

# Inception Report

May 2, 2024

**Final evaluation of the project “Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN”**



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## **List of abbreviations**

| Abbreviation | Meaning  |
|--------------|--|
| AA           | Anticipatory Action  |
| AADMER       | ASEAN Agreement on Disaster Management and Emergency Response          |
| ACDM         | ASEAN Committee on Disaster Management                                 |
| ADB          | Asian Development Bank   |
| AMS          | ASEAN Member States  |
| ASEAN        | Association of Southeast Asian Nations                                 |
| ASEC         | ASEAN Secretariat  |
| ASP          | Adaptive Social Protection   |
| BAPPENAS     | Indonesia's Ministry of Planning                                       |
| CCA/M        | Climate Change Adaptation and Mitigation                               |
| CO           | Country Office   |
| CSO          | Civil Society Organization   |
| CT           | Cash Transfer  |
| DG-ECHO      | European Commission's Civil Protection and Humanitarian Aid Operations |
| DOS          | Director of Operational Support  |
| DRF          | Disaster Risk Financing  |
| DRFI         | Disaster Risk Financing and Insurance                                  |
| DRM          | Disaster Risk Management   |
| DRR          | Disaster Risk Reduction  |
| DRSP         | Disaster Responsive Social Protection                                  |
| DTKS         | MoSA's Unified Database for Social Protection                          |
| EAP          | East Asia Pacific  |
| EPRI         | Economic Policy Research Institute                                     |
| ERB          | Ethical Review Board   |
| ERG          | Expert Reference Group   |
| e-SIMBA      | The Ministry of Indonesia's Disaster Mitigation Information System     |
| EU           | European Union   |
| EWS          | Early Warning Systems  |
| FAO          | Food and Agricultural Organization of the United Nations               |
| FGD          | Focus Group Discussion   |
| FinnRC       | Finnish Red Cross  |
| FMI          | Finish Meteorological Institute  |
| GN-NSPC      | General Secretariat, National Social Protection Council                |
| IASC         | Inter-Agency Standing Committee  |
| IFRC         | International Federation of Red Cross and Red Crescent Societies       |
| ILO          | International Labour Organization                                      |
| KII          | Key Informant Interview  |
| KOI          | Key Outcome Indicator  |
| KRI          | Key Result Indicator   |
| M&E          | Monitoring & Evaluation  |
| MoF          | Ministry of Finance  |
| MoP          | Ministry of Planning   |

|              |  |
|--------------|--|
| MoSA         | Ministry of Social Affairs   |
| MoSVY        | Ministry of Social Affairs, Veterans and Youth Rehabilitation                  |
| MoV          | Ministry of Villages, Development of Disadvantaged Regions, and Transmigration |
| NCDM         | National Committee for Disaster Management (Cambodia)                          |
| NGO          | Non-Governmental Organization  |
| NMHS         | National Meteorological and Hydrological Services                              |
| PFM          | Public Financial Management  |
| R&V          | Risk & Vulnerability   |
| RDI          | Resilience Development Initiative  |
| RIMES        | Regional Integrated Multi-Hazard Early Warning Systems                         |
| RO           | Regional Office  |
| S2S          | Seasonal to Sub-seasonal   |
| SO           | Strategic Objective  |
| SOMHD        | ASEAN Senior Officials' Meeting on Health Development                          |
| SOMSWD       | Senior Officials Meeting on Social Welfare and Development                     |
| SP           | Social Protection  |
| SPRI         | Social Policy Research Institute   |
| SRSP         | Shock-Responsive Social protection   |
| TBD          | To Be Determined   |
| TOR          | Terms of Reference   |
| UN           | United Nations   |
| UNDRR        | United Nations Office for Disaster Risk Reduction                              |
| UNEG         | United Nations Evaluation Group  |
| UNICEF       | United Nations Children's Fund   |
| UNICEF EAPRO | UNICEF East Asia Pacific Regional Office                                       |
| WASH         | Water, Sanitation and Hygiene  |
| WB           | World Bank   |
| WFP          | World Food Programme   |

## **1. Introduction and background**

Climate risks and disasters in Southeast Asia are jeopardizing efforts to achieve the Sustainable Development Goals (SDGs), particularly the goal of eradicating poverty by 2030. The region is experiencing an increase in vulnerable communities facing emergencies due to climate-related events, posing significant threats to children and their well-being. There's an urgent need to adopt risk-informed social protection measures to address these challenges effectively.

Traditional approaches have been seen as no longer sufficient, as climate-induced crises are becoming more frequent and severe. Short-term humanitarian strategies are inadequate in addressing the complex interplay between climate shocks, poverty, and vulnerability. To tackle these issues, coherent climate risk management approaches are essential, focusing on addressing root causes of vulnerability and poverty while enhancing the region's capacity to cope and adapt.

A shift towards early action, using forecasts and social policy instruments like social protection, is gaining momentum. Anticipatory Action (AA) initiatives have been introduced in the ASEAN region to promote this approach, aiming to prevent or reduce losses and build resilience by providing timely support. According to IFRC (2020) AA refers to actions taken to reduce the humanitarian impacts of a forecast hazard before it occurs, or before its most acute impacts are felt. The decision to act is based on a forecast, or collective risk analysis, of when, where and how the event will unfold.<sup>1</sup> The Anticipation Hub provides another definition, indicating that the AA “is a humanitarian approach that aims to save lives and livelihoods and reduce losses and suffering. It takes different forms and happens on a range of scales, depending on the mandate of the organizations involved, the context in which people live, the type of hazard(s) they are facing, and the available forecasts and data for that hazard. Depending on the type of hazard and forecasts available, anticipatory action can be carried out well ahead of the shock (for slower onset events) or just before the impacts fully take hold (for more rapid-onset events).”<sup>2</sup> Thus, AA is part of the disaster risk management cycle contributing to the objectives of disaster risk reduction (DRR). According to the Anticipation Hub, when well implemented, AA bridges the gap between longer-term DRR efforts and (reactive) humanitarian response. At the same time, AA initiatives also complement, and are part of, preparedness, which is generally understood as “the knowledge and capacities developed by governments, response and recovery organizations, community and people to effectively anticipate, respond to and recover from the impacts of likely, imminent or current disasters”. Nonetheless, not all preparedness measures can be considered AAs. This will depend on whether they are carried out in anticipation of and before a specific predicted shock with the aim of reducing the shock’s impact before it fully unfolds.<sup>3</sup>

On the other hand, shock-responsive social protection (SRSP) is also a critical tool to safeguard vulnerable populations during times of shocks. SRSP encompasses the adaptation of routine social protection programmes and systems to cope with changes in context and demand following large-scale shocks. This can be ex ante by building shock-responsive systems, plans and partnerships in advance of a shock to better prepare for emergency response; or ex post, to support households once the shock has occurred. In this

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<sup>1</sup> IFRC. 2020 World Disasters Report 2020. Available at: [https://www.ifrc.org/sites/default/files/2021-05/20201116\\_WorldDisasters\\_Full.pdf](https://www.ifrc.org/sites/default/files/2021-05/20201116_WorldDisasters_Full.pdf)

<sup>2</sup> Anticipation Hub. 2023. A short overview of anticipatory action. Available at: <https://www.anticipation-hub.org/Documents/Briefing/short-overview-of-anticipatory-action.pdf>

<sup>3</sup> Ibid

way, social protection can complement and support other emergency response interventions.<sup>4</sup> According to O'Brien and Barca (2018)<sup>5</sup>, there are five main measures that can improve the shock-responsiveness of social protection systems:

- **Design tweaks** are small adjustments to a routine social protection programme. They can introduce flexibility to maintain the regular service for existing beneficiaries in a shock (e.g., by waiving conditionalities). Alternatively, they can address vulnerabilities that are likely to increase in a crisis, through adjustments to programme coverage, timeliness or predictability (e.g., by altering payment schedule).
- **Piggybacking** occurs when an emergency response uses part of an established system or programme while delivering something new. Exactly which and how many elements of the system or programme are borrowed will vary. For example, it could be a specific programme's beneficiary list, its staff, use of a national database or use of a particular payment mechanism.
- **Vertical expansion** is the temporary increase of the value or duration of a social protection intervention to meet the additional needs of existing beneficiaries (i.e., a top-up). For such top-ups to be relevant, the programme, or programmes, must have good coverage of the disaster-affected area, and also of the neediest households.
- **Horizontal expansion** is the temporary inclusion of new beneficiaries from disaster-affected communities into a social protection programme, by extending geographical coverage, enrolling more eligible households in existing areas, or altering the enrolment criteria.
- **Alignment** describes designing an intervention with elements resembling others that already exist or are planned, but without integrating the two. For example, this could be an alignment of objectives, targeting method, transfer value or delivery mechanism. Governments may align their systems with those of humanitarian agencies or vice versa, either because an existing intervention is not operational as needed in a crisis, or because it may not yet exist.

Following the importance of preparing to shocks in the ASEAN Region, between 2017 and 2021, ECHO funded a consortium of UN agencies (FAO, UNICEF, WFP, and UNDRR) along with the Red Cross and Red Crescent to enhance the capacity of ASEAN member states in designing and implementing shock-responsive social protection (SRSP) and Anticipatory Actions. These initiatives aimed to integrate these approaches into the implementation of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) and its work programme. The outcome included the development of Country roadmaps for SRSP systems in Myanmar, Cambodia and the Philippines, along with policy recommendations in Vietnam. Additionally, the ASEAN Guidelines on Disaster Responsive Social Protection were formulated to enhance resilience.

From 2022 to 2024, UNICEF, WFP, and the Finnish Red Cross continued their efforts to strengthen regional disaster preparedness through a new phase of the initiative. This phase, titled "Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN" focuses on proactive management of climate shocks and disasters in ASEAN. The project aims to further build the capacity of ASEAN member states and promote regional cooperation to advance the

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<sup>4</sup> European Commission 2020.

<sup>5</sup> Valentina Barca and Clare O'Brien. 2018. What role can social protection systems play in responding to humanitarian emergencies? Available at <<https://www.opml.co.uk/files/Publications/a0408-shock-responsive-social-protection-systems/policy-brief-what-role-can-social-protection.pdf>>

implementation of the ASEAN Disaster Responsive Social Protection Guidelines and Country Roadmaps. The project has taken place from July 2022 to March 2024. Specifically, the project aimed to accomplish the following results, for which different activities and indicators were designed.<sup>6</sup>

- Result 1. Cambodia. Social Protection and Anticipatory Action systems are strengthened and interlinked to address the impacts of climate hazards on the most vulnerable population in Cambodia.
- Result 2. Indonesia. Government of Indonesia has systems and tools, knowledge and financial mechanisms to mitigate the impact of climate hazards and disasters through Shock Responsive Social Protection.
- Result 3. Regional. ASEAN Member States benefit from harmonized approaches and make use of regional tools to design and implement integrated Anticipatory Action and Shock Responsive Social Protection programs.

## **2. Evaluation features**

### 2.1 Evaluation objectives and scope

The objective of this study is to carry out a final evaluation of the project “Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN”. The evaluation will cover the implementation of the entire project period, including the original 18 months and three months non-cost-extension (July 2022 to March 2024), and its geographical scope will be the ASEAN region, with a special focus in Indonesia and Cambodia at the national level. The project activities to be evaluated are detailed in section 3.5. The evaluation will also cover some summative, process and formative components, specifically:

- (i) the relevance of the project design;
- (ii) efficiency and effectiveness of implementation encompassing partnerships, operational arrangements, resource utilization, etc.;
- (iii) achievement of results with a focus on capacity building of implementing countries (i.e. Cambodia, Indonesia) and from the broader ASEAN;
- (iv) overall quality of the project deliverables (i.e. accuracy and completeness);
- (v) document what has worked, what has not and lessons learned;
- (vi) whether the program was implemented as planned and identify the enablers and barriers to its delivery;
- (vii) provide recommendations – for ASEAN countries and humanitarian/development partners, for further scaling up and sustaining the approaches underpinned by the project.

The scope of the evaluation will be participatory, involving all concerned stakeholders (i.e. Government officials, at national and subnational levels, ASEAN Secretariat/sector bodies, project partners, and UN partners). Repetition with recent interviews/consultations will be avoided.

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<sup>6</sup> For specific information on activities and sub-activities kindly check Section 3.5.

The prospective users of the evaluation will be UNICEF and EU and other key stakeholders:

| Evaluation users  | Evaluation uses   |
|---|---|
| International and regional partners (UNICEF/WFP/FinnRC/FAO/etc.)    | To inform and adjust where required as their Country and Regional Programme Strategy for the upcoming period by better understanding the contributions of the project, as well as to deepen their understanding on best practices in linking AA and SRSP. |
| Donors (DG-ECHO)  | To better articulate the outcome and impact in their intervention and inform future interventions.  |
| Regional organizations (ASEAN Secretariat) and National Governments | To better define the terms of collaboration with development partners with respect to the attainment of the relevant goals set in their national development plans, and to be informed of best practices in SRSP and AA.                                  |
| NGOs/CSOs (RDI, etc.)   | Mainstream (into their day-to-day practices) the good practices identified during the evaluation and address the weaknesses highlighted during the analysis.  |

## 2.2 Evaluation criteria

Following the methodological guidelines set out in the Terms of Reference, the team of evaluators has built an evaluation framework according to the evaluation criteria developed in the OECD protocol. The latter is based on five OECD/DAC evaluation criteria (Relevance, Effectiveness, Efficiency, Impact and Sustainability). Relevance refers to the extent to which the project is suited to the priorities and policies of the target group, recipient and donor. Effectiveness is a measure of the extent to which the project attains its objectives. Efficiency measures the outputs (qualitative and quantitative) in relation to the inputs. Impact refers to the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. And finally, sustainability is concerned with measuring whether the benefits of the project are likely to continue after donor funding has been withdrawn (OECD, n.d.).

Nonetheless, after preliminary consultations with key engaged partners<sup>7</sup>, it has been noted that the main focus of the evaluation should be put in identifying lessons learnt, best practices, what worked and what did not work, processes, challenges and enablers, together with a thorough understanding of the context, institutionalization matters and other underlying questions. A request to delve deeper into the project's significance, timeline, and potential long-term impact and sustainability has also been noted. Additionally, there's a call to assess the appropriateness of integrating AA and SRSP, given the limited timeline.

<sup>7</sup> Up to date (18/04/2023), consultations have taken place with UNICEF EAPRO and Finnish Red Cross.

## 2.3 Evaluation questions

### **Relevance | To what extent have the intervention's objectives and design respond to beneficiaries, global, regional, country, and partner/institution needs, policies, and priorities and continue to do so if circumstances change?**

1. To what extent does the design of the SRSP align with the priorities and needs of key regional- and national-level stakeholders (and beneficiaries), including any changes made during implementation?
2. To what extent did the SRSP and AA approaches in disaster preparedness and building resilience align with the context and existing regional and national policies, frameworks and strategies?
3. Are the objectives of the intervention adequately defined, realistic and feasible, and are the results verifiable?
4. How can the SRSP and AA approaches adapt to changing circumstances, such as evolving disaster risks or policy priorities, to maintain their relevance over time?
5. To what extent is the link between integration AA and SRSP appropriate and useful?

### **Effectiveness | To what extent has the intervention achieved its objectives and its results?**

1. How effective have the SRSP approaches been in achieving the results outlined in the results framework? What about AA?
2. What variations were identified in the quality of implementation in the focus countries and what are the factors influencing these variations (e.g., management, financial aspects, regulatory aspects, implementation modifications or deviation from plans, etc.)? What have been the challenges of implementation in the focus countries?
3. How has the timeline and timeframe of the project impacted the results?

### **Coherence | To what extent is the intervention compatible with other interventions in the countries and ASEAN region?**

1. To what extent has the SRSP initiative promoted complementarity, harmonization, and coordination by UNICEF and other key partners to maximize the achievement of results?
2. What has worked well to encourage the integration of the AA and SRSP approaches, within and beyond the social policy/humanitarian/DRR community?
3. How has the project contributed to strengthening the understanding across these different technical areas?

### **Sustainability | To what extent are the net benefits of the intervention likely to continue?**

1. To what extent do capacities, budgets and political will exist to sustain and scale-up this work? How can partner organizations work better internally to further advance and enhance sustainability of SRSP and AA (not only related to social protection but also to other social sectors like WASH, Education, etc.)?
2. What continue to be the main challenges and opportunities for ensuring the continued outcomes of the SRSP interventions beyond the current funding?
3. What are the lessons learnt that can be applied? what are the critical next steps or recommendations moving forward, at country and regional level? For UN and development/humanitarian partners?

The full evaluation matrix can be found in section 4.5 of the report. Moreover, complete key informant interview guidelines can be found in Annex 3.

### **3. Program description**

#### 3.1 Project objectives

The overall objective of the program is to expand shock-responsive social protection (SRSP) programs in ASEAN Member States (AMS) to benefit vulnerable populations and proactively manage risks arising from climate shocks and disasters. More specifically, the aim is to achieve the strategic objective (SO) through strengthening the links to early warning systems, implementing anticipatory actions, establishing risk financing mechanisms, and addressing multidimensional vulnerabilities. The following section describes the original design of the program. Changes made to the original design will be discussed in the evaluation process. The objective and the indicators for the achievement are the following:

**SO:** Vulnerable populations in Southeast Asia benefit from enhanced Shock-Responsive Social Protection programs with improved links to Early Warning Systems (EWS), Anticipatory Action (AA), risk financing mechanisms and multidimensional vulnerabilities. Two indicators will reflect the achievement of the strategic objective:

1. At the end of the project, 2 AMS have recorded a 15% reduction in the expected number of affected people.
2. At the end of the project, at least 2 AMS have their social protection systems connected to climate risk-informed tools as well as the mechanisms to target beneficiaries before, during and after climate shocks through social protection system.

As indicated in the introduction, the expected results of the SO are three-fold:

- Result 1: Social Protection and Anticipatory Action systems are strengthened and interlinked to address the impacts of climate hazards on the most vulnerable population in Cambodia.
- Result 2: The Government of Indonesia has systems and tools, knowledge and financial mechanisms to mitigate the impact of climate hazards and disasters through Shock Responsive Social Protection.
- Result 3: ASEAN Member States benefit from harmonized approaches and make use of regional tools to design and implement integrated Anticipatory Action and Shock Responsive Social Protection programmes.

Each of these expected results have associated indicators designed to monitor their achievement. These indicators are associated with activities, which are elaborated in the upcoming sections.

#### 3.2 Project description and design

This program builds upon two previous iterations of the Project initiated in 2018. The first phase, spanning from 2017 to 2019, was led by FAO in collaboration with ILO, UNICEF, and WFP. Its objective was to institutionalise AA and SRSP. Its major achievements were the different country roadmaps and the development of the ASEAN Guidelines on Disaster Responsive Social Protection (DRSP). The second phase was led by a wider consortium of UN agencies until 2021. That phase focused on ongoing capacity building among AMS and regional collaboration to advance AA and implement the DRSP Guidelines to increase resilience and Country Roadmaps developed in the initial phase, within selected AMS.

The third phase was planned from 2022 until 2023 but has been extended until 2024. The main collaborators in this phase have been UNICEF, WFP and the FinnRC. This program is entitled “Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively

manage the risks and impacts of climate shocks and disasters in ASEAN” and incorporates the key take-aways from previous phases. As such, this phase aims to bridge the current gap between AA and SRSP to leverage their respective benefits. Key activities have been implemented in Cambodia and Indonesia as well as on a regional scale, involving stakeholders from across the AMS.

### 3.3 Beneficiaries

The beneficiaries for this program were selected based on the same principles as in the previous phases. In AMS, indirect beneficiaries include (1) **Poor and vulnerable populations** living in high-risk areas with severely affected livelihoods, limited social protection, and specific attention will be given to women from vulnerable households, including poor, near-poor, and female-headed households. Additionally, priority will be given to older persons, children, youth, people with disabilities, and ethnic minority households. Direct beneficiaries include (2) **Local and national authorities** in Social Welfare, DRR, Health, and related sectors will benefit from capacity building. (3) **UN agencies, NGOs, and other stakeholders** will benefit from technical methodologies, tools, training materials, and collaborative efforts with AMS and ASEAN. At the regional level, the program aims to enhance the capacity of ASEAN sector bodies<sup>8</sup> and ASEAN Secretariat (ASEC) in disaster management, social welfare, health, finance, and related areas.

### 3.4 Project management and coordination structure

The main agencies involved in this program are FinnRC, WFP and UNICEF. Coordination is sustained with FAO, other humanitarian partners, national and local authorities as well as development actors and programs.

Regionally, the program involves agencies that are part of the Inter-Agency Standing Committee (IASC) and collaborates closely with ASEAN partners through ASEC, aligning activities with ASEAN's humanitarian agenda. The coordination with national and local authorities at the regional level are also facilitated through collaboration with ASEC. Finally, the development actors that are involved in coordination are the WB and the Asian Development Bank (ADB), as well as think tanks and research institutes or other UN agencies.

At the country level, the coordination with humanitarian partners happens through existing coordination mechanisms like the Humanitarian Forum in Cambodia and national Cash Working Groups. In terms of national and local authorities, the Action closely engages with ministries or agencies related to DRM and social protection authorities. The development actors that are engaged regionally also play a role in Cambodia and Indonesia separately.

### 3.5 Activities

#### Activities in Cambodia

In Cambodia, activities have been focused on strengthening systems-building within the National Committee for Disaster Management (NCDM) and Ministry of Social Affairs, Veterans and Youth Rehabilitation (MoSVY) to integrate the government's SRSP frameworks and AA with risk monitoring tools. Under **Result 1**, as defined above, three activities are expected.

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<sup>8</sup> ACDM, SOMSWD, SOMHD, finance and others

### *1.1. Develop the Anticipatory Action Plan and integrate in Disaster Risk Management (DRM) and Shock-Responsive Social Protection (SRSP) systems.*

This activity consists of the development and testing of a framework for triggering AA in response to flood hazards in Cambodia. This involves updating flood forecast thresholds and integrating them with AA to mitigate flood impacts. The goal is to integrate this plan into Cambodia's DRM and enhance impact-based forecasting capacities for relevant institutions and actors.

The AA plan is being led by the NCDM and is expected to be finalised by June 2024. The SRSP framework has been developed by MoSVY but must be translated to English. WFP is the organization responsible for the outputs related to this activity.

### *1.2. Support development and institutionalization of the Shock-responsive/adaptive Family Package.*

Introducing risk-adjusted procedures for existing cash transfer (CT) programs in Cambodia, building on the SRSP Framework to enhance program design and operational models. It consists of a Family Package of core CT programs to replace the Covid-19 CT Program, targeting vulnerable groups such as pregnant women with young children, children in school, people with disabilities, and the elderly.

An operations manual is being designed for the implementation of the Family package and is expected to be delivered between July and September. UNICEF is the organization responsible for the outputs related to this activity.

### *1.3. Support development and update of the vulnerability and risk monitoring system tools.*

The primary purpose of the Risk and Vulnerability (R&V) framework is to monitor and track beneficiaries of the family package for a deeper understanding of their situations. This can then improve service design and facilitate referrals. It also monitors risk factors such as changes in household composition or outcomes of beneficiaries. Additionally, the framework supports shock-responsive social protection by identifying key indicators and associated risk factors that influence household vulnerability to poverty and social exclusion.

The R&V tool has been designed to monitor progress and assess the status of social assistance programme beneficiaries in support of service delivery, as well as monitoring and evaluation of the Family Package. However, as the Family Package has to be finalised still, the R&V tool has not yet been integrated into the package. UNICEF is the organization responsible for the outputs related to this activity.

## Activities in Indonesia

In Indonesia, the activities have aimed to enhance government capacity to make timely, risk-informed decisions addressing multidimensional vulnerabilities and develop financing models for SRSP. Under **Result 2**, as defined above, six activities were initially expected.

### *2.1. Provide technical assistance to strengthen e-SIMBA's interoperability and connectivity with other risk information systems.*

The Ministry of Indonesia's Disaster Mitigation Information System (e-SIMBA) is used to monitor the status of disaster preparedness and response activities as well as the social protection support in the country. Under the request of the Ministry of Social Affairs (MoSA), WFP and UNICEF provided technical assistance to strengthen the system to provide a more comprehensive picture of potential disaster risks and help forecast impacts on the most

vulnerable communities. This should lead to better decision-making regarding anticipatory and shock-responsive social protection (ASP/SRSP) and AA programmes. WFP is in charge of the delivery of a training of trainers manual, but it is not yet available.

*2.2. Strengthen sustainable capacities at national and subnational levels (province and district level) to improve the knowledge and skills of relevant government officials on ASP/SRSP and AA.*

Under the request of Indonesia's Ministry of Planning (BAPPENAS), WFP and UNICEF were responsible for the development of training materials on ASP/SRSP, undertake a training of national ministries and selected provincial governments involved in and responsible for ASP/SRSP implementation, and lastly to establish a core team of 10 trainers on e-SIMBA. UNICEF, with the support of BAPPENAS, has been responsible for the delivery of the materials as well as the trainings, while WFP has been responsible for the establishment of the core team of trainers. The training of the core team of trainers has not yet taken place.

The implementation of the last four activities and the achievement of the associated indicators as originally intended has proven to be challenging. In order to address the challenges, the remaining activities have been reorganized: initial activities 2.3.<sup>9</sup> and 2.4.<sup>10</sup> are now consolidated under 2.2. as a training provided by BAPPENAS. Similarly, activities 2.5.<sup>11</sup> and 2.6.<sup>12</sup> have been merged into a revised activity (2.5.) under UNICEF's responsibility.

*2.5. Inform the revision of the Disaster Risk Financing Insurance Strategy to integrate emergency social protection financing strategy.*

This last activity includes a public engagement event on Disaster Risk Financing at the ASEAN 2023 summit chaired by Indonesia, and has delivered a report and policy brief to inform the revision of the Disaster Risk Financing Insurance Strategy to integrate emergency social protection financing strategy.

#### Activities in ASEAN region

At the regional level, the consortium agencies have been leveraging lessons from the pilot countries, and have worked on a series of complementary projects that equip ASEAN member states with tools and knowledge to integrate, design, implement, and monitor AA and SRSP programs effectively. Under **Result 3**, as defined above, three activities are expected.

*3.1. Ensuring quality forecast products and impact-based analysis platforms at regional, and AMS level.*

This activity aims to enhance disaster management among AMS. It focuses on improving risk information, forecasting, and EWS as outlined in the ASEAN Framework for Disaster Management. The activity included a mapping exercise, a training and a guidance note on seasonal and sub-seasonal forecasts. The Finnish Red Cross has been leading this activity with the support of WFP. Technical support has been provided by Regional Integrated Multi-Hazard Early Warning Systems (RIMES) and the Finnish Meteorological Institute (FMI).

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<sup>9</sup> (2.3.) Provide technical support to the Ministry of Social Affairs (MoSA) and the Ministry of Villages, Development of Disadvantaged Regions, and Transmigration (MoV) to develop Ministerial Regulations on SRSP/ASP in line with the Presidential Regulations on Social Protection Reform.

<sup>10</sup> (2.4.) Provide technical support to the provincial governments of Yogyakarta, East Nusa Tenggara, and West Nusa Tenggara to develop and disseminate Provincial Regulations and action plans for the implementation of SRSP/ASP in line with the Presidential Regulations on Social Protection Reform.

<sup>11</sup> (2.5.) Develop and disseminate a financial model and a report on disaster risk financing for SRSP/ASP at the national level.

<sup>12</sup> (2.6.) Develop and disseminate financial models and a report with focus on potential local/community-level financing for three selected provinces

The mapping exercise reported on the availability, access, and usage of seasonal to sub-seasonal (S2S) forecasts in Cambodia and Indonesia. The training was related to S2S forecast translation. It was organized in March 2024 in Phnom Penh for staff from National Meteorological and Hydrological Services (NMHS) and representatives from sectoral agencies (i.e., disaster risk reduction and management, agriculture, etc.) from Cambodia and Indonesia. Lastly, the guidance note provides practical guidance on accessing, interpreting seasonal and sub-seasonal forecasts.

### *3.2. Develop and disseminate technical guidance on risk financing options for Anticipatory Action and Shock Responsive Social Protection for ASEAN countries.*

The purpose of this activity is to develop guidelines and an ex-ante framework for reconfiguring risk financing instruments in anticipation to or in the wake of a disaster in ASEAN and to improve risk-informed Public Finance Management (PFM) processes in ASEAN countries. The activity should establish an evidence base supporting increased investment in anticipatory and shock-responsive approaches through social protection systems. It should also inform policymakers on the design and prioritization of Disaster Risk Financing (DRF) instruments. The deliverables of this activity have not yet been completed and information on their progress is scarce.

### *3.3. Promoting South-South cooperation between ASEAN and other regions on how to best link Anticipatory Action and Shock Responsive Social Protection.*

A regional workshop on AA and SRSP has been organized in November 2023 to exchange knowledge and learning on social protection systems, share best practices, address common challenges, and explore effective policies to strengthen AA and SRSP systems in Southeast Asia and the wider East Asia and Pacific region. More specifically, the forum included session to inform policymaking and contribute to the development visions of Indonesia, ASEAN, and other participating countries. Selected experts were expected to produce a background paper, facilitate sessions, and contribute to a final conference report. Stakeholders included ministry representatives from regional countries, policy experts, and representatives from organizations like UNICEF, the World Bank, the Red Cross, WFP, and ILO.

This activity resulted in two reports and two working papers. One conference report<sup>13</sup>, one report on SRSP<sup>14</sup>, a working paper on evidence, knowledge and data on child-sensitive and adaptive social protection in East Asia and the Pacific (EAP), and another working paper on Management Information Systems for social protection in EAP. UNICEF is the organization who has been responsible for the outputs related to this activity.

An additional workshop has been organized in March 2024, bringing together the Regional Task Working Group on AA, governments from the region, development and humanitarian partners. It focused on highlighting how social protection contributes to climate risk management in Southeast Asia. It aimed to increase senior government officials' understanding of the role of social protection in DRR, DRM, and climate change adaptation and mitigation (CCA/M). It also supported officials in identifying opportunities to enhance linkages across policies and programs to protect children from the economic impacts of climate shocks in the region. All three organizations were involved in this activity and facilitated the workshop.

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<sup>13</sup> United Nation's Children Fund, 2023 (a).

<sup>14</sup> United Nation's Children Fund, 2023 (b).

### 3.6 Framework

The program is guided by a logical framework that outlines its goals, activities, and expected outcomes. The detailed framework is shown on the following page.

| Outcome              | Vulnerable populations in Southeast Asia benefit from enhanced Shock-Responsive Social Protection programs with improved links to Early Warning Systems, Anticipatory Action, risk financing mechanisms and multidimensional vulnerabilities.   |  |   |
|----------------------|---|--|---|
| Objective Indicators | <ul style="list-style-type: none"> <li>• <b>Default KOI</b> à At the end of the project, 2 AMS have recorded a 15 % reduction in the expected number of affected people. [Description and measure: Affected people as the “number of vulnerable children and their families unable to financially cope with the impact of a shock and meet their basic needs”. ‘Expected’ is understood as the projection (or modeling) that will inform the coverage of the government’s Social Protection response in the areas of intervention of the Project -Province, District and community.]</li> <li>• At the end of the project, at least 2 AMS have their social protection systems connected to climate risk-informed tools as well as the mechanisms to target beneficiaries before, during and after climate shocks through social protection systems. [Description and measure: The two selected countries will operationalize this indicator through contributing to one or several building blocks of Disaster Responsive Social Protection as defined in the ASEAN Guidelines for DRSP, namely: i) improved risk-informed targeting, ii) vulnerability assessments, iii) availability of financial models for disaster risk financing, iv) connection to climate data for better decision-making facing disaster.]</li> </ul> |  |   |
| Results              | Cambodia  | Indonesia  | Regional  |
|                      | <p><b>R.1. Social Protection and Anticipatory Action systems are strengthened and interlinked to address the impacts of climate hazards on the most vulnerable population in Cambodia.</b></p>  | <p><b>R.2. Government of Indonesia has systems and tools, knowledge and financial mechanisms to mitigate the impact of climate hazards and disasters through Shock Responsive Social Protection.</b></p>   | <p><b>R.3. ASEAN Member States benefit from harmonized approaches and make use of regional tools to design and implement integrated Anticipatory Action and Shock Responsive Social Protection programmes.</b></p>  |
| Outcome Indicators   | <ul style="list-style-type: none"> <li>• <b>Default KRI</b> / disaster risk reduction / Information, communication and public awareness à Number of people reached through Information, Education and Communication on DRR (baseline 0, target 1,000 government officials at national District and Commune levels as well as community members from intervention 5 Districts).</li> </ul>   | <ul style="list-style-type: none"> <li>• <b>Default KRI</b> / disaster risk reduction / Hazard, risk analysis and early warning à Number of people covered by a functional early warning system (baseline 0, target 14 million in 3 provinces)</li> <li>• <b>Default KRI</b> / disaster risk reduction / Information, communication and public awareness à Number of people reached through Information, Education and Communication on DRR (baseline 0, target 200 government officials at national and subnational level)</li> </ul> | <ul style="list-style-type: none"> <li>• At the end of the project, AMS have access to at least two new regional tools to enhance SRSP and AA program design and implementation.</li> <li>• At the end of the project, at least five new knowledge products, studies and joint events developed to support AMS and ASEAN on advancing AA and SRPS.</li> </ul> |

|                   |  |   |   |
|-------------------|--|---|---|
|                   | <ul style="list-style-type: none"> <li>• Anticipatory Action Plan developed and linkages with DRM and Social Protection systems established.</li> <li>• The Shock Responsiveness of the core cash transfer programs under the Family Package is built-in its design and links to DRM systems established.</li> <li>• Climate vulnerability and risk indicators for beneficiary targeting are designed and tested to be included in social protection response programs.</li> </ul> | <ul style="list-style-type: none"> <li>• 34 million beneficiaries from MoSA and MoV social protection programmes will be benefited by two Ministerial Regulations on Shock-responsive/Adaptive Social Protection.</li> <li>• 14 million population from three provinces will benefited from the provincial regulations and action plans on shock-responsive/adaptive social protection.</li> <li>• A finalized and disseminated report and the revised underlying financial models for SRSP/ASP at the national and sub-national levels, aligned with risk-informed Public Finance Management in the country (Indonesia Disaster Risk Financing &amp; Insurance).</li> </ul>  |   |
| <b>Activities</b> | <p><b>1.1.</b> AA plan developed and integrated in DRM and SRSP systems.</p> <p><b>1.2.</b> The Shock Responsiveness of the core cash transfer programmes under Family Package is strengthened and linked to the DRM system.</p> <p><b>1.3.</b> Support development and update of the vulnerability and risk monitoring system tools.</p>  | <p><b>2.1.</b> Provide technical assistance to strengthen e-SIMBA's interoperability and connectivity with other risk information systems for enhanced decision-making informing ASP/SRPS programmes serving populations most vulnerable to climate and disaster risks.</p> <p><b>2.2.</b> Strengthen sustainable capacities at national and subnational levels (province and district level) to improve the knowledge and skills of relevant government officials on ASP/SRSP and AA.</p> <p><b>2.3.</b> Provide technical support to the Ministry of Social Affairs (MoSA) and the Ministry of Villages, Development of Disadvantaged Regions, and Transmigration (MoV) to develop Ministerial Regulations on SRSP/ASP in line with the Presidential Regulations on Social Protection Reform.</p> <p><b>2.4.</b> Provide technical support to the provincial governments of Yogyakarta, East Nusa Tenggara, and</p> | <p><b>3.1.</b> Ensuring quality forecast products and impact-based analysis platforms at regional, and AMS level to inform risk assessment and improvement of seasonal and sub seasonal forecast – in conjunction with short-range weather forecast for DRR, Anticipation and SRSP at AMS level.</p> <p><b>3.2.</b> Develop and disseminate a technical guidance on risk financing options for Anticipatory Action and Shock Responsive Social Protection for ASEAN countries.</p> <p><b>3.3.</b> Promoting South-South cooperation between ASEAN and other regions on how to best link</p> |

|                                 |  |  |  |
|---------------------------------|--|--|--|
|                                 |  | <p>West Nusa Tenggara to develop Provincial Regulations and action plans for the implementation of SRSP/ASP in line with the Presidential Regulations on Social Protection Reform.</p> <p><b>2.5.</b> Develop and disseminate a financial model and a report on disaster risk financing for SRSP/ASP at the national level.</p> <p><b>2.6.</b> Develop and disseminate financial models and a report with focus on potential local/community-level financing for three selected provinces.</p> | <p>Anticipatory Action and Shock Responsive Social Protection.</p> |
| <p><b>Problem statement</b></p> | <ul style="list-style-type: none"> <li>● AA and SRSP are still being developed in silos and thus neither approach has been able to reach scale and sustainability yet.</li> <li>● AA tends to have short outreach and SRSP programmes are not yet operational to respond to the impact of climate shocks.</li> <li>● AA and SRSP are not integrated into national and sub-national disaster risk management systems.</li> <li>● The selected ASEAN countries have limited data, tools, knowledge or the financial means to implement AA and SRSP to proactively manage climate risks and reduce humanitarian needs.</li> <li>● ASEAN regional tools and technical guidance and standardization for AA and SRSP is still an ongoing process.</li> </ul> |  |  |

## **4. Proposed methodology**

### 4.1 Evaluation approach

To effectively assess the outcomes of the project from July 2022 to March 2024, which aims to enhance Shock-Responsive Social Protection programs for vulnerable populations in Southeast Asia, including improved links to Early Warning Systems, Anticipatory Action, risk financing mechanisms, and multidimensional vulnerabilities, the evaluation team suggests employing a participatory approach.

The evaluation team understands that the goal in this assignment is to thoroughly assess not only the project's design but also the efficiency and effectiveness of its implementation. It is expected that the evaluation evidence will support enhancing SRSP programming in the region. As such, our organization will consider aspects related to establishing and strengthening partnerships, as well as achieving results, with a specific emphasis on capacity-building in the implementation countries (Indonesia and Cambodia), alongside identifying any implementation gaps. Drawing from previous evaluation exercises, notably the 2021 evaluation commissioned to assess ECHO funded Scaling up AA in Vietnam, Cambodia, Myanmar and the Philippines<sup>15</sup>, the evaluation team advocates for a participatory methodology aimed at involving stakeholders across national and sub-national levels, including government officials and members of the ASEAN Secretariat. This approach is designed to explore diverse avenues towards anticipatory action, covering institutional frameworks and financing mechanisms. By fostering inclusive and iterative dialogues throughout the evaluation process, stakeholders can actively contribute insights and perspectives, thereby facilitating a comprehensive understanding of scenarios to effective anticipatory action.

**Some areas of Interest in a participatory approach are defined as follows:**

- **Consensus Building:** Participatory evaluation is defined as a consensus-driven approach during which all stakeholders involved in a project, including project team members and the population affected by it, contribute throughout the various stages of the process. It represents a form of partnership between evaluators and those affected by the evaluation.
- **Facilitating Iterative Feedback:** It enables iterative feedback loops by contrasting perceptions, particularly regarding effectiveness issues.
- In the present case, it involves contrasting and triangulating opinions and perceptions from various levels of evaluation users, including UNICEF Regional and Country Offices, as well as representatives from the EU and ASEAN.
- **Interpretation of Results:** Participatory approaches facilitate discussions to interpret evaluation results. They encourage stakeholders to reflect on findings within the socio-economic, cultural, and political contexts of their countries.

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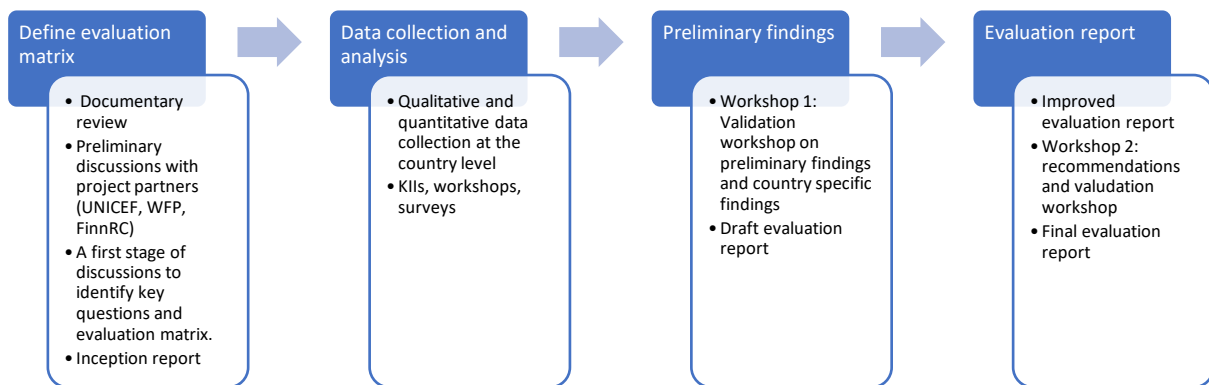
<sup>15</sup> In 2021, the ECHO-funded project: Scaling up Anticipatory Action (AA) and Shock Responsive Social Protection (SRSP) commissioned an evaluation aimed at assessing the (i) relevance of ECHO-supported interventions since 2017; (ii) efficiency and effectiveness of implementation encompassing partnerships, operational arrangements, resource utilization, etc.; (iii) achievement of results and impacts on capacity building of ASEAN member states (AMSs), particularly project target countries and ASEAN; and (iv) cross-cutting issues including, inclusivity and resilience. This evaluation adopted a participatory approach, proving efficient to lessons learnt from each country in adopting an institutional approach to anticipatory action.

## 4.2 Evaluation process

The evaluation team proposes to approach the evaluation with a differentiation of the products, which could be aimed at different audiences. The entire evaluation process will result in a main report, with strategic recommendations at regional and country level.

### Key stages of the participatory approach

The evaluation team suggests structuring the participatory approach into iterative stages of discussion with key stakeholders:



### (a) Define evaluation matrix (Inception phase)

1. A first stage of the evaluation involves a thorough review of the available project documentation, including project proposal, description of activities, project logframe, interim reports, financial reports, M&E documentation, and output of activities.
2. Initial interviews will be held with project coordinators from UNICEF, WFP, and Finnish Red Cross to discuss expectations of the evaluation.
3. Evaluation questions and matrix are defined based on the documentary review and preliminary interviews and will be reviewed by UNICEF and other stakeholders based on modality to be decided in consultation with UNICEF.
4. During the inception phase, the full list of key stakeholders will be jointly defined with UNICEF EAPRO to ensure the representation of a diverse array of stakeholders.
5. Evaluation questions and matrix, a list of key stakeholders and data collection tools will be summarized in a draft inception report for approval by UNICEF and other stakeholders.
6. Feedback will be incorporated into a final inception report.

### (b) Data collection and analysis

- An extensive second stage of the initial circle involves the collection of qualitative and quantitative data at the country level (in Cambodia and Indonesia) and at the regional level. This will include Key Informant Interviews (KIIs), workshops and online survey<sup>16</sup>.
- By triangulating data collected through multiple methods, such as KIIs, workshops, and surveys, we aim to enhance the validity and reliability of our findings. This methodological approach strengthens the rigor of our evaluation process and ensures that our conclusions are well-supported and robust. Triangulation allows us to cross-validate information obtained from different sources, mitigating potential biases and providing a more comprehensive understanding of the phenomena under investigation.

<sup>16</sup> Data collection methods are explained in the next Section.

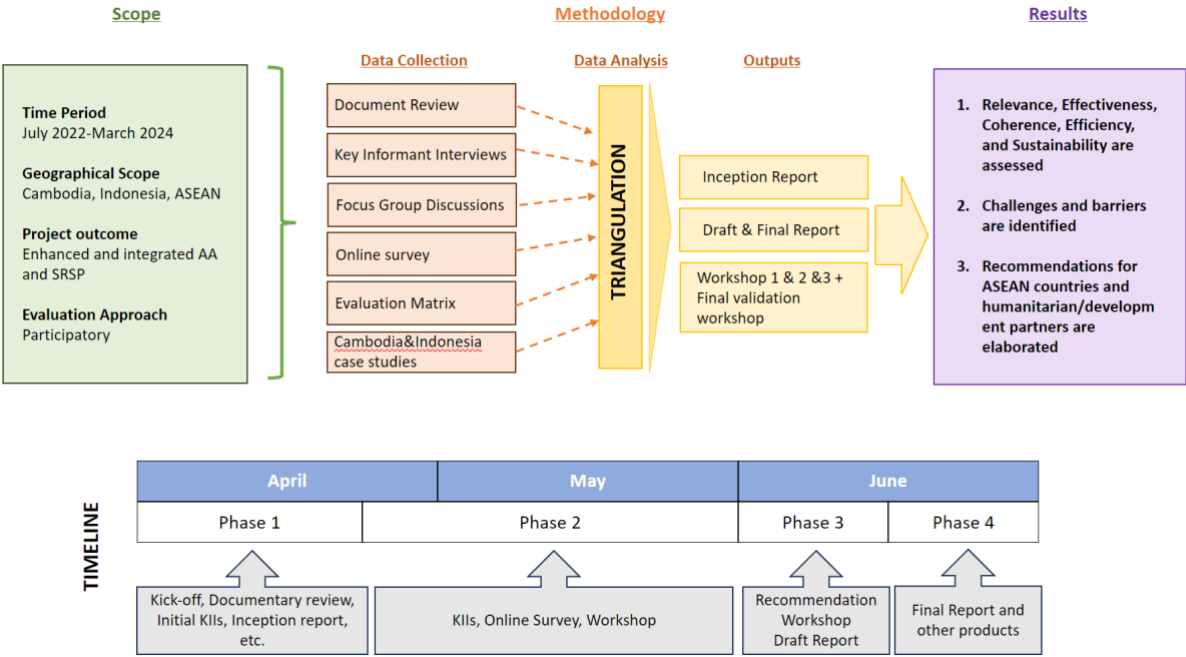
**(c) Preliminary results and validation**

- Following the data collection and analysis, a discussion can be held on the barriers and enablers arising from national experiences.
- Workshop 1: A validation workshop on preliminary findings and country specific findings will be held to discuss the main observations, share experiences, and build a coherent narrative on lessons learnt.
- Based on the validation workshop we will draft a first version of the evaluation report.

**(d) Evaluation report**

- Workshop 2: recommendations workshop. This will be a final workshop with UNICEF and the various stakeholders to present findings and conclusions. Stakeholders will then be asked at the workshop to help the evaluation team formulate and prioritize recommendations so that relevance, usefulness and actionability of these can be maximized.
- The feedback and prioritized recommendations collected during Workshop 2 are included into a final evaluation report.

Figure 1 Diagram of the evaluation process



Authors: Authors' elaboration

**4.3 Data collection methods**

The evaluation will employ a mixed method approach, including a desk review, semi-structured interviews, focus groups (to be determined) and a survey as proposed by the TOR. This section briefly describes the contribution of each method to the overall process.

#### 4.3.1 Document review

The anticipated scope of work involves conducting a thorough desk review encompassing program documentation and other pertinent materials. This review will include descriptions of the project and activities, annual donor reports, mid-year and end-year reviews, financial reports, M&E documentation, and the description and output of implemented activities. Additionally, key government documents relevant to the project will also be scrutinized. Additional sources pertaining to contextualizing crises and the early warning systems developed by the relevant countries, along with documents concerning regional and national regulation, policies, frameworks, and strategies could complement the initial scope.

#### 4.3.2 Key Informant Interviews (KIIs)

During the inception phase, the full list of Key Informant Interviews (KIIs) will be jointly defined with UNICEF EAPRO to ensure the representation of a diverse array of stakeholders. A tentative list (see Table 1 List of agencies for the project evaluation. Table 1) encompasses donors, implementing partners, national institutions, and NGOs actively engaged in social protection and climate-related emergency initiatives and other emergencies. The full list including contact details of key people can be found in Annex 2, and the full guidelines of the interviews can be found in Annex 3. Questions will be tailored further depending on the specific stakeholder and its involvement in the project.

*Table 1 List of agencies for the project evaluation.*

| Location           | Category                | Organizations                                 | Number of KIIs |
|--------------------|-------------------------|---|----------------|
| Region (20 KII)    | Regional partners       | ASEAN Secretariat, FAO regional Office, IFRC  | 8              |
|                    | Service providers       | FMI, RIMES, EPRI                              | 3              |
|                    | Project partners        | UNICEF, FinnRC, WFP Regional office, WFP Rome | 8/9            |
|                    | Donor                   | DG-ECHO                                       | 2              |
| Cambodia (13 KII)  | Government partners     | MoSVY, GN-NSPC, NCDM                          | 4              |
|                    | Service providers       | EPRI  | 1              |
|                    | Project Partners        | WFP, UNICEF, FinnRC                           | 8              |
| Indonesia (11 KII) | Government partners     | MoF, MoP, MoV                                 | 3              |
|                    | Non-government partners | RDI   | 2              |
|                    | Project partners        | WFP, UNICEF, FinnRC                           | 6              |
| Philippines<br>TBD | TBD                     | TBD   | TBD            |

#### 4.3.3 Online survey

To complement the evidence gathered through the aforementioned data collection methods and to reach stakeholders who may not be covered in the Key Informant Interviews (KIIs) an

online survey will be conducted. The interest of this tool is to address evaluative questions to national government officials that participated in the conferences organized at the end of the project. Concretely, it concerns these activities:

- 3.3. Regional-South-South Policy Conference
- 3.4. Regional-SRSP Workshop

The objective of both surveys is to gather information from stakeholders that will not be reached through KIIs. An anonymous online survey will be issued in English and national languages to evaluate the outputs of these activities. The contact details of participants will be provided by UNICEF. Annex 4 includes the questionnaires for each activity.

#### 4.3.4 Validation workshops

Several validation workshops will be carried out:

- **Preliminary results validation workshop in Phnom Penh / Jakarta / Bangkok:** It is recommended to organize a workshop in each country to share findings both at country and regional levels. These workshops will aim to present initial outcomes derived from document reviews and KIIs. The goal of these gatherings will be twofold: first, to disseminate the preliminary findings and second, to solicit feedback for potential adjustments. Bringing together various stakeholders in a single venue will enhance the outcomes, enabling the identification of shared challenges, existing gaps, and opportunities for enhancement and collaboration.
- **Final validation/recommendation workshop in Bangkok:** The objective of the final workshop in Bangkok will be to present the final results and gather feedback for last adjustments on the final report.

If the timeline of the evaluation does not allow for holding validation workshops in each country, only the final validation workshop will be held. Depending on the project needs, it will be in-person, hybrid or fully remote.

#### 4.4 Sampling strategy

For qualitative data collection involving key stakeholders (donors, project partners, service providers, government partners and non-governmental partners) sampling will be purposive, meaning subjects will be selected based on their relevance to the questionnaire's objectives. Key stakeholders will be identified in consultation with UNICEF. To ensure diversity of perspectives, individuals from various institutional affiliations, professional backgrounds, hierarchical positions, and other relevant factors will be interviewed. The evaluation team will adhere to the Terms of Reference (TOR) to ensure considerations such as gender and diversity are taken into account during participant selection.

#### 4.5 Tentative Evaluation Matrix

The following section presents a tentative evaluation matrix. Annex 3 includes the different key informant interview guidelines that will be used during the data collection process with the different stakeholders. Questions will be tailored further depending on the specific stakeholder and its involvement in the project. The questions will focus on those activities effectively implemented.

| Evaluation Criteria   | New evaluation questions  | Methods  | Data Sources  |
|---|---|--|---|
| <p><b>Relevance</b><br/><i>Is the intervention doing the right things?</i></p> <p>The extent to which the intervention objectives and design respond to beneficiaries, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change.</p> | <ol style="list-style-type: none"> <li>1. To what extent does the design of the SRSP align with the priorities and needs of key regional- and national level stakeholders (and beneficiaries)?</li> <li>2. To what extent did the SRSP and AA approaches in disaster preparedness and building resilience align with the context and existing regional and national policies, frameworks and strategies?</li> <li>3. Are the objectives of the initiatives adequately defined, realistic and feasible, and are the results verifiable?</li> <li>4. How can the SRSP and AA approaches adapt to changing circumstances, such as evolving disaster risks or policy priorities, to maintain their relevance over time?</li> <li>5. How has the timeline and timeframe of the project impacted the perception of the programme?</li> <li>6. To what extent is the link between integration AA and SRSP appropriate and useful?</li> </ol> | <p>Semi-structured Interviews</p> <p>Desk Review</p> <p>Validation Workshops</p>                     | <p>Programmatic Reports, Regional Framework and National Frameworks</p> <p>KIIS with representatives of the Consortium (UNICEF, FAO, WFP), National and local government officials</p> <p>KIIS with regional and global Stakeholders including ASEAN and EU</p> |
| <p><b>Effectiveness</b><br/><i>Is the intervention achieving its objectives?</i></p> <p>The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.</p>  | <ol style="list-style-type: none"> <li>1. How effective have the SRSP approaches been in achieving the results outlined in the results framework? What about AA?</li> <li>2. What variations were identified in the quality of implementation in the focus countries and what are the factors influencing these variations (e.g., management, financial aspects, regulatory aspects, implementation modifications or deviation from plans, etc.)? What have been the challenges of implementation in the focus countries?</li> <li>3. How has the timeline and timeframe of the project impacted the results?</li> </ol>  | <p>Semi-structured Interviews</p> <p>Desk Review</p> <p>Focus-Groups discussions (if applicable)</p> | <p>Programmatic Reports, Regional Framework and National Frameworks</p> <p>KIIS with representatives of the Consortium (UNICEF, FAO, WFP), National and local government</p>  |

|  |  |  |   |
|--|--|--|---|
|  |  |  | officials   |
| <p><b>Efficiency</b><br/><i>How well are resources being used?</i></p> <p>The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.</p> | <ol style="list-style-type: none"> <li>1. What processes and actions were enabled by the project that led to increased efficiencies of programming in the focus countries? What were the gaps, if any?</li> <li>2. To what extent were the resources (human, technical, financial) allocated efficiently?</li> <li>3. To what extent have the project' activities been delivered in a timely manner?</li> </ol>  | <p>Semi-structured Interviews</p> <p>Documentation Desk Review</p> <p>Focus-Groups discussions (if applicable)</p> | <p>Programmatic Reports</p> <p>KIIS with representatives of the Consortium (UNICEF, FAO, WFP), National and local government officials.</p> <p>Desk review on studies/assessments conducted during the implementation of the programme.</p> |
| <p><b>Coherence</b><br/><i>How well does the intervention fit?</i></p> <p>The compatibility of the intervention with other interventions in a country, sector or institution.</p>            | <ol style="list-style-type: none"> <li>1. To what extent has the SRSP initiative promoted complementarity, harmonization, and coordination by UNICEF and other key partners to maximize the achievement of results?</li> <li>2. What has worked well to encourage the integration of the AA and SRSP approaches within the social policy/humanitarian/DRR community?</li> <li>3. How has the project contributed to strengthening the understanding across these different technical areas?</li> </ol> | <p>Semi-structured Interviews</p> <p>Focus-Groups discussions</p>  | <p>KIIS with UN agencies and extended group of humanitarian agencies participating in anticipatory action</p>   |

|   |   |   |   |
|---|---|---|---|
| <p><b>Orientation toward impact</b><br/> <i>What difference does the intervention make?</i></p> <p>The extent to which the intervention has generated or is expected to generate significant positive or negative, intended, or unintended, higher-level effects.</p> | <ol style="list-style-type: none"> <li>1. To what extent did the SRSP interventions influence policy frameworks in the focus countries and at regional level in ways that promoted the rights and well-being of vulnerable populations?</li> <li>2. What, if any, are the systematic changes observed as a result of the project (i.e. changes in the system and subsystems critical or at specific leverage points)?</li> <li>3. What has worked well to encourage the integration of the AA and SRSP approaches beyond the social policy/humanitarian/DRR community?</li> </ol> | <p>Semi-structured Interviews</p> <p>Documentation Desk Review</p> <p>Focus-Groups discussions</p> <p>Reports</p> | <p>KIIS with representatives of the Consortium (UNICEF, FAO, WFP), National and local government officials.</p> <p>National and local government officials</p> <p>Regional Stakeholders: representatives of the ASEAN</p> |
|---|---|---|---|

|  |   |  |  |
|--|---|--|--|
| <p><b>Sustainability</b><br/> <i>Will the benefits last?</i><br/> The extent to which the net benefits of the intervention continue or are likely to continue.</p> | <ol style="list-style-type: none"> <li>1. To what extent do capacities, budgets and political will exist to sustain and scale-up this work? How can partner organizations work better internally to further advance and enhance sustainability of SRSP and AA (not only related to social protection but also to other social sectors like WASH, Education, etc.?)</li> <li>2. What continue to be the main challenges and opportunities for ensuring the continued outcomes of the SRSP interventions beyond the current funding?</li> <li>3. What are the lessons learnt that can be applied? what are the critical next steps or recommendations moving forward, at country and regional level? For UN and development/humanitarian partners?</li> </ol> | <p>Semi-structured Interviews</p> <p>Documentation Desk Review</p> <p>Focus-Groups discussions (if applicable)</p> | <p>Financial Reports provided by donors and implementing partners</p> <p>KIIs with National and local government officials</p> |
|--|---|--|--|

## 4.6 Quality assurance

SPRI is committed to high-quality project delivery and has strong quality assurance mechanisms in place to ensure that all work is conducted at the highest standards and technical work is internally reviewed before results are shared with clients. Compared to other organizations, SPRI enjoys the advantage of an 'in-house' team of highly qualified specialists. All deliverables must be reviewed and approved by the team leader before submission to clients. The team leader controls processes including:

- timelines for project deliverables;
- clear and concise interpretation of results from quantitative and qualitative data analysis in readable and user-friendly formats;
- consistency and quality of written texts of deliverables (correction of mistakes); consistency and format of deliverables with the needs and requirements of UNICEF ROs/COs and partners.

The team is highly responsive to integrate feedback and adjust presentations or reports to fit the exact need of the clients, without compromising on the quality and integrity of its content. Preliminary deliverables are preferably presented during national (or sub-national) workshops to avoid project teams formulating disputable conclusions and recommendations considering locally available knowledge. All texts and other outputs are proof-read and controlled by the team lead, who bears the end-responsibility for all outputs.

During project inception and implementation, team members are in constant contact with each other; they consult each other (and the broader SPRI team) on newly arising challenges or specific technical questions. SPRI also has the ability to pull from a broad pool of experts within SPRI (see list and profiles of associated experts on <https://spriglobal.org/about-us/>), all with high levels of expertise in research and with whom projects are regularly discussed. The SPRI team works in strong cooperation with each other. While smaller teams work on separate projects, the members of each of the smaller teams have regular meetings and assist each other in technical and editorial aspects of their work. The SPRI Communication Team works together with the project teams to ensure the overall quality, including visual quality, of end products.

## 4.7 Ethical considerations

The evaluation takes into consideration key aspects related to human rights, gender, and equity. At the same time, it is based on a participatory approach that includes and engages stakeholders. Consequently, the evaluation will follow UNICEF and UN guidance, including but not limited to [UNEG Ethical Guidelines for Evaluation \(2020\)](#); [UNEG Norms and Standards for Evaluation \(2016\)](#); [UNEG Guidance on Human Rights and Gender Equality in Evaluation \(2014\)](#); [UN Evaluation Group Code of Conduct for Evaluation in the UN System \(2008\)](#); and the [UNICEF Procedure for Ethical Standards and Research, Evaluation and Data Collection and Analysis \(2021\)](#). Furthermore, the research team will abide by the [European Union General Data Protection \(EU 2016/679\)](#) and [ASEAN Framework on Personal Data Protection](#) guidelines for collecting and using human subject's data.

The instruments for data collection will be revised and approved by an independent Ethical Review Board (ERB) prior to field missions. The data collection for this evaluation does not

directly involve participants whose personal agency is limited, nor do we anticipate any harms or risks to participants, the broader community, or the environment due to this evaluation. The views and statements of individual key informants to the evaluation will be anonymized, and all inputs from stakeholders will remain confidential to the evaluation team. Quotes used in the report from interviews or from survey responses are unattributed. The evaluation team will ensure that any data provided by individuals is based on informed consent and is protected. Data will be stored on a shared folder (e.g., Dropbox) until the end of the assignment, which is accessible to the evaluation team and designated members of the Evaluation Reference Group (ERG). Any sensitive issues or concerns identified throughout the evaluation process will be raised with the Evaluation Manager as soon as they are identified.

The evaluation team aims to ensure the safety of the subjects participating in their research and the protection of the subjects' identity and data. The evaluation will follow an ethical review approval process and will include explanations and relevant documentation in relation to this in the inception report.

#### 4.8 Limitations and mitigation strategies

The following table outlines potential limitations and risks associated with the evaluation, along with corresponding mitigation strategies. These insights will be integrated into the final evaluation report as they arise. With a team characterized by extensive experience and adaptability, we are well equipped to navigate unforeseen challenges. Moreover, we possess the capability to swiftly adjust our resources, ensuring effective management of any arising issues.

**Table 1: Limitation and risks of the evaluation and potential mitigation strategies.**

| <b>Limitations and risks</b>  | <b>Mitigation strategies</b>  |
|---|---|
| <b>Short/reduced timeframe</b>  | <ol style="list-style-type: none"> <li>1. Increase in the number of team members in the evaluation team.</li> <li>2. Prioritize tasks, for example focus on data collection phases that will answer most evaluation questions (desk review and KIIs).</li> </ol>  |
| <b>Challenges in accessing the documentation or delayed availability</b>                    | <ol style="list-style-type: none"> <li>1. Proactively negotiate access agreements and permissions.</li> <li>2. Prioritize other tasks to accommodate delays while maintaining the final delivery plan.</li> <li>3. Collect information through alternative data sources or methods (e.g., interviews).</li> </ol>                               |
| <b>Limited available documentation</b>  | <ol style="list-style-type: none"> <li>1. Collect information through alternative data sources or methods (e.g., interviews).</li> </ol>  |
| <b>Difficulties in stakeholder coordination, hindered accessibility to key stakeholders</b> | <ol style="list-style-type: none"> <li>1. Proactively set up meeting times and agreements.</li> <li>2. Facilitate online as well as in-person interviews, depending on stakeholder preference. We will arrange country visits to facilitate stakeholder coordination.</li> <li>3. Identify alternative stakeholders or data sources.</li> </ol> |
| <b>Insufficient interaction among involved parties</b>                                      | <ol style="list-style-type: none"> <li>1. Arrange workshops or focus groups to promote constructive dialogue.</li> <li>2. Establish mechanisms for soliciting and incorporating feedback.</li> </ol>  |
| <b>Unexpected staffing disruptions in core evaluation team and/or local consultants</b>     | <ol style="list-style-type: none"> <li>1. Reassign tasks among available team members to maintain project continuity.</li> <li>2. Source replacements from the SPRI team or local network.</li> </ol>   |

3. The deputy team leader will assume the role of team leader during absences.

## 4.9 Timeline and workplan

Table 2 illustrates the estimated timeline, for the deliverables of the evaluation project as proposed in the ToR and as discussed during the inception meeting with UNICEF. The final inception report should be submitted by April 29, to start data collection in May. The evaluation team foresees three weeks of in-country presence for data collection (KII and FGD). Given the tight timeframe we welcome UNICEF's support in coordinating these meetings. Data analysis will be conducted in parallel to be prepared for a validation workshop organized end of May. After the validation workshop the evaluation team will draft the evaluation report, to be presented at a recommendations workshop to be planned by June 10. Feedback from the workshop will be integrated into the final results, which are due on June 15. By the end of June the evaluation team will finalize the report and other dissemination products. The ERG is expected to facilitate the two workshops with stakeholders in Bangkok. Alternatively, online alternatives can also be discussed.

Table 2 Timeline and workplan

| Task   | April | May | June | Deadline |
|--|-------|-----|------|----------|
| <b>1. Inception Report</b>                           |       |     |      |          |
| 1.1 Kick-off meeting                                 |       |     |      |          |
| 1.2 Documentary review                               |       |     |      |          |
| 1.3 Initial meetings with key stakeholders           |       |     |      |          |
| 1.4 Development and validation of evaluation matrix  |       |     |      |          |
| 1.5 Draft inception report and data collection tools |       |     |      | April 22 |
| 1.6 Feedback from UNICEF                             |       |     |      |          |
| 1.7 Ethical Review                                   |       |     |      |          |
| 1.8 Final Inception report submitted                 |       |     |      | April 29 |
| <b>2. Data collection and validation</b>             |       |     |      |          |
| 2.1 Additional documentation review                  |       |     |      |          |
| 2.2 Prepare KII and survey                           |       |     |      |          |
| 2.3 In-country data collection                       |       |     |      |          |
| 2.4 Data analysis                                    |       |     |      |          |
| 2.5 preparation of validation workshops              |       |     |      |          |
| 2.6 Validation workshop Bangkok                      |       |     |      | TBD      |
| 2.7 Validation workshop Jakarta                      |       |     |      | TBD      |
| 2.8 Validation workshop Phnom Penh                   |       |     |      | TBD      |
| <b>3. Draft evaluation report</b>                    |       |     |      |          |
| 3.1 Draft report                                     |       |     |      | June 10  |
| 3.2 Present report in recommendation workshop        |       |     |      | June 10  |
| <b>4. Final Report and dissemination</b>             |       |     |      |          |
| 4.1 Finalize results                                 |       |     |      | June 15  |
| 4.2 Finalize report and other dissemination products |       |     |      | June 30  |

## 5. Team composition

The final team composition is presented below:

Figure 2 Core team

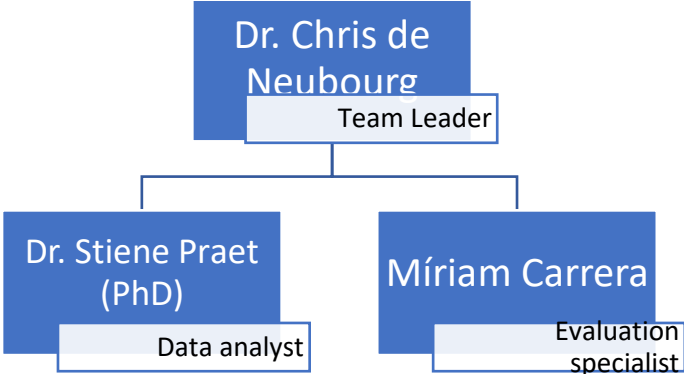
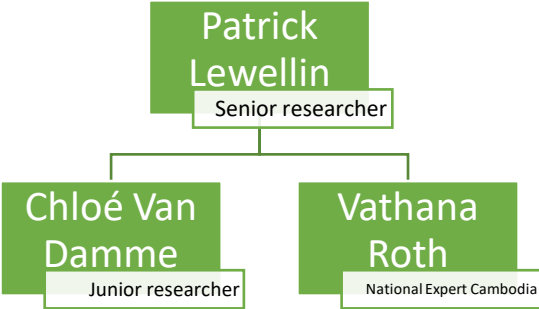


Figure 3 Support team



The evaluation team will be led by Prof. Dr. Chris de Neubourg, the Director of SPRI and a prominent figure in the field of social protection, boasting 40 years of global experience, including significant involvement in Southeast Asia. Dr. Stiene praet and Míriam Carrera (MSc.) will further fortify the team, each bringing substantial expertise in program evaluation and social protection.

In addition to our core team, senior researcher Patrick Lewellin will lead the additional support team and will coordinate the activities with the pool of local experts who can be enlisted for support in data collection if necessary. He will be supported by junior researcher Chloé Van Damme. National partners will be mobilized if the team would need extra support in collecting additional data or information or to unlock documents and information only accessible in national languages of the ASEAN countries. Vathana Roth (MSc.) will play a special role as they are nationals of respectively Indonesia and Cambodia.

Collaboration within the core team has been consistently seamless, having previously worked together on multiple occasions. For coordination and communication, the team will primarily engage in online interactions. This approach has proven successful in past collaborations and will facilitate efficient collaboration despite geographical distances.

## **6. Preliminary results**

Based on a review of the available documentation and on initial discussions with stakeholders from project partners (including UNICEF and the Finnish Red Cross), preliminary findings related to a limited set of evaluation questions can be formulated. Review of additional resources, key informant interviews, surveys and workshops as described in the methodology will be needed to elaborate on these findings.

### Relevance

**Initial discussions with stakeholders from project partners (including UNICEF and the Finnish Red Cross) highlight concerns regarding the project's relevance within the constrained time frame.** While valuable insights have been gained, it would require years to fully accomplish the ambitions of this project. Questions arise about the appropriateness of intertwining AA and SRSP within a project confined to a preparedness action, as well as in relation with the length of the donor's funding cycles. Particularly in contexts like Indonesia, where social protection frameworks are still evolving and currently still lack clear and consistent structures. Therefore, it becomes imperative to sustain the initiated efforts beyond the project's funding expiration.

**An examination of the provided documentation highlights challenges pertaining to the clarity and measurability of the intervention's objectives.** Although a logframe exists, the project lacks a clear theory of change. Furthermore, while objective indicators are outlined within the logframe, they are not consistently well-defined. For example, the first objective indicator seeks a "15% reduction in the expected number of affected people" by the project's conclusion, yet the method for quantifying this reduction remains ambiguous. Furthermore, this indicator necessitates revision for Indonesia due to changes in activities, a step that should have been promptly addressed as soon as activities were revised, rather than waiting until after their completion. Similarly, the second objective indicator aims to establish connections between social protection systems and climate risk-informed tools but lacks clarity regarding the criteria for determining when such systems are genuinely 'connected.'

**Furthermore, the outcome indicators, though quantifiable, suffer from vagueness or inadequacy in assessing the quality of the delivered product.** For example, an outcome indicator for Result 2 states that "14 million population from three provinces will benefit from the provincial regulations and action plans on shock-responsive/adaptive social protection." However, the quality or impact of these regulations and plans remains unspecified. Similarly, indicators such as "AMS have access to at least two new regional tools to enhance SRSP and AA program design and implementation" (Result 3) lack clarity on how the effectiveness or utility of these tools will be assessed.

Efficiency and effectiveness/Achievement of results

Figure 4: Progress indicators for Result 1, 2, and 3



**A detailed examination of M&E documentation reveals mixed performance across various aspects of implementation.** While most activities were completed as scheduled, delays were encountered in some areas, notably in the development of AA plans and the integration of technical guidance on risk financing options. Additionally, certain activities in Indonesia were dropped entirely due to changing circumstances or lack of stakeholder interest.

In Cambodia (Result 1), most activities were completed as scheduled, with some minor delays for the production and dissemination of AA plan and operational manual of the Shock Responsive Family Package. For Indonesia (Result 2), multiple activities were dropped, including 2.1, 2.3, 2.4 and 2.6. For activity 2.1, e-SIMBA has been successfully linked with 4 functional risk information systems, but due to the challenges in accessing the DTKS data, the integration of this dataset into e-SIMBA was hindered, as well as data sharing through a mobile application. Activities 2.3 and 2.4 were dropped because the Ministry of Social Affairs (MoSA) is not interested in collaborating with any external partners on issues related to adaptive social protection and no one can predict when the current stalemate on presidential regulation will be over. On the other hand, the relevance or need of some interventions has changed, for example, the Ministry of Finance does not require an emergency financing model while the Disaster Risk Financing and Insurance (DRFI) Strategy is currently being rolled out. Therefore, activities 2.5 and 2.6 were combined under the new heading for 2.5. At the regional level (Result 3), an additional activity was organized that wasn't initially planned for: Organize a regional training on Shock-responsive Social Protection for Government counterparts.

**According to the tracking of progress indicators, the overall strategic objectives have been partially achieved<sup>17</sup>, and most targets for results indicators were met. However,**

<sup>17</sup> Indicator 1 for Indonesia needs to be revised.

**less than half of the intended knowledge products has been finalized.** For Result 1, two out of four targets were met (see Annex Table x), although the Anticipatory Action Plan and the operation manual for the Family Package are expected to be delivered in the future, after which all targets would be met. Only two out of five knowledge products are currently finalized. For Result 2, the indicators and targets have been revised after changes in the programme due to unforeseen challenges. The target for the number of people reached through Information, Education and Communication on DRR have been achieved and both the report and policy brief to inform the revision of the Disaster Risk Financing Insurance Strategy to integrate emergency social protection financing strategy have been finalized and disseminated. Which means that as of now, only two out of five targets have been achieved. On the other hand three out of five knowledge products are finalized. Finally, for Result 3, two out of two targets are achieved, but only three out of ten knowledge products are currently finalized. Also, an additional activity was organized that wasn't originally planned for (a regional SRSP workshop).

**Overall, while progress towards strategic objectives and results has been tracked and achieved in some instances, revisions to indicators and targets have been necessary due to unforeseen challenges.** Notably, the intervention has shown effectiveness in certain areas, such as the organization of regional training sessions. However, stakeholder challenges have hindered the successful implementation of Provincial Regulations and action plans for SRSP/ASP in Indonesia. Additionally, certain deliverables have faced delays and require subsequent follow-up and dissemination post the official conclusion of the project.

#### Sustainability

Given the constrained timeline of the current funding, it is imperative to further advance SRSP and AA interventions beyond the current funding. This entails exploring financing alternatives beyond the existing funding. In Indonesia, the development and dissemination of a financial model and a report on disaster risk financing for SRSP/ASP at the national level can contribute to this effort. However, delays in providing technical guidance on risk financing options at the regional level necessitate dissemination post-project conclusion to offer regional-level guidance. Moreover, the prevailing impasse on presidential regulation in Indonesia poses challenges to the sustainable continuation of SRSP and AA integration.

## **7. References**

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United Nations Children's Fund. 2023. Shock Responsive Social Protection: What we know so far A stock taking from East Asia and Pacific, UNICEF East Asia and Pacific Regional Office, Bangkok, 2023.

## **Annex 1: Draft selection of KIIs**

| Location         | Name                              | Organization   | Project Component |    |                    |                  |                    |           |                                 |
|------------------|-----------------------------------|--|-------------------|----|--------------------|------------------|--------------------|-----------|---------------------------------|
|                  |                                   |  | SRSP              | AA | Information & Data | Policy Framework | Operationalization | Financing | Project Management/Coordination |
| Region           | <b>Regional partners</b>          |  |                   |    |                    |                  |                    |           |                                 |
|                  | Riyanti Djalante (Director)       | ASEAN Secretariat; Disaster Management and Humanitarian Assistance (DMHA) Division |                   | X  |                    |                  |                    |           |                                 |
|                  | Nguyen Anh Son                    |  |                   | X  |                    |                  |                    |           |                                 |
|                  | Hang ThiThanh Pham                | FAO Regional Office  | X                 |    |                    |                  |                    |           |                                 |
|                  | Catherine Jones                   |  |                   | X  | X                  |                  |                    |           |                                 |
|                  | Damien Riquet                     |  |                   | X  | X                  |                  |                    |           |                                 |
|                  | Digvijay Singh                    |  |                   | X  |                    |                  |                    |           |                                 |
|                  | Mulugueta Handino                 |  |                   | X  |                    |                  |                    |           |                                 |
|                  | Raymond Zingg                     | IFRC   |                   | X  |                    |                  |                    |           |                                 |
|                  | <b>Regional Service Providers</b> |  |                   |    |                    |                  |                    |           |                                 |
|                  | TBD                               | Finnish Metereological Institute (FMI)   |                   | X  | X                  |                  |                    |           |                                 |
|                  | TBD                               | Regional Integrated Multi-Hazard Early Warning System for Africa and Asia (RIMES)  |                   | X  | X                  |                  |                    |           |                                 |
|                  | Nard Huijbregts                   | EPRI   | X                 |    |                    | X                | X                  |           |                                 |
|                  | <b>Project Partners</b>           |  |                   |    |                    |                  |                    |           |                                 |
|                  | Ruben Villanueva                  | UNICEF   | X                 |    |                    |                  |                    |           | X                               |
|                  | Andrea Rossi                      |  | X                 |    |                    |                  |                    |           | X                               |
|                  | Jana Gilbert                      |  | X                 |    |                    |                  |                    |           | X                               |
| Megan Lilley     | Finnis Red Cross                  |  | X                 | X  |                    |                  |                    | X         |                                 |
| Daniel Longhurst | WFP Regional Office               | X  |                   |    |                    |                  |                    | X         |                                 |

|                 |   |   |   |   |   |   |   |   |   |
|-----------------|---|---|---|---|---|---|---|---|---|
|                 | Aphitchaya Nguanbanchong                  |   | X |   |   |   |   |   | X |
|                 | Sumaiya Kabir                             |   |   | X |   | X |   | X |   |
|                 | Jothiganesh.Sundaram                      |   |   | X | X |   |   | X |   |
|                 | Clare O'brien                             | WFP Rome  | X |   |   |   |   | X |   |
|                 | <b>Donor</b>                              |   |   |   |   |   |   |   |   |
|                 | Davide Zappa                              | DG-ECHO   | X | X |   |   |   |   | X |
|                 | Sawapa Tangsawapak                        | DG-ECHO   | X | X |   |   |   |   | X |
| <b>Cambodia</b> | <b>Government Partners</b>                |   |   |   |   |   |   |   |   |
|                 | Under Secretary of State H. Samheng Boros | Ministry of Social Affairs, Veterans and Youth Rehabilitation (MoSVY)   | X |   |   | X |   |   |   |
|                 | Theany Choearng (Mr.)                     | Director of Operational Support (DOS), General Secretariat, National Social Protection Council (GN-NSPC)                        | X |   |   |   | X |   |   |
|                 | So Socheath (Mr.)                         | Senior Technical Officer, National Committee for Disaster Management (NCDM)   |   | X |   | X |   |   |   |
|                 | Hour Tola (Mr.)                           | Deputy Director General, National Social Assistance Fund, Ministry of Social Affairs, Veterans and Youth Rehabilitation (MoSVY) | X |   |   | X |   |   |   |
|                 | <b>Service Providers</b>                  |   |   |   |   |   |   |   |   |
|                 | Nard Huijbregts                           | EPRI  | X |   |   |   |   | X |   |
|                 | <b>Project Partners</b>                   |   |   |   |   |   |   |   |   |
|                 | Fumitsugu Tosu                            | WFP   | X | X |   | X |   | X |   |
| Jakub Smutny    |   |   | X |   | X |   | X |   |   |

|                    |                                |   |   |   |   |   |   |   |  |
|--------------------|--------------------------------|---|---|---|---|---|---|---|--|
|                    | Tomas Barbero                  |   | X |   |   | X |   |   |  |
|                    | Sovannarith Hang               |   | X | X |   | X | X |   |  |
|                    | Lisa-Marie Ouedraogo-Wasi      | UNICEF  | X |   |   | X | X | X |  |
|                    | Kimsong Chea                   |   | X |   |   |   |   | X |  |
|                    | Sovannary Keo                  |   | X |   |   | X | X | X |  |
|                    | TBD                            | Finnish Red Cross                                   |   | X | X |   |   |   |  |
| <b>Indonesia</b>   | <b>Government Partners</b>     |   |   |   |   |   |   |   |  |
|                    | Rita Helbra Tenrini            | Fiscal Policy Agency, Ministry of Finance           |   |   |   |   |   | X |  |
|                    | Dinar Kharisma                 | Bappenas, Ministry of Planning                      | X |   | X | X |   |   |  |
|                    | Anastutik                      | Ministry of Village                                 |   |   |   |   |   |   |  |
|                    | <b>Non-government Partners</b> |   |   |   |   |   |   |   |  |
|                    | Saut Sagala                    | Resilience Development Initiative (RDI)             | X |   |   |   |   | X |  |
|                    | Wewin Wira Cornelis Wahid      | Resilience Development Initiative (RDI)             | X |   |   |   |   | X |  |
|                    | <b>Project Partners</b>        |   |   |   |   |   |   |   |  |
|                    | Gilang Seta                    | WFP   |   | X | X |   |   |   |  |
|                    | Katarina Kohutova              |   |   | X | X |   |   |   |  |
| Yoshimi Nishino    | UNICEF                         | X   |   |   | X | X | X |   |  |
| Md Shafiqul Islam  |                                | X   |   | X | X | X | X |   |  |
| Ratnawati Muyanto  |                                | X   |   | X | X | X | X |   |  |
|                    | Finnish Red Cross              |   | X | X |   |   |   |   |  |
| <b>Philippines</b> | <b>Government Partners</b>     |   |   |   |   |   |   |   |  |
|                    | TBD                            | Department of Social Welfare and Development (DSWD) | X |   |   |   |   |   |  |

## **Annex 2: M&E documentation**

Table 3 Timeliness of projects and activities

| Result 1: Social Protection and Anticipatory Action systems are strengthened and interlinked to address the impacts of climate hazards on the most vulnerable population in Cambodia. |   |   |
|---|---|---|
| 1.1   | AA plan developed and integrated in DRM and SRSP systems  |   |
|   | a) Conduct a desk review of AA literature and lessons learned to revise available information, data and indicators on vulnerability and risk, to determine gaps and prioritize AA contents accordingly.           | ENDED   |
|   | b) Conduct a series of key informant interviews and at least two consultation workshops with government officials such as NCDM, MoSVY, and humanitarian partners involved in DRM and SRSP to develop the AA Plan. | ENDED   |
|   | c) Produce and disseminate an AA Plan.  | DELAYED   |
|   | d) Develop SRSP framework.  | ENDED<br>In Khmer,<br>translation in<br>English is underway |
| 1.2   | The Shock Responsiveness of the core cash transfer programmes under Family Package is strengthened and linked to the DRM system   |   |
|   | a) Develop SR/Adaptive Family Package policy options and design solutions following the SRSP framework and in line with Activity 1.1 where feasible.  | ENDED   |
|   | b) Ensure consultation and policy dialogue with key stakeholders.   | ENDED   |
|   | c) Draft the operational manual and undertake dissemination of the Shock Responsive Family Package.   | DELAYED<br>Final manual<br>expected Q3 2024                 |
| 1.3   | Support development and update of the vulnerability and risk monitoring system tools  |   |
|   | a) Develop socio-economic vulnerability and risk indicators to ensure routine monitoring of existing and new beneficiaries to trigger shock-responsive and resilience building intervention under Family Package  | ENDED   |
|   | b) Test and build the indicators into the routine M&E system for social assistance linked to social assistance integrated MIS and other databases as relevant   | ENDED   |

| Result 2: Government of Indonesia has systems and tools, knowledge and financial mechanisms to mitigate the impact of climate hazards and disasters through Shock Responsive Social Protection |   |          |
|--|---|----------|
| 2.1  | Provide technical assistance to strengthen e-SIMBA's interoperability and connectivity with other risk information systems for enhanced decision-making informing ASP/SRPS programmes serving populations most vulnerable to climate risks.   |          |
|  | a) Strengthen e-SIMBA by connecting databases from PRISM, InaRISK, SIGNATURE, SIDIK and SIPANDORA through customized APIs developed by WFP's software developers and GIS experts.   | ENDED    |
|  | b) Identify pathways to connect relevant information from MoSA's Unified Database for Social Protection (DTKS) and Indonesia's socio-economic registration system into the enhanced e-SIMBA platform to inform the identification of and support to disaster-prone communities through social protection schemes. | DROPPED  |
|  | c) Support MoSA in developing a collaborative data sharing mechanism through a mobile application used at national and subnational levels to keep e-SIMBA up to date with accurate risk information and beneficiary data for ASP/SRPS and AA programmes.  | DROPPED  |
|  | d) Further develop Indonesia-specific methodologies to define triggers and thresholds informing early actions utilizing government systems, including the e-SIMBA platform.   | DROPPED  |
| 2.2.   | Strengthen sustainable capacities at national and subnational levels (province and district level) to improve the knowledge and skills of relevant government officials on ASP/SRSP and AA.   |          |
|  | a) Develop joint training materials/modules on SRSP/ASP.  | ENDED    |
|  | b) Organize and undertake joint training events for about 200 government officials in national ministries and selected provincial governments (Yogyakarta, East Nusa Tenggara and West Nusa Tenggara) involved in and responsible for SRSP/ASP implementation.  | ENDED    |
|  | c) Establish a core team of 10 trainers on e-SIMBA at national level, ensuring ownership and sustainability of learning at both national and sub-national level.  | ENDED    |
|  | d) e-SIMBA with blueprints and roll out reports; Simulation reports; Risk maps.   | DROPPED? |

|     |   |         |
|-----|---|---------|
| 2.3 | Provide technical support to the Ministry of Social Affairs (MoSA) and the Ministry of Villages, Development of Disadvantaged Regions, and Transmigration (MoV) to develop Ministerial Regulations on SRSP/ASP in line with the Presidential Regulations on Social Protection Reform.   | DROPPED |
| 2.4 | Provide technical support to the provincial governments of Yogyakarta, East Nusa Tenggara, and West Nusa Tenggara to develop and disseminate Provincial Regulations and action plans for the implementation of SRSP/ASP in line with the Presidential Regulations on Social Protection Reform.  | DROPPED |
| 2.5 | Develop and disseminate a financial model and a report on disaster risk financing for SRSP/ASP at the national level. // [MR] Support the Ministry of Finance to integrate emergency social protection financing into the Disaster Risk Financing Strategies Instrument.  |         |
|     | a) Technical Support on the development of a financial model for the SRSP/ASP at the national level, with cost analysis to ensure sustainability and replicability of outcomes. [MR] a) Conduct a background/analytical study to integrate emergency social protection financing into the Disaster Risk Insurance Financing Strategy. | ENDED   |
|     | b) Publish the report and disseminate the model Inter-Ministerial Consultation Meeting to provide input to the DRFI reform. [MR] b) Organize a consultation on Disaster Risk Financing in Indonesia under Indonesian ASEAN Chairmanship   | ENDED   |
|     | [MR] c) Prepare a brief for policymakers on how to integrate emergency social protection financing in DRFI  | ENDED   |
| 2.6 | Develop and disseminate financial models and a report with focus on potential local/community-level financing for three selected provinces.   |         |
|     | a) Technical Support on the development of a financial model for the SRSP/ASP at the sub-national level, with cost analysis to ensure sustainability and replicability of outcomes.   | DROPPED |
|     | b) Publish and disseminate the model at the sub-national level.   | DROPPED |

Result 3: ASEAN Member States benefit from harmonized approaches and make use of regional tools to design and implement integrated Anticipatory Action and Shock Responsive Social Protection programme.

|     |   |         |
|-----|---|---------|
| 3.1 | Ensuring quality forecast products and impact-based analysis platforms at regional, and AMS level to inform risk assessment and improvement of seasonal and sub seasonal forecast – in conjunction with short-range weather forecast for DRR, Anticipation and SRSP at AMS level  |         |
|     | a) Consultations with relevant stakeholders to stock take on the availability of both seasonal and sub-seasonal forecasts and products, including identifying resolution, skill, timeliness to provide relevant information and basis for enhancing forecast access, vulnerability data sets relevant for translating forecast products into impact-based outlooks, and use in preparedness and contingency planning in the 2 pilot countries.                        | ENDED   |
|     | b) Training to NHMS staff (in 2 pilot countries) on tailoring/translating regional seasonal and sub-seasonal outlook combined with vulnerability information into impact-based outlooks to guide national and sub-national decision contexts. Development of pilot products together with the NHMS's for national and sub-national decision makers and preparation of guidance note and advancement plan to sustain and further develop these services in the future. | ENDED   |
|     | c) Production of guidance note on generating impact-based outlooks and share the lessons from the pilot countries to AMS through regional COF's to enable other AMS to potentially adopt this approach on impact-based outlooks.  | ENDED   |
| 3.2 | Develop and disseminate a technical guidance on risk financing options for Anticipatory Action and Shock Responsive Social Protection for ASEAN countries   |         |
|     | a) Drafting of a technical guidance for integration into the ASEAN Framework on Anticipatory Action in Disaster Management, drawing from the two background documents.  | DELAYED |
|     | b) Consultations with ASEAN (Secretariat and other Divisions) for the finalization and endorsement of the technical guidance  | DELAYED |
|     | c) Return on Investment study: Philippines case study   | DELAYED |
|     | d) Improving multi-hazard and risk-informed PFM processes: Indonesia and Cambodia case studies  | DELAYED |
|     | e) Launch of the technical guidance alongside with ASEC and relevant Divisions and Programmes   | DELAYED |
| 3.3 | Promoting South-South cooperation between ASEAN and other regions on how to best link Anticipatory Action and Shock Responsive Social Protection.   |         |
|     | a) South-South Policy forum on AA and SRSP between ASEAN and other regions  | ENDED   |

|      |   |       |
|------|---|-------|
|      | b) Development and publication of the brief 'five years of AA in the ASEAN –A stock taking of the Road Maps on Anticipatory Action and Social Protection in selected AMS' will be produced under this result [MR] Development of a publication as an output from the Regional Policy Forum, including background papers on AA, SRSP, and research and evidence. | ENDED |
|      | c) Revision meeting at the end of the project on best practices and lessons learned of linking AA and SRSP programs.  | ENDED |
| [RM] | Organize a regional training on Shock-responsive Social Protection for Government counterparts  | ENDED |
|      | a) Recruitment of trainer and development/adaptation of training package (drawing on existing materials)  | ENDED |
|      | b) One training delivered to government counterparts  | ENDED |

Table 4 Indicators for strategic objectives

| Indicator (Original)  | Baseline | Unit      | Target     | Progress             |
|---|----------|-----------|------------|----------------------|
|   |          |           | 12/31/2023 | 31/03/2024           |
| 1. At the end of the project, 2 AMS have recorded a 15 % reduction in the expected number of affected people<br>(Needs to be revised for Indonesia)   | 0        | %         | 15         | 15<br>(For Cambodia) |
| 2. At the end of the project, at least 2 AMS have their social protection systems connected to climate risk-informed tools as well as the mechanisms to target beneficiaries before, during and after climate shocks through social protection system | 0        | Countries | 2          | 2                    |

Table 5 Indicators for Result 1

| Indicator (Original)  | Baseline | Unit | Target     | Progress                                  |
|---|----------|------|------------|---|
|   |          |      | 12/31/2023 | 31/03/2024                                |
| 1. Anticipatory Action Plan developed and linkages with DRM and Social Protection systems established | 0        | Plan | 1          | 0<br>Final AAP to be available by June 31 |

|   |   |   |       |   |
|---|---|---|-------|---|
| 2. The Shock Responsiveness of the core cash transfer programs under the Family Package is <u>built-in its design and links to DRM</u> systems established  | 0 | Document and/or Operations Manual                     | 1     | 0.5 final manual will be ready by Q3 2024 |
| 3. Climate vulnerability and risk indicators for beneficiary targeting are <u>designed and tested</u> to be included in social protection response programs | 0 | M&E database and Management Information System module | 1     | 1   |
| 4. <u>Number of people reached</u> through Information, Education and Communication on DRR  | 0 | Government officials and community members            | 1,000 | 6,070                                     |

Table 6 Indicators for Result 2

| Indicator (Original/revised)   | Baseline | Unit                 | Target  | Progress                       |
|--|----------|----------------------|---------|--------------------------------|
|  |          |                      | revised | 31/03/2024                     |
| 1. <u>Number of people covered</u> by a functional Early Warning System  | 0        | People               | 14M     | TBC                            |
| 2. <u>Number of people reached</u> through Information, Education and Communication on DRR   | 0        | Government officials | 300     | 257                            |
| 3. (revised) Indicator absorbed by #2.training of additional officials, including by the Ministry of Villages (targets updated).   | 0        | People               | 100     | 100 additional trainees in ASP |
| 4. (revised) Indicator absorbed by #2.training of additional officials, including by the Ministry of Villages (targets updated).   | 0        | People               | 100     | 100 additional trainees in ASP |
| 5. (revised) A finalized and disseminated report and policy brief to inform the revision of the Disaster Risk Financing Insurance Strategy to integrate emergency social protection financing strategy | 0        | Report               | 2       | 2                              |

Table 7 Indicators for Result 3

| Indicator (Original)   | Baseline | Unit  | Target     | Progress   |
|--|----------|---|------------|------------|
|  |          |   | 12/31/2023 | 31/03/2024 |
| 1. AMS have access to at least two <u>new regional tools</u> to enhance SRSP and AA program design and implementation.               | 3        | Tools, Frameworks and/or Technical Guidance | 5          | 5          |
| 2. At least five new <u>knowledge products, studies and joint events</u> developed to support AMS and ASEAN on advancing AA and SRPS | 5        | Knowledge products and/or events            | 10         | 10         |

Table 8 Developed products

| Result/Country        | Outputs/Knowledge Products/Publications   | Responsible Organization(s) | Status |       |           |
|-----------------------|---|-----------------------------|--------|-------|-----------|
|                       |   |                             | Draft  | Final | Published |
| <b>R.1. Cambodia</b>  | A.1.2. Shock-Responsive/Adaptive Family Package document and Operations Manual  | UNICEF                      | X      |       |           |
|                       | A.1.3. Climate risk & vulnerability indicators for beneficiary targeting included in social protection response programs and MoSVY's M&E database and Management Information System (MIS) | UNICEF                      | X      |       |           |
|                       | A.1.1. Anticipatory Action Plan (for floods)  | WFP                         |        |       |           |
|                       | A.1.1. SRSP Framework   | WFP                         |        | X     | X         |
| <b>R.2. Indonesia</b> | A.2.2. Training materials on ASP/AA   | UNICEF                      |        | X     |           |
|                       | A.2.1. Training of trainers materials for e-Simba   | WFP                         | X      |       |           |
|                       | A.2.2. e-SIMBA with blueprints and roll out reports; Simulation reports; Risk maps.   | WFP                         |        |       |           |
|                       | A.2.5. Report and policy brief to inform the revision of the Disaster Risk Financing Insurance Strategy to integrate emergency social protection financing strategy                       | UNICEF                      |        | X     |           |
|                       | A.2.5. Public Engagement Event on DRF as Indonesia's ASEAN chairmanship   | UNICEF                      |        | X     |           |

|                      |  |        |   |   |   |
|----------------------|--|--------|---|---|---|
| <b>R.3. Regional</b> | 3.1. Technical guidance on translating seasonal and sub-seasonal climate outlooks for sector specific national and subnational outlook                   | FRC    |   |   |   |
|                      | 3.1. Desk Review - Mapping the availability, access, and use of seasonal and sub-seasonal forecasts  | FRC    |   | X |   |
|                      | 3.2. Regional guidance on risk financing options for Anticipatory Action and Shock Responsive Social Protection for ASEAN countries                      | UNICEF |   |   |   |
|                      | 3.2. Return on Investment study: Philippines case study  | WFP    |   |   |   |
|                      | 3.2. Improving multi-hazard and risk-informed PFM processes: Indonesia and Cambodia case studies   | UNICEF |   |   |   |
|                      | 3.3. Conference Report: Regional Social Policy Forum EAP "Towards a Child-sensitive and Adaptive Social Protection System: Achievements and Forethought" | UNICEF |   | X | X |
|                      | 3.3. Shock responsive social protection: What we know so far - A stock taking from East Asia and Pacific   | UNICEF |   | X |   |
|                      | 3.3. Working paper: Management Information systems for social protection in EAP (S. Farooq)  | UNICEF | X |   |   |
|                      | 3.3. Working paper: Evidence, research and data for social protection in EAP (J. Karpati)  | UNICEF | X |   |   |
|                      | 3.6. Final Evaluation Report   | UNICEF |   |   |   |

### **Annex 3. Key Informant Interviews Guidelines**

The following interview guidelines will be further tailored to the specific stakeholder, following concrete involvement and role in the project and its activities.

#### **1. Interview guideline for project partners and government institutions**

##### **Objectives**

This interview guide is intended to facilitate discussion with the Key Informants involved in the "Scaling up Anticipatory Action and Shock Responsive Social Protection" project for the ASEAN region. The objective is to gather feedback and insights to inform the final evaluation study covering the project period from July 2022 to March 2024. The final evaluation focuses on assessing relevance of the project design, efficiency and effectiveness of implementation and partnerships, achievement of results and capacity building, quality of the project deliverables, and to identify challenges, successes, and lessons learned for future reference and improvement.

##### **Introductions**

My name is [Name of the Researcher]. I work as a researcher for the SPRI team. Our team has been commissioned to conduct a final evaluation of the project “Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN”. The evaluation will cover the implementation of the entire project period (July 2022 to March 2024), and its geographical scope will be the ASEAN region, with a special focus in Indonesia and Cambodia at the national level. We are interested in learning about project implementation, including the role of your institution, and discussing your perceptions on the results and impact of the project. Our goal is to identify challenges, successes, and lessons learned for future reference and improvement. If you allow it, our discussion will be recorded. It will remain anonymous at all times.

## Questions

### Project goal/Relevance

1. Could you provide an overview of the role and responsibilities of your institution as a project partner and its relationship to the overall project objectives?
2. Can you share your opinion on the relevance of the overall project design and its alignment with stakeholder needs and priorities?
3. Were any adaptations made to the project design during implementation to maintain alignment with stakeholder needs? If so, could you provide examples and the rationale behind them?
4. What suggestions do you have to ensure the project maintains relevance over time, especially considering changing circumstances?

### Project implementation/Efficiency and effectiveness

5. What variations have you identified in the quality of implementation [indicate specific activities of project implementation], and what factors do you think influenced these variations?
  - E.g. Think of management, financial, and regulatory aspects, implementation modifications or deviation from plans.
6. What challenges did your institution face during project implementation [indicate specific activities of project implementation], and how were they addressed? Were there any lessons learned from overcoming these challenges?
7. Can you share some successes or achievements your institution experienced during project implementation [indicate specific activities of project implementation], and what factors contributed to these successes?

### Partnerships and Collaborations/Coherence:

8. How effective and harmonized was the collaboration with other stakeholders, [mention collaboration with the government / within the government / with other IIOOs or NGOs], how well did your activities fit with their approaches? What challenges were encountered?

### Project Outcomes/Impact:

9. Do you consider that the project has contributed to [insert specific outcome]? Why?
10. What are the perceived outcomes and impacts of [insert specific project activities], particularly in terms of [insert specific outcome/impact]?
11. Can you provide evidence of positive or negative changes observed as a result of [insert specific project interventions]?
  - E.g. Ask about changes to policy frameworks in the focus countries/regional level in ways that promoted the rights and well-being of vulnerable populations.

### Lessons Learned and Recommendations/Sustainability:

12. Based on your experience with this project, what recommendations would you make for improving future project planning and execution?

13. Is there any additional information or feedback you would like to share with the evaluation team?

## 2. Interview guideline for donors

### Objectives

This interview guide is intended to facilitate discussion with the Key Informants involved in the "Scaling up Anticipatory Action and Shock Responsive Social Protection" project for the ASEAN region. The objective is to gather feedback and insights to inform the final evaluation study covering the project period from July 2022 to March 2024. The final evaluation focuses on assessing relevance of the project design, efficiency and effectiveness of implementation and partnerships, achievement of results and capacity building, quality of the project deliverables, and to identify challenges, successes, and lessons learned for future reference and improvement.

### Introductions

My name is [Name of the Researcher]. I work as a researcher for the SPRI team. Our team has been commissioned to conduct a final evaluation of the project "Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN". The evaluation will cover the implementation of the entire project period (July 2022 to March 2024), and its geographical scope will be the ASEAN region, with a special focus in Indonesia and Cambodia at the national level. We are interested in learning about project implementation, including the role of your institution, and discussing your perceptions on the results and impact of the project. Our goal is to identify challenges, successes, and lessons learned for future reference and improvement. If you allow it, our discussion will be recorded. It will remain anonymous at all times.

### Questions

#### Project goal/Relevance

1. Could you provide an overview of the role and responsibilities of your institution as a donor and its relationship to the overall project objectives?
2. What motivated your organization to support this project?
3. How would you define success for this project, both in the short term and the long term?
4. Can you share your opinion on the relevance of the overall project design and its alignment with stakeholder needs and priorities?
5. What suggestions do you have to ensure the project maintains relevance over time, especially considering changing circumstances?

#### Project implementation/Efficiency and effectiveness

6. What challenges did your institution witness during project implementation, and how were they addressed? Were there any lessons learned from overcoming these challenges?

#### Partnerships and Collaborations/Coherence:

1. Could you describe the partnerships formed during the project, with other project partners as well as within and beyond the social policy/humanitarian/DRR community?
2. How do you perceive the partnership between your organization and the implementing agencies, government institutions and service providers?
3. What do you see as the strengths and weaknesses of this partnership?
4. Are there any areas where you believe collaboration could be improved or expanded?

#### Project Outcomes/Impact:

5. What are the perceived outcomes and impacts of the overall project?
6. Can you provide evidence of positive changes or benefits observed as a result of project interventions?

#### Lessons Learned and Recommendations/Sustainability:

7. Based on your experience with this project, what recommendations would you make for improving future project planning and execution?
8. How do you see the potential for sustainability beyond the initial funding period?
9. Are there plans or strategies in place to scale up or replicate successful aspects of the project?
10. What role do you envision your organization playing in ensuring the sustainability and scalability of the project?
11. Is there any additional information or feedback you would like to share with the evaluation team?

### 3. Interview guideline for service providers

#### **Objectives**

This interview guide is intended to facilitate discussion with the Key Informants involved in the "Scaling up Anticipatory Action and Shock Responsive Social Protection" project for the ASEAN region. The objective is to gather feedback and insights to inform the final evaluation study covering the project period from July 2022 to March 2024. The final evaluation focuses on assessing relevance of the project design, efficiency and effectiveness of implementation and partnerships, achievement of results and capacity building, quality of the project deliverables, and to identify challenges, successes, and lessons learned for future reference and improvement.

#### **Introductions**

My name is [Name of the Researcher]. I work as a researcher for the SPRI team. Our team has been commissioned to conduct a final evaluation of the project "Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN". The evaluation will cover the implementation of the entire project period (July 2022 to March 2024), and its geographical scope will be the ASEAN region, with a special focus in Indonesia and Cambodia at the national level. We are interested in learning about research and services delivered for the project implementation, including the role of your institution, and discussing your perceptions on the results and impact of your services and the overall project. Our goal is to identify challenges, successes, and lessons learned for future reference and improvement. If you allow it, our discussion will be recorded. It will remain anonymous at all times.

#### **Questions**

##### Project goal/Relevance

1. Could you provide an overview of the role and responsibilities of your institution as a service provider? What were the expected deliverables and how do they relate to the specific project activity and/or the overall project objectives?
2. Based on your experience, can you share your opinion on the relevance of the activity and/or of the overall project design and its alignment with stakeholder needs and priorities? (If they are familiar with the overall project design)
3. Can you share your opinion on the relevance of the services deliverables to achieve specific results and/or to the overall objective of the project.
4. Were any adaptations made to your task as a service provider or the expected deliverables to maintain alignment with stakeholder needs? If so, could you provide examples and the rationale behind them?

5. What suggestions do you have to ensure the outcomes of your service remain relevant over time, especially considering changing circumstances?

#### Service outcomes/Efficiency and effectiveness

6. (If relevant) What is the status of the products/outcomes you are delivering?
7. What challenges/delays did your institution face during provision of services, and how were they addressed? Were there any lessons learned from overcoming these challenges?
  - Did you miss support/direction to complete your services effectively?

#### Partnerships and Collaborations/Coherence:

8. Could you describe the partnerships formed during the service delivery, with project partners as well as within and beyond the social policy/humanitarian/DRR community?
  - What organizations or entities were involved, and what was the nature of your collaboration?
9. How effective and harmonized was the collaboration with other stakeholders, how well did your services fit with their approaches?
  - Can you provide examples of (un)successful collaboration initiatives?
10. How do you think partnerships and cohesion could be strengthened or improved for future projects?

#### Project Outcomes/Impact:

11. How have the results of your services been used to contribute to the project results? What has been the perceived impact of your services? How have they contributed to capacity building?
12. Can you provide evidence of positive changes or benefits observed as a result of your services?

#### Lessons Learned and Recommendations/Sustainability:

13. Based on your experience with this project, what recommendations would you make for improving future project planning and execution?
14. Is there any additional information or feedback you would like to share with the evaluation team?

## **Annex 4. Survey guidelines**

### Survey 1: Regional Social Policy Forum, East Asia and The Pacific

#### **Objective**

The objective of this survey is to gather feedback and insights to inform the final evaluation of the project “Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN”. More specifically, this survey aims to collect participant’s feedback on the quality and the impact of the REGIONAL SOCIAL POLICY FORUM: *Towards a Child-sensitive and Adaptive Social Protection System: Achievements and Forethought*, organized 28-29 November 2023, in Bali, Indonesia.

#### **Introduction**

Thank you for taking the time to participate in this survey.

As the Social Policy Research Institute (SPRI), we have been tasked with conducting the final evaluation of the project "Scaling up Anticipatory Action and Shock Responsive Social Protection to

proactively manage the risks and impacts of climate shocks and disasters in ASEAN". Your insights are valuable to us as we conduct the final evaluation of this project.

The objective of this survey is to gather feedback and insights from participants of the REGIONAL SOCIAL POLICY FORUM: Towards a Child-sensitive and Adaptive Social Protection System: Achievements and Forethought, held on 28-29 November 2023, in Bali, Indonesia. Your feedback will help us assess the quality and impact of the forum within the context of the broader project.

Your participation in this survey is entirely voluntary, and your responses will remain anonymous. We prioritize your privacy and assure you that your individual responses will not be shared with any third parties. Only aggregated results will be communicated and published for the purpose of informing stakeholders and the public.

Once again, we extend our sincere gratitude for your participation. Your input will contribute significantly to our understanding and improvement of social protection systems in the ASEAN region.

## **Questions**

### **Participant information**

1. In which role or capacity did you attend the REGIONAL SOCIAL POLICY FORUM in Bali?
  - Participant
  - Speaker
2. What was your professional role or function at the time of participation?
  - Government official or policymaker
  - Development partner
  - Program manager or coordinator
  - Researcher or expert
  - Other (please specify)
3. What is/are your main area(s) of expertise? (Select all that apply)
  - Social protection
  - Gender
  - Child vulnerability
  - Disaster Risk Management
  - Climate Change Adaptation
  - Other (Please specify)

### **Conference attendance**

4. Which sessions did you attend? (Select all that apply)
  - Opening session: Towards child-sensitive and adaptive social protection systems in East Asia and the Pacific
  - 2a. Child-sensitive and adaptive social protection to increase immunization, health, and nutrition services
  - 2b. Empowering girls and women through gender-transformative social protection
  - 3. Evidence, knowledge, and data for strengthening child-sensitive and adaptive social protection
  - 4a. Inclusive social protection systems; addressing exclusion and marginalization
  - 4b. Integrated and adaptive information management systems
  - 5. Protecting people against shocks and climate change through social protection
  - 6a. Moving from ex-post to anticipatory action
  - 6b. Integrating Disaster Risk Management and Social Protection Strategies – From Planning to Delivery

- 7. Sustainable and risk-informed financing for social protection systems
- 8. Closing Session: Summary and way forward

### Conference evaluation

5. Personal reflections and satisfaction with the Regional Social Policy Forum in Bali. (yes/no)
  - a. Did you acquire new knowledge or insights during the conference?
  - b. Can you implement the newly acquired knowledge in your daily professional work?
  - c. Did you forge any new partnerships as a result of your participation in the conference?
  - d. Looking back, do you feel satisfied with your decision to attend the conference?
  
6. How would you rate the Regional Social Policy Forum in Bali on the criteria below? (on a scale of 1 to 5)
  - a. Overall organization and logistics
  - b. Relevance and applicability to your work
  - c. Networking opportunities
  - d. Effectiveness in fostering partnerships
  - e. Quality and evidence-base of discussions and presentations
  - f. Balanced representation of perspectives
  - g. Innovativeness of approaches discussed and presented
  - h. Opportunities to share ideas
  
7. How would you rate the overall success of the Regional Social Policy Forum in Bali in achieving the following objectives? (on a scale of 1 to 5)
  - a. Create a platform for policymakers, development partners, academics and practitioners to present good practices, innovative approaches, and lessons learned from implementing child-sensitive and adaptive social protection systems by reflecting on the region's achievements and forethought.
  - b. Share successful cases and innovative approaches in strengthening child-sensitive and adaptive social protection systems from other East Asia and the Pacific countries.
  - c. Open opportunities for network expansion and future collaborative works among governments and development partners.
  
8. What were the most valuable insights or learnings you gained from attending the forum, and how do you apply these in your daily work? (open-ended question)
  
9. Do you have any suggestions or recommendations for improving future editions of the forum or similar events? (open-ended question)

Thank you

Your valuable feedback is instrumental in helping us assess the quality and impact of the forum as part of our final evaluation of the project "Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN".

Should you have any further questions or require additional information about the survey or the project, please do not hesitate to contact us at [email]. We welcome any inquiries and are here to provide assistance as needed.

## Survey 2: Strengthening Social Protection Systems for Climate Risk and Disaster Management in Southeast Asia Workshop

### **Objective**

The objective of this survey is to gather feedback and insights to inform the final evaluation of the project "Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN". More specifically, this survey aims to collect participant's feedback on the quality and the impact of the Workshop on "Strengthening Social Protection Systems for Climate Risk and Disaster Management in Southeast Asia", organized 25-26 March 2024, in Bangkok, Thailand.

### **Introduction**

Thank you for taking the time to participate in this survey.

As the Social Policy Research Institute (SPRI), we have been tasked with conducting the final evaluation of the project "Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN". Your insights are very valuable to us as we conduct the final evaluation of this project.

Your participation in this survey is entirely voluntary, and your responses will remain anonymous. We prioritize your privacy and assure you that your individual responses will not be shared with any third parties. Only aggregated results will be communicated and published for the purpose of informing stakeholders and the public.

Once again, we extend our sincere gratitude for your participation. Your input will contribute significantly to our understanding and improvement of social protection systems in the ASEAN region.

### **Questions**

#### **Participant information**

1. In which role or capacity did you attend the SRSP Workshop?
  - Government official
  - Facilitator
  - Other (please specify)
2. What is/are your main area(s) of expertise? (Select all that apply)
  - Social protection
  - Gender
  - Child vulnerability
  - Disaster Risk Management
  - Climate Change Adaptation
  - Other (Please specify)
3. What country are you currently working in?
  - Thailand
  - Lao PDR
  - Cambodia
  - Vietnam
  - Indonesia
  - Philippines
  - Malaysia
  - Timor

- Other

### **Workshop evaluation**

4. Personal reflections and satisfaction with the SRSP Workshop. (yes/no)
  - a. Did you acquire new knowledge or insights during the workshop?
  - b. Can you implement the newly acquired knowledge in your daily professional work?
  - c. Did you forge any new partnerships as a result of your participation in the workshop?
  - d. Looking back, do you feel satisfied with your decision to attend the workshop?
5. How would you rate the overall success of the SRSP Workshop in achieving the following objectives? (on a scale of 1 to 5)
  - a. Highlight the contributions of social protection to climate risk management, including disaster risk reduction and management (DRR/M) as well as climate change adaptation and mitigation (CCA/M) in Southeast Asia.
  - b. Increase senior government officials' understanding of the potential role social protection policies and programs have for DDR, DDM and CCA approaches in Southeast Asia.
  - c. Support senior government officials in identifying opportunities for more effective linkages across policies and programs in these three sectors, to protect all children from the impoverishing impacts of climate shocks in Southeast Asia.
  - d. Facilitate exchange of experiences across participating ASEAN countries.
  - e. Promote collaboration between stakeholders from the same country, offering an opportunity to take stock of what has been done in this area, and a space to reflect together on the way forward.
6. How would you rate the overall success of the SRSP Workshop in achieving the following outcomes? (on a scale of 1 to 5)
  - a. Understanding the underlying causes of poverty and vulnerability to climate change and how these reinforce each other in Southeast Asia.
  - b. Understanding the policy gaps and synergies that social protection can support for climate and disaster risk management in Southeast Asia.
  - c. Understanding design and delivery of social protection incorporating climate risks in Southeast Asia.
  - d. Understanding how to use forecasts and predictive mechanisms for AA and early actions, linking social protection and disaster risk management systems in Southeast Asia.
7. What were the most valuable insights or learnings you gained from attending the Workshop, and how do you apply these in your daily work? (open-ended question)
8. Do you have any suggestions or recommendations for improving future editions of the Workshop? (open-ended question)

Thank you

Thank you once again for taking the time to participate in our survey.

Your valuable feedback is instrumental in helping us assess the quality and impact of the forum as part of our final evaluation of the project "Scaling up Anticipatory Action and Shock Responsive Social Protection to proactively manage the risks and impacts of climate shocks and disasters in ASEAN".

Should you have any further questions or require additional information about the survey or the project, please do not hesitate to contact us at [email]. We welcome any inquiries and are here to provide assistance as needed.