



Training Toolkit on Government Innovation for Social Inclusion of Vulnerable Groups

Module 5

Identifying Vulnerability and Vulnerable Groups





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2. Approaches and Strategies for Effective Identification of Vulnerable Groups and the Specific Vulnerabilities of Each Vulnerable Group
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Learning Objectives

- To understand how to analyze vulnerability, identify vulnerable groups and actors that influence vulnerability; and link this to action perspectives addressed to and/or with those that influence vulnerability (and risk of it) most
- To gain an overview of the vulnerable groups and other relevant actors who need to be involved for innovative approaches for social inclusion of vulnerable groups



1. Challenges of Identifying Vulnerability and Vulnerable Groups





1. Challenges of Identifying Vulnerability and Vulnerable Groups

- 1) Defining vulnerability is difficult - vulnerability can stem from external shocks and it also depends on historical, cultural, social, environmental, political, and economic conditions of a given setting.
- 2) Determinants of vulnerability range from socioeconomic status and living conditions to the power structures that underpin social organization.
- 3) No universally accepted approach for measuring vulnerability.
- 4) Vulnerability is dynamic with evolving changes and heterogeneous even with the same vulnerable group.



1. Challenges of Identifying Vulnerability and Vulnerable Groups

- 5) There is no inclusive process of engaging relevant stakeholders especially lack of engagement of local communities.
- 6) Lack of disaggregated data – ex) population statistics: Having spatially distributed demographic data helps quantifying the population at risk of or affected by a disaster.
- 7) Insufficient technical skills and resources in capturing inequality and social injustice – this puts vulnerable groups at even greater risk of falling further behind.
- 8) Vulnerability assessment methods range from global and national quantitative assessments to local-level qualitative participatory approaches.



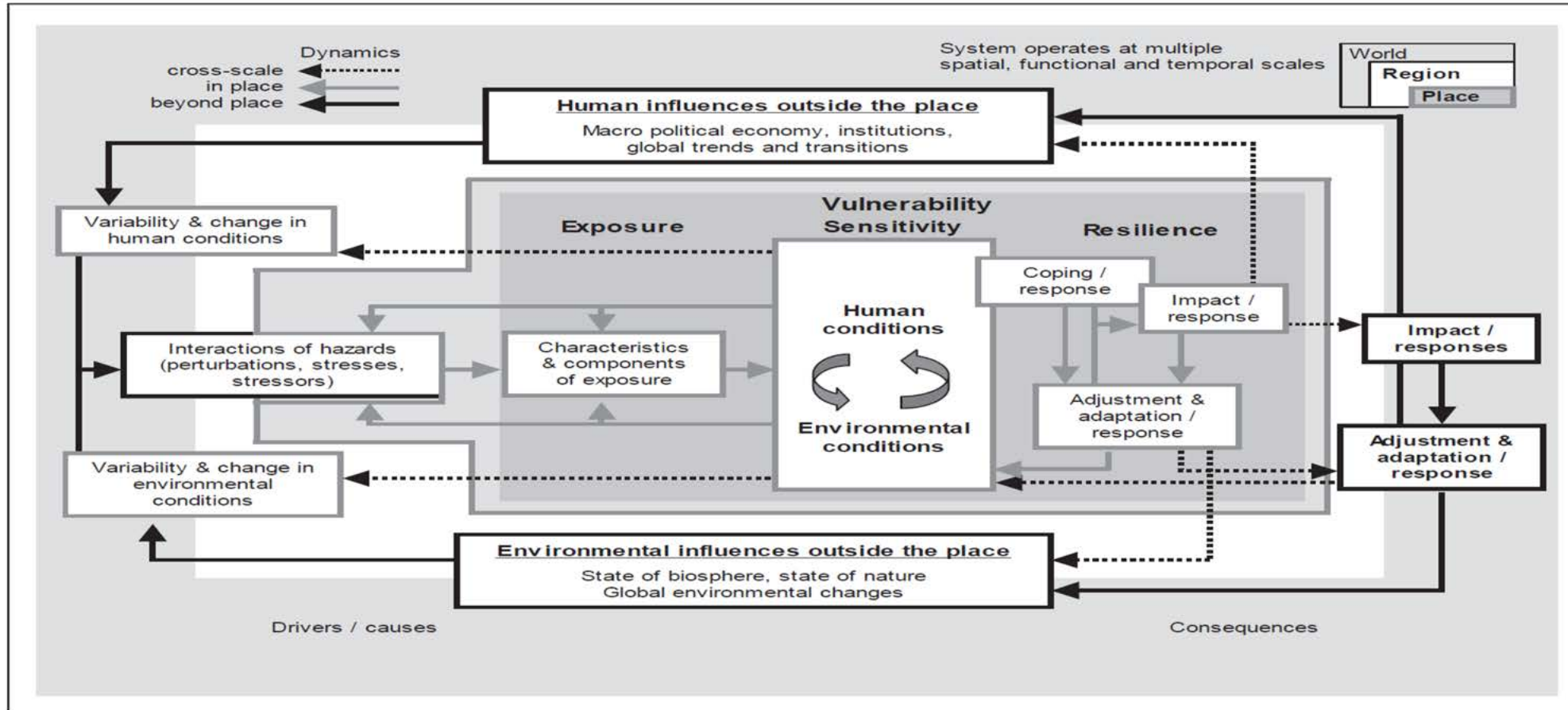
1. Challenges of Identifying Vulnerability and Vulnerable Groups

- 9) Difficulty to combine both quantitative and qualitative data collection to capture the various tangible and intangible aspects of vulnerability in its different dimensions.
- 10) Less frequent and non-regular data collection.
- 11) No institutionalized arrangements for monitoring and evaluation – Supreme Audit Institutions, parliaments, civil society organizations.
- 12) Process of identification contains socially determined / normative assumptions about vulnerability (e.g. on whether vulnerability could have been prevented by the groups themselves).



1. Challenges of Identifying Vulnerability and Vulnerable Groups

Vulnerability Framework (Turner et al. 2003)





1. Challenges of Identifying Vulnerability and Vulnerable Groups


- **We have the aggregated data but lack the disaggregated data.**
 - Example: People living with one or more disabilities:
 - Over a billion people are estimated to live with some form of disability (about 15% of the world's population).
 - Between 110 million (2.2 percent of the world's population) and 190 million (3.8 percent) people who are 15 years and older have significant difficulties in functioning.
- Vulnerability to poverty can be regarded as vulnerability to *expected* poverty. More precisely, given the current condition, vulnerability measuring relates to how *likely it is* for the individual *to fall into poverty* in a given time horizon (Fujii, 2016).
- Measuring the Un-Measurable: The Challenge of Vulnerability (Jörn Birkmann & Ben Wisner, 2006)



1. Challenges of Identifying Vulnerability and Vulnerable Groups

Consequences of incorrect/ineffective identifying of vulnerable groups

- incorrect targeting -> further marginalization and exclusion of the real poor from receiving essential services and exerting basic rights
- insufficient reflection of the demands/voices of vulnerable groups
- duplication/waste in budget spending
- lack of transparency and accountability & misuse of public funding



2. Approaches and Strategies for Effective Identification of Vulnerable Groups and the Specific Vulnerabilities of Each Vulnerable Group



2. Approaches and Strategies for Effective Identification of Vulnerable Groups and the Specific Vulnerabilities of Each Vulnerable Group

- 1) **National concerted efforts through institutional coordination**, in particular full data sharing and exchange of information between public institutions such as national statistical offices and agencies in charge of social protection and economic planning
- 2) Strengthening **statistical capacities in Civil Registration and Vital Statistics (CRVS)** for **identity management**
- 3) **Collaboration between national and local governments**
 - a. On quantitative and qualitative factors: local contexts, improving consistency in definitions and data collection
 - b. On filling in the data gaps – e.g. household visits by local government officials
- 4) **Building an inclusive process to engage all stakeholder, especially civil society organizations and the private sector**, to reach out to vulnerable groups



2. Approaches and Strategies for Effective Identification of Vulnerable Groups and the Specific Vulnerabilities of Each Vulnerable Group

4) Leveraging ICT and digital technologies

5) Effective and constant monitoring and evaluation of the contextual situations of each vulnerable group

6) Benchmarking innovative country practices

- E.g. What are the practices to identify and prioritize vulnerable populations affected by urban humanitarian emergencies? Protocol:

<https://assets.publishing.service.gov.uk/media/57a08960e5274a31e000004a/rr-vulnerable-populations-urban-humanitarian-emergencies-130416-en.pdf>



2. Approaches and Strategies for Effective Identification of Vulnerable Groups and the Specific Vulnerabilities of Each Vulnerable Group

7) Understanding the specific context of vulnerability, especially the dynamic changes of vulnerable groups

For example, in urban areas, the most vulnerable groups to **environmental hazards** tend to be:

- Individuals/households living in poor quality homes and neighborhoods that lack adequate provision for water, sanitation, drainage and garbage removal
- The persons doing the 'dangerous' tasks within households (generally women and children)
- Income-earners with particularly hazardous work
- Groups facing discrimination in obtaining adequate incomes, housing and basic services; in many societies, particular ethnic groups or castes face discrimination in all these.



3. Innovative Practices in Identifying Vulnerable Groups

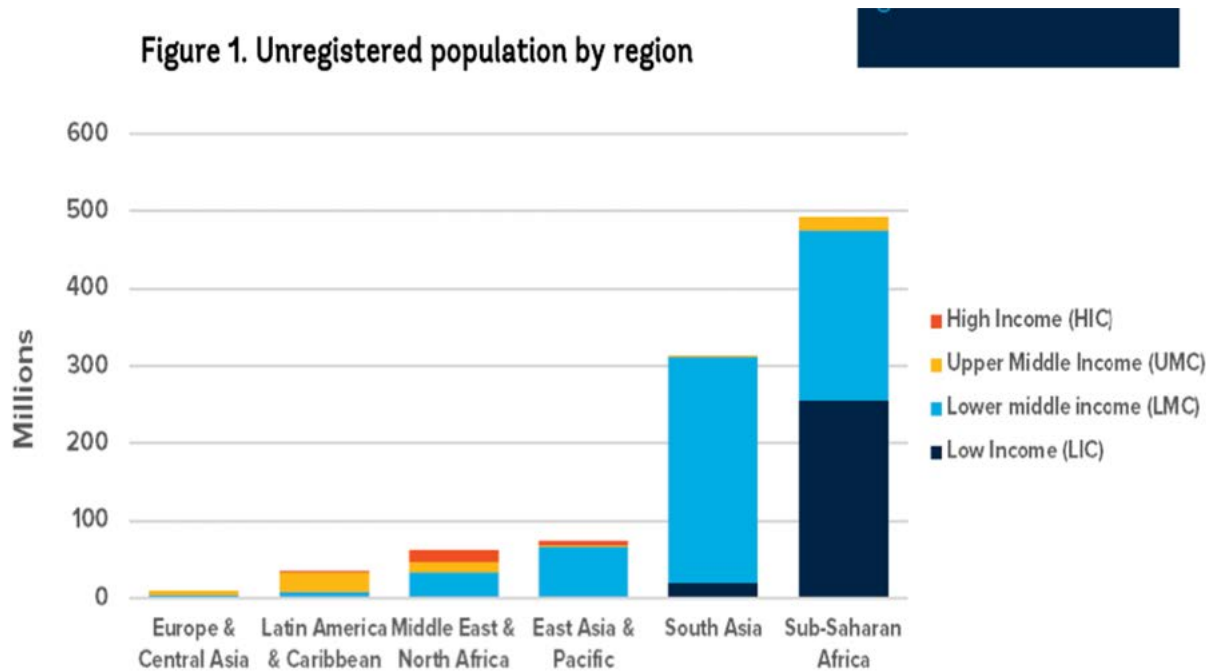




3. Innovative Practices in Identifying Vulnerable Groups

ID for Achieving the SDGs

Figure 1. Unregistered population by region



Source: ID4D Global Dataset (2018)

In addition to SDG Target 16.9, the ability of individuals to prove their identity—and the ability of service providers to identify beneficiaries and customers—is either a direct or indirect enabler of many other SDGs. For example, ID is either essential or helpful for achieving many of the goals and targets related to:

- Access to finance
- Gender equality and empowerment
- Access to basic health and education services
- Child protection
- Migration and labor market opportunities
- Improved access and quality of social protection
- Governance

Source: World Bank, 2019, ID4D Practitioner's Guide





3. Innovative Practices in Identifying Vulnerable Groups



1) World Bank ID4D initiative (1)

- **What:** Supporting countries to build **inclusive identification systems**, including civil registration, using digital solutions
- **Goal:** to enable people to access public services and exercise their rights, supported by digital identification
- **SDG 16.9:** “By 2030, **provide legal identity for all**, including birth registration”
- **ID4D** provides country **diagnosis; advice** on designing identification systems; **exchange** of good practices between countries



3. Innovative Practices in Identifying Vulnerable Groups



1) World Bank ID4D Initiative – Pakistan (2)



- **1999:** Establishment of the National Database and Registration Authority (NADRA)
- **2002:** start issuing of the **Computerized National Identity Cards (CNIC)** that are machine- readable and carry facial and fingerprint information
- Over 96 million Pakistanis received CNIC's
- CNIC's are prerequisite for e.g.
 - voting
 - access to social welfare services
 - **bank accounts**
 - mobile **SIM** cards, electricity supply ...
 - **passports**
 - **driver's licenses**

World Banks (2019) ID Enrollment Strategies: Practical Lessons from Around the Globe



3. Innovative Practices in Identifying Vulnerable Groups



1) World Bank ID4D Initiative – Pakistan (3)

Promoting women equality with digital ID management

- CNIC registration boosted when combined with the Benazir Income Support Program (BISP)
- BISP cash transfers only to female head of households and only if CNIC registered
- This caused **94 % increase** in women CNIC enrolment, including women from the poorest and most vulnerable groups
- CNICs increased **women's self-esteem** and **respect** in families, their influence on household spending, their mobility as well as their interest in **using their citizens' rights (voting)**





3. Innovative Practices in Identifying Vulnerable Groups



1) World Bank ID4D Initiative – Pakistan (4)

Take-Aways

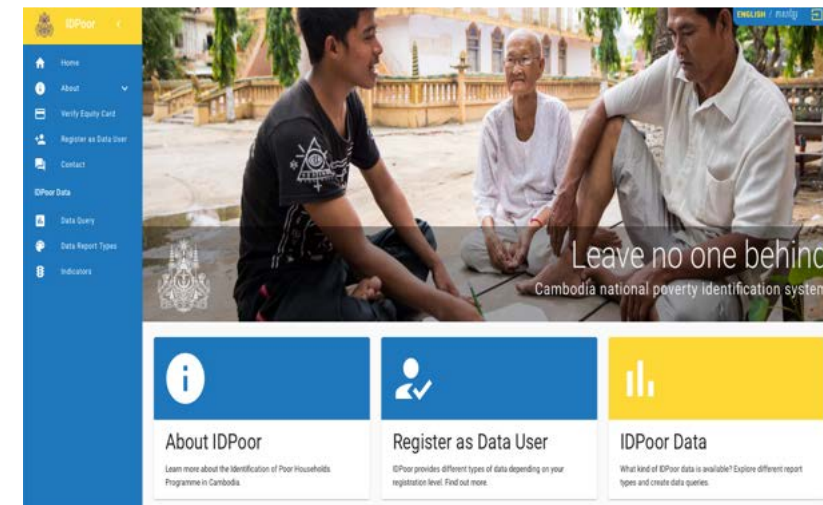
- Digital Civil registration (CRVS) and ID management are **key enablers** to facilitate access of vulnerable groups to public services
 - E.g. **health & social protection** of the poorest and most vulnerable
 - **Digital CRVS and ID simplify the delivery of public services**, such as the distribution of social aid grants and **prevent corruption**
- The **success factor** of the ID4D Pakistan program was that it was linked with the BISP social aid program and with the goal to empower the role of women in poor family households



3. Innovative Practices in Identifying Vulnerable Groups

2) Cambodia - Identification of Poor Households “ID Poor Platform” (1)

- “ID Poor Platform” is a nationwide, standardized multi-dimensional poverty identification mechanism tool to more accurately distribute the benefits of the public welfare service to appropriate poor households through better **targeting** of eligible recipients.
 - Local officials first identify poor households living in vulnerable areas by interviewing residents.
 - Then, local officers hold meetings to create a draft list of poor households and submit the draft list to the commune council, which then reviews and officially releases the final list of poor households.
 - Finally, the beneficiaries on the list of are given equity cards.

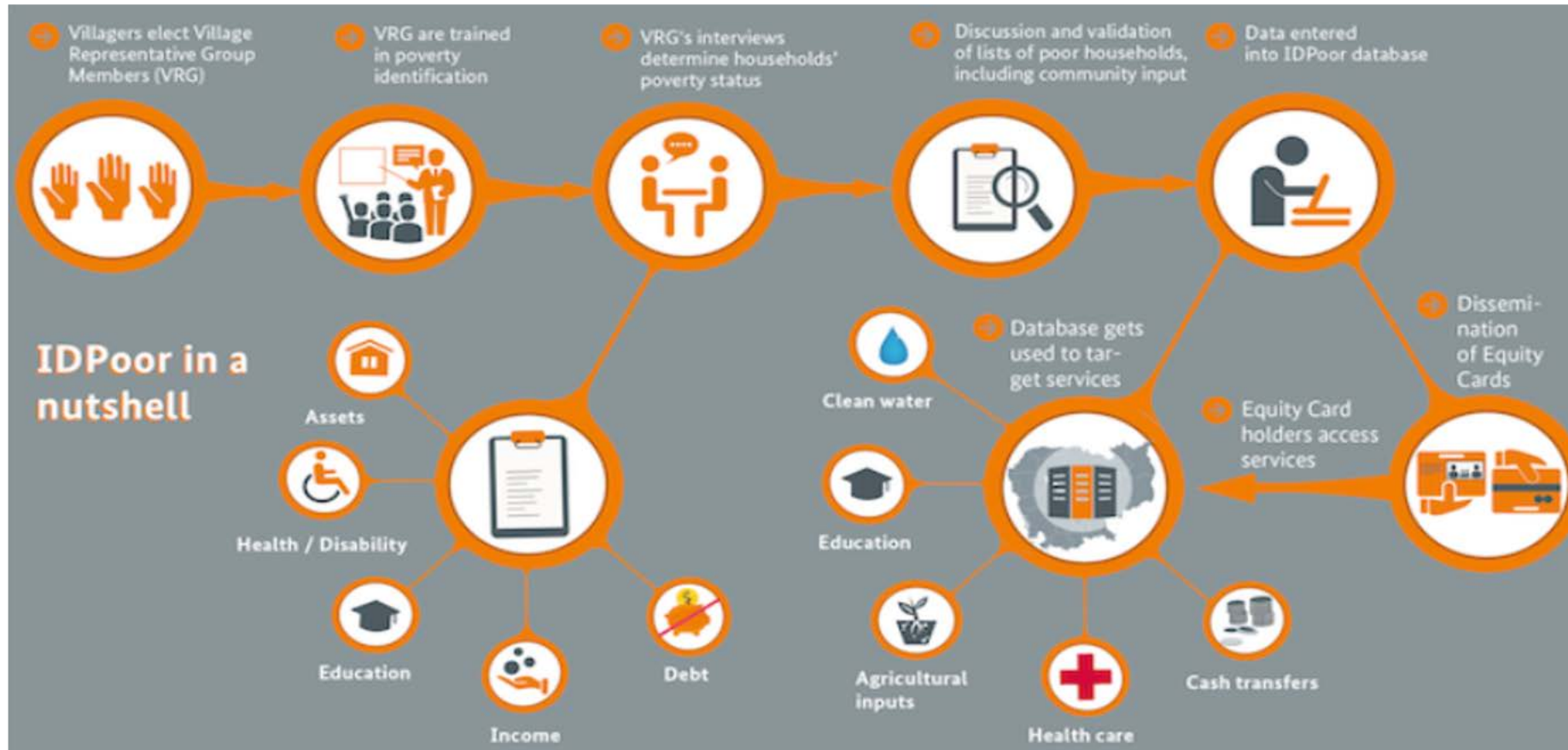


Source: <https://www.idpoor.gov.kh>



3. Innovative Practices in Identifying Vulnerable Groups

2) Cambodia - Identification of Poor Households “ID Poor Platform” (2)



Source: <https://www.idpoor.gov.kh/about/process>

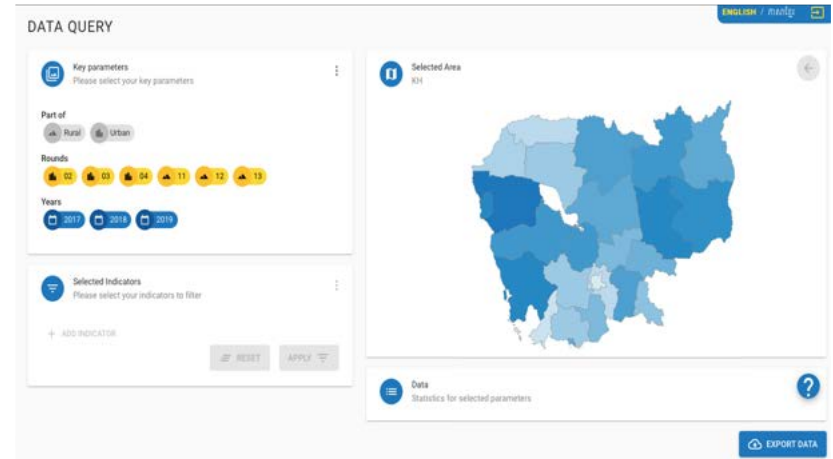




3. Innovative Practices in Identifying Vulnerable Groups

2) Cambodia - Identification of Poor Households “ID Poor Platform” (3)

- A Community-driven proxy means implemented by local residents of each village and then checked and validated by the community as a whole. The identification of poor households involves substantial villager participation and consultation.



- Makes the identification and data collection process more transparent to citizens.
- Also allows the government to manage accurate, up-to-date and high-quality information that different service-providing stakeholders can share.





3. Innovative Practices in Identifying Vulnerable Groups



3) India – Aadhaar

- A foundational digital platform
- Assigning a 12-digit identification number to citizens
- Based on resident's basic demographic and biometric information such as a photograph, fingerprint, iris scans
- Registration is voluntary; so far 1.2 billion people registered
- Aadhaar is used for Direct Benefit Transfer of subsidies and benefits through money transfer to citizens' bank accounts that are linked to the Aadhaar number

<https://uidai.gov.in>





3. Innovative Practices in Identifying Vulnerable Groups



4) Peru – RENIEC (1)

- For more than 100 years in Peru, civil registration and identification systems were tied to electoral processes, which effectively prevented the Government from delivering on its mandate. This changed with the creation of **Registro Nacional de Identificación y Estado Civil (RENIEC)**, a single national agency that has taken charge of both functions.
- Through a decentralized but integrated system, the agency has transformed the processes of registering vital events and identifying citizens. It has integrated the civil registration, vital statistics and identity management systems and has linked these systems to e-government services provision.
- The integration was achieved through the adoption of standardized processes and guidelines, the introduction of digital technology, and the digitization of civil registration and identification records.



3. Innovative Practices in Identifying Vulnerable Groups



4) Peru – RENIEC (2)

- By linking the digital identity platform to public service delivery, RENIEC has ensured that more newborns receive nutritional support in a timely manner; what used to take two months now takes 72 hours, and the number of beneficiaries receiving support in the first month of life increased from 36 to 71 per cent.
- In line with the SDG principle of leaving no one behind, the Identity Restitution and Social Support Department is developing a project to provide customized training to civil registrars in indigenous communities; the objective is to provide training in 48 indigenous languages spoken by approximately 16 per cent of the population.
- The new system and related initiatives are helping to reduce registration errors, promote inclusion, and reduce under-registration and are contributing to the achievement of SDG target 16.9.



3. Innovative Practices in Identifying Vulnerable Groups

Other Examples

- Use official cross-border human movement data or estimates; Use blockchain technology to issue ID for refugees and migrants as they are not covered in current social protection scheme
- Use the data on health insurance
- Use the tax filing information
- Use other administrative records





Group Work



Group Work (1)

Reversed advising - What if you gave *bad* advice?



The purpose of this exercise is to create innovative ideas – and this works best when step outside the normal thinking. This unusual method is both funny and effective to get to new ideas.

Let's make a list of the individuals, groups or organisations who are certainly NOT relevant as vulnerable group.

1	2
3	4
5	6



Group Work (2)

Actor Analysis

 20'

Who are the vulnerable groups and the groups likely to become vulnerable in the (near) future, in your country?

Groups that are most vulnerable now	Groups likely to become vulnerable in the (near) future



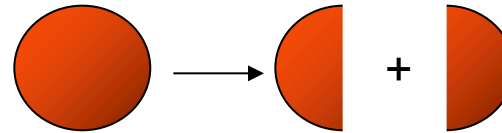
Group Work (3)

Interests Analysis



Example: Difference between standpoints and interests

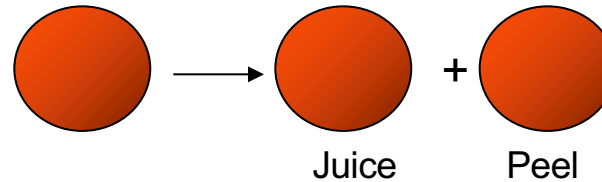
Standpoint 2 people:
“I want an orange”
Solution: each gets half.



Interest person 1:
“Making orange juice”

Interest person 2:
“Make marmelade”

Solution: both get 100%





Group Work (3)

Interests Analysis (cont.)

Understand each other better
Actors: priority vulnerable groups

	Actor 1	Actor 2	Actor 3	Actor 4
Interests				
Problems				
Options				
Preferences				
(Fears)				



Group Work (4)

Group Discussion

Work in groups of 4 to discuss the following scenarios



30'

Scenario:

Imagine that you have been successful in identifying certain vulnerabilities within your country. However, **your Department / Government does not have the means or the motivation to address them.**

What kind of consequences can you expect in the next : **a) 10 years; b) 30 years.**

- In a sub-urban area, 30% of the children between 11 and 17 years are not attending school anymore.
- As a consequence of climate change, desertification is progressing fast. One region of your country is particularly threatened by such phenomenon and people have difficulties to maintain a constant access to water.
- Because of a rapid and unforeseen urbanization of what used to be a medium-size city in your country, employment rates are falling. People speaking a minority language are particularly threatened by this rapid change and have difficulties to access the job market.



Background Materials

<ul style="list-style-type: none">• Key Readings	<ul style="list-style-type: none">• Yao, K. (2019), Importance and Challenges of Identifying Vulnerable Groups. Presentation at the 2019 United Nations Public Service Forum, Baku, Azerbaijan, http://unpog.org/board/download.asp?tn=tb_Symposium_Session_Data&sn=300&folder=tb_Symposium_Session_Data&field=file1• World Bank (2019), ID4D Practitioner's Guide http://documents1.worldbank.org/curated/en/248371559325561562/pdf/ID4D-Practitioner-s-Guide.pdf• World Bank (2018), Principles on Identification for Sustainable Development : Toward the Digital Age : Principles on identification for sustainable development : toward the digital age http://documents1.worldbank.org/curated/en/213581486378184357/pdf/Principles-on-identification-for-sustainable-development-toward-the-digital-age.pdf• GIZ, The Vulnerability Sourcebook: Concept and guidelines for standardized vulnerability assessments https://www.preventionweb.net/files/38849_38849vulnerabilitysourcebookguideli.pdf• UN Public Service Forum (2019), Government Innovation for Social Inclusion of Vulnerable Groups, Outcome Report, United Nations Public Service Forum. <u>Suggested reading: Session 1.</u>• Meuleman, L. (2003), The Pegasus Principle, An overview of practical stakeholder assessment methods and examples, http://www.ps4sd.eu/2003-the_pegasus_principle-book/
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Background Materials

Further Readings	<p>Downing & Ziervogel (2004), The Toolkit for Vulnerability and Adaptation Training by the Stockholm Environment Institute, https://www.adaptationcommunity.net/?wpfb_dl=236</p> <p>UN DESA, Vulnerability Vulnerability-Resilience Country Profile (VRCP) for SIDS https://sustainabledevelopment.un.org/content/documents/1982Vulnerability-Resilience%20Country%20Profile%20(VRCP).pdf</p> <p>UN DESA (2016), Leaving no one behind — SDG Indicators https://unstats.un.org/sdgs/report/2016/Leaving-no-one-behind/</p> <p>World Bank, Social inclusion assessment tool (SiAT) http://pubdocs.worldbank.org/en/478071540591164260/SiAT-Logo-web.pdf</p> <p>The UNFCCC Resource Guide for Preparing the National Communications of Non-Annex I Parties – Module 2: Vulnerability and Adaptation to Climate Change (UNFCCC, 2008b), https://unfccc.int/resource/docs/publications/08_resource_guide2.pdf</p> <p>Birkmann, J., Wisner, B. (2006), Measuring the unmeasurable: the challenge of vulnerability, Source, n. 5, UNU-EHS. https://collections.unu.edu/eserv/UNU:1872/pdf3962.pdf (Suggested reading: Chapters 3, 4 and 5).</p> <p>Asian Development Bank Institute, ADB Working Paper no. 611, Fujii, T. (2016), Concepts and Measurement of Vulnerability to Poverty and Other Issues: A Review of Literature, https://www.adb.org/sites/default/files/publication/210526/adbi-wp611.pdf</p> <p>GIZ, Hinkel, J., et al. (2014), A Framework for Climate Change Vulnerability Assessments. https://www.adaptationcommunity.net/download/va/vulnerability-guides-manuals-reports/Framework_for_Climate_Change_Vulnerability_Assessments_-_GIZ_2014.pdf (Suggested reading: Chapters 3 and 4).</p>
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End of Module 5

