



Ethiopia readiness assessment: delivering anticipatory social protection

Working Paper October 2023

Climate change

Keywords:

Climate resilience, social protection, loss and damage, climate finance, climate change justice, Small Island Developing States (SIDS), least developed countries (LDCs), early warning systems

This is an extract from the IIED working paper 'Delivering anticipatory social protection: country readiness assessment'. The full paper includes complete analysis of eight countries and can be downloaded from www.iied.org/21896iied

To cite any content from this document please cite the full paper as:

Bharadwaj, R, Mitchell, T, Karthikeyan N, Raj, N, Chaliha, S, Abhilashi, R, Chinnaswamy, K, Raghini, B, Deulgaonkar, I, Chakravarti, D and McCabe, T (2023) Delivering anticipatory social protection: Country readiness assessment. IIED, London.

International Institute for Environment and Development Third Floor, 235 High Holborn, London WC1V 7DN, UK Tel: +44 (0)20 3463 7399 www.iied.org

¥ @iied

swww.facebook.com/thellED

Download more publications at https://iied.org/publications



IIED publications may be shared and republished in accordance with the Creative Commons Attribution-NonCommercial-NoDerivatives BY NC ND 4.0 International Public License (CC BY-NC-ND 4.0). Under the terms of this licence, anyone can copy, distribute and display the material, providing that they credit the original source and don't use it for commercial purposes or make derivatives. Different licences may apply to some illustrative elements, in which instance the licence will be displayed alongside. IIED is happy to discuss any aspect of further

usage. Get more information via www.iied.org/about-publications

IIED is a charity registered in England, Charity No.800066 and in Scotland, OSCR Reg No.SC039864 and a company limited by guarantee registered in England No.2188452.

Introduction

Climate change poses severe and urgent risks, especially to vulnerable communities. Social protection programmes, which historically focused on poverty alleviation and basic services, are increasingly seen as vital tools for building climate resilience. Proactive, anticipatory measures in social protection can offer cost-effective resilience against climate shocks, reducing poverty, enhancing access to services, and preventing distress migration. These programmes contribute to long-term sustainable development by tackling multiple dimensions of vulnerability, from raising living standards and human development to empowering individuals and fostering economic growth.

However, despite potential, vulnerable countries grapple with challenges in in delivering anticipatory and riskresponsive social protection. These challenges include ineffective targeting of beneficiaries due to limited data and poor information systems, inconsistent social protection coverage caused by resource limitations and policy gaps, sometimes resulting in programme duplication, underdeveloped early warning systems (EWSs) that lack comprehensive climate hazard coverage, particularly in Least Developed Countries (LDCs), inefficient decision making and delivery mechanisms, and difficulties in coordination among various stakeholders and sectors during crisis.

ン

Anticipatory Social Protection Index for Resilience (ASPIRE) Tool

The ASPIRE diagnostic tool offers a multi-layered approach to evaluate a country's readiness and effectiveness in delivering anticipatory and shockresponsive social protection. It assesses the maturity, readiness and gaps within existing social protection programmes by considering diverse national contexts, which include varying climate risks, institutional capacities and policy frameworks. The tool assesses a country's policy domain, covering aspects such as policy objectives, innovation, risk definition, target specification and assistance types, which identify areas that require attention to enhance the anticipatory risk-responsiveness of social protection programmes. The ASPIRE tool assesses the systems domain, and covers aspects such as financial capacity, administrative capacity, fiscal space, infrastructure, technology and information systems, and institutional mechanisms. Overall, using the ASPIRE diagnostic tool can allow governments to identify gaps and challenges that impede the effective integration of anticipatory response in social protection programmes, including insurancelinked responses. Funding agencies can leverage ASPIRE's detailed analysis to allocate resources more effectively, focusing on the most urgent gaps and impactful opportunities. More details about the ASPIRE tool and how it can be used can be found at www.iied.org/21901iied.

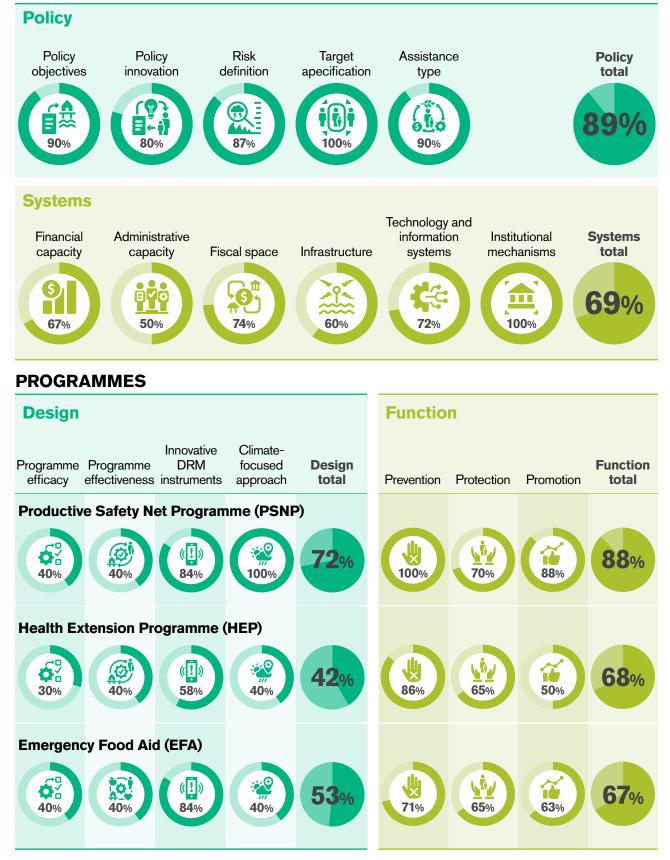
The applicability and effectiveness of the ASPIRE tool has been rigorously tested through the analysis of eight countries: Malawi, Ghana, Senegal, Bangladesh, Pakistan, Uganda, Ethiopia and India. These countries were selected to represent a diverse range of climate risk contexts. Within each country, three social protection programmes were further chosen for the assessment - representing different delivery mechanisms, such as public works, food and in-kind assistance, and cash transfers. By applying ASPIRE to these eight countries, the analysis offers valuable insights into how social protection programmes can be tailored to meet diverse climate risks and vulnerabilities. The end goal is to strengthen these countries against climate risks by enhancing their readiness, filling policy and system gaps, and facilitating the successful incorporation of insurance-linked anticipatory payout mechanisms. The complete analysis of the 8 countries and 24 programmes can be found at www.iied.org/21896iied.

3 Country analysis: Ethiopia

This document provides the full analysis of Ethiopia's social protection policies, systems and programmes in terms of their readiness in delivering anticipatory climate resilience, using ASPIRE tool. The secondary sources and evidence used for the review are listed in the Annex.



POLICY AND SYSTEMS





Policy objectives

POLICY OBJECTIVES

The country's social protection policy has a clear vision, goals and objectives

5

4

5

4

The policy explicitly mentions building resilience to climate shocks as an objective

The policy prioritises anticipatory response to climate shocks (ie preparedness and proactive measures to mitigate impacts)

The country uses systematic policy planning cycle mechanisms to manage the design and delivery of social protection programmes

Clear vision, goal and objectives: Ethiopia's social protection policy is driven by a clear vision and well-defined goals and objectives. It aims to provide adequate protection to the poor, especially during times of crisis and economic adjustment. The policy guarantees support to prevent and protect against risks faced by the people.

To address the needs of chronically food-insecure households in famine-prone areas, the Productive Safety Net Program (PSNP) plays a crucial role. It ensures the provision of predictable food and cash transfers to targeted beneficiary households, preventing asset depletion and enabling effective consumption smoothing. The PSNP also includes a public works element that helps mitigate the risks associated with disasters.

The policy emphasises the right to social security and prohibits discrimination based on various factors. It promotes women's rights, equal payments, and women's involvement in decision making and management of household resources. Moreover, the PSNP is designed to meet the social protection needs of the most vulnerable, reducing risks from climate-related impacts and disasters.

Efficient targeting is prioritised to avoid exclusion and inclusion errors. The targeting module of the PSNP allows for accurate data entry, including new households, updates for existing beneficiaries and exits. The policy aims to avoid creating a culture of dependency and encourages target populations to actively seek livelihood opportunities.

The PSNP, along with the Household Asset Building Programme (HABP), has had significant impacts on economic growth. It has promoted agricultural livelihoods, stimulated productive investments and increased market demand, contributing to inclusive growth and transformation in Ethiopia. The HABP provides longer-term solutions by helping families diversify their incomes, offering training and support to improve livelihoods and facilitating access to financial resources.

Overall, Ethiopia's social protection policy combines various measures to ensure the wellbeing and resilience of its most vulnerable populations while promoting economic growth and inclusivity.

Building resilience: The policy explicitly recognises the importance of building resilience against climate shocks as one of its objectives. Efforts are underway to introduce and expand index-linked weather insurance in collaboration with private insurance companies and NGOs. This insurance triggers payments when rainfall falls below a certain minimum, providing support to vulnerable populations.

The PSNP in Ethiopia specifically targets a highly climate-vulnerable population, offering a practical model for designing social safety net programmes that meet the social protection needs of the most vulnerable while reducing the risks from disaster and climate-related impacts. The PSNP incorporates public works activities that aim to improve climate resilience.

The public works component of the PSNP serves a dual purpose by providing social protection and contributing to building climate resilience. By integrating specific components and activities to mitigate disaster risk and enhance climate resilience into social protection programmes, countries at high risk can protect the assets and income of poor families from the detrimental effects of climate-related shocks. This contributes to longer-term poverty graduation.

However, there is no mention of climate resilience in other programmes in Ethiopia. The PSNP stands out in its focus on integrating climate resilience measures into social protection efforts.

Anticipatory response: The policy emphasises the importance of anticipatory response and preparedness to shocks. The PSNP's Risk Financing Mechanism (RFM) and contingency budget serve as effective tools for addressing acute food needs during crises. These mechanisms are complementary to traditional humanitarian responses and have advantages in reaching both PSNP and non-PSNP beneficiaries in districts where the programme operates. They cover localised and widespread natural disasters and economic shocks.

Phase 1 of the PSNP's response involves the EWS, which collects and analyses data to trigger the RFM. When the EWS signals the need for a response, funds are released based on the determined number of beneficiaries and the required support. Contingency plans at the woreda (local district) level ensure that available resources align with bottom-up needs. The funds are then distributed through regular PSNP channels.

Additionally, the emergency food aid programme in Ethiopia includes climate-focused components. This indicates a recognition of the climate-related risks and the need to address them in emergency response efforts.

Systematic planning cycle: The country's social protection policy adopts systematic policy and planning cycles, incorporating evidence-based interventions and conducting public consultations. Mechanisms for review and monitoring of policy practices are in place, including a high-level Federal Social Protection Council responsible for M&E. Evaluations on the effectiveness of the policy are regularly conducted to assess progress and impact.

The policy document emphasises the importance of evidence-based interventions. Research by the International Food Policy Research Institute has contributed to the development of a well-targeted programme that addresses food insecurity in the country's poorest households. Lessons from this work have been incorporated into the programme.

Implementation of the policy is regularly reviewed through impact evaluations and household surveys, providing insights into livelihood improvements and programme effectiveness. The PSNP has established an extensive set of tools to assess its impact and effectiveness over time.

The policy is revised periodically, with revisions overseen by the Federal Social Protection Council. The Programme Implementation Manual provides guidance on programme concepts, objectives and procedures, and it has been periodically updated since the PSNP's initiation in 2005.

Policy innovation

POLICY INNOVATION

Rights-based regulatory provisions are given for the social protection of vulnerable communities

5

1

5

5

The policy offers portable benefits for migrant populations

The policy emphasises universal access to a range of benefits by vulnerable communities

The policy acknowledges community, CSO, NGO and private sector engagement in social protection interventions **Rights-based entitlement:** The country's social protection policy includes provisions to protect vulnerable communities and ensure their rights. Thorough analysis has been conducted to identify the most disadvantaged and vulnerable groups. The PSNP uses a combination of geographic and community-based targeting to reach food-insecure and poor households, providing them with food and cash transfers.

Public authorities in Ethiopia are committed to providing rights holders with access to information and decisionmaking processes related to social protection. The Access to Information Proclamation guarantees the right of access to information and promotes transparency in the disclosure of programme details like the PSNP. The constitution also upholds freedom of expression and press freedom, allowing individuals to seek, receive and impart information.

Evaluation findings show that access to social protection in Ethiopia is still relatively low compared to regional averages. However, efforts are being made to improve access. There are efforts to raise rights awareness and ensure clear understanding among rights holders. Documents related to social protection programmes are published and accessible to the public, providing sufficient information and transparency.

Equal access to social protection is promoted in Ethiopia. The targeting process in the PSNP ensures that eligible households are identified based on common programme criteria and specific vulnerabilities. Household re-targeting occurs periodically to adjust eligibility, and healthcare services are accessible to vulnerable sectors, particularly through health extension workers. Emergency food aid also improves access to food for vulnerable households.

Overall, the social protection policy in Ethiopia strives to protect the rights of vulnerable communities, promote equal access, and provide information and transparency to claimants.

Portability of benefits: Portability benefits for migrant populations are not explicitly defined in the National Social Protection Policy of Ethiopia, based on the literature available.

Universal access: The policy in Ethiopia emphasises the universal access to a range of benefits by vulnerable communities. Ethiopia has been a significant recipient of food aid in Africa and globally for the past two decades, ranking first among food aid recipient countries in Africa. The PSNP has made substantial progress in achieving coverage, with over 75% of the intended population (7,997,218 out of 8,300,000) being covered by November 2020, as reported by a World Bank survey. Many internal and external reviews have provided evidence that the PSNP has effectively served its purpose in reaching the intended beneficiaries. This success can be attributed to the strong communitybased targeting system implemented in the programme, which helps ensure that the benefits reach the intended targets and minimises the risk of elite capture, a common issue in many safety net programmes across Africa. On the other hand, some evaluation studies point out that the programme fails to cover vulnerable populations like internally displaced people. Future social protection programmes should consider the country's instability and potential for civil conflicts and displaced populations, necessitating a re-evaluation of beneficiary criteria beyond peacetime stability.

The Health Extension Program (HEP) has also made significant strides in coverage, reaching approximately 86% of the intended households. The HEP plays a crucial role in providing essential healthcare services to vulnerable communities.

However, there is currently no available evidence regarding the coverage of Emergency Food Aid (EFA) in the literature, highlighting the need for further research and evaluation in this area.

Overall, the policy's focus on universal access aims to ensure that vulnerable communities in Ethiopia have equal opportunities to benefit from social protection programmes and receive the necessary support to improve their wellbeing.

Stakeholder engagement: The policy in Ethiopia acknowledges the importance of community and civil society engagement in social protection interventions. There is evidence of institutionalised consultations between the ministry responsible for social protection delivery and CBOs, NGOs and CSOs. Development partners, including bilateral, multilateral and UN agencies, have played a significant role in supporting long-term development programmes, providing humanitarian assistance during shocks, and contributing to the development of the National Social Protection Policy.

At the local level, there are consultations between local authorities responsible for social protection delivery and CBOs, NGOs and CSOs. In regions like Amhara and Tigray, NGOs such as the Organization for Rehabilitation and Development in Amhara, Family Health International, CARE and the Relief Society of Tigray, along with donor agencies like USAID and UNICEF actively participate in warehouse management, food distribution, and M&E forums in the areas where the PSNP is implemented.

Private sector organisations have also made financial contributions to social protection programmes in Ethiopia. Agencies like the Private Organizations Social Security Agency and Private Organizations Employees Social Security Agency play a role in steering the mandatory Social Security Scheme under the Ministry of Labor and Social Affairs (MoLSA).

In terms of accountability and monitoring, non-state actors in Ethiopia have implemented social audit mechanisms to review and monitor programme operations. They ensure the use of operating rules, establish M&E systems, and have auditing and reporting mechanisms in place to ensure transparency and accountability to the government, beneficiaries and donors. Data on monitoring is shared in the public domain as part of the accountability process.

These practices demonstrate the active involvement of community-based organisations, NGOs, CSOs and the private sector in Ethiopia's social protection programmes, fostering transparency, collaboration and accountability in the delivery of social protection interventions.

Risk definition

RISK DEFINITION

The policy identifies types of risk that the most
vulnerable communities face5The policy clearly defines trigger points for hazard
events (eg anticipated drought based on rainfall data)
that may activate the anticipatory social protection4The policy sets out contingency plans for social
protection measures to come into force when
trigger points for hazardous events are reached4

Definition of risk to most vulnerable: The policy in Ethiopia acknowledges the various risks faced by the most vulnerable communities.

Internal and external reviews have provided evidence that the PSNP has effectively served its purpose. The programme's strong community-based targeting system ensures that benefits reach the intended beneficiaries and minimises elite capture, distinguishing it from many safety nets in other African countries.

While the policy acknowledges the risks faced by vulnerable communities, there is a need for concrete evidence of the implementation of specific measures to address these risks. Further evaluation and documentation of the coverage and effectiveness of programmes like EFA would provide a more comprehensive understanding of the country's efforts to mitigate the identified risks.

Definition of trigger points: Ethiopia faces various natural and man-made shocks, such as droughts, floods and social-economic crises. The country has made significant progress in improving its early warning and response mechanisms, transitioning from crisis

management to disaster risk management. Efforts are underway to introduce and expand index-linked weather insurance in collaboration with private insurance companies and NGOs. This insurance triggers payments when rainfall falls below a certain minimum, providing anticipatory social protection.

The EWS plays a crucial role in triggering the response to hazard events. It collects and analyses data to identify potential risks. When the EWS detects a hazard event, RFM is activated. The RFM prepares a request for funds, which is then reviewed by the RFM Management Committee. They determine the number of beneficiaries and the required support duration. Through contingency plans at the local level, resources are allocated, and funds are distributed through the existing channels of the PSNP.

However, there is no specific mention of trigger points for hazard events in the HEP and EFA programmes.

Contingency plans for trigger points: The PSNP in Ethiopia is an example of a social protection programme with contingency plans in response to hazard events. The PSNP, implemented by the Ministry of Agriculture and supported by donors, has a continuum of four risk management instruments.

First, the PSNP provides regular transfers (cash, food, or a combination of both) for six months per year to households identified as chronically food-insecure. Most beneficiaries receive transfers as wages for participating in public works projects, while a portion of beneficiaries, such as disabled people, elderly people and pregnant women, receive direct support without a work requirement.

The second stage involves the allocation of woreda and regional contingency budgets, which account for 20% of the annual PSNP budget. Woreda officials have discretion over 5% of the budget to address exclusion errors and transitory needs, while the remaining 15% is held at the regional level to address transitory needs. These budgets are activated based on corroborating data from the EWS and the existence of contingency plans.

In 2009, an additional RFM was introduced to mobilise resources in emergencies. The RFM allows for up to US\$80 million to be mobilised annually during crises, triggered by the EWS.

Furthermore, a document is released twice a year that outlines the needs of non-beneficiaries, primarily in terms of food aid, with a cash element for non-food requirements like water, health and education provision.

However, there is no specific mention of contingency plans in the HEP and EFA programmes.

Target specification

INTERGET SPECIFICATION

The policy identifies the groups of households or individuals that are most at risk of being affected by shocks or crises, and should be targeted for assistance	5
The policy recognises diversity of vulnerability (eg women, children, elderly people, displaced people, etc.)	5
The policy specifies who is eligible for assistance from social protection programmes	5
Targeting criteria are transparent, fair and based on objective indicators defining vulnerability	5

Identifies households or individuals most at

risk: Ethiopia's social protection policy prioritises the targeting of specific vulnerable groups for assistance during shocks and crises. Women are a key focus, with measures in place to address their gender-specific vulnerabilities. These include provisions for community crèches, inclusion of female-headed households in public works, and promoting their involvement in decision making. The policy also emphasises the wellbeing of children, aiming to improve their health through accessible healthcare services. Elderly and disabled individuals are recognised as beneficiaries, alongside other vulnerable groups such as orphans, pregnant/nursing women and the chronically ill.

Ethiopia's social protection policy acknowledges the importance of addressing the needs of socially and racially marginalised communities, although specific details are not provided. Furthermore, the policy extends its coverage to displaced and migrant communities, ensuring that social protection measures are available to support them. However, the text does not offer further information on the specific provisions for these groups.

Policy identifies diversity of vulnerability: The NSPP recognises the heterogeneity of vulnerability and identifies various groups that are considered vulnerable. These include children in difficult circumstances, vulnerable pregnant and lactating women, disabled people, elderly individuals without care and support, labour-constrained citizens, female-headed households, victims of social problems and chronic diseases, those vulnerable to violence and abuse, those vulnerable to natural and man-made risks, unemployed individuals, those engaged in the informal sector without social insurance coverage, and victims of human trafficking and repatriated emigrants.

While the NSPP explicitly mentions the coverage of these vulnerable groups, the text does not provide specific evidence of their inclusion in multiple major social protection programmes. However, it affirms the commitment to address the needs of these groups and ensure their access to social protection interventions.

Eligibility defined: The eligibility criteria for assistance in social protection programmes are clearly defined, ensuring that the most vulnerable groups receive the necessary support. In the case of the PSNP, the programme has effectively targeted chronically poor households by considering factors such as low-return activities, and limited incomes and assets. Through a combination of geographic, administrative, and community-based targeting methods, eligible households have been identified and included in the programme. This approach has enabled the inclusion of households with fewer resources and cultivation capabilities, particularly those under the direct support component.

Similarly, the HEP has made significant progress in reaching its intended beneficiaries. The programme has effectively provided healthcare services to a large portion of eligible households.

Targeting criteria transparent, fair and objective:

Social protection programmes in Ethiopia, including the PSNP, the HEP and the EFA, have implemented transparent and fair targeting criteria. These criteria are based on objective indicators that define vulnerability and ensure that assistance reaches those who need it most.

In the case of the PSNP, the selection criteria for beneficiaries are clearly defined, taking into account factors such as population size, rainfall levels, farming potential, landholdings, malnutrition levels and previous relief caseloads. The programme sets specific participant numbers at the regional level, which are then used by woreda officials to determine caseloads for each kebele (the lowest form of administrative unit in Ethiopia). The beneficiary selection process involves community participation, allowing them to review and approve the compiled beneficiary lists.

Similarly, the HEP and EFA programmes also have well-defined targeting criteria. The HEP aims to provide affordable health services to vulnerable populations, including mothers, neonates, children, adolescents and young people. The EFA programme focuses on equal and improved access to food for vulnerable communities. While specific details about the targeting criteria for these programmes were not mentioned, the overall emphasis on addressing the needs of vulnerable groups indicates the adoption of clear types of assistance.

Assistance type

ASSISTANCE TYPE

The policy explicitly sets out the types of assistance
provided through social protection programmes (ie
income support, food assistance, healthcare, etc.)4The assistance specified is comprehensive
(ie livelihood support, health, food, shelter,
education etc.), depending on local context5

Assistance through anticipatory support:

The policy explicitly outlines the types of assistance provided through anticipatory social protection programmes, particularly focusing on the PSNP. The PSNP operates a range of risk management instruments to address the needs of chronically food-insecure households. However, there is no specific information on similar support through the HEP and EFA.

Assistance provided is comprehensive: The assistance provided through social protection programmes in Ethiopia is comprehensive, addressing various aspects such as livelihood support, health, food, shelter, education and more, depending on the local context. The PSNP has shown evidence of stabilising livelihoods and reducing food insecurity among households. The HEP focuses on healthcare-related aspects, with successes observed in areas such as family planning, immunisation, antenatal care, disease control and community satisfaction.

To ensure effective access to multiple programmes, the use of a social registry is employed, enabling households and individuals to access assistance through a single registry. Ethiopia's kebele cards, issued by local administrative units, serve as a recognised form of identification and offer widespread coverage and functionality.

The NSPP adopts a convergence strategy, aiming to break down programme silos and promote coordination among different programmes. This strategy recognises the importance of integrating and harmonising social protection initiatives to maximise their impact. Capacity development is crucial, ranging from simple to complex skills, including effective communication, data analysis and coordination mechanisms at various levels.

The assistance provided through social protection programmes is based on rights, ensuring that communities have assured access to safety net programmes. This approach aligns with the progressive realisation of social and economic rights outlined in the Ethiopian Constitution.

Delivery mechanisms are established to ensure coordination among schemes, ministries and departments, translating policies into practice. The MoLSA serves as the lead agency responsible for coordinating social protection initiatives, and interministerial coordination mechanisms are being developed to facilitate collaboration and resourcesharing among relevant ministries. Mechanisms to track the graduation of the beneficiaries from vulnerable conditions need to be integrated into the design of the programmes.



Administrative capacity and fiscal space

FINANCIAL CAPACITY	
Country income category 1	1
Economic dependency index	5
in ADMINISTRATIVE CAPACITY	
Government effectiveness index	3
Corruption perception index 2	2
원 FISCAL SPACE	
Spending on social assistance programmes as a % of GDP	2
Special allocation of contingency funds for anticipatory risk financing	2
The country has access to extra-budgetary resources, including international financial institutions and donor organisations	3
Policies incorporate the use of private sector financing (such as green bonds, resilience bonds, etc.)	3
The country integrates and uses disaster risk financing instruments (eg crop insurance, health insurance, contingent credit, catastrophe insurance, reinsurance, catastrophe bonds, etc.)	4

Financial capacity: The country's income category is low; the economic dependency index is 1.4, based on INFORM. Spending on social protection is estimated at 1.6% of GDP.

Administrative capacity: The government effectiveness index is 6.2 and the corruption perception index is 6.2, as per INFORM.

Contingency funds for anticipatory risk financing: The PSNP of Ethiopia and Hunger Safety Net Programme of Kenya are two well-known social protection programmes that have implemented risk financing mechanisms. These programmes have introduced contingency planning and received significant donor financing for contingency funding.

Both programmes focus on specific geographical areas.

In the case of Ethiopia's PSNP, the government allocates 20% of the annual budget as a contingency fund. Additionally, there is a separate fund of US\$160 million, with an in-principle donor commitment, specifically designed as a risk financing mechanism. This mechanism allows for the mobilisation of up to \$80 million in additional funds to address crises. The release of funds is triggered by an established EWS that monitors the situation and identifies the need for intervention.

However, there is no specific mention of anticipatory risk financing mechanisms in the HEP and EFA.

Access to other sources of finance: Ethiopia has access to extra-budgetary resources for funding its social protection programmes. These resources come from external donors and international financial institutions. The NSPP of Ethiopia acknowledges the support of these donors in financing the programmes. Official development assistance to Ethiopia has declined significantly in recent years, and this decline will continue as Ethiopia nears its objectives to attaining middle-income status by 2025. The latest policy frameworks of Ethiopia call for social protection to be increasingly financed from domestic sources rather than by donors.

Private sector finance: Ethiopia has embraced the concept of private sector financing in its social protection initiatives. The policy promotes the use of innovative financial instruments, such as indexlinked weather insurance, in collaboration with private insurance companies. This approach demonstrates the country's efforts to leverage private sector resources and expertise to enhance the effectiveness of social protection programmes.

Furthermore, the government envisions the enhancement of public-private partnerships in the health sector. Collaborative endeavours between the public and private sectors are sought to address selected health sector priorities and health system issues. This reflects the recognition of the potential benefits of engaging the private sector in delivering social protection and healthcare services.

Integration of DRF instruments: Ethiopia has taken steps to integrate and use DRF instruments in social protection programmes like the PSNP.

In addition, the country has introduced index-linked weather insurance in collaboration with a private insurance company, covering both crop and livestock insurance.

However, there is no specific evidence on targeting DRF to the most vulnerable geographies, households and individuals. It is essential to consider targeting

vulnerable populations to ensure effective and equitable distribution of DRF resources.

The integration and implementation of DRF in Ethiopia's social protection programmes involve a range of stakeholders. The National Social Protection Strategy (NSPS) supports the NSPP and emphasises the mainstreaming of social protection services in government and nongovernmental development institutions' programmes. Federal and regional executing bodies, community care structures, civil society organisations, the private sector and other stakeholders play crucial roles in translating the policy into action.

Infrastructure and technology and information systems

Communication index	3
Physical connectivity	3
K TECHNOLOGY AND INFORMATION SYSTEMS	
A national database/social registry exists	3
Climate-smart information systems are used for different purposes including for social protection	2
Early warning systems for major climate hazards are available	2
Early warning systems are applied in social protection programmes	3
Artificial intelligence (AI), risk modelling, etc. are used to implement the programmes	1
Platforms for enhanced efficiency and effectiveness of the delivery of social protection entitlements are used (eg mobile-based payment)	2
Infractructure: The communication index of the	

Infrastructure: The communication index of the country is 7.4 and the physical connectivity is 9.8, according to INFORM.

National database/social registry: Ethiopia has established a national database/social registry through the issuance of kebele cards by more than 17,000 local administrative units. While these cards do not constitute a national ID and there is no centralised database, they serve as a widely recognised form of identification and are integrated into various functional uses such as banking and passport applications. Although Ethiopia's identity ecosystem may be classified as 'early' due to the nascent civil registry system and the absence of a centralised and robust foundational ID, the widespread coverage and functionality of the kebele cards surpass other systems in this category. **Climate-smart information system:** The PSNP focuses on a population highly vulnerable to climate impacts, demonstrating how social protection can be designed to meet the needs of the most vulnerable while reducing disaster and climate-related risks.

Availability and application of EWSs and AI: The

PSNP employs an EWS, which activates the release of funds through contingency plans developed at the woreda level. This ensures that the needs of vulnerable populations are met by reconciling available resources with bottom-up demands.

However, there is no evidence of risk modelling or similar technologies being utilised in the social protection programmes of the country. The focus is primarily on the collection and analysis of early warning data to activate the necessary response mechanisms.

Efforts for enhanced efficiency and effectiveness

in delivery: The country utilises platforms to enhance the efficiency and effectiveness of social protection delivery. One such platform is the Single Registry System (SRS) or Common/National Beneficiary Registry System. The purpose of establishing the SRS is to improve the delivery of social protection interventions to poor and vulnerable households.

By utilising the SRS, the country aims to streamline and optimise the delivery of social protection entitlements, ensuring that support reaches the intended beneficiaries effectively and efficiently. The system enables better coordination, data management and accountability within social protection programmes, ultimately improving the overall implementation and impact of these initiatives.

Institutional mechanisms

🛋 INSTITUTIONAL MECHANISMS

Bodies and mechanisms exist for social policy coordination across ministries and departments

Bodies and mechanisms exist for multistakeholder engagement at the grassroots level

Cross-ministry/department coordination:

Several bodies and mechanisms exist in Ethiopia for social policy coordination and technical-level integration at the ministry and policymaking bureaucratic levels.

The Ministry of Finance plays a crucial role in the delivery of cash transfers for the PSNP and the Humanitarian Food Assistance (HFA). The Ministry of Finance is responsible for managing the cash resources and channels them to implementing agencies at the federal and regional levels. It also oversees the audits

3

3

of cash resources for the PSNP and HFA, ensuring transparency and accountability.

The National Disaster Risk Management Commission (NDRMC) is another important entity involved in social policy coordination. It manages the HFA and serves as the coordinating body for all aspects of humanitarian response. The NDRMC is responsible for early warning systems, mobilising humanitarian resources through needs assessments and the Humanitarian Requirements Document process, and allocating and prioritising these resources geographically.

In terms of food resources, the management is divided between the Ministry of Agriculture and Natural Resources (MoANR) and the NDRMC. MoANR handles the procurement of food and reports on and audits the food resources. The NDRMC, on the other hand, collaborates with MoANR to dispatch food to all regions (except Somali) as part of the PSNP.

These bodies and mechanisms ensure coordination, effective resource allocation and accountability in the implementation of social policies and programmes. By working together, they contribute to the efficient delivery of social protection interventions and humanitarian assistance in Ethiopia.

Multistakeholder engagement in delivery:

There are bodies and mechanisms in place to ensure harmonised action among different departments at the grassroots level.

The PSNP emphasises the mainstreaming and implementation of social protection services in both government and nongovernment development programmes, strategies and action plans. This approach is implemented in a decentralised manner, allowing for coordinated efforts at various levels.

The federal and regional executing bodies, along with the community — including community care structures/coalitions, CSOs, the private sector and other stakeholders — all have important roles to play in translating the policy into action. These entities work together to ensure the effective implementation of social protection interventions, promoting collaboration and coordination among different actors.

Through these bodies and mechanisms, there is a concerted effort to harmonise actions and enhance the efficiency and effectiveness of social protection programmes and services at the grassroots level.

Emergency Food Aid (EFA)

Ethiopia's Emergency Food Aid programme provides immediate assistance in the form of food supplies, nutrition support and livelihood assistance during times of acute food shortage caused by drought, conflict or other crises.

Programme design features The EFA in Ethiopia is a critical part of the country's response to food crises, especially those caused by natural disasters such as droughts or floods, which are often exacerbated by climate variability and change.

Traditionally, the EFA programme is a reactive programme, designed to provide immediate relief in response to food crises. It often involves the distribution of food rations to affected populations, although in some cases it may also include cash transfers or food-forwork programmes.

Over the years, efforts have been made to improve the timeliness and predictability of the EFA programme, which can be seen as a kind of anticipatory response. One approach has been to link EFA with EWSs, which monitor indicators such as rainfall, crop conditions and market prices to predict potential food crises.

In 2022, the WFP, in partnership with the Ethiopian government, strengthened the national early warning and emergency preparedness systems to improve resilience to climate shocks. The programme leverages EWSs, like the Famine Early Warning Systems Network, to deliver anticipatory support based on climate hazard triggers. Through these systems, the WFP and the Ethiopian government can take early humanitarian action, protecting those most vulnerable to crises. The WFP has enhanced government capacity through training programmes focusing on early warning modules, forecast-based financing, and other aspects. This approach helped the WFP provide 16 capacitystrengthening initiatives to enhance government systems and conduct risk assessments, offering eight diverse training courses to over 2,000 government staff and community members.

The EFA programme employs a layered risk approach, focusing on food security needs of populations affected by climate shocks and conflicts. The geographical allocation of resources is guided by a hotspot classification, based on indicators like nutrition, agriculture and health. This methodology does not incorporate a national registry, rather it relies on the local officials for household selection. However, the effectiveness of these mechanisms can be constrained by several factors, such as the accuracy and timeliness of early warning information, the adequacy of contingency funds, the speed of decisionmaking processes and the capacity to deliver aid quickly and effectively.

To enhance the efficiency and effectiveness of the programme, the WFP diversified cash transfer modalities using private sector service providers and shock-responsive government channels. This approach allowed beneficiaries to access funds flexibly, promoting financial inclusion.

The programme adopts a climate-focused approach, targeting regions and groups most vulnerable to climate change. It aims to combat food insecurity caused by climate shocks and conflicts by prioritising assistance to the most affected areas. The EFA programme's geographical allocation is guided by a semi-annual 'hotspot classification' based on multiple sectoral indicators, with priority given to regions most in need. This has been instrumental in combating food insecurity and aiding resilience-building efforts.

The EFA programme is closely linked to climate risks, as it often responds to food crises caused by climaterelated shocks such as droughts or floods. The use of EWSs to anticipate these shocks and the provision of food aid to mitigate their impacts can be seen as a climate-focused approach.



Prevention: The EFA programme contributes to prevention by alleviating immediate food needs in crisis situations and reducing the pressure on households to resort to harmful coping strategies such as selling productive assets, over-exploiting natural resources or reducing food intake, which could undermine their future food security and livelihoods.

Protection: The EFA programme plays a strong role in protection, as its primary objective is to protect affected populations from the impacts of food crises:

- **Immediate relief:** By providing food aid to households affected by shocks such as drought or conflict, the programme helps to ensure that they have enough to eat, thereby protecting their food security and nutritional status.
- Reducing negative coping strategies: The programme can also protect livelihoods by reducing the need for households to engage in harmful coping strategies in response to food shortages, such as selling assets, reducing food intake or withdrawing children from school.

Promotion: The EFA programme's contribution to promotion is relatively limited because it primarily focuses on emergency response rather than promoting sustainable livelihoods or resilience. However, by addressing immediate food needs, it can help stabilise households in crisis situations, thereby preventing further deterioration of their livelihoods and wellbeing and creating a more conducive environment for recovery and development efforts.

The EFA programme's contribution to resilience primarily lies in the area of protection by responding to immediate food needs and protecting the livelihoods of affected households. However, to enhance resilience in a more comprehensive way, the EFA programme needs to be complemented with other interventions that focus on prevention and promotion, such as social protection programmes, livelihood support and climate-smart agriculture.

ETHIOPIA: PROGRAMMES Emergency Food Aid (EFA)

PROGRAMME DESIGN Total: 53	%	PROGRAMME
S PROGRAMME EFFICACY		
Coverage	1	The programme offe
Benefit incidence	5	The programme offe
Benefit adequacy	1	The programme enco
Average per capital transfer	1	planning and interver
PROGRAMME EFFECTIVENESS		The programme offered or education before
Benefit cost ratio	5	The programme offe
INNOVATIVE DRM INSTRUMENTS		or awareness genera
The programme uses early warning systems to provide anticipatory support to target groups	4	The programme sup level asset creation from future crises
The programme uses anticipatory risk financing instruments such as contingency funds, catastrophe bonds, parametric insurance, weather derivatives, etc.	4	The programme pro among marginalised
The programme adopts a layers of risk approach		representation in de
(ie assessing the probability and severity of risks) that reflects a continuum from frequent but less damaging events through to rare but catastrophic	3	The programme offe
disasters and then manages this risk through a variety of instruments		The programme offer support to tide com
The programme uses a national database/registry for its operations	1	The programme sup or relief assistance (
The programme uses platforms that enhance delivery efficiency and effectiveness of delivery (eg mobile-based payments)	4	The programme pro opportunities throug protection against li
SCLIMATE-FOCUSED APPROACH		loss and damage (N compensatory mech
The programme maps geographical areas, livelihood groups, social groups, etc., which are vulnerable to climate change impacts and uses	4	The programme offe benefits to target po climate hazards
these different dimensions of vulnerability to plan scaling up and resource allocation		
The programme undertakes environmental conservation and restoration of degraded	1	The programme offe
landscapes (eg biodiversity conservation) to help protect natural resource-based livelihoods		The programme sup opportunities via bui access to higher ed
The programme undertakes interventions on improving water management (eg rehabilitating water bodies) that can lead to water security for domestic and agriculture purposes	1	individual asset crea The programme pro opportunities
The programme undertakes interventions that lead	4	The programme imp migration and place
to climate-proofing of physical infrastructure (eg roads, bridges, etc.)	1	The programme imp natural resources, g
The programme envisages constructing community-based disaster risk reduction assets (eg storm shelters)	1	financial inclusion, c The programme enc
(cy storm shellers)		participate in decision

FUNCTION

Total:	b 1 0/-
Total.	

The programme offers anticipatory support3The programme offers services to protect health, livelihoods and incomes before crises hit1The programme encourages community-level advance planning and interventions (eg evacuation planning)3The programme offers subsidised health, food or education before crises hit4The programme offers skills training, capacity building or awareness generation to prepare crisis response3The programme supports individual or community- level asset creation (eg cyclone shelters) to protect from future crises3The programme promotes awareness, particularly among marginalised people, to achieve their representation in decision-making processes3The programme offers cash transfer, food aid or livelihood support during a crisis4The programme offers rapid additional humanitarian support to tide communities over a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers support for livelihood diversification1The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme provides new livelihood diversification1The programme offers support for livelihood diversification1The programme offers support for livelihood diversification1The programme provides new livelihood opportunities1The pro	V PREVENTION	
The programme offers services to protect health, livelihoods and incomes before crises hit1The programme encourages community-level advance planning and interventions (eg evacuation planning)3The programme offers subsidised health, food or education before crises hit4The programme offers skills training, capacity building or awareness generation to prepare crisis response3The programme supports individual or community- level asset creation (eg cyclone shelters) to protect from future crises3The programme promotes awareness, particularly among marginalised people, to achieve their representation in decision-making processes3 Y PROTECTION 3The programme offers rapid additional humanitarian support to tide communities over a crisis4The programme supports access to health facilities or relief assistance (eg food, water) after a crisis4The programme offers waiver/relaxation/subsidy benefits to target populations in the event of climate hazards1The programme offers support for livelihood diversification1The programme supports improved income opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme promotes new livelihood opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme promotes new livelihood opportunities1The programme offers supports improved income opportunities in building entrepreneurial skills, access to higher education or c		3
planning and interventions (eg evacuation planning)3The programme offers subsidised health, food or education before crises hit4The programme offers skills training, capacity building or awareness generation to prepare crisis response3The programme supports individual or community- level asset creation (eg cyclone shelters) to protect from future crises3The programme promotes awareness, particularly among marginalised people, to achieve their representation in decision-making processes3W PROTECTION3The programme offers cash transfer, food aid or livelihood support during a crisis3The programme offers rapid additional humanitarian support to tide communities over a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers support for livelihood diversification1The programme promotes new livelihood opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme promotes new livelihood opportunities1The programme implements planned labour mobility, migration and placement interventions1	The programme offers services to protect health,	1
or education before crises hit4The programme offers skills training, capacity building or awareness generation to prepare crisis response3The programme supports individual or community- level asset creation (eg cyclone shelters) to protect from future crises3The programme promotes awareness, particularly among marginalised people, to achieve their representation in decision-making processes3 W PROTECTION 1The programme offers cash transfer, food aid or livelihood support during a crisis3The programme offers rapid additional humanitarian support to tide communities over a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers support for livelihood diversification1The programme offers support for livelihood diversification1The programme offers support for livelihood opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme promotes new livelihood opportunities1The programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4The programme encourages target populations to4		3
or awareness generation to prepare crisis response3The programme supports individual or community- level asset creation (eg cyclone shelters) to protect from future crises3The programme promotes awareness, particularly among marginalised people, to achieve their representation in decision-making processes3 W PROTECTION 3The programme offers cash transfer, food aid or livelihood support during a crisis3The programme offers rapid additional humanitarian support to tide communities over a crisis4The programme supports access to health facilities or relief assistance (eg food, water) after a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers support for livelihood diversification1The programme offers support for livelihood diversification1The programme offers support for livelihood opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme implements planned labour mobility, migration and placement interventions1The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4		4
level asset creation (eg cyclone shelters) to protect from future crises3The programme promotes awareness, particularly among marginalised people, to achieve their representation in decision-making processes3** PROTECTION**The programme offers cash transfer, food aid or livelihood support during a crisis3The programme offers rapid additional humanitarian support to tide communities over a crisis4The programme supports access to health facilities or relief assistance (eg food, water) after a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers support for livelihood diversification1The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme implements planned labour mobility, migration and placement interventions1The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4		3
among marginalised people, to achieve their representation in decision-making processes3Image: Second	level asset creation (eg cyclone shelters) to protect	3
The programme offers cash transfer, food aid or livelihood support during a crisis3The programme offers rapid additional humanitarian support to tide communities over a crisis4The programme supports access to health facilities or relief assistance (eg food, water) after a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers waiver/relaxation/subsidy benefits to target populations in the event of climate hazards1The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4	among marginalised people, to achieve their	3
livelihood support during a crisis3The programme offers rapid additional humanitarian support to tide communities over a crisis4The programme supports access to health facilities or relief assistance (eg food, water) after a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers waiver/relaxation/subsidy benefits to target populations in the event of climate hazards1The programme offers support for livelihood diversification1The programme offers support for livelihood opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme implements planned labour mobility, migration and placement interventions1The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4		
support to tide communities over a crisis4The programme supports access to health facilities or relief assistance (eg food, water) after a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers waiver/relaxation/subsidy benefits to target populations in the event of climate hazards1The programme offers support for livelihood diversification1The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4		3
or relief assistance (eg food, water) after a crisis4The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers waiver/relaxation/subsidy benefits to target populations in the event of climate hazards1The programme offers support for livelihood diversification1The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4		4
opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms1The programme offers waiver/relaxation/subsidy benefits to target populations in the event of climate hazards1 WROMOTION 1The programme offers support for livelihood diversification1The programme offers support for livelihood diversification1The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4		4
benefits to target populations in the event of climate hazards1Image: Constraint of the programme offers support for livelihood diversification1The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme promotes new livelihood opportunities1The programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4	opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other	1
The programme offers support for livelihood diversification1The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme promotes new livelihood opportunities1The programme promotes new livelihood opportunities1The programme implements planned labour mobility, 	benefits to target populations in the event of	1
diversificationIThe programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme promotes new livelihood opportunities1The programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4		
opportunities via building entrepreneurial skills, access to higher education or community/ individual asset creation1The programme promotes new livelihood opportunities1The programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4		1
opportunitiesIThe programme implements planned labour mobility, migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4The programme encourages target populations to4	opportunities via building entrepreneurial skills, access to higher education or community/	1
migration and placement interventions4The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.4The programme encourages target populations to4		1
natural resources, government departments, financial inclusion, community infrastructure, etc.4The programme encourages target populations to4		4
	natural resources, government departments,	4
	The programme encourages target populations to	Л

Health Extension Program (HEP)

The HEP is a community-based initiative that trains and deploys health extension workers to provide essential healthcare services, health education and preventive measures in rural areas. It aims to improve access to primary healthcare services.

Programme design features The HEP in Ethiopia was launched in 2003 with the aim of improving access to preventive health services, particularly in rural areas. The HEP focuses on promoting universal access to primary healthcare to the Ethiopian population. It focuses largely on providing promotive and preventive healthcare and limited basic curative services including first aid and treatment of malaria, intestinal parasites and other ailments. Case referral to health centres is also provided when more complicated care is needed.

The programme involves training health extension workers (who are primarily women) to provide basic health services in their communities, focusing on areas such as hygiene and environmental sanitation, disease prevention and control, family health and health education.

The HEP is primarily designed as a preventive health programme rather than a disaster risk management programme. It aims to reduce the risk of common health problems through prevention and early treatment. Health extension workers provide education on health and hygiene practices, immunisation, family planning, antenatal care, and other preventive health services. In the case of disease outbreaks, the extension workers, due to their close connection with the community, can play a vital role in early detection, reporting and response. They can provide education on disease prevention, identify and refer suspected cases and support the delivery of interventions.

However, the HEP does not have a formal anticipatory response mechanism for health-related disasters. While health extension workers can respond to disease outbreaks at the community level, their capacity to anticipate and respond to larger-scale disasters may be limited. The HEP includes components that indirectly address climate-related risks. For example, it includes a focus on water, sanitation and hygiene (WASH), which can mitigate the risks of water-borne diseases that can increase due to floods or changes in rainfall patterns. It also focuses on prevention and control of diseases, including malaria, which can be influenced by climate conditions.



Programme functions

Prevention: Prevention focuses on measures that stop adverse events or conditions from occurring. For the HEP:

- **Health education:** Health extension workers provide health education to communities, promoting practices such as hygiene and sanitation, nutrition and immunisation, which prevent common health problems.
- **Disease prevention:** Health extension workers help prevent diseases through immunisation campaigns and malaria prevention efforts, including distributing mosquito nets and providing education on their use.

Protection: Protection refers to efforts that shield individuals from the impact of shocks or adverse conditions. In the case of the HEP:

- Early detection and treatment: Health extension workers provide basic healthcare services, including antenatal care, treatment of common childhood illnesses and referral of more serious conditions. This helps to protect individuals' health by ensuring early detection and treatment of health problems.
- Disease control: During disease outbreaks, health extension workers play a crucial role in disease control, by identifying and referring suspected cases, providing education on disease prevention and supporting the delivery of interventions.

Promotion: Promotion involves measures that enhance individuals' capabilities and wellbeing. In the context of the HEP:

- **Health literacy:** By providing health education to communities health extension workers help to enhance health literacy, enabling individuals to make informed decisions about their health.
- **Community empowerment:** The HEP promotes community empowerment by training volunteer community health workers, who help to disseminate health information and promote healthy practices within their communities.
- Gender equality: The HEP also promotes gender equality by prioritising the recruitment of women as health extension workers. This not only provides employment opportunities for women but also helps to ensure that women's health needs are adequately addressed.

In sum, the HEP contributes to resilience by helping to prevent common health problems, protect individuals' health through early detection and treatment, and promote health literacy and community empowerment. While it is not designed specifically as a disaster risk management or climate change programme, it plays a crucial role in enhancing the overall resilience of communities to health risks.

ETHIOPIA: PROGRAMMES *

PROGRAMME DESIGN Tota	al: 42 %	PROGRA
S PROGRAMME EFFICACY		
Coverage	2	The program
Benefit incidence	2	The program livelihoods
Benefit adequacy	1	The program
Average per capital transfer	1	planning an
PROGRAMME EFFECTIVENESS		The program
Benefit cost ratio	2	or educatio
INNOVATIVE DRM INSTRUMENTS		The program
The programme uses early warning systems t provide anticipatory support to target groups	o 3	The program level asset from future
The programme uses anticipatory risk financing instruments such as contingency funds, catast bonds, parametric insurance, weather derivativ	rophe 1	The program
The programme adopts a layers of risk approa	ach	representat
(ie assessing the probability and severity of ris		
that reflects a continuum from frequent but les damaging events through to rare but catastro		The program livelihood s
disasters and then manages this risk through		The program
a variety of instruments		support to
The programme uses a national database/reg for its operations	listry 1	The program
The programme uses platforms that enhance		The program
delivery efficiency and effectiveness of deliver (eg mobile-based payments)	ry 4	opportunitie protection a
		loss and da
The programme maps geographical areas,		compensat
livelihood groups, social groups, etc., which a	re	The program benefits to
vulnerable to climate change impacts and use		climate haz
hese different dimensions of vulnerability to p scaling up and resource allocation	nan	
The programme undertakes environmental		The program
conservation and restoration of degraded	. 1	diversificati
andscapes (eg biodiversity conservation) to h	nelp	The program
protect natural resource-based livelihoods		access to h
The programme undertakes interventions on mproving water management (eg rehabilitatin	a	individual a
water bodies) that can lead to water security f	-	The progra
domestic and agriculture purposes		The progra
The programme undertakes interventions that		migration a
o climate-proofing of physical infrastructure (eg roads, bridges, etc.)	1	The program
		natural reso
The programme envisages constructing community-based disaster risk reduction asso	ets 1	financial inc The program
(eg storm shelters)		participate
		•

Health Extension Programme (HEP)

Total: 68% AMME FUNCTION ENTION amme offers anticipatory support amme offers services to protect health,

and incomes before crises hit mme encourages community-level advance 4 nd interventions (eg evacuation planning) amme offers subsidised health, food 4 on before crises hit amme offers skills training, capacity building 3 ess generation to prepare crisis response amme supports individual or community-1 creation (eg cyclone shelters) to protect crises amme promotes awareness, particularly 4

4

4

4

rginalised people, to achieve their ation in decision-making processes

ECTION

The programme offers cash transfer, food aid or livelihood support during a crisis	1
The programme offers rapid additional humanitarian support to tide communities over a crisis	4
The programme supports access to health facilities or relief assistance (eg food, water) after a crisis	4
The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms	1
The programme offers waiver/relaxation/subsidy benefits to target populations in the event of	3
climate hazards	
• • •	
climate hazards	1
climate hazards <i>i</i> PROMOTION The programme offers support for livelihood	1
climate hazards PROMOTION The programme offers support for livelihood diversification The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/	

amme improves access to markets, ources, government departments, 4 clusion, community infrastructure, etc. amme encourages target populations to

participate in decision-making processes

Productive Safety Net Program (PSNP)

The PSNP in Ethiopia is a social protection initiative that provides cash or food transfers to vulnerable households. It aims to reduce chronic food insecurity and poverty by linking transfers to participation in public works projects, which help improve livelihoods and build resilience.

Programme design The PSNP in Ethiopia is one of the largest safety net programmes in Africa. It was established in 2005 by the Government of Ethiopia, with support from several development partners. It aims to provide predictable and regular transfers to food-insecure households in rural Ethiopia.

One of the key innovations of the PSNP is its RFM (risk financing mechanism), which allows the programme to scale up in response to shocks such as droughts. The RFM uses a combination of contingency budgets and insurance to provide additional resources when a shock occurs. This allows the programme to increase the level of transfers, expand coverage to additional beneficiaries or extend the duration of support in response to a crisis.

Moreover, the PSNP is also linked with the government's EWS, which monitors rainfall, crop conditions, and other indicators to anticipate potential food security crises. When the EWS identifies a risk, the PSNP can respond by activating the RFM and scaling up support.

However, even with these features, the PSNP's ability to anticipate and respond to disasters can still be constrained by factors such as the timing and reliability of early warning information, the availability of funds in the RFM and the capacity to deliver additional support quickly and effectively.

The PSNP includes a climate-focused approach through its public works component, which aims to build community assets that can enhance resilience to climate risks. These can include soil and water conservation measures, afforestation projects and infrastructure that can reduce vulnerability to floods or droughts.

Furthermore, the PSNP's scale-up mechanism, linked to the EWS, allows it to respond to climate-related shocks like droughts. This makes the PSNP an important tool for managing climate risks at the community level.

Despite these features, there may still be gaps in the PSNP's climate approach. For example, while the public works component can contribute to climate resilience, the effectiveness of the assets created can vary depending on factors like the quality of the work, the suitability of the asset for the local context, and the maintenance of the asset over time. Additionally, while the PSNP can respond to climate shocks, it does not directly address the longer-term, slow-onset impacts of climate change, such as changing rainfall patterns or rising temperatures.



Prevention: The PSNP contributes to prevention through:

- Asset building: Through its public works component, the PSNP invests in community assets that help prevent the impacts of natural disasters. This includes projects like terracing, afforestation and irrigation, which help reduce soil erosion, improve water availability and mitigate the impacts of droughts and floods.
- **Food security:** By providing predictable and regular cash or food transfers, the PSNP helps prevent food insecurity, especially during seasonal food shortages or in areas with chronic food deficits.

Protection: The PSNP contributes to protection through:

- Income protection: The PSNP protects households from income shocks by providing regular and predictable transfers. This ensures a basic level of income, reducing the need for negative coping strategies like selling assets or reducing food consumption.
- Shock-responsiveness: The PSNP's RFM allows the programme to scale up in response to shocks like droughts or food price spikes, providing additional protection when it's most needed.

Promotion: The PSNP contributes to promotion through:

- Livelihood support: The PSNP's public works projects not only build community assets but also provide employment opportunities, which can enhance households' income and livelihoods.
 Some households also receive support for incomegenerating activities, like livestock rearing or smallscale trading.
- Linkages to other services: PSNP beneficiaries can be linked to other services, such as agricultural extension or health and nutrition programmes, which can further promote their wellbeing and resilience.

It's important to note that while the PSNP has made significant contributions to resilience, it also faces challenges, such as ensuring the quality and sustainability of public works projects, managing the trade-off between wide coverage and adequate transfer levels, and integrating with other social protection and development programmes. Addressing these challenges is crucial for the PSNP to fully realise its potential in supporting prevention, protection and promotion. Productive Safety Net Programme (PSNP)

ETHIOPIA: PROGRAMMES

Total: 88% Total: 72% **PROGRAMME DESIGN PROGRAMME FUNCTION 6**[®] PROGRAMME EFFICACY **PREVENTION** The programme offers anticipatory support 4 1 Coverage The programme offers services to protect health, 5 Benefit incidence 4 livelihoods and incomes before crises hit Benefit adequacy 1 The programme encourages community-level advance 4 planning and interventions (eg evacuation planning) 1 Average per capital transfer The programme offers subsidised health, food PROGRAMME EFFECTIVENESS 4 or education before crises hit Benefit cost ratio 3 The programme offers skills training, capacity building 4 **INNOVATIVE DRM INSTRUMENTS** or awareness generation to prepare crisis response The programme uses early warning systems to The programme supports individual or community-4 level asset creation (eg cyclone shelters) to protect provide anticipatory support to target groups 4 from future crises The programme uses anticipatory risk financing The programme promotes awareness, particularly instruments such as contingency funds, catastrophe 4 among marginalised people, to achieve their 4 bonds, parametric insurance, weather derivatives, etc. representation in decision-making processes The programme adopts a layers of risk approach **W** PROTECTION (ie assessing the probability and severity of risks) that reflects a continuum from frequent but less The programme offers cash transfer, food aid or 3 4 damaging events through to rare but catastrophic livelihood support during a crisis disasters and then manages this risk through The programme offers rapid additional humanitarian 4 a variety of instruments support to tide communities over a crisis The programme uses a national database/registry The programme supports access to health facilities 1 1 for its operations or relief assistance (eg food, water) after a crisis The programme provides income-earning The programme uses platforms that enhance opportunities through public works programmes or delivery efficiency and effectiveness of delivery 4 (eg mobile-based payments) protection against livelihood loss or non-economic 4 loss and damage (NELD) though insurance or other CLIMATE-FOCUSED APPROACH compensatory mechanisms The programme maps geographical areas, The programme offers waiver/relaxation/subsidy livelihood groups, social groups, etc., which are benefits to target populations in the event of 1 vulnerable to climate change impacts and uses 4 climate hazards these different dimensions of vulnerability to plan **W** PROMOTION scaling up and resource allocation The programme offers support for livelihood 4 The programme undertakes environmental diversification conservation and restoration of degraded 4 The programme supports improved income landscapes (eg biodiversity conservation) to help opportunities via building entrepreneurial skills, protect natural resource-based livelihoods 4 access to higher education or community/ The programme undertakes interventions on individual asset creation improving water management (eg rehabilitating 4 The programme promotes new livelihood water bodies) that can lead to water security for opportunities domestic and agriculture purposes The programme implements planned labour mobility, 1 The programme undertakes interventions that lead migration and placement interventions to climate-proofing of physical infrastructure 4 The programme improves access to markets, (eg roads, bridges, etc.) natural resources, government departments, 4 financial inclusion, community infrastructure, etc. The programme envisages constructing community-based disaster risk reduction assets 4 The programme encourages target populations to (eg storm shelters) participate in decision-making processes

Annex

Assefa, Y, Gelaw, YA, Hill, PS, Taye, BW and Van Damme, W (2019) Community health extension program of Ethiopia, 2003–2018: successes and challenges toward universal coverage for primary healthcare services. *Global Health* 15, 24. DOI: 10.1186/s12992-019-0470-1

Bilal, N (2020) Health Extension Program: An Innovative Solution to Public Health Challenges of Ethiopia A Case Study. USAID, Health systems 2020, Bethesda, MD. https://www.hfgproject.org/health-extension-programinnovative-solution-public-health-challenges-ethiopiacase-study/

Gooding, K, Harb, J, Binci, M, Hagos, S, Alayu, M and Taye, G (2020) Evaluation of the Second-Generation Health Extension Programme's impact on health post capacity to prevent, prepare for and respond to shocks in selected areas of Ethiopia Research Plan. Oxford Policy Management. https://www.opml. co.uk/files/Publications/A2241-maintains/maintainsethiopia-research-plan-final-website-version-16.6.21. pdf?noredirect=1

Government of Ethiopia (2014) Productive Safety Net Programme Phase IV Programme Implementation Manual. Ministry of Agriculture, Government of Ethiopia, Addis Ababa. https://srbofed.gov.et/wpcontent/uploads/2019/09/PSNP-IV-Programme-Implementation-Manual-Final-14-Dec-14-1.pdf

Government of Ethiopia (2014) Productive safety net programme phase IV programme implementation manual. Ministry of Agriculture, Government of Ethiopia, Addis Ababa.

Government of Ethiopia (2016) National Social Protection Strategy of Ethiopia. Ministry of Labour and Social Affairs, Government of Ethiopia, Addis Ababa. https://www.social-protection.org/gimi/gess/ RessourcePDF.action;jsessionid=DADNVeWFjjD NU6J3oiO8g33-JJumoUxQp1L5zxsAFoiytfe6yCc!1750948109?id=55759

International Development Association (2017) Project Appriasal Document on a proposed grant in the amount of SDR426.3 million (US\$600 million equivalent) to the Federal Democratic Republic of Ethiopia for the Ethiopia Rural Safety Net Project August 23, 2017. World Bank, Washington DC. https://documents1.worldbank. org/curated/ar/830381505613638420/pdf/projectappraisal-document-pad-P163438-EU-edits-for-Boardversion-08252017.pdf IPE Global (2016) Baseline Survey and Institutional and Coordination Framework for Social Protection Systems in Ethiopia. IPE Global Limited, Addis Ababa. https:// info.undp.org/docs/pdc/Documents/ETH/Final%20 Baseline%20Report.pdf

Tadesse, T and Zeleke, TG (2022) The impact of the productive safety net program (PSNP) on food security and asset accumulation of rural households': evidence from Gedeo zone, Southern Ethiopia. *Cogent Economics & Finance* 10, 1. DOI: 10.1080/23322039.2022.2087285

Wang, H, Tesfaye, R, Ramana, GNV and Chekage, CT (2016) Ethiopia Health Extension Program: An Institutionalized Community Approach for Universal Health Coverage. World Bank Studies. World Bank, Washington DC. https://openknowledge.worldbank. org/entities/publication/29ea3781-3292-53f9-a1bb-5a17230d5595

Workie, NW and Ramana, GNV (2013) The Health Extension Program in Ethiopia (UNICO Studies Series No. 10). The World Bank, Washington DC. https://documents1.worldbank.org/curated/ en/356621468032070256/pdf/749630NWP0ETHI00 Box374316B00PUBLIC0.pdf

World Bank (2013) Ethiopia's Productive Safety Net Program (PSNP) Integrating Disaster And Climate Risk Management. World Bank Group, Washington, DC. https://documents. worldbank.org/en/publication/documents-reports/ documentdetail/893931468321850632/ethiopiasproductive-safety-net-program-psnp-integratingdisaster-and-climate-risk-management-case-study

World Bank (2017) The State of Identification Systems in Africa: A Synthesis of Country Assessments. World Bank Group, Washington DC. https://documents. worldbank.org/en/publication/documents-reports/ documentdetail/156111493234231522/the-state-ofidentification-systems-in-africa-a-synthesis-of-countryassessments

The World Bank Group (June 2013) Ethiopia's Productive Safety Net Program (PSNP): Integrating Disaster And Climate Risk Management. Rapid Social Response, GFDRR. https://documents1.worldbank.org/ curated/en/893931468321850632/pdf/806220WP0P 12680Box0379812B00PUBLIC0.pdf

World Food Programme (2022) Annual Country Report 2022 Ethiopia. https://www.wfp.org/ operations/annual-country-report?operation_ id=ET02&year=2022#/24331 This document presents the country analysis of Ethiopia and is an extract from the IIED working paper 'Delivering anticipatory social protection: country readiness assessment', which uses the ASPIRE tool to evaluate the readiness and effectiveness of social protection systems in eight countries, identifying gaps and opportunities to improve anticipatory measures and climate resilience. The research provides actionable recommendations for enhancing these systems to not only respond but also proactively adapt to climate-related risks, thereby fostering resilience among vulnerable populations.

IIED is a policy and action research organisation. We promote sustainable development to improve livelihoods and protect the environments on which these livelihoods are built. We specialise in linking local priorities to global challenges. IIED is based in London and works in Africa, Asia, Latin America, the Middle East and the Pacific, with some of the world's most vulnerable people. We work with them to strengthen their voice in the decision-making arenas that affect them — from village councils to international conventions.



International Institute for Environment and Development Third Floor, 235 High Holborn, London WC1V 7DN, UK Tel: +44 (0)20 3463 7399 Fax: +44 (0)20 3514 9055 www.iied.org

This research was funded by Irish Aid, SIDA, CECG and the Foreign, Commonwealth & Development Office, Government of UK. However the views expressed do not necessarily reflect the views of the UK Government.









