program

C(E).1. List the type of projects and percentage of allocation in the program:

- Health infrastructure (medical facilities, training facilities, etc.)
- Education infrastructure (schools, tertiary education facilities, residential student accommodation, etc.)
- Civic infrastructure and utilities (community facilities, sport facilities, cultural facilities, etc.)
- Others

ii. Costs of Implementing Social Infrastructure Projects

C(E).2. Detail the average cost of implementing a project (by type): (Please indicate the total cost and the share of labor cost, if available).

- Health infrastructure (medical facilities, training facilities, etc.)
- Education infrastructure (schools, tertiary education facilities, residential student accommodation, etc.)
- Civic infrastructure and utilities (community facilities, sport facilities, cultural facilities, etc.)
- Others

Key Area D - Institutions, Coordination & Financing

Objective: The program assigns roles and responsibilities among diverse actors to ensure effective implementation, coordination, and oversight. Institutional arrangements are also devised to ensure scalability and responsiveness in the face of crisis. Funding is adequately allocated and efficiently managed.

i. Roles and Responsibilities Across Diverse Stakeholders and Actors

D.1. Is there a legislative framework in place?

D.2. Is there a policy framework in place?

D.3. Who are the institutional stakeholders or actors (including local and national government) involved in the program?

D.4. What are their roles and responsibilities?

ii. Coordination and Oversight Mechanisms

D.5. Are there coordination mechanisms within (intra- and inter-) government institutions? Explain.

D.6. Are there coordination mechanisms between government and other stakeholders/actors involved in implementation? Explain.

D.7. Has the government created a dedicated body to manage the program? If so, explain its role.

D.8. Are there bid processes and procurement guidelines in place to ensure appropriate selection of third party implementing agencies? Is there a threshold after which bidding takes place?

D.9. Is there a mechanism for oversight (e.g., reports, spot checks of field implementation)? Explain.

D.10. Have coordination and oversight modalities been redesigned since the program started?

iii. Community Participation

D.11. If planned, have community-based participatory planning tools been applied effectively? Describe.

D.12. Who was involved in planning and conducting the community-based participatory exercises (e.g., local committees, community leaders)?

D.13. Does the program conduct community sensitization to raise awareness about the program and its components?

iv. Capacity Building

D.14. Has a capacity assessment been undertaken?

D.15. Is there a need to build and/or strengthen capacity of the Ministry/Agency/Parastatal (PMU/PIU) in charge of program management and implementation? Specify.

D.16. Does the management and project staff benefit from South-South exchange in this field (i.e.,study tours, knowledge sharing events, etc.)? If so, explain.

v. Flexibility to Scale Up

D.17. Is there capacity (financial, technical, human resources) within existing institutional structures to scale up the program?

D.18. Does the program have contingency plans?

D.19. If the program has previously been scaled up in response to changing needs or circumstances, has it been possible to scale back down to previous coverage levels?

vi. Financing

D.20. Specify overall and annual budget of the program.

D.21. List financial sources and their breakdown (e.g., local and national government entities, international donors, funds and their overall financing contributions over time, amount, and percentage).

D.22. List overall government contributions as a share of GDP (%) annually.

vii. Overview of Program Actors & Roles

Mark with an X the main actors by function

	Central Gov/PMU	District Gov	Local Gov	Community Arrange-ments	NGOs Civil Soc	Private Con-tractors	Int'l Orgs	Other
Project selection								
Participant selection								
Local/ project imp.								
Delivery of benefits								
Monitoring								
Evaluation								

vii. Discrepancies between Design and Implementation

Describe briefly if there have been major discrepancies between project design and actual implementation. If so, in which areas? Explain.

vii. Plans for Design Changes

Are there any design changes or adjustments planned? Explain.

Key Area E - Monitoring & Evaluation

Objective: Monitoring and evaluation protocols are in place to track results and impacts of the program. Mechanisms are established to promote transparency and reduce error, fraud, and corruption.

i. Monitoring and Evaluation System

E.1. Is there an M&E plan in place and implemented?

E.2. Which of the following tools, if any, are used in the program?

- MIS
- Process reports and evaluations
- Impact evaluation
- Community feedback (e.g., social audits, score cards)
- Financial audit
- Others

E.3. Is baseline data available? From what year?

E.4. Is there a logframe to guide monitoring and evaluation? Explain.

E.5. Does the program have output indicators? List the indicators (e.g., number of people employed, no. of wells built).

E.6. Does the program have outcome and impact indicators for all objectives, relating to direct, indirect and induced effects? List the indicators (e.g., social, economic and environmental).

E.7. Does the program have cost-efficiency indicators? List the indicators.

E.8. Is the data required to measure these indicators easily available?

ii. Data Collection, Dissemination, and Use

E.9. Is there a project/program MIS in place? Describe in the box below.

E.10. Is there a protocol for method and frequency of data collection? If so, does the same protocol apply for all localities covered under the program?

E.11. Is program performance information made available on a regular basis and to whom and with what frequency? (i.e., weekly, biweekly, monthly, yearly, etc.)

E.12. Are program results routinely fed back into program management decisions? Explain.

iii. Measures to Promote Transparency, Reduce Error, Fraud, and Corruption

E.13. Does the program disclose information (budget, work plan, benefits level, participants) publicly to promote accountability?

E.14. Does the program ensure the privacy of participant information?

E.15. Does the program enforce sanctions against fraud and corruption?

E.16. Does the program have mechanisms to manage grievances and are they functional? (e.g., appeal for selection).

E.17. Are financial and other audits carried out and with what frequency?

E.18. Is there external program oversight (e.g., external audit/evaluation)? Describe.

E.19. Is there community oversight and social audit? Describe.

E.20. What means does the program use to inform about program performance and eligibility criteria (e.g., the media, civil society, etc)? Explain.

iv. Monitoring Information System (MIS)

Briefly describe the type of MIS the program uses and its functions, including participant identification information, benefits provided, location, payment methods, and frequency, etc. Is the MIS paper-based or electronic, using biometric systems? Does it contain information on redressal?

iv. Unanticipated Outcomes of the Program

Are there positive or negative outcomes that were not originally anticipated (e.g., social cohesion/tension, environmental impacts, economic impacts, improved productivity, benefits from improved access to basic services and the employment opportunities created)? Explain.

iv. Evaluations

List evaluations and main findings.

iv. Discrepancies between Design and Implementation

Describe briefly if there have been major discrepancies between project design and actual implementation. If so, in which areas? Explain.

iv. Plans for Design Changes

Are there any design changes or adjustments planned? Explain.

Key Area F - Coherence & Integration Across Programs

Objective: The program is harmonized or designed to complement to contribute to shared objectives of similar programs - or has the potential for being harmonized.

i. Coherence and Integration Across Programs

F.1. Is there a national strategy or policy that guides harmonization of social protection programs, including public work programs?

F.2. Is the program linked with other public work programs? How?

F.3. Is the program linked with other social protection programs? How?

F.4. Is the program linked with other complementary programs (e.g., agriculture, microfinance, etc.)? How?

F.5. Is there a government/donors coordinating body promoting harmonization among programs? Describe.

ii. Common Administrative Tools

F.6. Is there a single registry available? For which programs? Is the public works program part of it?

F.7. Is there a common targeting strategy across programs? For which programs? Is the public works program part of it?

F.8. Are there common methods of payments across programs? If so, do they share the mechanisms specified in B.16.

F.9. Is there a common wage rate across public works programs? Is this public work program at stake aligned?

F.10. For in-kind transfers, are there common operational platforms (e.g., pipelines, distribution mechanisms, etc)?

F.11. Do programs have common MIS? If so specify (see also Key Area E).

iii. Potential for Coherence and Integration

F.12. List programs that have the potential to be linked with the public works program. How? (e.g., administration, registry, MIS, etc.)

F.13. Is there a common coordination forum (e.g., working group) through which program managers share results and experiences of program implementation with other programs?

iv. Plans for Design Changes

Are there any design changes or adjustments planned? Explain.

Key Area G - Skills & Employability

Objective: The program enhances the skills and, in turn, the overall possibilities of employability of its participants, through quality training that is aligned with the demands of the local job market.

i. Nature and Content of Curricula

G.1. Has a preliminary assessment been conducted to decide the content of training?

G.2. What type of training programs are offered?

- Basic/foundation
- Vocational and technical
- Work and life
- Entrepreneurship
- Comprehensive
- Others
- Is the training quality, content, and methodology appropriate?

G.3. What type of jobs are participants being trained for?

- Semi-skilled
- Technicians
- Line management
- Others

ii. Delivery and Incentives

G.4. Who is institutionally responsible for the training?

G.5. Is the program linked with national training institutions?

G.6. Is there training available through other existing programs?

G.7. Who delivers the training (private or public sector)?

G.8. Does the training program align to job market demand?

G.9. Are the training curricula being updated regularly in line with market demand? How?

iii. Logistics

G.10. Is the ratio of students to teachers appropriate for the type of training?

G.11. Has the effectiveness of "on-the-job" training versus or combined with "classroom training" been considered?

G.12. How many hours (total) of instruction are provided for each participant?

G.13. Is this adequate to provide meaningful skills transfer?

G.14. Is skills certification provided to those who complete the training? Is the certification from a national qualification framework, or some other system employers recognize?

G.15. Is there a tracing or tracking system allowing public works programs to determine the effectiveness of its training? What are findings?

G.16. Has the cost effectiveness of training been assessed (training per trainee/day)?

iv. Discrepancies between Design and Implementation

Describe briefly if there have been major discrepancies between project design and actual implementation. If so, in which areas? Explain.

iv. Plans for Design Changes

Are there any design changes or adjustments planned? Explain.

Key Area H - Conditions of Work & Labor Practices

Objective: The program ensures appropriate conditions of work by duly applying fair labor standards and respect for worker rights in the implementation of its projects.

i. National Laws and Regulations for Conditions of Work

H.1. Which national laws were taken into consideration when designing the program? (for instance, a special decree or agreement reached at government level for this particular project).

H.2. Are there national laws or acts, regulations, codes of conduct in relation to:

- Occupational safety and health?
- Wages and incentive schemes, including minimum wages and protection of wages (what is considered to be the minimum wage for your program)?
- Discrimination and equality of rights?
- Minimum age (please indicate what is considered to be the minimum age for employment for your country)?
- Freedom of association, protection of the right to organize or collective bargaining?
- Workers compensation in the event of injury or death?
- Others?

ii. Application of Labor Standards

H.3. Are social insurance measures in place, where appropriate? (i.e., injury and accident compensation, maternity protection, sick leave, etc.) Specify.

H.4. Does the program offer a safe and healthy working environment to participants? (e.g., through the provision of appropriate equipment, water, shade, precaution in the use of dangerous tools, etc.) Describe.

H.5. Have necessary measures been taken to ensure appropriate working hours?

H.6. Is there safe childcare provided on site or in other areas to support parent workers?

H.7. Is adequate site supervision in place? (i.e., site managers, crew leaders, other supervisors).

H.8. Are worksite amenities available? (drinking water, first aid, etc.)

H.9. Has a clear description of the recruitment process been offered and the terms of employment made widely available prior to actual recruitment?

H.10. Is there a contract or document setting out employment terms that are understood by the worker?

H.11. Are the rights of workers in the programs to establish and join organizations of their own choosing respected?

H.12. Have the duration and termination of employment been considered on the basis of the national laws and collective bargaining agreements?

H.13. If collectively bargained wages exist for private sector construction workers, these agreements should be consulted to determine if the labor-based sector is included. Is this the case?

H.14. Does the program respect the minimum age specified by national legislation?

H.15. Does participation in the program pose risks to the health and nutritional status of participants and their children?

H.16. Does the opportunity cost of participation have adverse effects (e.g., livelihoods, child care, child labor)?

H.17. Have workers been informed of their rights and dispute settlement mechanisms?

iii. Discrepancies between Design and Implementation

Describe briefly if there have been major discrepancies between project design and actual implementation. If so, in which areas? Explain.

iii. Plans for Design Changes

Are there any design changes or adjustments planned? Explain.

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OVERVIEW OF FINDINGS

PROGRAM

Key Area	1	2	3	4
Description	**Latent:** Significant attention needs to be paid to this dimension	**Emerging:** This dimension requires vigilance. Elements for effective performance are in place but gaps and constraints persist.	**Moderate:** Satisfactory performance, with most of the elements showing effective and efficient parameters.	**Advanced:** Highly satisfactory practice, with broad-based success in the examined elements.
A. Eligibility & Targeting	Target population may need clarification; program eligibility criteria may be loosely specified or applied; and procedures may not be conducted in line with program manuals. Mechanisms to target poor and vulnerable may not be functional. Evidence of large inclusion and exclusion errors may exist. Direct or indirect measures to promote female participation may not be present.	Target population and eligibility criteria are generally clear. However, targeting mechanisms may present a number of gaps, e.g., possible issues in wage setting protocols, use of geographic targeting, or in eligibility criteria. There may be evidence of significant inclusion and exclusion errors, accompanied by actual low women participation compared to planned rates.	Green signals clear target population, eligibility criteria, and functioning targeting mechanisms. Yet there may be evidence of inclusion or exclusion errors or there may be gaps in program design limiting the participation of women.	The program exhibits clear target population and eligibility criteria. Evidence of effective targeting mechanisms is present, including as documented by robust impact evaluations. The program has promoted participation in line with program manuals, as well as encouraged the inclusion of vulnerable groups such as disabled people.
B. Nature of Benefits, Timing & Duration	The level of benefits may be inadequate or inappropriate, e.g., benefits too low, program duration too short, or generating labor market distortions. High incidence of payment delays may be reported.	The level of benefits may not be set adequately given local needs, e.g., wage levels too high/low, with consequent impacts on local markets. This, however, may be accompanied by low incidence of payment delays.	The program may have set benefits that are adequate, appropriate and have no adverse impact on local economy.	The program includes benefits that are adequate, appropriate, and compatible with local context. Additional benefits are provided through combined interventions.

Key Area	1	2	3	4
C. Asset Creation & Services	The rationale for projects and/or services may be unclear and/or inadequate given the local context or timing of the program. Process and criteria for project selection may be unclear or not applied correctly. Implementation arrangements may not meet operational requirements. Needs of community may not be addressed. There may not be measures to ensure completion and quality control of assets. Environmental impact of projects may be of concerns. Participants may not receive adequate training before working on their tasks. Technical supervision on projects may be absent or inefficient.	The rationale for projects tends to be relatively clear, although the participation of people in different activities may not be well documented. Quality of projects and service may be of concern. Pre-project and follow up training and supervision may be insufficient.	Projects and/or services are well defined and respond to community needs. Implementation arrangements are well defined, but projects may lack adequate technical training and/or supervision.	Projects and services are well defined. Quality of projects and services has been well documented, while environmental safeguards have been taken into account. Participants have received adequate training before project commencement. Local contractors are used for material provision. Adequate technical supervision of projects is in place.
D. Institutions, Coordi-nation & Financing	The program may have unclear roles and responsibilities amongst stakeholders. Oversight and coordination mechanisms may be limited. The program may not be flexible in face of crisis, in case that is the objective. Funding may be not sufficient, or may be inefficiently managed, to cover all designed activities.	Roles and responsibilities may be defined for some stakeholders. There may be limited coordination and oversight capacity. Manuals and contracts to support coordination could be more developed. Program may lack preparedness for crisis response, if this objective is envisaged within the program. The allocation of funding to the program may not be adequate.	The program assigns clear roles and responsibilities to diverse stakeholders. Program features oversight and coordination mechanisms, but flexibility to respond to crisis in case of need may be limited, and/or financing, too.	The program assigns clear roles and responsibilities amongst diverse stakeholders to ensure effective implementation, coordination, and oversight. Stakeholders have developed capacity to implement program efficiently. Institutional arrangements are adequately devised to ensure responsiveness to crises, if needed. Funding is adequately allocated and efficiently managed.

Key Area	1	2	3	4
E. Monitoring & Evaluation	The program may not present a well defined M&E system. An MIS may not be established. Indicators for performance may not be well defined and systematically collected. At present, evaluations may have not been conducted or planned. Measures to address accountability concerns may not be in place.	An MIS may not be well developed. Input and output indicators may be collected but not outcome or impact indicators. Evaluations may have not been conducted but are planned. Accountability mechanisms may be underdeveloped.	The program exhibits clear M&E arrangements, as well as clear mechanisms to promote accountability. The program should enhance ways to capture and disseminate evidence. MIS is developed but it could be strengthened. Some evaluations have been conducted or are planned.	M&E protocols track results and impacts of the program across time and space. MIS is fully developed. Process and impact evaluations have been conducted. Mechanisms are in place to enhance transparency and reduce error, fraud, and corruption.
F. Coherence & Integration Across Programs	The program may not be harmonized or integrated with similar or complementary interventions. The program may not use common administrative tools. There may be limited potential for harmonization.	The program may have loose harmonization arrangements with other programs. Use of complementary administrative tools may be limited. There is some potential of harmonization among a few programs.	The program is well integrated and complemented with other interventions and may use complementary administrative tools to support implementation. Potential for harmonization exists.	The program is harmonized and complemented with other interventions to contribute to shared objectives of similar programs and to complement the efforts of other programs. Program uses complementary administrative tools. There is great potential to continue harmonizing programs at various levels.

Key Area	1	2	3	4
G. Skills & Employ-ability	Training strategies may not be clear. The nature of trainings may not meet participant needs. Delivery of the program may not be well designed. No clear market linkages exist between needs, demand, and training. Materials and staff may be inadequate, either in number/ amount or capacity. Feedback on received training may be negative.	Training is in place but may not be adequate or up to date. Links to longer term employability through training or complementary services may not be in place or may be very limited. Of the three measures examined here (Nature of Curricula, Delivery and Incentives, and Logistics), at least one component is well measured and well executed.	Training is provided as a link to employability, as well as other services to improve longer term income generation possibilities for participants. Of the three measures examined here, at least two components are well measured and well executed.	The nature of curricula is aligned to participant needs. Best practices in program delivery and design are utilized. Strong market linkages exist and are documented between needs, demand, and training. Abundant materials are available and adequate and quality staff is implementing the project. Feedback on received training shows positive results.
H. Conditions of Work & Labor Practices	The program may not take into account the relevant national legislation or codes of conduct. Labor standards may not be applied, hence the program may not provide social insurance benefits and may not guarantee a safe and healthy working environment. The recruitment process may not be clear or transparent and the contract signed with participants may not be explained or shared with them. The participants' right to collective bargaining may not be recognized, while the minimum age of workers may not be respected.	Labor standards may be applied to a limited extent, hence appropriate working conditions may not be granted. The recruitment process may not be fully transparent. Worker rights (to maternity, to collective bargaining, etc.) may not be always respected in project implementation.	National labor legislations and codes of conduct are available and can be used as a reference. Some social insurance benefits may be in place, as well as safe and healthy working conditions. The right to collective bargaining is respected, and the minimum working age, too. Participants have usually been provided with a signed contract.	Relevant national laws and codes of conduct have been used as a reference for designing the program. The program offers appropriate social insurance measures and provisions for safety at work, together with means for facilitate the participation of working parents. Participants have been provided with a clear description of the recruitment process and their contract. The right to collective bargaining is respected and so is the minimum age of workers.

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COUNTRY REPORT OUTLINE

PROGRAM

The primary output of the assessment will be a Country Report. The report will be about 35 pages and will be structured in line with the below simple template or outline:

Abbreviations

Acknowledgments

1 Background

2 Context
- 2.1 Trends and Figures
- 2.2 Main Social Protection Programs

3 Methodology

4 Emerging Findings
- 4.1 Key Performance Indicators
- 4.2 Key Areas
- 4.3 Color-coded Status

5 Policy Options

Selected References

Annexes
- A List of Partners Interviewed
- B Field Work Agenda
- C Color-coded Matrix of Practices

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