**Sahel Adaptive Social Protection Program Innovation Window – Call for Proposals**

1. **Introduction.**
2. The Sahel Adaptive Social Protection Program (ASPP) was launched in March 2014.[[1]](#footnote-1) The objective of the program is to increase access to effective adaptive social protection systems for poor and vulnerable populations in the Sahel (Burkina Faso, Chad, Mali, Mauritania, Niger and Senegal). It is expected that the program will directly expand access to social assistance for the most vulnerable by at least 25%, in addition to developing sustainable systems that will enable these countries to provide cost-effective adaptive social protection in the long term.
3. Adaptive social protection is an integrated approach to help countries address the challenges of climate change and disaster risk for its poor and vulnerable populations. Shocks and disasters have a disproportionate impact on the poor who have significant constraints to prepare for, respond to and bounce back from such shocks. Emerging evidence shows that social protection systems and programs are effective tools to buffer individuals from shocks and equip them to improve their livelihoods. When designed correctly, these programs and systems can also be important and cost-effective tools for countries to prepare for, and respond to, disasters. It does this by supporting interventions to: 1) protect poor households from climate and other shocks before they occur through predictable transfers and building of community assets, and 2) scale up support to respond to extreme events when they hit.
4. The Sahel ASPP addresses key constraints and vulnerabilities in a region where the impacts of natural disasters and climate change are increasing in frequency and severity. The largest share of the program resources will be used for providing grants directly to governments for piloting promising learning and innovation programs. These grants will contribute to building institutions and procedures for adaptive social protection systems, as well as creating evidence and lessons from innovative programs that can help address the challenges of adaptation and climate risk management. This support is provided through financing stand-alone pilots or co-financing ongoing government projects to implement innovative activities that will maximize the probability of vulnerable household graduating out of poverty, diversify sources of income, enhance human development outcomes, and build household and community resilience. Specific activities include:

* Design of safety nets programs that integrate disaster-risk reduction and climate change adaptation into the basic program design, going beyond a purely ex-post, responsive role, to include activities that build resilience and adaptive capacity of beneficiaries through, for example, cash transfers with accompanying measures and public works that build community assets to addresses disaster risks.
* Targeting mechanisms that help identify those most vulnerable to natural hazards and climate change related risks. Building such a system would allow using climate/hazard information to specifically target ex-ante those that are most at risk of being hit by these types of shocks and to quickly scale up a program when needed.
* Develop and link to early warning and climate information systems that can be used for geographic targeting and planning for risk reduction, in addition to helping design effective emergency response and adaptation programs.
* Design of risk financing mechanisms that complement and support social protection systems to build long-term resilience and provide ex-ante and rapidly accessible financing when disasters hit.
* Linking with employment interventions that promote more productive employment of poor people in income-generating activities, in order to help raise living standards, diversify livelihoods, and help households manage risks.
* Learning from innovative approaches through support to impact evaluation, targeting assessments and process evaluations.

1. The above activities are implemented by the Governments in each of the six countries, through and supported by extensive Bank-managed components for technical assistance, analytical and research support, and capacity building support in each country at a regional level.
2. **Innovation Window**
3. The ASPP also includes a $4.5 million Innovation Fund to support further innovation, learning and knowledge generation activities not included in the annual work program. Eligible activities includes Bank-executed activities aimed at testing and evaluating new and innovative approaches for Adaptive Social Protection in any of the six MDTF countries or at regional level.
4. The Sahel ASPP Management team now invites proposals for the Innovation Fund from qualified teams within SP&L GP as well as teams from other GPs that can demonstrate the relevance of the proposed new and innovative activities to support and strengthen adaptive social protection systems. Cross-GP collaboration is also encouraged. Proposals may be submitted for activities costing up to USD 500,000 over a maximum of two years.
5. Successful proposals are those which clearly articulate how the proposed activities would support innovations that have the potential to lead to more adaptive SP systems in the Sahel, and that explain how and what we can learn from those experiences. Preference will be given to new activities which are unrelated to other ASP activities funded through the existing RE or BE windows of the TF. We also expect all funded tasks to contribute to the ASP’s objectives listed above, all funded tasks must be thematically SPL-focused even though they may be managed by non-SPL units.
6. Eligible product lines may fund tasks that cover existing Programmatic activities which include: “knowledge and advisory services” product lines (i.e. economic and sector work (EW), non-lending technical assistance (TA), external training (TE) and impact evaluation (IE)). Alternatively, the TTL may want to consider creating a separate product line with a new Pxxx codes (if it’s a large stand-alone product for example) that will go through regular AAA procedures.
7. Eligible expenditure categories are: Consultant fees, contractual services, media and workshop costs, staff costs, travel expenses, and associated overheads (See Guidance note).
8. To be accepted for consideration for possible funding, a proposal must:
   1. Be prepared and submitted by a World Bank Group Staff.
   2. The TTL needs be TLAP accredited.
   3. Be cleared by the ASPP TTL working in the relevant country and the relevant of the regional programmatic activity.
   4. For staff working outside of AFR SPL, the proposal should also be cleared by their Practice Manager.
9. The proposals will be evaluated against the criteria listed below. Each criteria carries a score from 1 (least favorable) to 5 (most favorable).
   1. Are the proposed activities clearly defined within the given context, resource and time constraints.
   2. Do the activities introduce new and innovative approaches that will help further the knowledge of ASP in the Sahel.
   3. Do the activities include proper monitoring and evaluation mechanisms
   4. Is there a clear plan to distill and disseminate lessons learned.
   5. Is the requested amount of funding reasonable?
   6. Are the implementation arrangements adequate for both quality assurance and on-time delivery purposes.
   7. How high/low are the risks and the expected returns of funding this proposal? Is this a worthy risk for the ASPP to take?
   8. Overall, how consistent is the proposal with ASPP’s objectives?
   9. Does the proposal sufficiently demonstrate Government ownership and alignment with Government strategic priorities?
10. The proposals will be evaluated by a panel of experts encompassing the ASPP Management Team and at least two external panel members appointed by the Practice Manager, SPL Africa West. This panel will also serve as the oversight committee of the Innovation Window.
11. Following the approval of the proposal, funds will be only available upon the approval of the Concept Note and the review of the ASPP Management.
12. Once the proposal is approved, the TTL assumes responsibility for processing the grants and obtain all required clearances in accordance with applicable policies and guidelines. The TTL needs to provide annual progress reports to the MDTF management team. There may also be request for ad hoc reports from time to time.
13. Proposals should follow the template in Annex 1 and be maximum 3 pages long. The selection committee may ask for additional information to evaluate the proposal if deemed necessary.
14. Proposals should be submitted by November 30, 2015 to Carlo del Ninno, MDTF Manager, with copy to Camilla Holmemo, Ines Rodriguez Caillava and Inas Ellaham.

\*The country TTLs are Victoria Monchuk/Carlo del Ninno (Burkina Faso), Giuseppe Zampaglione (Chad), Philippe Leite (Mali), Aline Coudouel (Mauritania, Senegal), Carlo del Ninno (Niger), Carlo del Ninno/Patrick Premand (Regional Programmatic).

**ANNEX I**

**Sahel Adaptive Social Protection Program**

**Summary Note**

1. **Introduction**
2. **A multi-donor trust fund (MDTF) has been set up to support adaptive social protection in the Sahel.** The trust fund is managed by the World Bank and will be implemented for a period of about four years (until December 2017). DfID has committed to provide funding of £43 million (about US$ 75 million) to the program, but more donors may come on board during implementation. The first six months of implementation will be dedicated to an inception phase (March-August, 2014). The main objective of this inception phase is to define the overall work program and to identify and quantify the expected results.
3. **Adaptive social protection is a new integrated approach that can help address the challenges of adaptation and climate risk management**. Adaptive social protection programs are flexible programs that can protect poor households from climate and other shocks before they occur (through predictable transfers, building community assets, and other programs that help them cope) and by scaling up to respond to extreme events when they hit. Special care is also needed to ensure that adaptive social protection programs are implemented in such a way to avoid having adverse impact on the environment or create perverse incentives and thus result in maladaptation. This means that any social protection program can be adaptive as long as in its design and implementation it takes into account possible risks of maladaptation. Adaptive social protection systems include programs that support vulnerable households and communities to build resilience to climate-related and other shocks and aim to reduce adverse impact on the environment.
4. **The MDTF program is fully in line with the World Bank’s twin goals and the global strategy for social protection and labor and is anchored to the Africa Social Protection Strategy.** The program is expected to directly contribute the World Bank’s goal of reducing extreme poverty and promoting shared prosperity. By strengthening adaptive social protection systems, the proposed MDTF activities would increase the effectiveness of adaptive social protection programs in the Sahel to reduce extreme poverty and increase resilience of poor and vulnerable. These systems are also expected to promote shared prosperity, by enabling households to better withstand future shocks and invest in human capital development. The program is also aligned with the World Bank’s global Social Protection and Labor Strategy strategic direction to help developing countries to develop more harmonized systems for social protection and labor[[2]](#footnote-2) and is anchored in the Africa Social Protection Strategy, whose objective is to strengthen social protection systems in order to reduce vulnerability and poverty by helping poor citizens to: (i) manage risk and respond to shocks; (ii) build their productive assets and increase their access to basic services; and (iii) engage in productive income-earning opportunities.[[3]](#footnote-3)
5. **The objective of the MDTF Program is to *increase access to effective adaptive social protection systems for poor and vulnerable populations in the Sahel****.* The MDTF aims to achieve its objectives through financing activities that will help develop adaptive social protection systems and programs to help individuals, households and societies to build resilience, equity and opportunities. A comprehensive results framework has been developed for the program, which will be used to assess progress towards the objective.
6. **To achieve the overall objective of the MDTF a sub-set of activities will be supported and managed by the World Bank.** These activities will focus on creating knowledge and lessons through the creation, documentation and dissemination of analysis of poverty, climate change risk assessment, and other sources of vulnerability, labor market policies and employment opportunities and program practices, etc. Support will also be provided to impact evaluations, process evaluations, targeting analysis, and other types of assessments of government social protection pilots and programs. Knowledge dissemination and south-south learning exchange activities will also be supported, possibly including interested countries besides those in the Sahel. The MDTF will also support technical assistance and capacity building aimed at improving the design, effectiveness and sustainability of social protection policies and programs. The key objective is to provide advisory support to policy dialogue and program design towards the establishment of adaptive social protection systems.
7. **An overarching regional programmatic activity will support the design and implementation of the MTDF**, by complementing stand-alone activities, through a flexible mechanism of support for regional, as well as just-in-time activities. This activity will provide a valuable opportunity to support a regional vision and knowledge generation and coordination, capacity building, just-in-time client-driven support and technical assistance; and monitoring and evaluation of adaptive social protection systems in the Sahel. This will be done by supporting activities that will help to achieve overall objective of the programmatic MDTF and that respond to the specific client needs. Such an approach will enable task teams to provide speedy and swift support to innovative adaptive social protection programs and activities. The activity will also provide clients with a regional perspective on common issues related to adaptive social protection, as well as create a platform for sharing experiences across countries.
8. **The largest share of the MDTF resources will be used for providing grants directly to governments for piloting promising learning and innovation programs**. It is expected that these grants will contribute to building institutions and procedures for setting up social protection systems, as well as create evidence and lessons from innovative programs that can help address the challenges of adaptation and climate risk management. This support will be provided through financing stand-alone pilots or co-financing ongoing government projects. The focus of co-financing will be on specific innovative program components that will maximize the probability of vulnerable household graduating out of poverty, enhance human development outcomes, increase participation in the growth process, and build household and community resilience.
9. **The activities to be carried out will be identified in consultation with various parties.** In consultation with relevant government, development partners, other sector colleagues, focal points, and Country Management Units, social protection task teams, will identify proposed activities to be funded by the MDTF. A work program will be prepared on a yearly basis and all activities will have to follow standard World Bank operational procedures.
10. **Vision of the Program**
11. **In the long run it is expected that the MDTF program will increase access to effective adaptive social protection systems for poor and vulnerable populations in the Sahel**. A comprehensive results framework has been prepared and baseline and target values will be updated during the inception phase. The MDTF program will be implemented during a period of approximately four years (March, 2014 - December, 2017).
12. **The envisioned adaptive social protection systems in the Sahel would consist of a combination of policies and programs to help poor and vulnerable households reduce the impact of climatic change and other shocks** to build household and community resilience, and foster access to income earning opportunities. The MDTF will mainly support activities in the areas listed below that can help build resilience incorporating climate change adaptation and disaster risk management elements (for more details see Annex 1 - List of Potential Activities to be supported by the MDTF and Focus on Adaptation and Annex 2 - Sample of Design Features for Climate- and Disaster-Responsive Social Protection):

* Safety nets programs that can be easily scaled up to respond to climate-related and other types of shocks. The main instruments envisioned for responding to shocks include conditional and unconditional cash transfers for the poorest and those affected by shocks and public work programs, which can also support climate-resilient infrastructure development in vulnerable areas.
* Complementary activities such as training on basic skills and livelihood diversification, as well as accompanying measures aimed at promoting health sanitation practices, nutrition or early childhood development, etc.to advance the goal of strengthening human capital and resilience of the poor.
* Linkages to early warning and climate information systems that can be used for targeting and planning purposes for risk reduction in addition to help design effective emergency response and adaptation programs.
* Formal and informal insurance or risk financing mechanisms that may complement and support social protections systems to build long-term resilience.
* Labor market policies and program interventions that facilitate the employment of poor people in productive income earning and income-generating activities, in order to help raise living standards, diversify livelihoods, facilitate risk-management and helping households manage risks.
* Targeting mechanisms that help identify those most vulnerable to natural hazards and climate change related risks. Building such a system would allow using climate/hazard information to specifically target ex-ante those that are most at risk of being hit by these types of shocks and to quickly scale up a program in case of necessity.
* Adequate monitoring systems to ensure good governance and accountability.
* Impact evaluations to help generate systematic knowledge and rigorous evidence on effectiveness of innovations and core components of adaptive social protection systems.
* Other activities that strengthening adaptive social protection systems.

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| **Activity** | **Adaptive Social Protection Focus** |
| Poverty, Risk and Vulnerability Assessment for the Sahel (and country specific) | - Identifying main regional (and country specific) sources of risk and vulnerability faced by poor and vulnerable including disaster risk management and climate change and adaptation assessments. |
| Assessment of existing Adaptive SP programs and/or systems (Regional vision and country specific) | - Vision pieces on how adaptive social protection systems can successfully incorporate disaster risk management and climate change adaptation to reduce chronic poverty and increase resilience  - Determining to which extent existing programs and systems build resilience to climate-related and other shocks and aim to reduce adverse impact on the environment and identifying (if needed) potential for design and implementation of programs and systems to take into account possible risks of maladaptation |
| Assessments of Regional Information and early Warning Systems | - Determining the status and efficiency of existing regional (and national) information systems to enable better response and planning |
| Analysis of employment opportunities for poor and vulnerable | - Including potential employment opportunities related to adaptive social protection to demonstrate the value added and encourage such initiatives to foster productive employment, livelihood diversification and risk-management. |
| Social Protection Strategy for the Sahel (and country specific) | - Including aspects of adaptive social protection to ensure that these are taken into consideration as countries plan for social protection systems and programs. |
| Systems Strengthening | - Strengthening capacities to implement, coordinate and monitor adaptive social protection programs |
| Early warning and climate information systems | - Establishing or improving these systems so that they can be used for climate-responsive targeting, for general planning purposes for safety net programs and to help design effective safety nets that are able to respond efficiently to emergencies and contribute to adaptation to climate change. |
| Risk financing mechanisms | - Exploring potential for or strengthening existing risk financing mechanisms to enable more adequate and timely response to climate-related and other chocks (by expanding existing safety nets using risk financing mechanisms) |
| Effective responsive targeting for adaptive SP programs for chronic poor and households vulnerable to climate and other shocks. | - Using household‐level and geographical data on climate exposure and other sources of risks and vulnerability to inform targeting and distinguishes the transitory from the chronic poor in places where crises are likely to occur and require rapid scaling up. |
| Cash Transfer projects/programs/pilots | - Ensuring scalability (including risk financing mechanisms – see below) to respond to climate-related and other types of shocks  - Linking to complimentary activities to increase resilience to climate-related and other chocks (see below)  - Climate-responsive targeting (see above)  - Addressing the safety net-nutrition-food security nexus (by addressing both supply and demand side dimensions)  - Incorporation of other design features that takes into account possible risks of maladaptation |
| Public Works projects/programs/pilots | - Ensuring scalability (including risk financing mechanisms – see below) to respond to climate-related and other types of shocks  - Climate-resilient infrastructure development in vulnerable areas to strengthen area resilience  - Linking to complimentary activities to increase resilience to climate-related chocks (see below)  - Climate-responsive targeting (see below)  - Incorporation of other design features that takes into account possible risks of maladaptation |
| Complementary activities to safety nets  (e.g. accompanying measures to help promote health and sanitation practices, nutrition or early childhood development etc., training on basic skills and livelihood diversification or other productive interventions, etc.) | - Help promoting health and sanitation practices, nutrition or early childhood development to change parental behavioral and contribute to reduce the inter-generational transmission of poverty - Strengthening the productive or graduation elements of safety nets, for instance by delivering training on basic skills and livelihood diversification.  - Improving livelihoods diversification to increase resilience of the poor to climate-related chocks  - Other type of training to build resilience to (and awareness of) climate-related and other shocks with the aim to reduce adverse impact on the environment |
| Insurance mechanisms | **-** Including crop and livestock insurance that allows farmers to take greater risks and promotes the diversification of livelihoods by households, which itself contributes to risk reduction. |
| Impact Evaluations | - Creating more evidence on adaptive social protection and informing design of adaptive social protection programs and systems  - Generate systematic knowledge and rigorous evidence on effectiveness of innovations and core components of adaptive social protection systems (both innovative pilots and programs implemented at scale) |
| Dissemination and knowledge exchange/learning events | - Increasing knowledge and awareness on adaptive social protection and informing design of adaptive social protection programs and systems |
| Regional platform for knowledge exchange through workshops and trainings (including COP) | - Increasing knowledge and awareness on adaptive social protection and informing design of adaptive social protection programs and systems |

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| **Sample of Design Features for Climate- and Disaster-Responsive Social Protection**  *Design feature 1: Coordinating institutional capacity.* The policy platform should facilitate coordination by relevant disaster risk management, climate change adaptation, and social protection agencies and actors, tapping the expertise and institutional capacity of each.    *Design feature 2: Ensuring scalability and flexibility.* Programs should be flexible enough to be rapidly scaled up during a disaster and scaled back once the crisis is over. They should be capable of increasing support to existing beneficiaries in the event of major shocks. Achieving scalability requires targeting, registry, and payment systems that can identify, enroll, and make transfers to additional eligible participants. It also requires funding arrangements that can mobilize adequate resources on short notice.  *Design feature 3: Targeting households that are most vul­nerable to natural disasters and climate change-related risks.* Disaster- and climate-aware targeting uses area- and household-level data on climate exposure to inform targeting and distinguish the temporarily from the chronically poor. Such targeting requires incorpo­rating disaster- and climate-related vulnerabilities into beneficiary selection criteria.  *Design feature 4: Ensuring good governance and accountability.* The increase in disaster risk and the likelihood and severity of climate change–related events puts pressures on social protection systems, widening the potential for leakage, fraud, and malpractice. More attention should be paid to governance and accountability mechanisms, including through extensive communi­cation with, outreach to, and training of beneficiaries and implementers.  *Design feature 5: Increasing adaptive capacity at the household and community level.* Communities’ social, physical, and natural assets need to be strengthened in ways that increase resilience to shocks and support viable livelihoods to ensure long-term sustainability.  Source: *Building Resilience to Disaster and Climate Change through Social Protection*, World Bank, May, 2013.  See also *Climate-Responsive Social Protection*, Anne T. Kuriakose, Rasmus Heltberg, William Wiseman,  Cecilia Costella, Rachel Cipryk and Sabine Cornelius, Development Policy Review, 2013, 31 (S2): o19-o34 (<http://onlinelibrary.wiley.com/doi/10.1111/dpr.12037/pdf>) |

1. The ASPP is funded by a multi-donor trust fund (MDTF). The trust fund is managed by the World Bank, and DfID has committed to provide funding of £43 million (about US$ 75 million) over four years (2014-2018). More donors are expected to come on board during implementation. [↑](#footnote-ref-1)
2. Resilience, Equity, and Opportunity, The World Bank 2012-2022 Social Protection and Labor Strategy, [↑](#footnote-ref-2)
3. Managing Risk, Promoting Growth: Developing Systems for Social Protection in Africa, The World Bank’s Africa Social Protection Strategy 2012–2022, June 2012. [↑](#footnote-ref-3)