

Social Assistance in Developing Countries

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The presentation:

Main objective is to provide an overview of emerging social assistance in low - and middle-income countries

Content:

Describe the growth of social assistance

Approaches to social assistance

Programme design and scope

Current practice: implementation and impact

Sustainability: Institutionalisation and financing

From programmes to systems/regimes: Emerging welfare institutions in the South?

Emerging social assistance in low- and middle-income countries

Rapid expansion of social assistance = large scale programmes providing transfers in cash and in kind to households in poverty

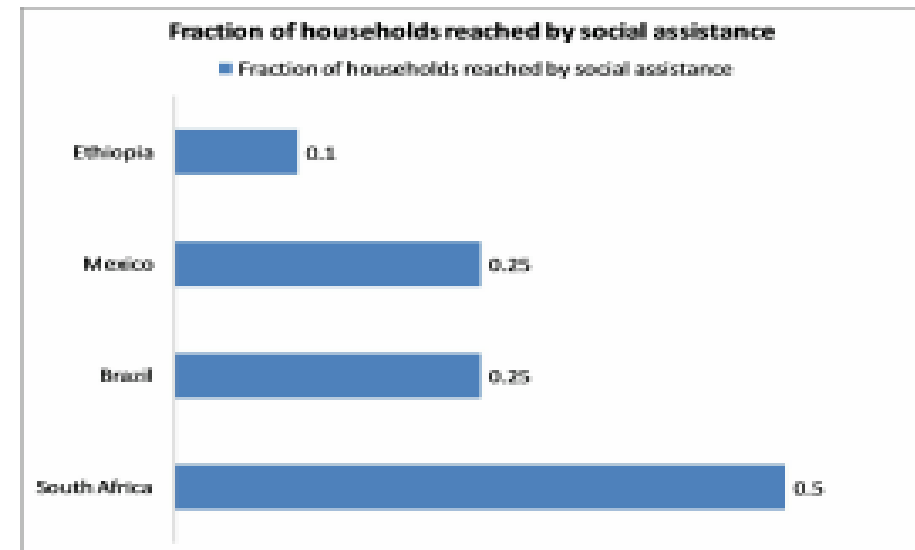
Globally **~1** billion people reached by transfers

They have made a contribution to poverty and inequality reduction globally

They signal the emergence of new welfare institutions in low- and middle-income countries

Distinct features (especially in contrast to European welfare states!)

large scale (not residual); productivist (support economic inclusion); citizenship based (not contributory); combine protection against social risks with social investment (not compensatory)



What explains the growth in social assistance?

Crises and adjustment in the 1980s and 1990s led to structural deficits in social policy in developing countries

Globalisation has created opportunities but also intensified economic vulnerabilities, especially as regards trade and employment

Democratisation and an expanding fiscal space have created favourable conditions in which governments can address these structural deficits

Poverty research has developed knowledge and tools supporting innovative and effective antipoverty transfer programmes

Social assistance and social policy

Social Policy			
Basic service provision	Social protection		
Education, health, housing, etc.	Social insurance: contributory programmes addressing life cycle and employment contingencies	Social assistance: tax financed programmes addressing poverty and vulnerability	Labour market policy: 'active' and 'passive'

In international development policy discussions, social protection is often used to describe social assistance programmes

Humanitarian or emergency assistance: aid financed, no targeting, short term

Two approaches to social assistance

Development approach

Interventions/short term
Risk management/market failure
Aid (+ domestic revenues)
Consequentialist
Political sustainability less important
Sectoral

Social policy/public finance

Institutions/ permanent
Structural factors/redistribution
Budget financed
Rights and entitlements
Political sustainability is crucial
Cross-sectoral

These are 'ideal types', in practice social assistance a hybrid, but also transition from a development approach to a social policy/public finance approach

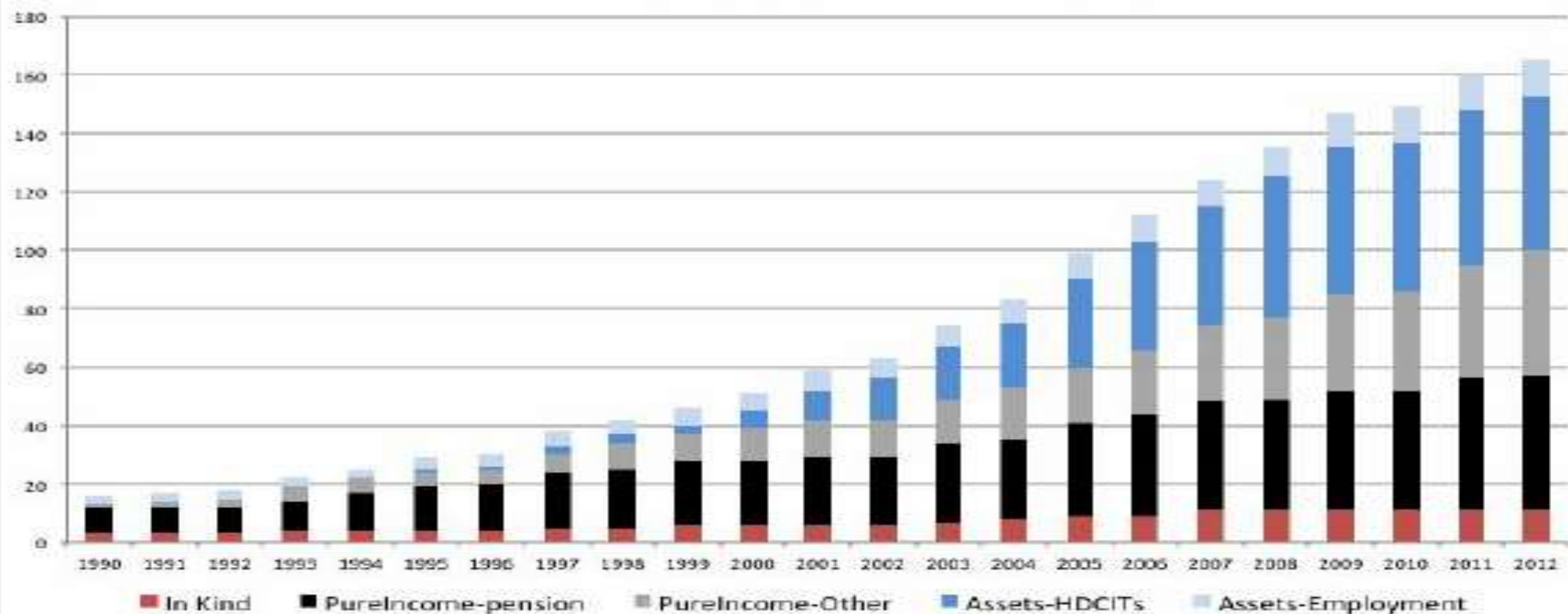
Multilaterals and bilaterals gravitate towards the development approach

Social Assistance Programmes: Diversity in design and objectives

Initial focus on leading programmes - design reflects understanding of poverty

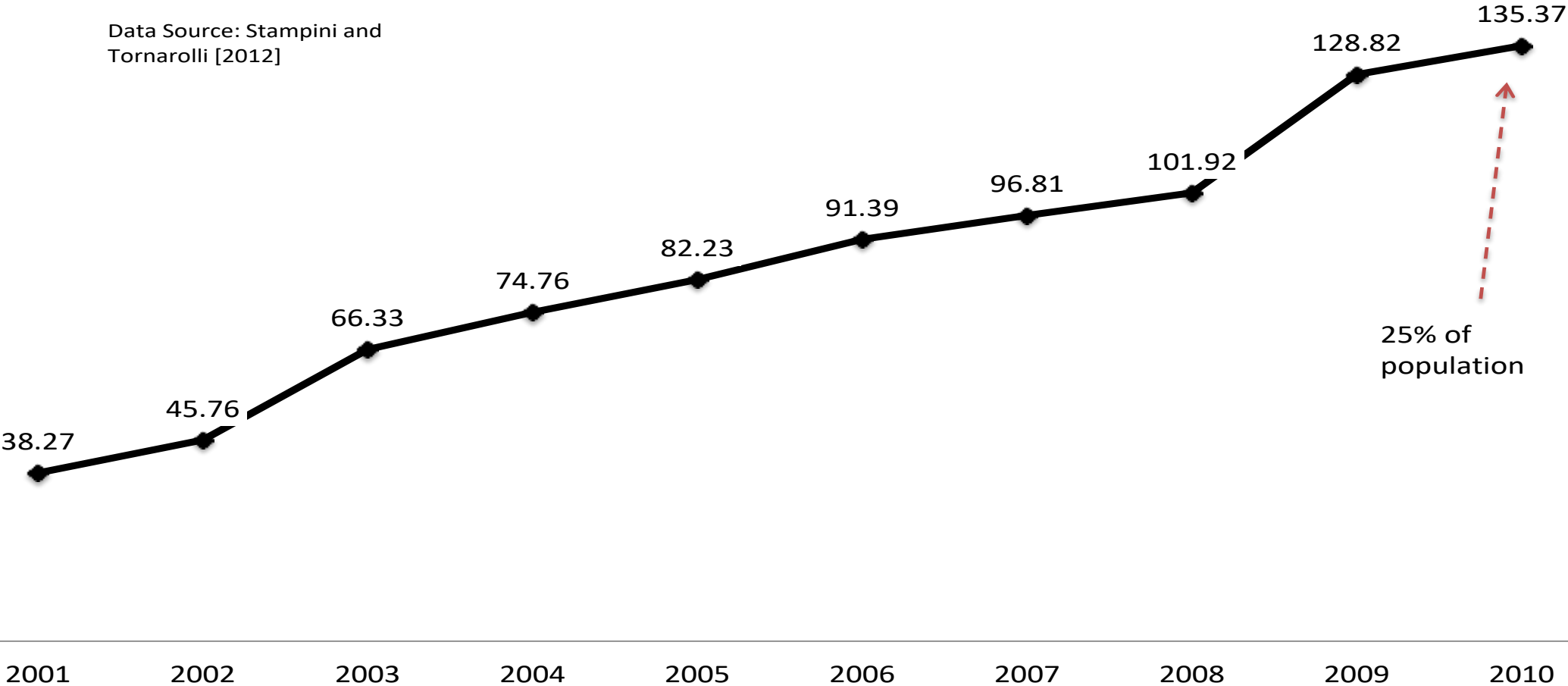
- pure income transfers
Social pensions, child grant, family allowances [South Africa's Child Support Grant and Older Person Grant]
- income transfers and asset accumulation
Human development [Mexico's Oportunidades, Brazil's Bolsa Família]
Infrastructure and asset protection [India's National Rural Employment Guarantee, Ethiopia's Productive Safety Net Programme]
- integrated poverty eradication programmes
[Chile's *Chile Solidario*, BRAC's CFPR-Targeting the Ultra Poor]

Cumulative flagship programme starts by type



Reach of Human Development Income Transfer Programmes in Latin America (millions)

Data Source: Stampini and
Tornarolli [2012]



Design issues and poverty research

Programme objectives

- Multidimensional not just income/consumption

Beneficiary selection: categorical; geographic; community; means test; proxy test; self-selection

- Focus on households as opposed to individuals/categories of individuals

- Depth and severity of poverty, not just headcount - ranking households

Conditions – links to basic service utilisation

- Income and incentive effects of transfers

- Information, financial incentives, intra-household resource allocation

Level of the transfer

- Link to programme objectives: e.g. child labour, schooling

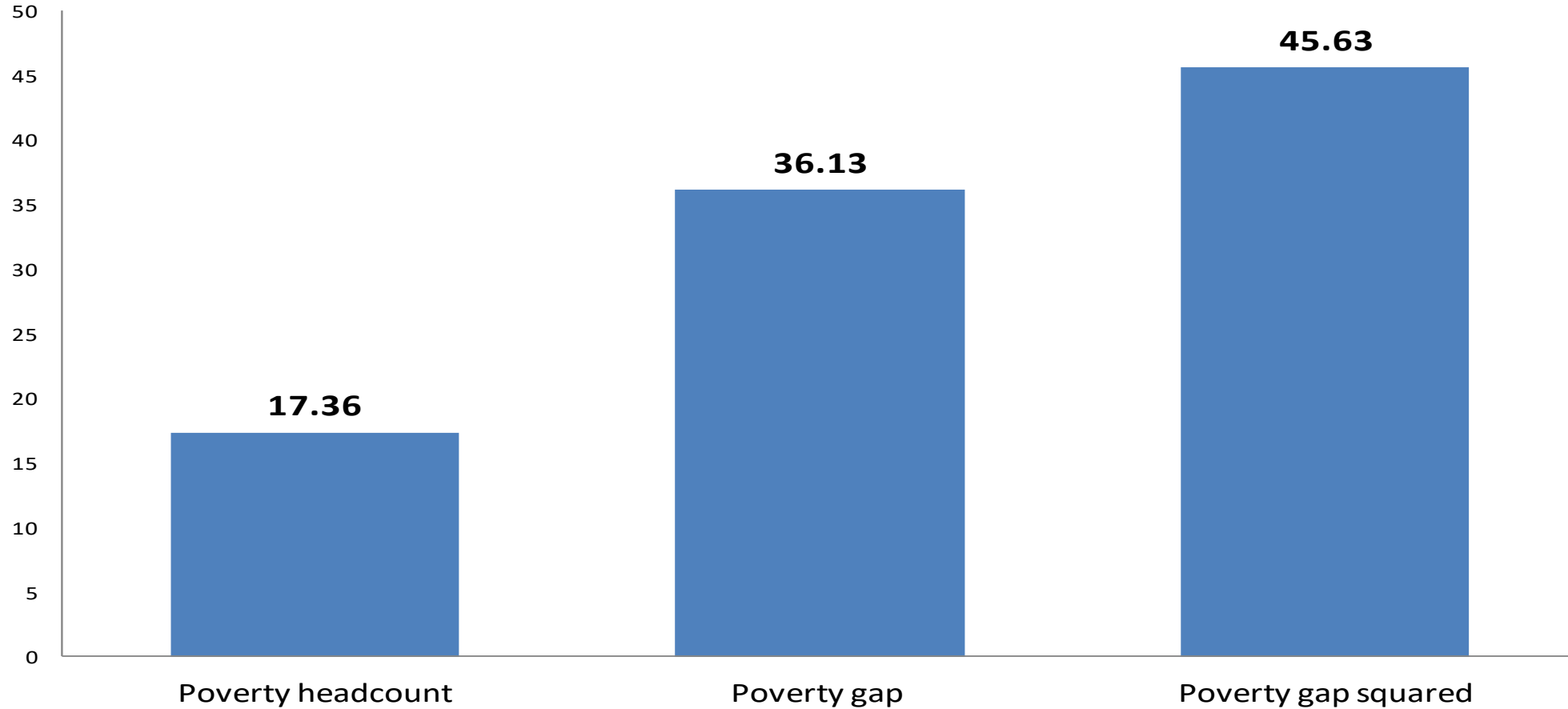
Duration and exit strategies

- Poverty duration matters – define participation window for the programme

Short run effect on poverty

Difference in difference estimates of the poverty reduction effectiveness of Progresa/Oportunidades in Mexico two years after its introduction

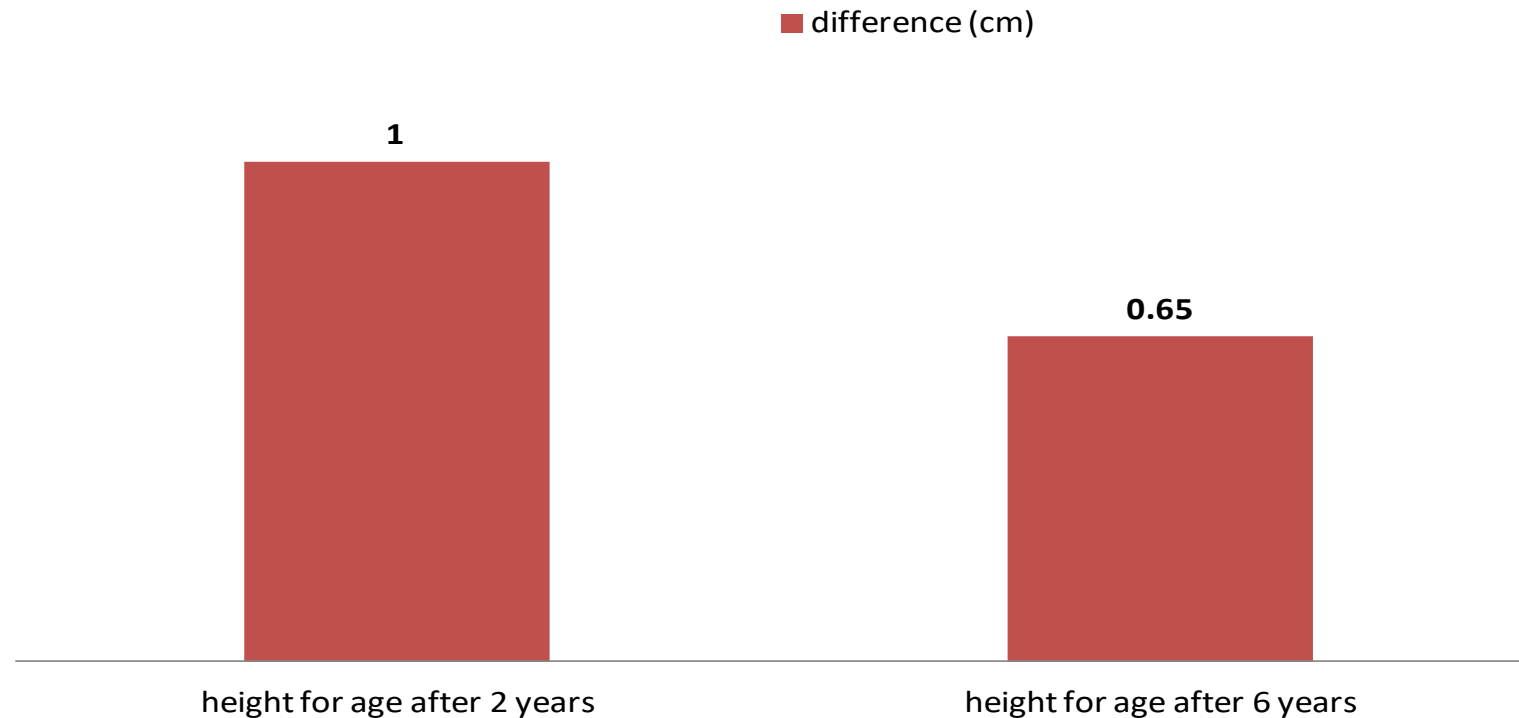
■ Poverty reduction (%) 1997-1999

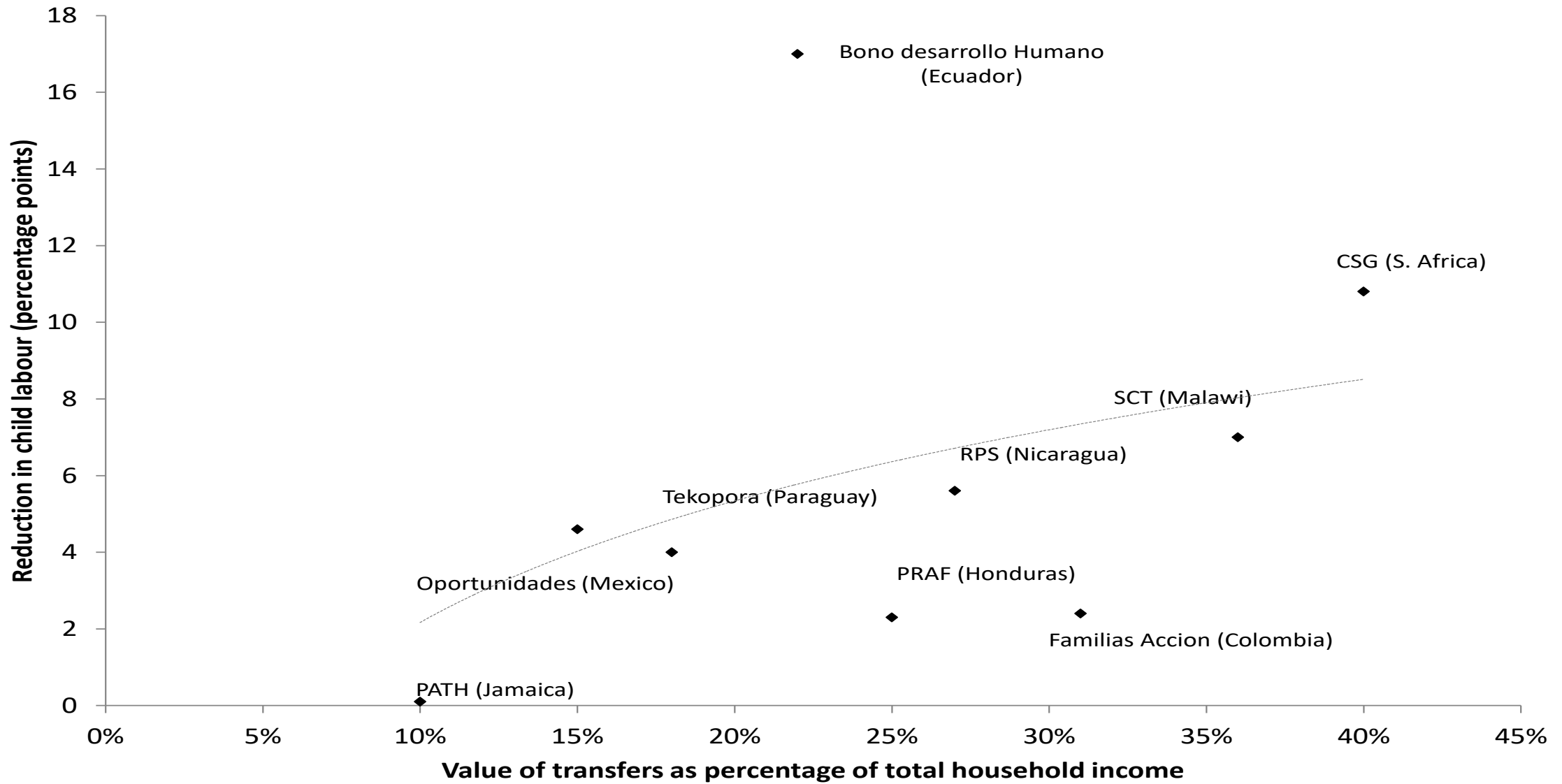


Data source: Skoufias, E. 2005. Progresa and Its Impacts on the Welfare of Rural Households in Mexico, Washington: International Food Policy Research Institute

Medium run effect on human development (nutrition)

Difference in height for age between OPORTUNIDADES treatment (joined 1998) and control (joined 2000) groups in 2000 and 2003 for 2-6 year olds





Child labour outcomes from selected child-focused programmes

Institutionalisation

Transition from 'development projects' to 'institution building'

Transition involves:

- Legal status – budget, operations, entitlements

- Strengthening implementation capacity

- Institutional coordination within government

- Domestic financing

Establishment of Ministries of Social Development to manage social assistance

Some reflections from the experience of Latin American countries

The growth in HDCITs has gradually led to new institutions responsible for managing the programmes - usually a Ministry of Social Development

Leading to improvements in capacity, budget certainty, and streamlined interventions

... but the experience in Latin America suggests inter-agency coordination remains a problem: formal structures have turned out to be less effective than informal 'social protection networks'

Information systems facilitate integration - common database of 'users' of public programmes provides a platform for integration of services and identification of programme participants: Colombia's SISBEN, Chile's Ficha de Proteccion Social, Brazil's Cadastro Unico

Intermediation is important but often overlooked.

Earlier examples of HDCITs did not pay sufficient attention to intermediation but it has been a focus of recent institutional development

Ensuring services provision for low-income households in Uruguay



The role of conditions in facilitating coordination

Typically, HDCITs include conditions on school enrolment and attendance (85% of school time), annual health check up for all household members, more regular check up by expectant mothers and full immunisation for infants

Conditions require agreement and collaboration from the relevant ministries and agencies

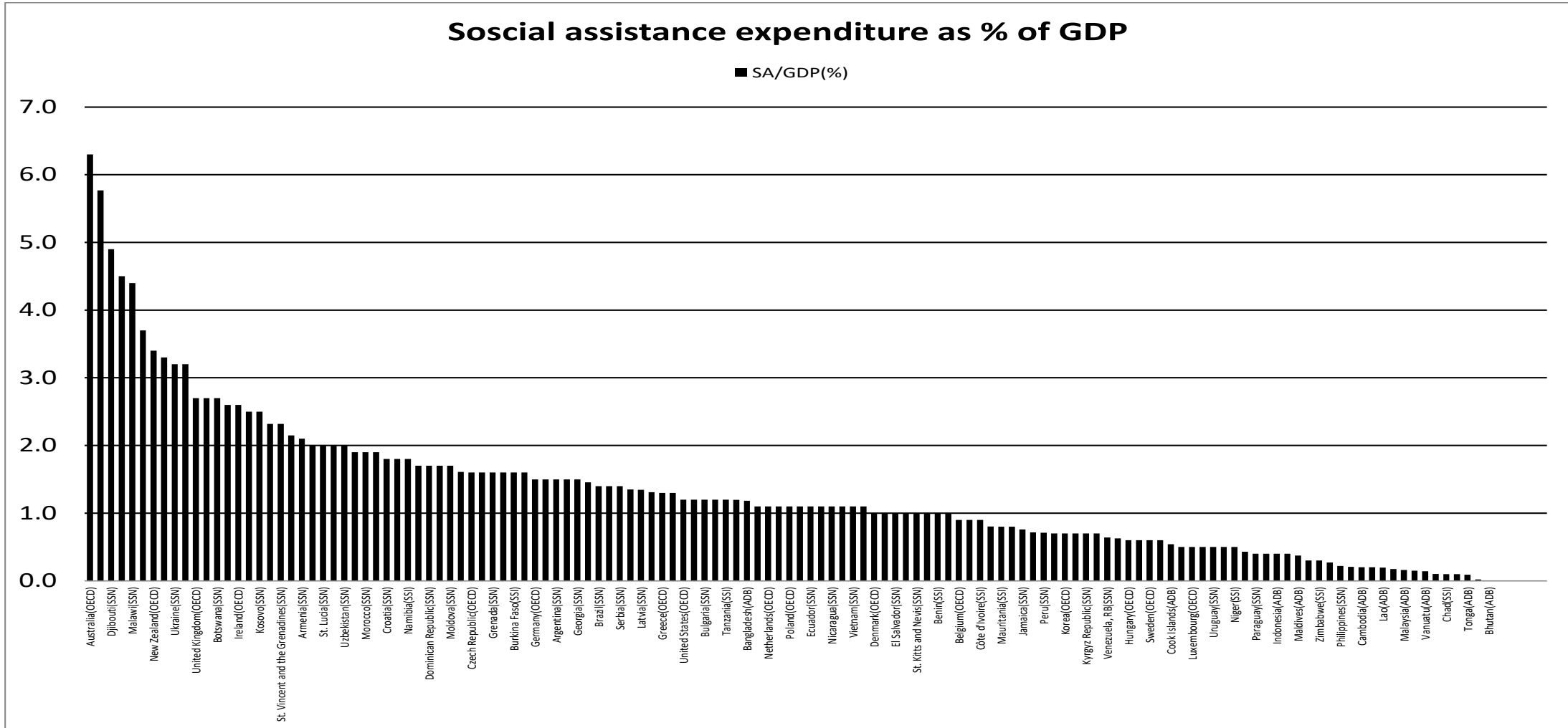
In some programmes, non-compliance triggers additional interventions and support, in this case conditions provide a context for integration [Brazil]

In other programmes, non-compliance leads to suspension of transfers

In the right setting, conditions can help manage the intensity of coordination across agencies

Financing

Most countries spend between 1% and 2% of GDP in social assistance



For many middle income countries, the issue is not larger budgets but fewer and more effective programmes (Bangladesh has over 95 social protection programmes; while Chile had 143 in 2002)

For low-income countries, financing social assistance is a challenge because of their low revenue collection capacity

International assistance has a limited role in supporting antipoverty transfers, mainly to help overcome the large initial costs of new programmes

In low and middle-income countries, consumption taxes and natural resource revenues provide the fiscal space for the expansion of social assistance

‘Narratives’ of social assistance financing in the South: Legitimacy

- Chile’s return to democracy after seventeen years of dictatorship in 1990 was led by a centre-left coalition of parties. The coalition was committed to expanding social expenditure, especially poverty reduction. This was financed by a rise of two percent in the tax burden, distributed across rises in corporate taxes, personal income taxation, and VAT.
- In 1994, Bolivia was poised to privatise state-owned enterprises, especially in the energy sector. To facilitate public consent, the government proposed to maintain one-half of the shares in the privatised enterprises in a Special Fund. The returns from this Fund were to be used to finance a regular transfer to the adult cohort (aged twenty-one or over in 1995). After further debate, the transfer became a non-contributory pension, the *Bono de Solidaridad*, payable from the age of sixty-five. The government of Evo Morales extended entitlement to the transfer to all Bolivians on reaching sixty years of age.
- Non-contributory pension programmes introduced in Lesotho (2004) and Swaziland (2006) are linked to revenues from the Southern African Customs Union (SACU).
- Antipoverty transfer programmes in Zambia, Uganda and Ethiopia are financed by bilateral aid, through a Memorandum of Understanding between donors and the government. In Ghana, the initial financing of the LEAP (Livelihood Empowerment Against Poverty) Programme was linked to HIPC debt cancellation, but bilateral donors also contributed.

Emerging social assistance regimes in low- and middle-income countries

In countries with existing social insurance institutions, social assistance has led to parallel institutions

- Contribution versus citizenship principle

- Ministries of Social Development versus Ministries of Social Security

- Basic protection versus life-course protection

Arguably, the main issue is public subsidies, not institutional architecture

Parallel institutions also raise concerns regarding occupational choice in countries with large informal sectors

Conclusions

Rapid growth of social assistance in low- and middle-income countries has made a contribution to global poverty reduction and signals the emergence of welfare institutions

Their evolution over time reflects tensions between a 'development' approach and a 'social policy/public finance' approach

Diversity in programme design reflects path dependence and poverty perspectives

Sustainability depends on growing institutionalisation (and a shift to domestic financing)

The Latin American experience with HDCITs suggest that agency coordination and integration is a significant challenge, currently being addressed through conditions, informal networks, and intermediation

Current trends suggest welfare institutions in low- and middle-income countries will be based on social assistance and a citizenship principle, as opposed to social insurance and a contributory principle

Thank You !

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发展

中国家的社会救助□□□

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第七届中国-亚行知识共享平台“社会救助制度建设的经验与借鉴”

2015 年12 月7 日-8 日北京

报告主题：低收入和中等收入国家新型社会救助概述

内容安排：

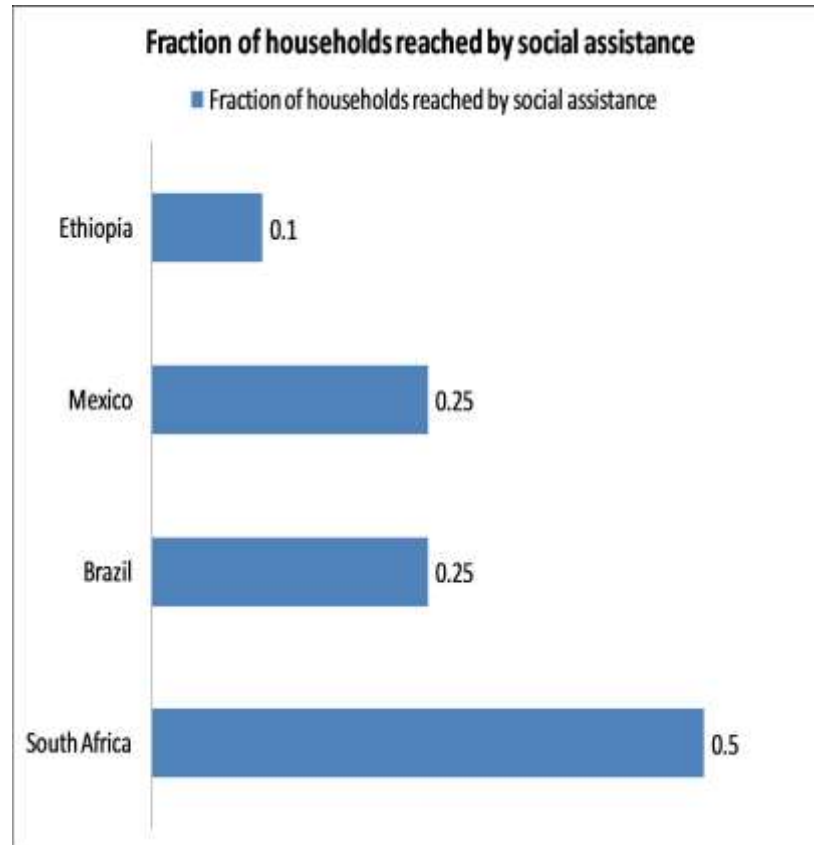
- 社会救助发展及其现状
- 社会救助的方法
- 项目设计和范围
- 现有实践：实施及影响
- 可持续性：制度化和资金保障
- 从项目走向体系：发展中国家新兴福利制度

低收入国家和中等收入国家新型社会救助

- 社会救助的急剧扩张——越来越多的项目向贫困家庭提供现金和实物转移
- 全球约有10 亿人得到救助
- 为全球减贫和缩小不平等做出贡献
- 这标志着低收入国家和中等收入国家新型福利制度的出现

低收入国家和中等收入 国家新型社会救助显著特点（尤其是与欧洲福利国家相比）

- 规模大（非残补型）
- 生产主义（支持经济的包容性）
- 基于公民身份（非缴费型）
- 社会保护制度和社会投资共同防范社会风险



如何解释社会救助的发展？

- 20 世纪80 年代和90 年代的危机及调整导致发展中国家社会政策的结构性问题
- 全球化创造机遇的同时加剧了经济的脆弱性，尤其是贸易和就业
- 民主主义和财政快速增长为政府解决这些结构性问题创造了有利条件
- 贫困研究为反贫困转移项目的创新和有效实施提供知识和技术支撑

社会救助和社会政策

社会政策			
基本服务供给	社会保护		
教育、健康、住房等	社会保险：	社会救助：	劳动力市场政策：
	缴费型项目强调生命周期和就 业中发生的意外	税收支持项目 强调贫困和脆弱性	“积极的”和“消极的”

在讨论国际发展型政策时，社会保护通常是指社会救助政策

人道主义或紧急援助的特点：资金援助、无目标定位、短期

社会救助的两种模式：

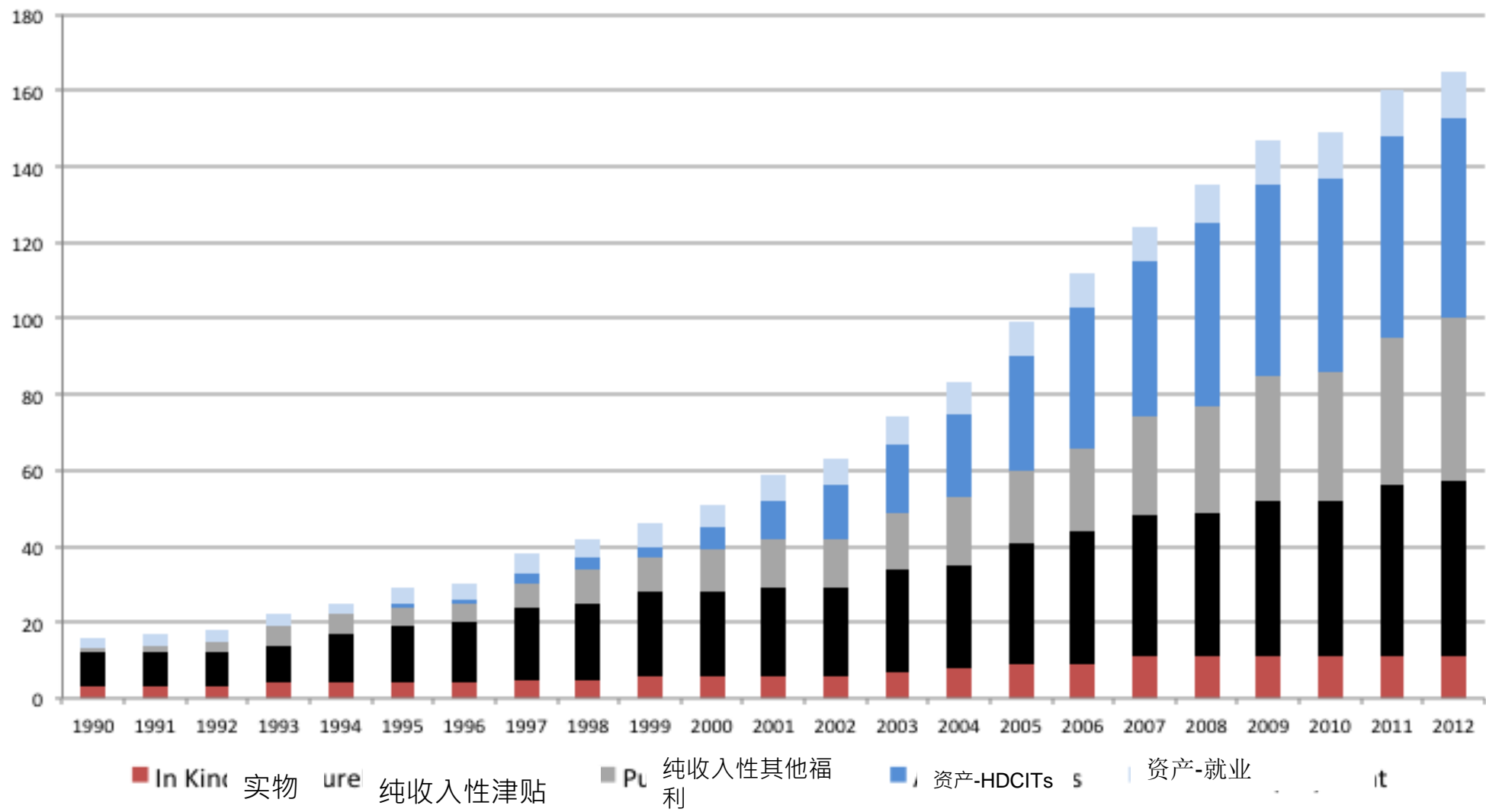
发展型社会救助	社会政策/公共财政型社会救助
干预/短期	制度化/长期性
风险管理/市场失灵	结构因素/财政再分配
援助（+财政支持）	财政预算
结果主义	公民资格和权利
不重视政治上的可持续性	重视政治稳定性
部门单一	跨部门

存在一些“理想模式”，在实践中社会救助是一种混合体，会从发展式转变为社会政策/公共财政式；发展式逐渐倾向于多边和双边协作；

社会救助项目：设计和目标的多样性

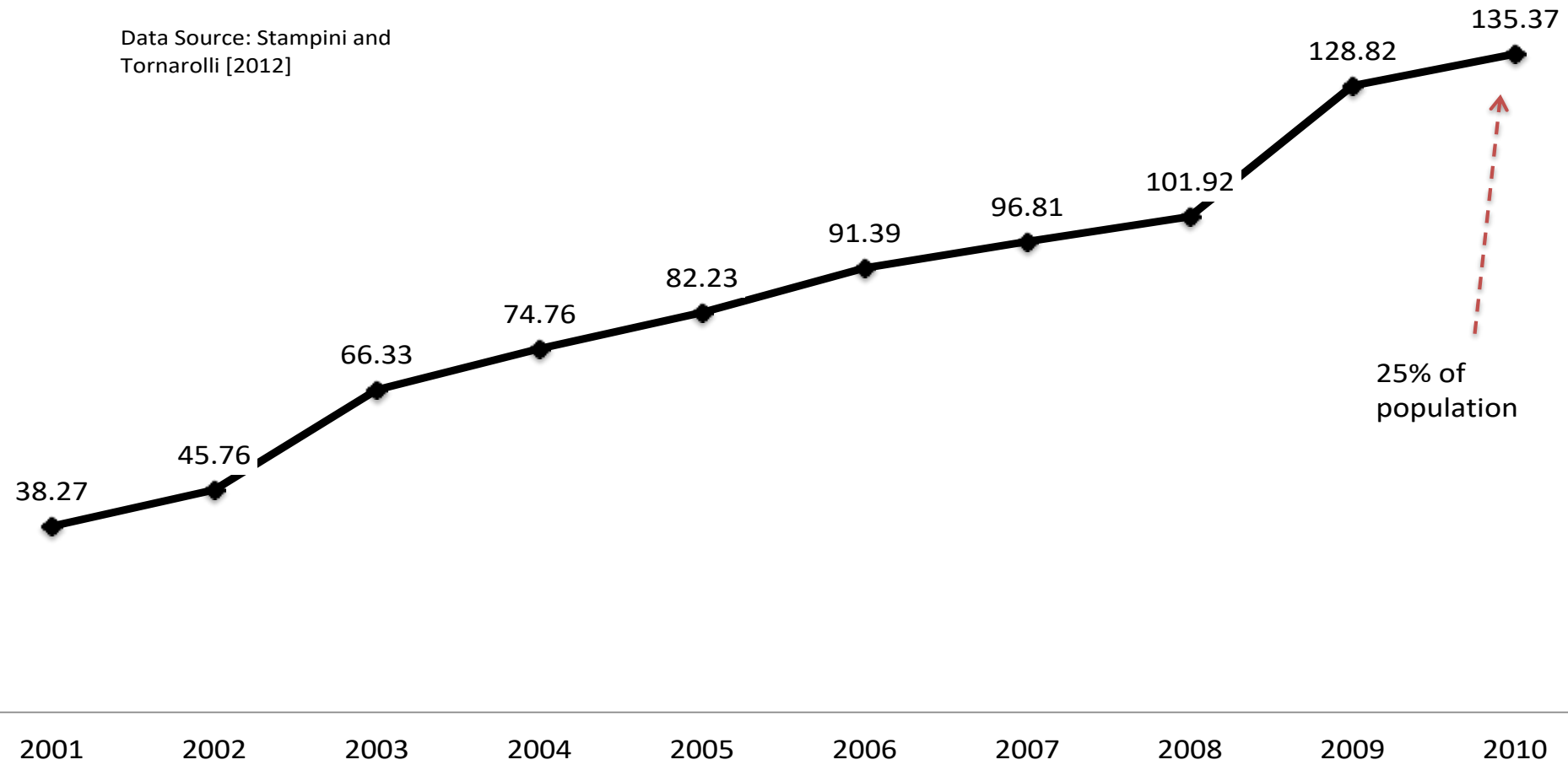
- 最初重点放在主导项目——制度设计反映对贫困的理解
 - ◆ 单纯的收入转移（pure income transfers）
 - 社会养老金、儿童补助、家庭津贴[南非的儿童支持补助和养老金补助]
 - ◆ 收入转移和资本积累（income transfers and asset accumulation）
 - 人才培养[墨西哥的Oportunidades项目、巴西的家庭补助项目]
 - 基础设施和资产保护[印度的国家农村就业保障项目，埃塞俄比亚的生产安全网项目]
 - ◆ 消除贫困项目的整合
 - [智利的Solidario项目、BRAC's CFPR-针对极度贫困人群]

c 根据类型所建立的累积旗舰项目



Reach of Human Development Income Transfer Programmes in Latin America (millions)

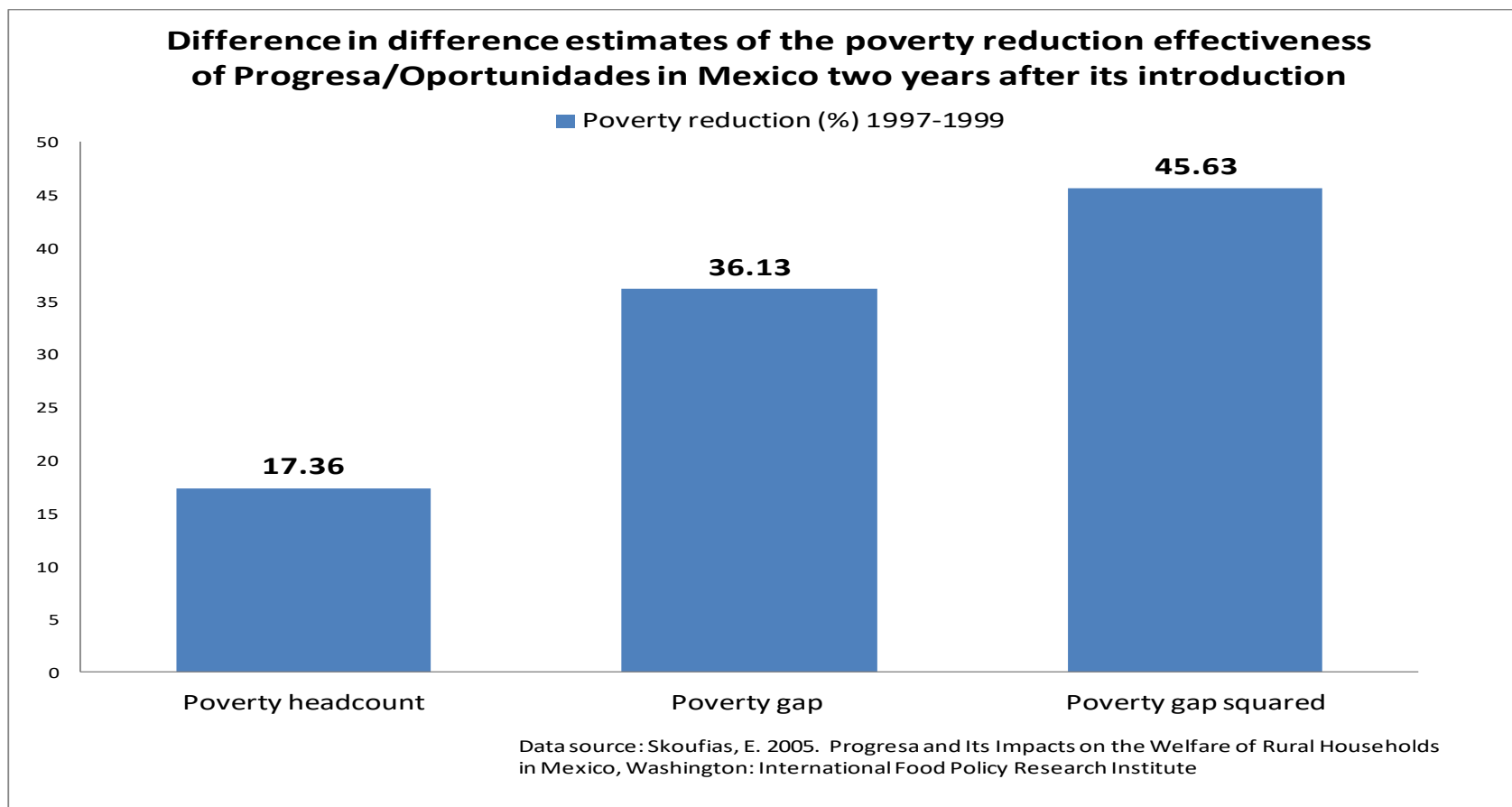
Data Source: Stampini and
Tornarolli [2012]



项目设计和贫困研究

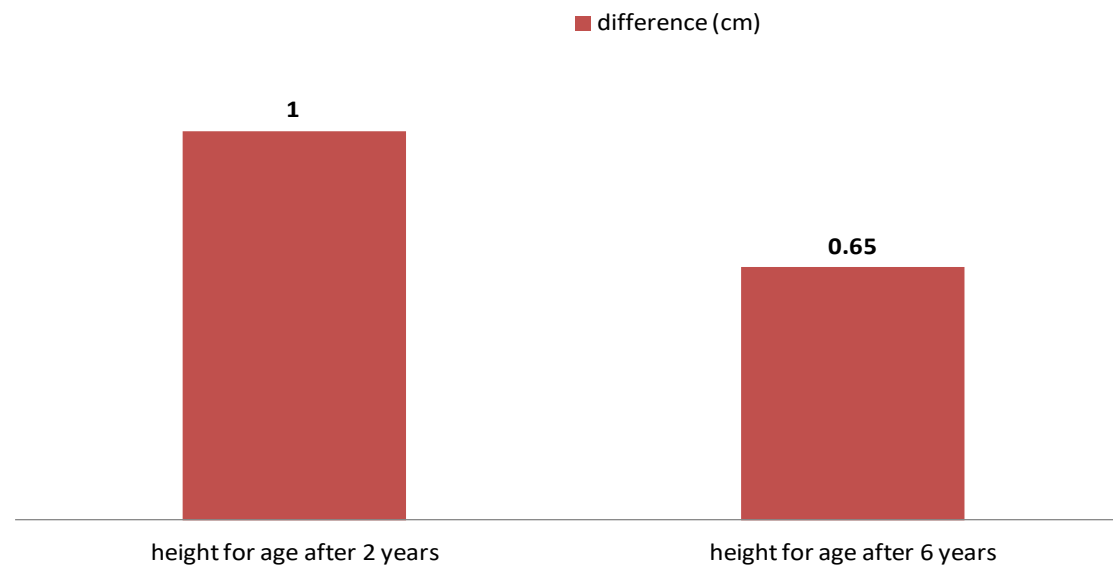
- **目标：**多维度，而非只限于收入和消费。
- **受益人群定位：**
 - 类别定位；地理定位；社区定位；家计调查；代理家计调查；自我选择
 - 以家庭救助代替针对个人的或类别定位法
 - 深入了解贫困程度，而非按人头计算
- **条件—基本服务的利用：**
 - 转移支付的收入效应和激励效应
 - 信息、资金激励、家庭内部资源配置
- **转移支付的层次：**
 - 与项目目标主体：如童工、学校教育
 - 贫困持续时间和退出机制：贫困持续问题—对符合项目条件的规定

对贫困短期影响



对人类发展的中期影响

Difference in height for age between OPORTUNIDADES treatment (joined 1998) and control (joined 2000) groups in 2000 and 2003 for 2-6 year olds



Gertler and Fernald [2006] Vol III ch. 2 Impacto de mediano plazo del programa Oportunidades sobre el desarrollo infantil en áreas rurales

特定儿童发展项目的制度化使得童工数量减少

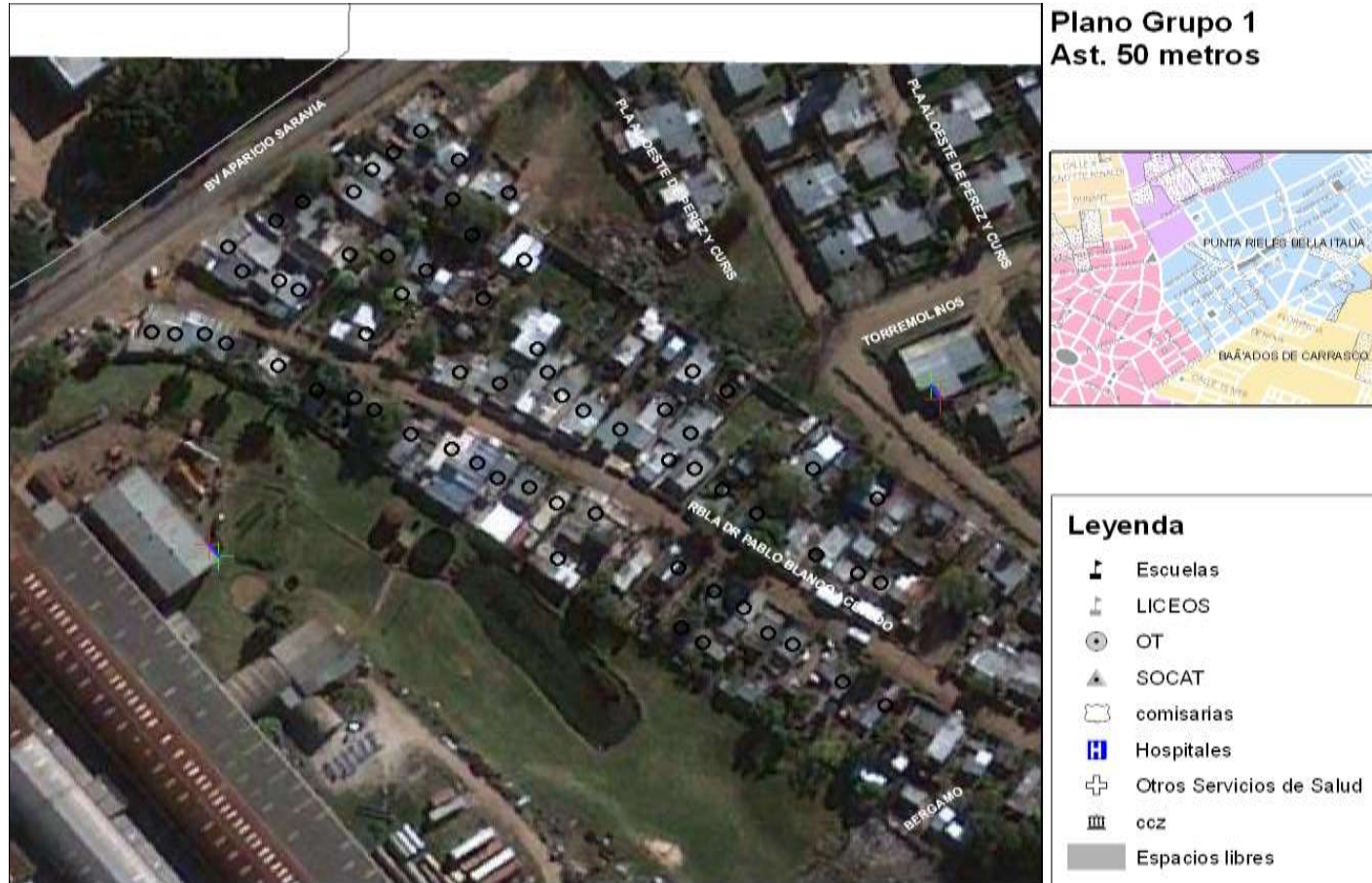
制度化

- 从“发展型计划”向“制度型建设”转型
- 转型内容包括:
 - 法律地位 – 预算, 操作, 权利
 - 加强实施能力
 - 政府间制度化合作机制
 - 国内资金
 - 建立社会发展部来管理社会救助

来自拉丁美洲国家经验的一些思考

- HDCITs的发展逐步引导新的管理项目的制度化责任——通常为社会发展部
- 引导提高能力、预算和顺畅的干预
-但是，拉丁美洲的经验表明，机构间的协调依然是一个难题：相比非正式的“社会保护网”，正式的组织结构的效率较低。
- 信息系统有利于融合——公共项目的“用户”组成的公共数据库提供了一个整合服务和项目参与者的平台，如哥伦比亚的SISBEN,智利的Ficha de Proteccion Social，巴西的 Cadastro Unico
- 调解很重要但是通常被忽视
- HDCITs早期对调解没有给予足够的重视，但目前调解成为制度发展的重点

保障乌拉圭低收入家庭的服务提供

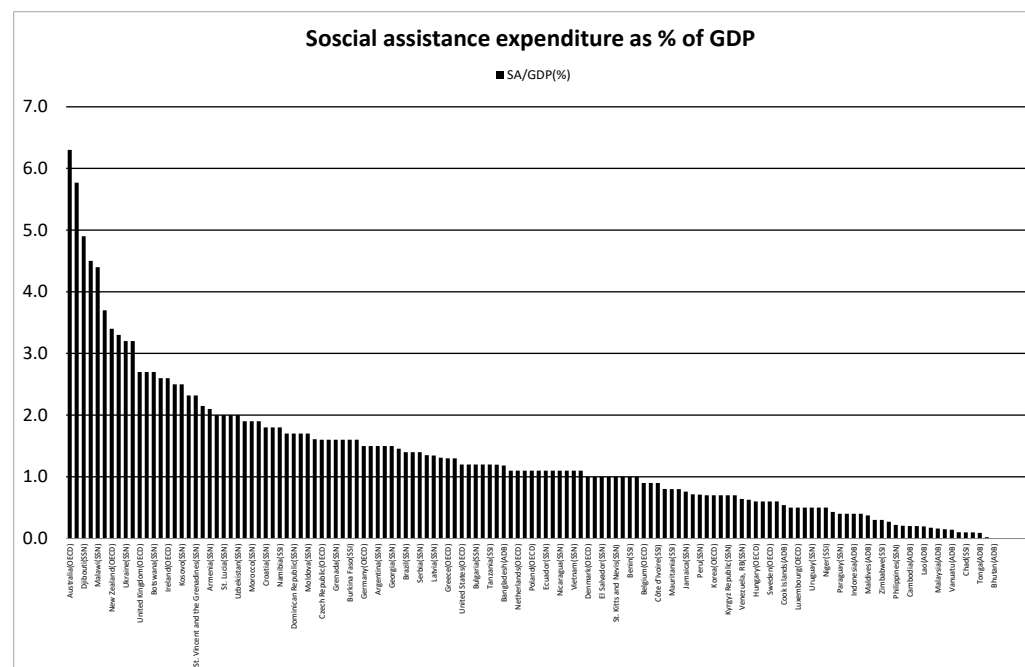


各种条件在促进协调中的作用

- 通常情况下，HDCITs 实施的条件包括，入学率和出勤率 (85%的在校时间)，对所有家庭成员的体检，以及孕妇体检和对婴儿免疫预防
- 需要相关管理部门和机构的承诺及合作
- 在某些项目中，违规会导致额外干预和支持。在这种情况下，条件为融合提供了背景 [巴西]
- 在其他项目中，违规会导致停止转移支付
- 在合适的项目设定中，条件有助于管理跨部门的协作程度

资金

- 大部分国家社会救助支出约占GDP的1%—2%



- 对于许多中等收入国家而言，问题不是越来越多的财政支出，而应该是更少和更有效的救助项目(2002年，孟加拉国的社会保护项目已经超过95个；智利在同一年其社会保护项目高达143个)
- 对于低收入国家而言，因为其财政收入能力不足，故社会救助资金来源是一大挑战，国际援助在减贫上的作用有限，主要是帮助解决新项目的启动成本问题
- 在中低收入国家，消费税和自然资源收入为社会救助扩大覆盖范围提供了财政支持

阐述发展中国家社会救助财政问题：合法性

- 1990年，智利在17年的独裁统治后重新确立了民主制度，由偏左政党联盟领导的政府承诺扩大社会支出，尤其是对减贫的支持，由此导致税赋提高了两个百分点
- 1994年，玻利维亚开始国有企业的私有化改革，为得到公众的支持，政府提出在私有化企业中以特别基金的方式持有半数股份，该基金的收益用来支付一项对成人的固定转移支付（1995年21岁及以上），经过长期讨论，该项目成为一项非缴费型项目（Bono de Solidaridad），受益人群为65岁及以上的老人。莫拉·莱斯政府将该项目扩展到所有60岁及以上的玻利维亚人
- 莱索托和斯威士兰分别在2004年和2006年引入的非供款性养老金项目与南部非洲关税同盟(SACU)的收入密切相关
- 赞比亚、乌干达和埃塞俄比亚的反贫困收入转移项目由双边援助进行筹资，通过捐助者与政府谅解备忘录得到实现。在加纳，LEAP项目的最初融资与HIPC债务免除相关联，但双边捐助者们同样提供了捐助

中低收入国家的新型社会救助制度

- 在有社会保险制度的国家中，社会救助与社会保险并驾齐驱
- 缴费vs 公民权
- 社会发展部vs 社会保障部
- 基本保障vs 生命周期保障
- 具有争议的是：主要问题在于公共补贴而不是制度体系这一论断
- 并驾齐驱的制度体系，导致在非正式就业较多的国家，对职业选择日益重视

结论

- 中低收入国家社会救助的快速发展不仅为国际减贫作出了重大贡献，也标志着新型福利制度的出现
- 发展型救助和社会政策/公共财政型社会救助的历史演变表明两者的紧张关系
- 项目的多样性反映了路径依赖和对贫困的不同观点
- 可持续发展取决于制度化的提高和国内资金的使用
- 拉丁美洲与HDCITs的经验表明机构间的整合面临重大挑战，目前需要重点强调环境、非正式网络和中介
- 目前的趋势表明中低收入国家的福利机构将会建立在社会救助和公民权的基础上，而不是社会保险和基于缴费原则

Thank You !