

Independent Evaluation of the Social Protection in South Africa Joint Programme (SPSA-JP)

Draft Inception Report

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1 INTRODUCTION

The programme, “An integrated and universal social protection linked to Social Protection in South Africa developmental social welfare services in South Africa / short title: Social Protection in South Africa” (SPSA-JP), was a joint programme among UN agencies, including ILO (lead agency) - UNDP-UNICEF-UNWOMEN- OHCHR. The programme implementation commenced on 1st January 2020 and ends on 1st September 2022. The programme is part of the UN’s collective support towards achieving the social protection priorities of the Government of South Africa’s National Development Plan 2030, related international goals, and Social Development Goals within the framework of the United Nations Sustainable Development Cooperation Framework (UNSDCF) 2020 – 2025.

Following Guidance Note on Joint Programmes, the Evaluation Management Committee of the Independent Final Joint Evaluation (South Africa UNRCO, ILO, UNICEF, UN Women, and OHCHR) of the SPSA-JP commissioned the final evaluation of the JP. A team of two independent evaluators will undertake the evaluation from 6 June to 15 August 2022 for 55 workdays. The evaluation will document the achievements or lack thereof towards expected outcomes and record lessons learned to inform follow-up and replication in similar settings for joint programming. The evaluation will also assess the effectiveness of the participating UN organisations (PUNOs) in Delivering as One (DaO), including the UN system of coordination, joint programming, and inter-agency collaboration.

This report, prepared in line with the ILO EVAL Policy Guidelines Checklist 3 “Preparing the inception report”, represents the first deliverable of the evaluation. It outlines the methods and procedures, the proposed activities timeline, and the deliverables schedule. The inception report constitutes a consultation tool towards agreement on the scope and approach to assessment. It aims to ensure the independence of the evaluation process while at the same time ensuring that the evaluation outcome is meaningful and valuable to its commissioners. A desk study and review of background documents provided to the evaluators by the Evaluation Managers preceded the preparation of the inception report.

UN organizations should ensure that all necessary arrangements are made in a timely manner to ensure prompt implementation, monitoring and evaluation, and reporting.

Guidance Note on Joint Programmes, page 9

2 CONTEXTUAL BACKGROUND

2.1 COUNTRY CONTEXT

South Africa is the most diversified and financially integrated economy in Africa. It has good infrastructure and is the second most-favoured investment destination on the continent after Egypt. Classified as an upper-middle-income country, South Africa had a GNI per capita (PPP) of USD12,600 in 2019. Approximately 51.1% of South Africa's population of 59.6 million are female. (UN South Africa, 2019)¹. The youth aged 15-34 comprise 37.8% of the people, while 29% are below 15 years old.

High unemployment, low growth, weakened international competitiveness and reliance on carbon-intensive energy hamper the economy. Domestic material consumption is in decline, and unemployment is increasing. With a Gini coefficient of 0.68, the country is the most unequal society in the world. The underlying causes relate to the country's colonial and apartheid history, which created a dual economy and established stark and persisting racial, gender and regional disparities in income, wealth, ownership of land, education, health, housing and access to decent employment, skills and resources. Women, young black South Africans, irregular and undocumented migrants, persons with disability, street traders, waste-pickers, cross-border traders, precarious workers in agriculture and domestic workers are particularly vulnerable to unemployment and the deficits of the large informal economy. The proportion of youth not in employment, education, or training (NEETs) has remained at around 30% since 2013.

South Africa has well-developed social protection systems for reducing poverty and inequality associated with past injustices (United Nations Development Programme (UNDP, 2014)². However, the "provision of income security for those between the ages of 18 and 59 years" is described as the "glaring social protection gap" in South Africa (Joint SDG Fund, South Africa, Annual Report, 2020)³. The 'missed middle' of social protection is primarily the group between the poor and the formal sector, referred to as 'non-poor informal' (NPI). Working-age informal workers have the least social assistance or systems of support; the COVID-19 pandemic highlighted their level of vulnerability. (UNDP, n.d.)⁴

Social protection coverage has increased steadily, with 30.3% of the population covered in 2018. Similarly, the number of social grants has increased, and spending on essential services remains high at 20% of the national budget. The extension of social protection to all population groups (including those in the informal economy) and strengthening the complaint mechanisms for social protection remain key concerns (UNSDCF 2020 -2025).

The 2020 Human Development Report (HDR) indicates that South Africa's Human Development Index (HDI) was 0.709 in 2019, putting the country in the high human development category and positioning it at 114 out of 189 countries and territories (UNDP, 2020)^{5,6}. South Africa's female HDI value was 0.702, and the male value was 0.712 in 2019. It had a Gender Inequality Index (GII) value

¹ UN South Africa, (2019), Common Country Analysis

² UNDP. 2014. Resident Representative and National Planning Secretariat/ Acting Director-General: Policy Options for Extending Social Protection to Informal Workers in South Africa. An Issue Paper for The National Planning Commission

³ Joint SDG Fund. 2020. "Joint Programme 2020 Annual Progress Report." Project Factsheet - PSP 2019 South Africa

⁴ UNDP, (n.d.), Social Insurance Scheme Options for the Informal Sector in South Africa, with a focus on Women and Youth

⁵ UNDP (2020), Human Development Report 2020: The next frontier – Human development and anthropocene

⁶ The HDI is a summary measure for assessing long-term progress in three basic dimensions of human development: a long and healthy life, access to knowledge and a decent standard of living.

of 0.406, ranking it 93 out of 162 countries in 2019. The GII measures gender inequalities in three critical aspects of human development: reproductive health, measured by maternal mortality ratio and adolescent birth rates; empowerment, measured by the proportion of parliamentary seats occupied by females and proportion of adult females and males aged 25 years and older with at least some secondary education; and economic status, expressed as labour market participation and measured by labour force participation rate of female and male populations aged 15 years and older.

2.2 GOVERNMENT STRATEGIC CONTEXT

In line with the need to be responsive to national priorities and the principle of national ownership and leadership, the SPSA-JP is aligned to the National Development Plan 2030 (NDP 2030). South Africa's NDP 2030 accords a central role to social protection in addressing the critical challenges of eradicating poverty and reducing inequality (Department of Planning, Monitoring and Evaluation, n.d.)⁷.

The NDS 2030 regards the entrenchment of a social security system covering all working people, with social protection for the poor and other groups in need, such as children and people with disabilities, as one of the critical enablers to the achievement of its goal. Accordingly, one of its key objectives is: *By 2030, South Africa should have a comprehensive system of social protection that includes social security grants, mandatory retirement savings, risk benefits (such as unemployment, death and disability benefits) and voluntary retirement savings* (National Planning Commission, n.d.)⁸ The NDP 2030 and the Medium Term Strategic Plan (MTSP) envisage extending social insurance benefits to those excluded through, among other things, the “extension of social protection floors”.

2.3 UN PROGRAMME CONTEXT: UNSDCF

The SPSA-JP contributes to the South African United Nations Sustainable Development Cooperation Framework (UNSDCF) 2020 – 2025, jointly signed by the Government of South Africa and the UN in South Africa on 13 November 2020. Under the People Pillar, the UNSDCF recognises social protection as one of the gaps still existing across the people dimension. It further recognises the country's need to continue investing in its citizenry given the high inequality, unemployment, and poverty rates, which disproportionately affect women, people with disability, youth and children living in rural and urban informal settlements as gender disparities. The UNSDCF advocates for prioritising those far behind or at risk of being left behind.

To eradicate poverty and food insecurity, the Prosperity Pillar advocates for the strengthening and integrating of rural development, agricultural, and social protection policies. It also advocates for strengthening women's participation and leadership in the economy will promote gender equality. Similarly, the Partnership Pillar seeks to leverage synergies toward achieving the SDG 2030 agenda in South Africa, which is essential for the UN's support of the country's social protection agenda.

The SPSA-JP is a direct contribution to (i) the first UNSDCF Strategic Priority: *Inclusive, just, and sustainable economic growth*, Outcome 1.1: *By 2025, all people in South Africa, particularly women, youth, and other marginalised groups, benefit justly from decent work and other social and economic opportunities*; and (ii) UNSDCF Strategic Priority 2: *Human capital and social transformation*, Outcome 2.2: *By 2025, all people in South Africa, particularly vulnerable and marginalised populations, enjoy improved health, nutrition and well-being*.

In addition, **in March 2016**, ‘the UNCT in South Africa demonstrated its commitment to deliver better results together by officially making South Africa a ‘Delivering as One country’, thereby presenting the UN with an ideal opportunity for joint programming through the (1) One programme; (2)

⁷ Department of Planning, Monitoring and Evaluation, (n.d.), Medium term strategic framework 2019–2024

⁸ National Planning Commission, (n.d.), Executive summary fo the national Development Plan 2030

Operating as One; (3) Communicating and Advocating as One; and (4) Joint Partnership and Resource Leveraging strategy.

2.4 THE SOCIAL PROTECTION IN SOUTH AFRICA JOINT PROGRAMME (SPSA-JP)

2.4.1 Outcomes and Outputs

Through its Theory of Change, the SPSA-JP sought to address exclusion from existing provisions of social protection programmes and advocate for a comprehensive and inclusive system that leaves no one behind. The SPSA-JP sought to contribute toward Joint SDG Fund Outcome 1: *Integrated multi-sectoral policies to accelerate SDG achievement implemented with greater scope and scale*. The SPSA-JP pursued its purpose and objective through four pathways, namely:

- (i) developing feasible options to cover the most glaring social protection gap (the provision of income security for those between the ages of 18 and 59 years) and support the process of building consensus on a nationally defined Social Protection Floor (NSPF);
- (ii) establishing social insurance schemes for women in the informal sector, particularly in rural areas;
- (iii) supporting the development and financing of a new strengthened welfare services delivery model and its linkages to social grants; and
- (iv) establishing a Joint Programme Management structure to oversee and monitor the implementation of the Joint Programme (JP) and present regular progress and monitoring reports.

The core interventions towards the achievement of results along these pathways included:

- unpacking of a social protection floor, its measurement and costing, and building consensus on an NSPF;
- exploring feasible options for social assistance (basic income grant) for 18 to 59 years old by the end of the SP-JP, costing implementation approaches suitable to the country's context;
- exploring local and international options for a package of social insurance measures for women in the informal sector, costing the scheme options, proposing, and building consensus on feasible and sustainable scheme and delivery;
- providing support for the review of policies and regulatory frameworks towards a new social welfare services delivery model, costing the gaps and proposing implementation modalities for consideration, with the major thrust being on addressing the funding gaps to increase welfare services, human resources, physical infrastructure, use of information and communication technology, office, and delivery equipment;
- employing the approach of leaving no one behind, targeting currently excluded groups including young people and adults between 18-59 years old as well as women in the informal sector, looking at the specific situation of women, children, people with disabilities and migrants, as well as advancing the gradual implementation of a ground-breaking Basic Income Grant (BIG);

Through these pathways and their related interventions, the SPSA-JP anticipated that a basic income grant, combined with the clarity and approaches to link social welfare (care) services with social grants beneficiaries, social insurance, and a new and better-funded welfare delivery model, would have multi-dimensional socio-economic impacts to empower women and significantly and dynamically change the trajectory towards the achievement of SDGs by 2030

The achievement of the JP overall objective would be measured in four (4) outcomes, as summarised in Table 1 below.

Table 1: Abridged SPSA-JP Results Matrix

Outcome	No. of outcome indicators	No. of Outputs	No. of output indicators
Outcome 1 Social Assistance Scheme Consensus is Reached	1	2	2
Outcome 2: Options are agreed upon to address Gaps in access of women excluded from social insurance	0	3	3
Outcome 3: Strengthened social welfare policy and regulatory frameworks	1	3	3
Outcome 4: Joint program Management is strengthened	0	2	3

2.4.2 Human Rights Mechanisms related to the Joint Programme

The SPSA-JP identifies the following human rights mechanisms underpinning the JP's rationale and guiding its design and implementation.

- UN Committee on the Rights of the Child
- UN Committee on Economic, Social and Cultural rights
- UN Committee on the Elimination of Discrimination against Women
- UN Committee on the Rights of People with Disabilities
- UN Committee on the Elimination of Racial Discrimination
- ILO Committee of Experts on the Application of Conventions and Recommendations

2.4.3 Target groups

The SPSA-JP focuses on the target groups: women, children, girls, youth, persons with disabilities, older persons, rural workers, and migrants.

2.4.4 Funding

The Joint SDG Fund, ILO, and UNICEF (Table 2) funded the joint programme.

Table 2: Overview of budget

Joint SDG Fund contribution	USD 2, 000.000.00
Co-funding 1: ILO (300,000 USD)	USD 300,000.00
Co-funding 2 UNICEF (425,000 USD)	USD 425,000.00
TOTAL	USD 2,725,000.00

3 ISSUES EMERGING FROM DOCUMENT REVIEW

The desk review of documents provided contextual and background information on South Africa and the implementation of the SPSA-JP. The desk review aimed to assess the completeness of the documentation available and the quality, content, and coverage of data in them. The SPSA-JP annual reports contain useful and substantive information, including achievements by result area. The list of documents reviewed is presented in Annex 5.

3.1 EVALUABILITY ASSESSMENT

According to the United Nations Evaluation Group (UNEG) standards⁹, ‘...ensuring evaluability is a duty of management and those responsible for programme design and results frameworks. For evaluators, the evaluability assessment entails verifying if:

- (i) There is clarity in the intent of the subject to be evaluated;
- (ii) Sufficient data are available or collectable at a reasonable cost; and
- (iii) There are no major factors that will hinder an impartial evaluation process.

Based on a review of available documents, particularly the SPSA-JP document and its associated reports, the evaluators’ initial assessment is that the JP is partially evaluable. The SPSA-JP has a specific Theory of Change. The programme design has a results, monitoring, and evaluation framework, with clearly defined outcomes and measurable indicators with baseline data. However, there are no set targets for the programme end date, i.e., October 2022. As stated in Section 3.4 above, the SPSA-JP was the UN’s strategic intervention designed to align and respond to the government’s development priorities in social protection and social security, as well as explicitly link to the relevant SDGs. There is, therefore, sufficient clarity with regards to its intent. The available SPSA-JP annual reports contain relevant data based on its indicators and yearly targets. The availing of the October 2022 targets would address the data gaps highlighted below. In such a case, the evaluators do not foresee any significant factors that could hinder an impartial evaluation process.

The evaluators note that outcome indicators are lower-level output indicators. They do not measure transformative changes in duty-bearers’ capacities or the capabilities and well-being of beneficiaries.

The SPSA-JP is also unclear on the programme implementation strategy, i.e., whether NEX or DEX. The programme document provides the programme partners’ list and responsibilities. The list enhances the prospects of obtaining administrative data and expert opinions, thus strengthening programme evaluability.

Outputs are changes in skills or the abilities and capacities of individuals or institutions, or the availability of new products and services that result from interventions.

Outcomes represent changes in the development conditions or situations of targeted groups.

UNDAF Guidance, page 24

⁹ UNEG Norms and Standard for Evaluators, p 22

Data gaps

The other observation from the programme documentation review was that the budgets are not attached to the individual JP outcomes and outputs. This will pose challenges for the programme evaluability in terms of the efficiency criteria. It would be critical to determine the efficiency with which the JP deployed its material, human, time and financial resources towards the achievements of the intended outputs.

Another important observation was that while the gender marker was being reported upon, the JP results frame has a limited focus on gender related results and indicators. Only Outcome 2 and its related three (3) outputs focus on women and all the other outcomes and their outputs are silent in terms of gender related indicators. This may pose challenges to the evaluability of gender as a cross-cutting issue.

The evaluators have also noted that some indicators are not articulated in the M&E framework. These include indicators for: JP Outcome 1; JP Outcome 2; Outputs 1.1, 1.2 and 2.1. Whilst these can be deduced from the baseline and target statements, they might need to be clearly articulated as indicators.

The following list contains additional evaluability issues and data gaps, which require attention during the inception phase to provide clarity to the evaluation team and ensure that the evaluation is based on objectively verifiable data:

- Outcome 4: *Joint program management is strengthened* is not reflected in the M&E matrix. Outputs, indicators, baselines and targets have not been defined for this outcome.
- Some of the indicators require dedicated surveys, for example, the indicator for JP Outcome 2. In the absence of such survey data, there should be upfront agreement on the proxies that may be used;
- Some outcomes and priority areas do not have specific gender disaggregated indicators or baselines against which progress will be measured towards gender equality and women's empowerment. In the data collection phase, the evaluators will as much as possible obtain disaggregated data; and

3.2 ADDITIONAL EVALUATION ISSUES EMERGING FROM THE DESK REVIEW

The UN reform agenda and the UNCT's formal adoption of the Delivering as One approach present an opportunity for the evaluation to assess the SPSA-JP's coordination systems and mechanisms against the Standard Operating Procedures (SOPs) for DaO countries. The evaluation will therefore evaluate:

1. Strengthened common procurement services, where value addition is seen through time savings and cost reductions;
2. Cost-effective interventions implemented to reduce delays in cash transfer and enhance monitoring and reporting. Savings and efficiency gains are realized through joint quality assurance and harmonised payment practices, such as the Harmonized Approach to Cash Transfer (HACT);
3. Strengthened collaboration among UN agencies towards effective human resources management. Value addition will come from reduced recruitment costs, while service quality improvements are expected because of common training; and
4. Cost-effective and high-quality administration and ICT services used by UN entities through innovative and best practice applications to support programmes and operations.

The literature review also surfaced relevant strategic documents and knowledge products informing the UN's approach to social protection. These include:

- the Core Diagnostic Instrument (CODI) for social protection systems analysis;
- the UNESCAP Guide - How to Design Gender-Sensitive Social Protection Systems.
- UNICEF Working Paper WP-2020-10 - Gender-Responsive Age-Sensitive Social Protection: A conceptual framework
- IOM – Social Protection: An Operational Tool for the Humanitarian, Development and Peace Nexus
- UNDG social protection coordination toolkit - Coordinating the design and implementation of nationally defined social protection floors
- ILO - Social protection expenditure and performance reviews: Methodological note on definitions, classifications, and performance indicators
- UNWomen - Theories of Change for UN Women's Thematic Priorities: Achieving Transformative Results for Gender Equality and Women's Empowerment
- ILO - Transition from the informal to the formal economy - Theory of Change

This set of documents provides valuable guidance and standard concerning the analysis of social protection design, operation, and performance. The guidance and standards will inform data collection, and the analytical lens applied.

4 PURPOSE AND OBJECTIVES OF THE EVALUATION

4.1 PURPOSE OF THE ASSIGNMENT

The purpose of the evaluation is to enhance accountability, learning, planning, and building knowledge based on the assessment of the programme performance against the set indicators and targets, thus meeting the requirements of the donor and the PUNOs evaluation policies regarding accountability and documentation of the results achieved. The evaluation will assess the programme's contribution towards the achievement of the SDGs (through the SDGs targets) and to the UNDS reform (i.e., Resident Coordinator (RC) leadership, UN Country Team (UNCT) coherence, etc.). The donor, PUNOs and national stakeholders will use the recommendations and lessons learnt to inform:

- the development and implementation strategies for the social security strengthening in-country,
- replication of the programme in other countries, and
- further, contribute to the programme proprietors' objective of enhancing access to comprehensive social protection and social security for key populations at risk of being left behind.

4.2 OBJECTIVES OF THE EVALUATION

The evaluators understand the objectives of the evaluation and processes toward the realization of the same as being:

- i. Establish the relevance of the programme design and implementation strategy in relation to the relevant national development frameworks, UNSDCF and UN agencies cooperation programmes and final beneficiaries' needs. *This will involve an assessment of the quality of programme design in terms of inclusiveness and participation, appropriateness, and responsiveness of the programme as a solution to the needs and challenges identified through the situation analysis.*
- ii. Establish the coherence of the programme design and implementation strategy in relation to the relevant national, UN agencies (including the UNDS reform), and other multi or bilateral programs and programmes. *The evaluation will interrogate the systemic alignment to or coherence of the programme with relevant development frameworks, including NDP 2030, MTDP 2019 – 2024, UNSDCF 2020 – 2025, SDG 2030, etc.*
- iii. Assess the extent to which the programme has achieved its stated objectives and expected results while identifying the supporting factors and constraints that have led to them. *The consultants will interrogate the programme performance against the OECD criteria, including relevance, coherence, effectiveness, efficiency, and sustainability, whilst identifying the key enablers of and constraining factors to achieving results. This will require interrogation of the programme implementation processes and modalities, the functionality of the programme coordination systems and partnership arrangements, and synergy between the programme and other initiatives/programmes, as well as the extent to which they have driven processes towards the achievement of results.*
- iv. Identify positive and negative unexpected results of the programme. *This will entail identifying unpredicted results through a light outcome harvest methodology.*
- v. Assess the implementation efficiency of the programme. *The research question will be: How cost-efficient has the programme deployed its financial, human, technological and time resources towards realising intended results?*
- vi. Assess the extent to which the programme outcomes will be sustainable. *The evaluation will assess the extent to which the programme has managed to foster national and beneficiary ownership of programme results and develop national institutional capacities for the*

management and mainstreaming social security for vulnerable groups into national policy and legal instruments.

- vii. **Additional evaluation objective:** Assess the extent to which the programme integrated gender equality and human rights as crosscutting concerns, particularly regarding people with disabilities, throughout its deliverables and process, as well as social dialogue, international labour standards and just environmental transition. *The evaluation will assess the extent to which the programme mainstreamed these cross-cutting issues as a key strategy to ensure inclusivity and participation.*
- viii. **Additional evaluation objective:** To assess the impact of COVID-19 on programme implementation, effectiveness, and efficiency.
- ix. Assess to what extent the programme contributed to the acceleration of SDGs progress. *The achievement of this objective will be measured against the national SDG agenda related to social security and social protection, especially the social protection floor targets.*
- x. Identify lessons learned and potential good practices. *The key research question will be: What developments, hints, mistakes, and risks were found during programme implementation which can be validated, consolidated, and finally documented as experiences that can guide follow-up and replication in similar settings?*
- xi. Provide recommendations to programme stakeholders to promote sustainability and support further development of the programme outcomes. *The evaluation will generate actionable policy and programmatic recommendations for improving future programmes and learning. The recommendations will include insights into how the programme deliverables and outcomes can be used to develop follow-up actions based on the current programme's results. They will also focus on how to deal with identified challenges in the future if they have not been overcome during the programme implementation period.*

4.3 EVALUATION QUESTIONS

Overall, the evaluation will seek answers to three key research questions, viz.:

- i. What evidence is there to show that the SPSA-JP has strengthened social security for key populations at high risk of being left behind and social welfare service delivery systems in South Africa?;
- ii. To what extent was the SPSA-JP effort to promote social security for key populations at high risk of being left behind and a robust social welfare model in South Africa evidence-driven? and
- iii. What national capacities and partnerships were built to promote ownership and sustainability of the results?

The research matrix in Annex 1 elaborates on the proposed key research questions. It expounds on the critical research questions outlined in the TORs.

4.4 SCOPE OF THE SOCIAL PROTECTION IN SOUTH AFRICA PROGRAMME EVALUATION

The evaluation will cover the entire programme implementation period from January 2020 to May 2022, including a geographic coverage of the Republic of South Africa. The Social Protection in South Africa programme will be the sole unit of analysis. Results will be aggregated at the outcome and impact levels and attributed to the ILO-UNDP-UNICEF-UNWOMEN-OHCHR partnership, and the programme development partners as a collective, not individual entities. These TORs, the Monitoring and Evaluation Framework for the Social Protection in South Africa programme, and the Evaluation Policies and Guidance notes ILO and other PUNOs define the overall scope of this evaluation. The ILO guidance notes include the ILO/EVAL Guidance Note No. 3.1 and Guidance Note No. 7 and EVAL Guidance Note No. 3.2. Moreover, the impact of the COVID-19 on the

programme's completion will be considered. The evaluation will focus on the four main components of the Delivering as One package (Figure 1); and assess the extent to which the four components: (1) One programme; (2) Operating as One; (3) Communicating and Advocating as One; and (4) Joint Partnership and Resource Leveraging – have influenced the implementation of the SPSA-JP. iii. The evaluation will also assess the extent to which the SPSA-JP, through DaO strategy, leveraged the capacities of PUNOs to mobilise resources for future programming in SP.

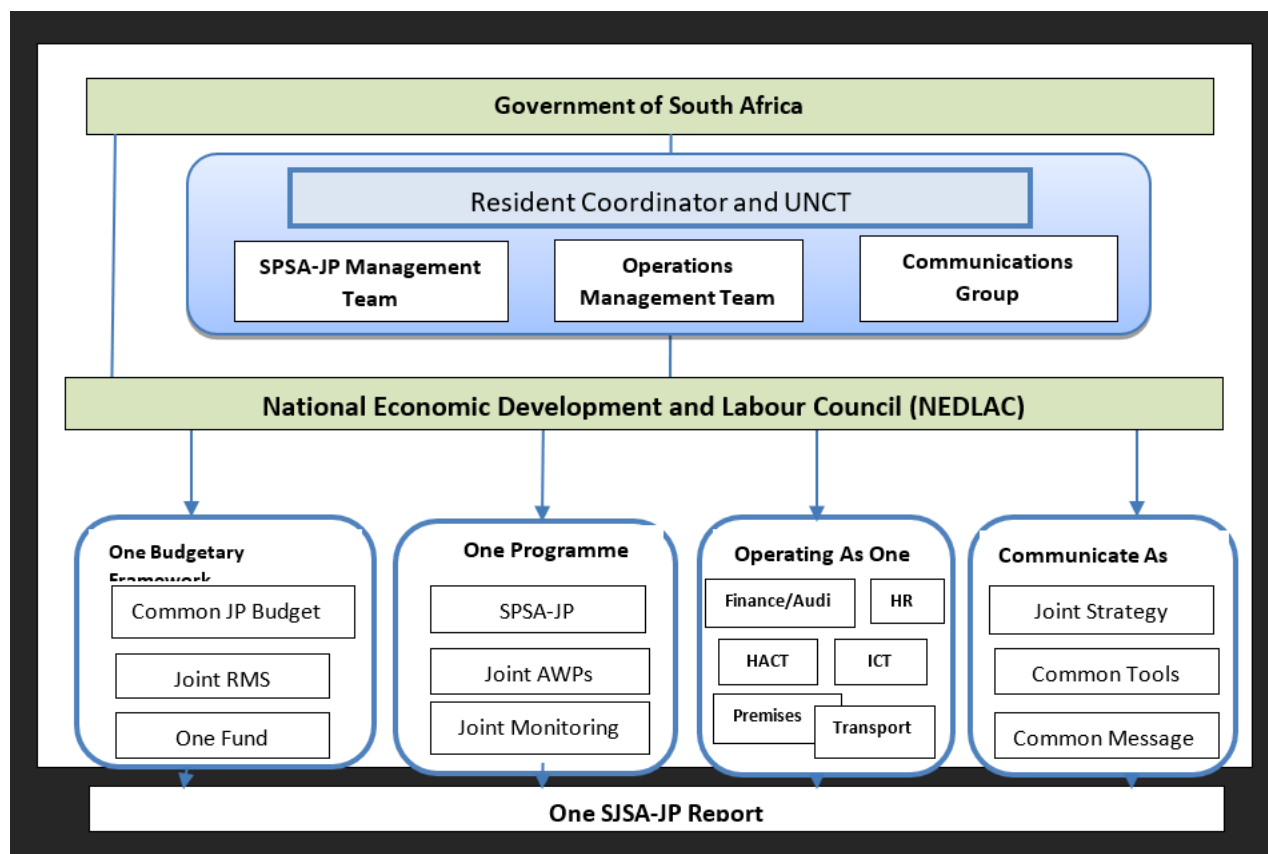


Figure 1: DaO Components

The evaluation will utilise the OECD criteria outlined in the United Nations Evaluation Group (UNEG) guidelines,¹⁰ as described below (Table 3).

Table 3: Evaluation criteria

Relevance	The extent to which a development initiative and its intended outputs or outcomes are consistent with national and local policies and priorities and the needs of intended beneficiaries.
Coherence	The compatibility of the intervention with frameworks and other interventions in a country, sector, or institution, i.e., how well the intervention fits into the operational environment.
Effectiveness	Measures the extent to which the planned outcomes have been achieved; and the degree of causal association between the UN's interventions and the outcomes.
Efficiency	Measures how economically resources or inputs (such as funds, expertise, and time) are converted to results, including analysis of delivery rates and general management issues.
Sustainability	The extent to which benefits of UN interventions will continue after the end of programme funding, including assessment of whether the required social, economic, political, and institutional conditions are present.

¹⁰ Programming, Monitoring and Evaluation Handbook.

Impact	Changes in human development and people’s well-being that are brought about by development initiatives, directly or indirectly, intended, or unintended.
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4.5 USERS OF THE EVALUATION

The ToR primary users of the evaluation are the national stakeholders indicated in the ToRs cover, including National and Provincial authorities, civil, society organizations and social partners. The UN agencies implementing the programme and the UN SDG fund are also significant clients of this evaluation

The evaluation results are expected to be applied for follow-up actions, new interventions by national stakeholders and the PUNOs, and support academia and media discussions on the subject through evidence-based analysis. The PUNOs will contribute to this process through learning plans that may be jointly organized after completing the evaluation. The evaluation report will support this learning purpose as discussed in previous sections.

4.6 LIMITATIONS OF THE EVALUATION

The main limitation of this evaluation will be the limited ability to assess the achievement of higher-level programme outcomes, i.e., visible changes in the situation of the target beneficiaries. The JP has focused on knowledge building around the intervention areas and institutional capacity building without going further to materialise the knowledge and capacities into beneficiary benefits, which might be the next phase of the programme.

5 CONCEPTUAL AND METHODOLOGICAL FRAMEWORKS OF THE SP-JP PROGRAMME EVALUATION

5.1 KEY ASSUMPTIONS

The conceptual and methodological frameworks are founded on the following assumptions:

- i. The programme Theory of Change adequately maps out or “fills in” the “missing middle” between what the SP-JP initiative has been doing (its activities or interventions) and how these led to desired goals being achieved;
- ii. There is an **SP-JP Programme Document** that outlines the key outputs that had to be completed towards the achievement of each expected outcome, including a comprehensive **Results Matrix** with clearly assigned responsibilities;
- iii. There is a comprehensive **SP-JP Programme M&E matrix** with detailed output, outcome, and impact indicators; and
- iv. Information on implementation and performance has been collected.

5.2 THE SP-JP EVALUATION ANALYTICAL FRAMEWORK

The evaluation is programme evaluation, focusing on outcome-level indicators. The evaluation will be conducted using a Theory of change-based approach, applying mixed methods, including a light outcome harvesting method and with a utilization focus. Towards an integrated approach, the evaluation will place the JP in the existing context, as well as within the context of other ongoing initiatives in social protection. The SP-JP evaluation analytical framework is summarized in Figure 2. The outcome evaluation will primarily rely on the programme **evaluability**, **Theory of Change**, and well-defined **results chain**, including inputs and outputs, to ascertain the sources of the SP-JP outcomes and impact effects. The evaluation will focus on achieving the four (4) SP-JP results and lessons learnt towards achieving the same. To assess effectiveness, the central question in this evaluation will be whether the outcome targets have been achieved and whether they contributed to desired outcomes in the context of the UNSDCF, UN reform, national development frameworks and the 2030 Agenda for Sustainable Development. In addition to assessing progress toward planned SP-JP outcomes, the evaluation will also assess the effectiveness of the SP-JP coordination and implementation mechanisms and whether they were strengthening/contributing to the strategic achievement of results. The evaluation will interrogate the existence and functionality of the various SP-JP coordination and implementation structures and evidence of implementation of coordination and implementation plans. Assessing relevance and effectiveness will also require using tools and techniques that seek answers from the stakeholders to the question, “*What has changed because of the SP-JP support?*”

Overall, the SP-JP evaluation will focus on three categories of evaluation criteria. *Category 1* will consist of the four OECD/DAC essential programme quality and performance evaluation criteria - **relevance, efficiency, effectiveness, and sustainability**. *Category 2* criteria will evaluate the extent to which the programme design and implementation strategy strengthened the strategic, systemic, and corporate **coherence** of the SP-JP and its added value. *Category 3* criteria will evaluate the degree to which the SP-JP mainstreamed cross-cutting issues, including gender equality, rights-based approach, social dialogue and tripartism, international labour standards and just environmental transition. Gender-related concerns will be analysed based on the ILO Guidelines on Considering Gender in Monitoring and Evaluation of Programmes. In assessing the transformative effects of SP-JP on inclusive and sustainable social protection, and social security for marginalized groups in South Africa, the evaluation will, as much as possible, try and ascertain the **contribution** of the results to the programme. To assess contribution, the evaluators will try to establish what the situation would have been in the absence of the SP-JP, i.e., the **counterfactual**.

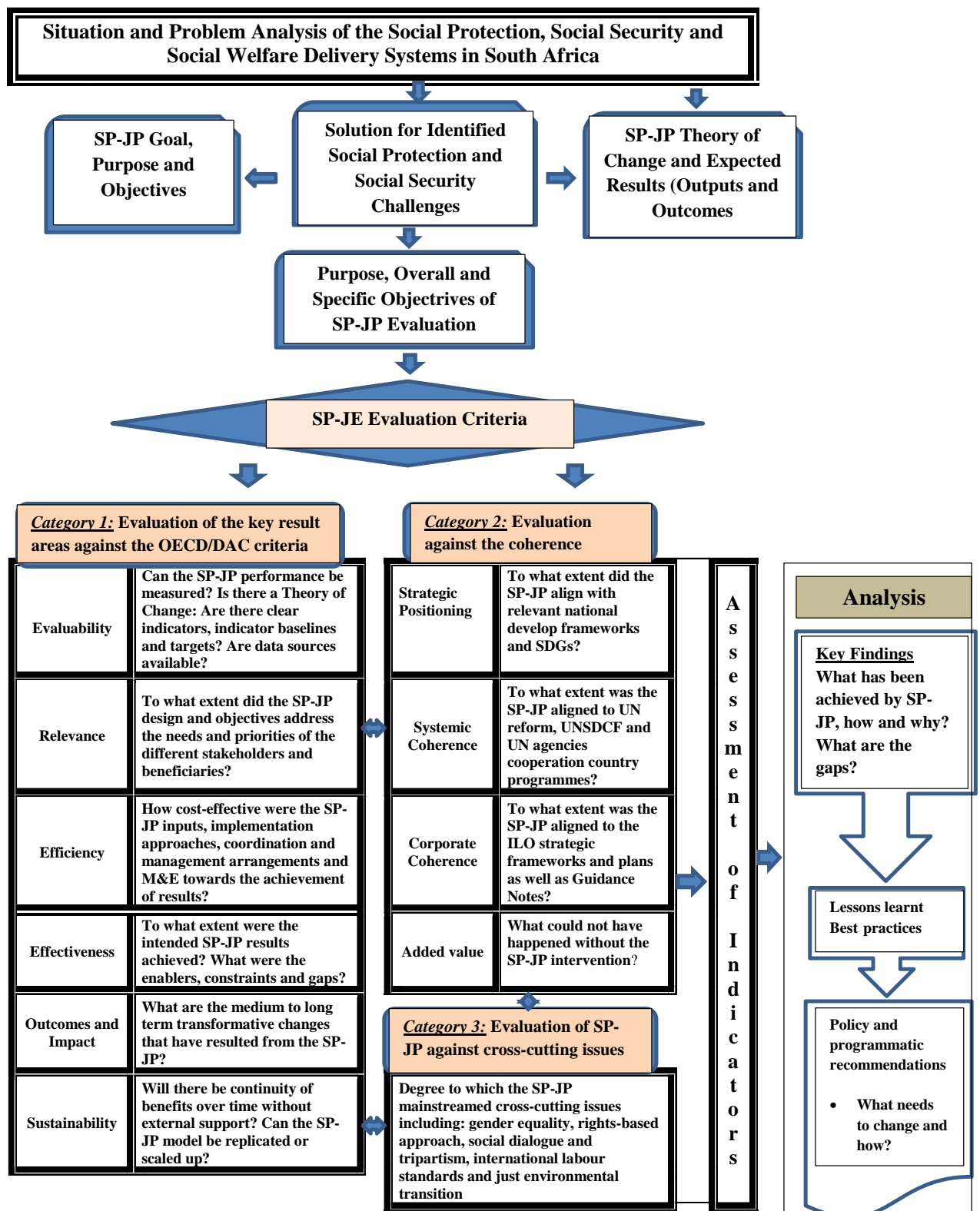


Figure 2: SP-JP evaluation analytical framework

Figure 3 shows the SP-JP programme content and the sequencing of the evaluation criteria along the results path. It shows the phases along the results path and the programme components to which the various evaluation criteria apply.

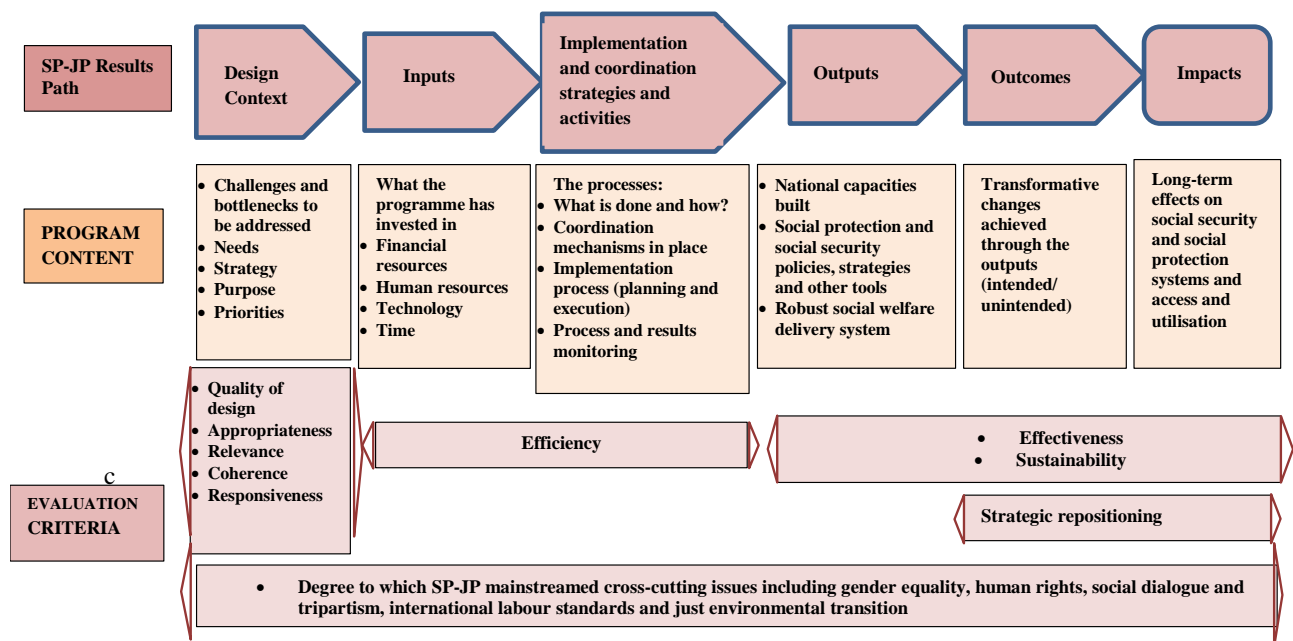


Figure 3: Sequencing of the evaluation criteria along the results path

The evaluation will employ an inclusive, participatory approach in line with ILO/EVAL Guidance Note No. 3.1 and Guidance Note No. 7 to ensure stakeholder participation. The evaluators will follow the UNEG ethical guidelines on evaluation and sign the ILO evaluator Code of Conduct. Moreover, the review will pursue a human rights-based approach through consultations with both duty bearers (ILO, PUNOs, and relevant agencies of the Government of the Republic of South Africa), development and implementing partners, as well as rights holders (intended beneficiaries through their representative organisations, including those for women, youth, and people with disabilities).

A light Outcome Harvesting Methodology will complement the analytical framework **to probe unpredicted/unintended, positive, and negative, and direct and indirect outcomes**. The evaluator will use FGDs to engage with programme “focal points” in the PUNOs. The harvesting of the unintended results will be highly participatory and requires that the evaluators be informed by the people closest to the ‘action’ with adequate knowledge of what was unintentionally achieved and are motivated to report on their achievements.

5.3 Methodology

The methodological framework (Figure 4) is based on the evaluation phases approach and interrogates the evaluation objectives, strategic activities, and deliverables at each phase of the assignment.

PHASES	Inception	Data collection	Analysis	Assessment and Reporting
Phase Objectives	To finalise the research methodology, tools, stakeholder map, work plan and logistics in consultation with the ILO, PMT, RCO and donors	To collect data and evidence on SP-JP output and outcome (and impact) indicator performance.	To analyse and triangulate data from different sources	<ul style="list-style-type: none"> To respond to the key evaluation questions To draw lessons learnt and best practices To develop policy and programmatic recommendations on improvement of the SP-JP initiative
Evaluation Activities	<ul style="list-style-type: none"> Virtual inception briefings and interviews with ILO, PMT, RCO and donors Literature and document review Development of methodology, data collection tools and work plan 	<ul style="list-style-type: none"> Review of programme reports and key strategic documents on social protection and social security in South Africa, ILO guidance notes, relevant strategic documents of PUNOs Virtual key informant interviews with key stakeholders, partners and donors 	Data computation, tabulation, comparison, analysis and synthesis	Compilation of key findings, lessons learnt, best practices, policy and programme recommendations based on ILO report format guidelines.
Deliverable	Inception report (with detailed work plan and data collection instruments following EVAL Checklist 3		Virtual PowerPoint presentation of preliminary findings to ERG	A concise draft and final Evaluation Report (maximum 35-40 pages plus annexes and following EVAL Checklists 5 and 6 framed under UNEG standards

Figure 4: SP-JP evaluation methodological framework

5.3.1 Inception phase

Preliminary virtual inception meetings: The consultants will utilise the inception phase to dialogue widely with the Programme Team, the donors and other key programme focal persons to understand the full context of the evaluation, as well as capture their expectations regarding the content and scope of the SP-JP evaluation. The first meeting will be held with the RCO, UN implementing agencies at the country level and the ILO Regional Social Protection Specialist and Programme Team. The consultations will result in decisions and agreements on the priority areas of focus for the evaluation and available data sources and will inform the broader stakeholder consultative process. The evaluation team leader will receive a list of key stakeholders from the National Programme Coordinator (NPC).

Desk review: As per the ToRs, the desk review will include the following information sources, which will be made available by the NPC, in coordination with the EMC (through the RCO and ILO evaluation manager) on Google Drive, Dropbox, or similar at the start of the evaluation:

- Programme document;
- Work plans;
- Programme monitoring plans and reports;
- Progress reports;
- Programme budget and related financial reports;
- Technical reports;
- Reports from various activities;
- Steering committee meeting minutes; and
- Others as required.

In addition to these materials proposed in the TORs, the evaluators will also review Government policy and legal instruments underpinning the social protection, social security, and social welfare delivery systems in South Africa. The consultants will also review all the relevant strategic documents to which the SP-JP is aligned, including UNSDCF, South Africa SDG framework, UN Joint

Programme guidance notes, ILO guidance notes and others. The desk review may suggest several preliminary findings that could be useful in reviewing or fine-tuning the evaluation questions.

The key output of the Inception Phase will be an inception report. The Inception report covers the evaluability assessment regarding the availability of data/information to answer the ToR evaluation questions, the programme materials to be reviewed, the preliminary analysis of the theory of change of the programme, the evaluation questions and evaluation indicators operationalized in an evaluation matrix, detailed work plan, list of stakeholders to be interviewed, the outline of the stakeholders' workshop and the draft and final report; data collection tools; and logistical arrangements. All the elements will follow ILO/EVAL Checklist 3. The inception report will be reviewed by the Evaluation Reference Group and approved by the EMC before moving to data collection.

5.3.2 Primary data collection

The primary data sources will be key informant interviews, institutional interviews, focus group discussions, output and outcome measurement tools and a light outcome harvesting survey. Meetings will be held with the RCO, UN implementing agencies at the country level and the ILO Regional Social Protection Specialist, the Programme Team, programme staff based in Pretoria, programme staff of other UN programmes as relevant, and UN agencies staff responsible for financial, administrative, and technical backstopping of the programme.

Due to the COVID-19 operational environment and its impact on the world of work, this evaluation will be guided by the criteria and approaches outlined in the ILO internal guide: *Implications of COVID-19 on evaluations in the ILO: An internal guide on adapting to the situation (version March 25, 2020)*. In the current relatively relaxed COVID 19 situation, the evaluation may be fully through a face-to-face modality. For the success of these interviews, it is expected that the programme managers and agency/PUNO officers will provide all their support to the organisation of these interviews. The data collection tools for the evaluation are presented in Annex 3.

Key informant interviews: These will be held with key stakeholders that include:

- National Department of Social Development (DSD);
- Statistics South Africa;
- National Treasury;
- NEDLAC;
- South Africa Informal Traders' Association;
- South African Social Security Agency (SASSA);
- Academia and research institutes (i.e. South Africa Universities);
- The World Bank;
- RCO South Africa;
- UN participant agencies; and
- UNSDG Fund (New York).

In addition to the above stakeholders proposed in the ToRs, the evaluators also propose key informant interviews with:

- South African government agencies responsible for:
 - Gender, women affairs, and empowerment; and
 - Youth economic empowerment; and
- The agency that has oversight on insurance and pensions.

Institutional interviews: These will go beyond collecting expert opinions and collect specific data maintained by mandated institutions. An example would be National Department of Social

Development (DSD) data on numbers of beneficiaries and expenditures by type of relevant social welfare programme; South African Social Security Agency (SASSA) on beneficiaries by benefit type; etc. The target institutions will be agreed upon with ILO, guided by the amounts and types of data available through the desk review.

Output/Outcome/Impact indicator measurement tool: This tool seeks to collect the status of the key output/outcome indicators from the programme implementers who regularly monitor the programme performance. The tool will be shared with the NPC for onward distribution to PMT and relevant programme officers in the PUNOs. (See Table 4 below).

Focus Group Discussions (FGDs): The evaluators propose four FGDs with participants representing two broad categories as follows:

- *Duty bearers:* One FGD will consist of programme officers from the various SP-JP implementing agencies. The objective is to get a fair and participatory assessment of the extent to which the programme has managed to deliver on its obligations to the target beneficiaries; and
- *Rights holders:* To ensure that opinions and perceptions of women, people with disabilities, and vulnerable groups as relevant, are equally reflected in the evaluators propose three (3) FGDs to be held with representative organisations of (i) women empowerment; (ii) youth empowerment; and (iii) people with disabilities. The objective is to get a fair and participatory right holder assessment of the extent to which the programme has managed to meet the expectations of its target beneficiary groups.

A light outcome harvesting survey: The consultant will also carry out an electronic survey with programme officers of participating agencies to probe unintended results and how they occurred. Depending on the client's preferences, the survey will be mounted on Survey Monkey, Kobo or Microsoft Forms, or ODK.

Sources of Information/stakeholder mapping

Based on a review of the SPSA-JP and associated annual reports, the following key informants have been identified. A sample will be obtained from each category for primary data collection.

Table 4 below contains the sampling frame for the critical sources of primary data. This list is to be confirmed and modified during the Inception meeting to be held with the Evaluation Management Team (EMT). To facilitate planning and scheduling discussions with key informants, the evaluators propose to schedule meetings as outlined in Annex 4 - Proposed Schedule of Interviews.

Table 4: Stakeholder mapping

Name of initiative/project	Key expected results	Links to the joint programme	Lead UN agency	Lead organization	Other partners
Social Protection Floor	<ol style="list-style-type: none"> 1. Develop in a multi-stakeholder context the elements and benchmarks of a comprehensive social protection floor 2. Conduct relevant research, and review existing research around the various social protection floor options 3. Make final recommendations to the Presidency about the size and shape of a social protection floor in South Africa 	Problematizing, benchmarking, and developing consensus on a social protection floor	ILO	National Planning Commission (Government of the Republic of South Africa)	The Presidency, NEDLAC, CSOs
Expanding SASSA Grant Recipients (BIG)	<ol style="list-style-type: none"> 1. Review current government and external research on income security 2. Undertake a fiscal-space analysis 3. Convene a multi-stakeholder forum to review and discuss findings 4. Present a set of recommendations for an incremental rollout of a basic income grant/income security 	Development of feasible options for the provision of income security for 18-59-year-olds	ILO	United Nations Development Programme	SASSA, DSD
Development of an effective social welfare service delivery model	<ol style="list-style-type: none"> 1. Review the current delivery model, looking at the gap between funding and service demand 2. Undertake consultancies with NGOs, CBOs and NPOs regarding financing and delivery constraints and proposals 3. Review existing developmental frameworks and clearly define developmental approaches 4. Review TPA agreements between NPOs and DSD 5. Develop financing options for a strategic medium-term budget that would increase human resources, infrastructure, ICT and equipment 6. Review options and costing for an integrated model through cash+care linkages 	<ul style="list-style-type: none"> • Improved strategic financing and resourcing of social welfare services • Strengthening social welfare policy and regulatory frameworks • Developing better linkages between cash and care services 	UNICEF	Department of Social Development	Provincial DSD, NPOs, NGOs, CBOs
Social Insurance for Women	<ol style="list-style-type: none"> 1. Review existing research on social insurance models and particular challenges faced by women in the informal sector 2. Present and review proposals to and with stakeholders 3. Present final recommendations to the government for adoption 	Propose a social insurance package for women working in the informal sector	UNWOMEN, UNDP	National Treasury	All sector departments NGOs
JP management	<ol style="list-style-type: none"> 1. Establish steering committee 2. Technical and human resources are made available 	Establish Joint Programme Management	All PUNOs	All stakeholders	All stakeholders

5.3.3 Data analysis

The evaluators' analyses, findings and conclusions will be informed by multiple data sources, including desk reviews and secondary and primary data. The evaluators will employ a combination of comparative and qualitative analysis. This mixed methodological approach will allow the triangulation of qualitative and quantitative data. Quantitative data will be deployed to Excel, Microsoft PBI, GoogleSheets and DataStudio for tabulation and graphing. Broader stakeholder validation of the evaluation will be undertaken through stakeholder comments on the draft evaluation report by the Evaluation Management Committee and other stakeholders. The triangulation of multiple data sources is intended to broaden the analysis scope and enhance the validity and reliability of data and information.

5.3.4 Assessment of findings

The SP-JP outcome evaluation will employ a traffic light outcome rating system. The rating relates to the status of the output and outcome targets as provided in the SP-JP M&E Framework based on indicator ratings, as shown in Tables 5-7 below. The programme output and outcome performance will be rated based on the progress made towards the planned targets using the following rating scale: (i) **Achieved (Green)**: if the May 2022 target is at least 95% achieved; (ii) **Good Progress Made Towards Achievement (Blue)**: if the planned May 2022 output targets have been met by at least 75%.; (iii) **Satisfactory (Amber)** if at least 50% of target achieved; and (iv) **Not Achieved (Red)**: if performance is below 60% of planned May 2022 targets. The assessment will also rate the programme's contribution to achieving the outcomes. This will mainly be based on documented evidence and stakeholder perceptions. Contributions attributed to the programme will be assessed on the following rating scale: *Significant* (more than 50%) (*Green*); *Not significant* (less than 50%) (*Amber*); and *None* (*Red*).

5.3.4.1 Output rating system

The SP-JP evaluation will consider the level of achievement of programme outputs through the assessment of available data and/or opinion of stakeholders and rate performance on the colour-coded scale as described above. The assessment of outputs for each outcome will be based on the comparisons of the indicator baseline, target, and May 2022 status. It will be summarised using an **Output Measurement Tool**, per the sample shown in Table 5.

Table 5: SP-JP evaluation output measurement tool

Strategic objective:					
Outcome #:					
Outputs	Output Indicator Performance (Real database ranking or stakeholder opinion)				
	Baseline	Target	May 2022 Status	Output Rating	Contribution of Programme
Indicator 1:					
Indicator ...					
Indicator n					
Overall Rating of Output X:					
KEY		Achieved	May 2022 target is at least 95% achieved		
		Good Progress Made	May 2022 output targets have been met by at least 75%		
		Satisfactory	At least 50% of the May 2022 target achieved		

	Not Achieved	Performance is below 50% of the planned May 2022 target
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5.3.4.2 Outcome rating system

The level of outcome achievement will be measured at two (2) levels. The first level will be at the outcome indicator level. The evaluation will measure the **achievement of the outcome indicators** against the planned targets. The second level of outcome rating is the level of contribution of indicator and outcome achievement to the programme, which will be based on the evaluators' assessment of the **output/outcome overall ratings**, as well as stakeholder perceptions of the performance of the result area. Thus, the overall **outcome rating will be a "sum total" of the outcome indicator performance plus overall output ratings plus stakeholder perceptions**. The outcome rating tool is shown in Table 6.

Table 6 SP-JP evaluation outcome rating tool

Strategic objective:					
Outcome X:					
Outcome Indicators	Outcome Indicator Performance (Real database ranking or stakeholder opinion)				
	Baseline	Target	May 2022 Status	Outcome Rating	contribution of Programme
Indicator 1:					
Indicator ...					
Indicator n					
Outputs				Output Rating	Contribution of Programme
Output 1					
Output					
Output X					
Overall Rating of Outcome X:					
KEY		Achieved	May 2022 target is at least 95% achieved		
		Good Progress Made	May 2022 output targets have been met by at least 75%		
		Satisfactory	At least 50% of the May 2022 target achieved		
		Not Achieved	Performance is below 50% of the planned May 2022 target		

5.3.5 Rating of likely impact

Like the outcome measurement system, the level of likely impact will be measured at two (2) levels. The first level will be at the impact indicator level (if defined). The evaluation will measure the **achievement of the impact indicators** against the planned targets. The second level of impact rating and contribution of indicator and impact achievement to the programme will be based on the evaluators' assessment of the **outcome overall ratings** and stakeholder perceptions on the overall programme performance. Thus, the overall **rating of the likely impact will be a "sum total" of the impact indicator performance plus overall outcome ratings plus stakeholder perceptions**. The impact rating tool is shown in Table 7.

Table 7 SP-JP evaluation outcome rating tool

Expected impact:					
Impact Indicators	Impact Indicator Performance (Real database ranking or stakeholder opinion)				
	Baseline	Target	May 2022 Status	Impact Rating	Contribution of Programme
Indicator 1:					

Indicator....					
Indicator n					
Outcomes				Outcome Rating	Contribution of Programme
Outcome 1					
Outcome					
Outcome X					
Overall Rating of Impact X:					
KEY		Achieved	May 2022 target is at least 95% achieved		
		Good Progress Made	May 2022 output targets have been met by at least 75%		
		Satisfactory	At least 50% of the May 2022 target achieved		
		Not Achieved	Performance is below 50% of the planned May 2022 target		

5.3.6 Stakeholder workshop to present preliminary findings

Before drafting the report, the consultants, with the support of the client, will organize a workshop with key stakeholders, including national stakeholders and implementing UN agencies staff, to discuss the preliminary findings and complete data gaps. The workshop will be logistically supported by the PMT and programmatically managed by the evaluators. After the workshop, a debriefing of the PMT will take place.

5.3.7 Report Writing

The evaluation team will draft the evaluation report following the virtual stakeholder workshop on preliminary findings and the closure of any identified gaps. A concise draft Evaluation Report (maximum 35-40 pages plus annexes and following EVAL Checklists 5 and 6 framed under UNEG standards -see Annex) as per the following proposed structure in the ToRs:

- Cover page with the crucial programme and evaluation data (using ILO EVAL template)
- Executive Summary
- Acronyms
- Description of the programme
- Purpose, scope, and clients of the evaluation
- Methodology and limitations
- Clearly identified findings for each criterion
- Conclusions
- Recommendations
- Lessons learned and good practices (summary in the main report and a detailed account in ILO EVAL template, annexed to the report)
- Annexes:
 - TOR
 - Evaluation questions matrix
 - Data Table on Programme Progress in achieving its targets by indicators with comments
 - Evaluation schedule
 - Documents reviewed
 - List of people interviewed
 - Lessons learned and good practices (using ILO-EVAL template)
 - Any other relevant documents
- Separate Evaluation Summary using the ILO template (this will be submitted with the final draft report).

The draft report will be shared with the Evaluation Management Committee for a methodological review and then with key stakeholders for their inputs/comments. The Evaluation Management Committee will consolidate all comments, including methodological ones, and then share them with the Evaluation team for consideration in finalizing the report. The Evaluation team will finalize the report, taking into consideration the stakeholder comments with an audit trail of how the comments were incorporated or not and submit the final version for approval by the UN agencies (HQ or Regional level evaluation office per each UN organization setting).

All draft and final outputs, including supporting documents, analytical reports, and raw data, will be provided to the Evaluation Management Committee in an electronic version compatible with Word for Windows.

5.4 ETHICAL CONSIDERATIONS

The evaluators will execute the assignment in line with the UNEG ethical guidelines on evaluation. They will also sign the ILO evaluator Code of conduct and observe Data Protection Principles, UNEG Norms and Standards for evaluations and ethical guidelines. This will include:

- i. Safeguarding the rights and confidentiality of information providers, interviewees, and stakeholders;
- ii. Ensuring the security of collected information before and after the evaluation;
- iii. Ensuring anonymity and confidentiality of sources of information where expected; and
- iv. Ensuring all information, knowledge and data gathered in the evaluation process will be solely used for the evaluation and not for other uses without the client's and its partners' express authorisation.

5.5 WORKPLAN

The proposed workplan for the evaluation is presented in Annex 2.

5.6 EVALUATION MANAGEMENT ARRANGEMENTS

The joint final independent evaluation will be managed by an Evaluation Management Committee (EMC) integrated by evaluation managers of the Participating United Nations Organizations (PUNOs) not involved in implementing the joint programme. The EMC will be led by the RCO (Resident Coordinator's Office) designated officer and ILO evaluation manager as the lead agency (per established process for independent evaluations and request of the funder). The evaluators will report to the Evaluation Management Committee through the RCO-designated programme manager. All the deliverables will also be submitted through the same focal point for consideration and approval by the Evaluation Management Committee. The consultants will ensure that the key milestones in the work plan and the related deliverables have been achieved.

The evaluation process will be participative and will involve all relevant programme stakeholders and partners. Evaluation results will be disseminated amongst government, development partners, civil society, and other stakeholders. A joint management response will be produced upon completion of the evaluation process and made publicly available on the evaluation platforms or similar PUNOs.

5.7 RISKS AND RISK MANAGEMENT

A risk assessment for the evaluation and risk management strategies are presented in Table 8 below.

Table 8: Potential risks and mitigation

Potential Risk	Proposed Mitigation
Key informants might not be available during the evaluation exercise for various reasons, including reassignment. This could cause delays in data collection.	The lead agencies for the result areas should provide contact details of implementing partners' focal persons and their alternates.
Delayed availability of some of the means of indicator verification, e.g., national surveys.	Proxy indicators can be used, providing a broad cross-section of stakeholders accepts the data as authentic.
The accuracy and accessibility of the information contained in various management information systems.	Triangulation of information from multiple sources, including literature review of publications of globally recognized institutions, e.g., UNDP, UNICEF, ILO, World Bank, etc.
The COVID-19 situation might worsen, leading to a lockdown and ban on meetings	The evaluators will resort to virtual interviews

ANNEX 1: KEY SP-JP EVALUATION QUESTIONS BY EVALUATION CRITERIA

Key evaluation questions	Sub-questions	Indicators	Sources of data	Data collection method /tools	Stakeholders/Informants	Analysis and Assessment
A. Validity of design and Evaluability						
.How comprehensive was the JP design? Does the JP have a clear theory of change that outlines the causality, including consideration of external factors (referring to assumptions and risks)?	<p>1.1 Is there a Programme Document for the programme under evaluation?</p> <p>1.2 Was the programme design logical?</p> <ul style="list-style-type: none"> ○ Is there a Theory of Change? ○ Is there a programme results framework, and how comprehensive is it? Is the programme results chain clearly defined? <p>1.3 Is there a programme M&E framework, and how comprehensive is it? What monitorable indicators and targets have been defined, and are they evaluable?</p> <p>1.4 What is the programme implementation strategy? Was the implementation approach valid and realistic? Has the</p>	<p>Availability of physical or electronic programme document</p> <p>ToC defined with indicators and assumptions</p> <p>How well the expected results correspond to established theories and other measures of the same concept; No. of outcomes and outputs defined</p> <p>Level of reliability of the JP design to achieve intended results</p> <p>No. of monitorable indicators</p> <p>Location of the PMU</p>	<p>Literature and programme documentation</p> <p>SP-JP Programme Management and programme staff</p> <p>Stakeholders' interviews</p>	<p>SP-JP focal persons interview discussion guides</p> <p>Stakeholder key informant interview guides</p>	<p>Lead UN agencies</p> <p>Lead Government agencies</p>	<p>Indication of prodoc. Reference to TOC, M&E framework, and participative approaches to JP design</p>

	<p>programme adequately considered the risks of blockage?</p> <p>Who are the key programme partners and stakeholders? How participatory was the programme design? Were the key national stakeholders (i.e., National and Provincial authorities, civil; society organizations and social partners) and all PUNOs actively involved in the design of the programme?</p> <p>Has an effective risk analysis, monitoring, and evaluation system been established and implemented?</p>	<p>No. of cooperating partners</p> <p>Existence of an M&E system with a risk monitoring matrix</p>				
2. Did the programme use existing evidence and good practices in its design and implementation?	<p>Was the programme design based on any baseline data? 2.2 Did the programme design draw from any national situation analysis? 2.3 Did the programme design draw from global knowledge networks, innovative techniques, and good practices in designing social protection support programmes, e.g . CODI,</p>	<p>No. of baselines cited</p> <p>SitAn available</p> <p>No. of good practices incorporated into programme design</p>	<p>Programme document</p> <p>Programme document</p> <p>Programme document</p>	Desk review notes	Lead UN agencies Lead Government agencies	References to CCA and good practices

	UNESCAP Guide., ILO - Social protection expenditure and performance reviews; UNWomen - Theories of Change for UN Women's Thematic Priorities; ILO - Transition from the informal to the formal economy - Theory of Change?					
B. Relevance						
1. Has the programme considered the needs and priorities of the different stakeholders and beneficiaries identified in the problem analysis and during the programme implementation?	1.1. What were the key challenges and priorities that necessitated the SP-JP intervention? 1.2 How well was the programme support geared towards addressing the income security needs of the left-behind populations? 1.3 How relevant were the proposed programme interventions given the problem and needs at hand?	Linkages between challenges and results framework Responsiveness of programme to identified needs and priorities	Relevant Programme documents SP-JP management and programme staff	Stakeholder Technical discussion guides Key informant interview guides	Lead UN agencies Lead Government agencies PUNOs Beneficiary representative organisations	Analysis of CCA and JP design
C. Coherence						
1. <i>Strategic Coherence:</i> Did the programme occupy a strategic	1.1 To what extent is the programme engagement a reflection of strategic considerations in	No. of partners and stakeholders regarding ILO, UNDP, UNICEF,	Stakeholder interviews	KII discussion guides	Lead UN agencies Lead Government agencies	Analysis of JP design, stakeholder references to aligned frameworks

<p>niche in South Africa's social protection sector? What could not have happened if the ILO (lead agency) -UNDP-UNICEF-UNWOMEN-OHCHR SP-JP had not intervened in strengthening the country's social security for the left behind populations? (Value added)</p>	<p>South Africa and the participating UN agencies' comparative advantage vis-à-vis other partners? Could another development intervention have done a better job than the ILO-UNDP-UNICEF-UNWOMEN-OHCHR SP-JP intervention, and why?</p> <p>1.2 What could not have happened without the Programme intervention?</p> <p>1.3 Considering the technical capacities of ILO, UNDP, UNICEF, UNWOMEN and OHCHR vis-à-vis the country's development challenges, are these organisations well-suited to provide leadership in social protection and social security in South Africa?</p> <p>1.4 Do stakeholders perceive ILO, UNDP, UNICEF, UNWOMEN and OHCHR as essential players in advocating for Africa's social protection and income security?</p>	<p>UNWOMEN and OHCHR as partners of choice in addressing the social protection and social security deficits in South Africa</p> <p>Stakeholder ranking of the programme against other partner interventions in terms of its position in addressing the social protection and social security challenges in South Africa</p>				
<p>2. <u>Systemic coherence</u>: How has the programme</p>	<p>2.1 To what extent was the SP-JP aligned to the UN reform agenda?</p> <p>2.2 How does the</p>	<p>No. of UN reform aspects incorporated into programme design and</p>	<p>Programme document</p> <p>Stakeholder</p>	<p>Stakeholder Key Informant</p>	<p>Lead UN agencies</p> <p>Lead Government agencies</p>	<p>Analysis of JP design, stakeholder references to aligned frameworks</p>

<p>contributed to increasing the UN coherence and jointness in the social protection area, and in general in the implementing UN agencies work and RC leadership in the UN in the country? How has the programme contributed to integrating efforts of PUNOs in the context of the UNDS reform?</p>	<p>programme align with the UNSDCF and UN agency cooperation programmes? 2.3 Does the SP-JP complement other partner programmes? 2.4 How well does the programme complement and fit with other ongoing UN and national and provincial government programmes in the country?</p>	<p>implementation arrangements No. of outcomes and outputs drawn from the UNSDCF No. of partner programmes acknowledged and complemented by programme</p>	<p>interviews Programme documentation review</p>	<p>Interview Guides</p>		
<p>3. <u>Corporate alignment:</u> To what extent was the SP-JP aligned to the ILO strategic frameworks and plans and Guidance Notes?</p>	<p>3.1 To what extent is the SP-JP support aligned to ILO social protection guidelines? 3.2 How did the SP-JP factor in ILO guidance notes in its design and implementation?</p>	<p>Linkages between the SP-JP and ILO guidance notes and strategic frameworks</p>	<p>Review of programme document and programme documentation Interviews with SP-JP management and programme staff</p>	<p>Stakeholder technical discussion guides</p>	<p>Lead UN agencies Lead Government agencies</p>	<p>Analysis of JP design, stakeholder references to aligned frameworks</p>
<p>4. <u>National alignment:</u> In what way is the SP-JP supporting the national priorities and</p>	<p>4.1 Is the programme intervention aligned to the priorities of national development strategies and SDGs as domesticated? 4.2 To what extent is</p>	<p>Linkages between SP-JP and national development frameworks The extent of synch</p>	<p>SP-JP document Stakeholder interviews</p>	<p>Documentation review Stakeholder Key Informant</p>	<p>Lead UN agencies Lead Government agencies</p>	<p>Analysis of JP design, stakeholder references to aligned frameworks</p>

policies?	the SP-JP delivery method appropriate to the development context, governance structures, and social protection delivery systems of South Africa? 4.3 How has the SP-JP intervention intended to strengthen the country's position in regional cooperation regarding social protection and income security, especially for migrants?	between SP-JP delivery systems and national structures		Interview Guides		
D. Efficiency						
1. What are the impacts of institutional arrangements and procedures on programme efficiency?	1.1. What institutional arrangements are in place, and how have they impacted the delivery of results? 1.2. How have institutional procedures aided the efficient delivery of results? 1.3. How has the institutional strengthening of the social welfare delivery function improved the efficiency of service delivery?	Realised efficiencies from institutional arrangements and procedures	Stakeholder interviews Programme implementation reports FGDs	Review of programme implementation reports and documents Stakeholder KII guides FGD guides JP budget and expenditure statements	Lead UN agencies Lead Government agencies PUNO programme and finance officers Donors	Analysis of financial records
2. How well has the programme used its	2.1. How well has the Programme delivered resources towards the programme outputs? Were	% IPs expressing satisfaction with programme resource disbursement	IP KIIs IP KIIs	KII guides Institutional data collection	Lead UN agencies Lead Government agencies PUNO programme	Analysis of human resource reports and budgets

<p>human, technological, time and financial resources?</p>	<p>the resources delivered timely? 2.2. Have subprogrammes been approved and launched timely? 2.3. How was the M&E and reporting of programmes done? How effective? What are the recommendations for improvement? 2.4. What is the nature of the variance of annual programme budgets? What were the programme resource absorptive capacities? What were the challenges to budget utilisation? How have the participating organisations addressed deviation from planned budgets?</p>	<p>% IPs are expressing satisfaction with the timeliness of subprogramme approvals and launch. Existence of M&E and reporting mechanisms in programme design Resource absorption rates of participating organisations</p>	<p>Programme document Programme Financial records Programme finance staff</p>	<p>instruments Document review Notes</p>	<p>and finance officers</p>	
<p>3. Were the funds allocated according to the task at hand? Were funds and activities delivered on time? If not, what were the bottlenecks encountered?</p>	<p>3.1. What is the programme budget size? 3.2. How were the resources apportioned among the intended outcome results? 3.3. Were the funds disbursed timely? What were the fund disbursement requirements? 3.4. How did these requirements</p>	<p>No. of partners expressing satisfaction with the resource allocation arrangements No. of partners expressing satisfaction with the disbursement requirements</p>	<p>IP KIIs IP KIIs PUNO programme managers Programme document Programme</p>	<p>KII guides Institutional interview instruments Document review Notes</p>	<p>Lead UN agencies Lead Government agencies PUNO programme and finance officers Donors</p>	<p>Analysis of programme implementation quarterly and annual reports</p>

	<p>facilitate/constrain funds disbursement to activities?</p> <p>3.5. What was the programme resource absorption rate per year? What were the resource absorption rates of each funded outcome/result area?</p>	<p>Project and result area resource absorption rates</p>	<p>Financial records</p> <p>Programme finance staff</p>			
<p>4. Did the programme budget make adequate provisions for addressing gender, human rights and inclusion-related specific objectives/activities?</p>	<p>4.1. How did the budgeting process mainstream cross-cutting issues, including gender equality, rights-based approach, social dialogue and tripartism, international labour standards and just environmental transition?</p> <p>4.2. What evidence is there to demonstrate the mainstreaming of these cross-cutting issues?</p> <p>1.</p>	<p>Evidence demonstrating the mainstreaming of these cross-cutting issues</p>	<p>Programme budgets</p> <p>PUNO programme managers</p> <p>Programme and finance staff</p>	<p>FGDs</p> <p>Institutional interviews instruments</p>	<p>Lead UN agencies</p> <p>Lead Government agencies</p> <p>PUNO programme and finance officers</p> <p>Donors</p>	<p>Analysis of financial budgets for crosscutting issues</p>
<p>5. How has Delivering as One approach enhance efficiency of the SPSA-JP?</p>	<p>5.1. To what extent did the DaO approach strengthen common procurement services for the JP, where value addition is seen through time savings and cost reductions?</p> <p>5.2. What savings and efficiency gains were</p>					

	realized through joint quality assurance? 5.3. To what extent was collaboration among UN agencies towards effective human resources management strengthened? Did the JP realise value addition from reduced recruitment costs, while service quality improvements were expected because of common training?					
	2.					
	3.					
	4.					
	5.					
E. Effectiveness						
1. To what extent did the programme achieve its objectives for the different targeted groups such as women, youth, and people with disabilities, and why?	1.1. What options have been developed to cover the most glaring social protection gap (the provision of income security for those between the ages of 18 and 59 years)? 1.2. What were the programme's achievements in building consensus on a nationally defined Social Protection Floor (NSPF)? 1.3. What were the SP-	The extent to which programme results have been/are likely to be achieved No. of critical decisions taken and implemented through programme coordination mechanisms Level of achievement of outcome indicators	Programme implementation and monitoring reports Stakeholder interviews Stakeholder interviews	Output Measurement Tool Stakeholder Key Informant Interview Guides Output Measurement Tool Stakeholder	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations World Bank Report on Women in the Informal Sect	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports

	<p>JP achievements in establishing social insurance schemes for women in the informal sector, particularly in rural areas?</p> <p>1.4. To what extent did the SP-JP succeed in supporting the development and financing of a new strengthened welfare services delivery model and its linkages to social grants? Has the programme influenced the establishment of a comprehensive and inclusive social security system that leaves no one behind?</p> <p>1.5. To what extent has the programme addressed exclusion from existing social protection and social security provisions?</p> <p>1.6. To what extent have the quantity and quality of the outputs produced been satisfactory for the programme stakeholders and why?</p> <p>1.7. How effective has the backstopping support by the UN agencies (at country, regional and HQ</p>	<p>No. of innovative techniques employed</p> <p>No. of goodpractices employed</p>		<p>Key Informant Interview Guide</p>	<p>UNICEF Social Expenditure Review Reports</p>	
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	<p>levels) and why?</p> <p>1.8. To what extent have the intended outcomes and impacts been (or are likely to be) achieved? What are the output and outcome indicators state as of May 2022? What is the source of data?</p> <p>1.9. Did the Programme utilise innovative techniques and good practices in its programming for this intervention?</p>					
<p>2. Has the programme followed its theory of change (ToC), including interaction with external factors/hypotheses?</p>	<p>2.1. What was the programme ToC?</p> <p>2.2. What were the key assumptions and risks identified by the ToC? How have these been treated during implementation? To what extent did the SP-JP advocate for addressing external factors that impacted it?</p> <p>2.3. What was the programme proposition? To what extent was it proved?</p>	<p>Existence of ToC</p> <p>No. of assumptions identified and addressed</p> <p>No. of risks identified and mitigated</p>	<p>Programme document</p> <p>Programme monitoring reports</p> <p>FGDs</p>	<p>Stakeholder Key Informant Interview Guides</p> <p>FGD guides</p>	<p>Lead UN agencies</p> <p>Lead Government agencies</p> <p>PUNOs</p> <p>CSOs</p> <p>Beneficiary representative organisations</p>	<p>Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports</p>
<p>3. To what extent has the COVID-19</p>	<p>3.1. Which programme interventions were derailed by COVID-19 pandemic-</p>	<p>No. of programme interventions/components affected by</p>	<p>Programme document</p>	<p>Stakeholder Key Informant Interview</p>	<p>Lead UN agencies</p> <p>Lead Government agencies</p>	<p>Analysis of completed outcome/output</p>

<p>pandemic influenced programme results and effectiveness, and how the programme has addressed this influence and adapted to changes?</p>	<p>related restrictions to movement and work? How were they affected? 3.2. How were the programmatic challenges mitigated?</p>	<p>COVID-19 No. of challenges addressed</p>	<p>Programme monitoring reports FGDs</p>	<p>Guides FGD guides</p>	<p>PUNOs CSOs Beneficiary representative organisations</p>	<p>measurement tools, Review of JP implementation quarterly and annual reports</p>
<p>4. Were there any unintended outputs and outcomes?</p>	<p>4.1. Were there any unintended outputs from programme implementation? Were they positive or negative? How did they arise? 4.2. Were there any unintended outcomes from programme implementation? Were they positive or negative? How did they arise? 4.3. Did the programme take timely measures to mitigate any unexpected negative results? 4.4. What will be the long-term effects of the negative results if they remain unmitigated?</p>	<p>No. of unintended outputs No. of unintended outcomes</p>	<p>Programme monitoring reports FGDs</p>	<p>Electronic survey Stakeholder Key Informant Interview Guides FGD guides</p>	<p>Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations</p>	<p>Analysis of electronic survey results completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports</p>
<p>5. To what extent has the programme</p>	<p>5.1. What evidence demonstrates that programme support has</p>	<p>No. of migration-related international Conventions</p>	<p>Policy documents</p>	<p>Document review</p>	<p>Lead UN agencies Lead Government agencies</p>	<p>Analysis of LNOB quarterly reports, completed</p>

enhanced the national capacities to effectively institutionalise and manage social protection for the left behind populations?	contributed to an improvement in institutional capacities to develop social protection and social security strategies? 5.2. To what extent has the programme addressed the welfare services funding gaps to increase human resources, physical infrastructure, information and communication technology, and office and delivery equipment?	domesticated through policy and legislation by the Member States No. of domestications and legislative acts influenced by the programme			PUNOs CSOs Beneficiary representative organisations	outcome/output measurement tools, Review of JP implementation quarterly and annual reports
6. <i>Enablers:</i> What were the enablers for the effective implementation of the programme?	6.1. To what extent have partnerships facilitated the achievement of results? 6.2. To what extent have working relations with national stakeholders been an enabling factor? 6.3. To what extent have global knowledge networks been enabling factors?	No. of enablers	Evaluation of available evidence	Notes	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports
F. Effectiveness of governance and management arrangements						
1. Has the governance arrangement of the programme facilitated programme results? Is there a	1.1. How efficient is the programme implementation arrangement in terms of driving the processes?	Level of achievement of results No. of stakeholder coordination mechanisms established	Output measurement tool Programme document Stakeholder interviews Programme	Output measurement tool Review of programme documents	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and

<p>clear understanding of roles and responsibilities by RCO, PUNOs, and national stakeholders?</p>	<p>1.2. What stakeholder coordination mechanisms are in place, and how effective are they in terms of timeliness of engagement and response? 1.3. 1.4. To what extent do programme procedures and processes impede or facilitate the accomplishment of results? 1.5. Has the programme strategy and management steered and oriented the programme towards achieving intended results?</p>	<p>No. of programme implementation delays attributed to programme procedures and processes</p>	<p>implementation reports PUNO programme managers</p>	<p>Stakeholder KII guides Output measurement tool</p>	<p>organisations</p>	<p>annual reports</p>
<p>2. Has the management arrangement of the programme facilitated programme results? Is there a clear understanding of the roles and responsibilities by RCO, PUNOs, and national stakeholders involved in implementation and monitoring?</p>	<p>2.1. What are programme management arrangements in place? How do they operate? 2.2. How is the joint programme funded? Who is the fund manager, and how smooth do funds flow from the participating UN agencies/donors into the joint programme? 2.3. How efficient are the management arrangements in terms of: <ul style="list-style-type: none"> • Reporting to the donors? • Partner liaison? 2.4. To what extent has</p>	<p>Existence of a clearly defined funding mechanism for the joint programme No. of partners expressing satisfaction with the existing management arrangements Donor satisfaction with programme reporting</p>	<p>Stakeholder interviews PUNO programme managers Donors</p>	<p>KIIs FGDs</p>	<p>Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations</p>	<p>Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports</p>

	the management arrangements been a source of conflict among participating UN agencies?`					
3. Have partnerships with stakeholders contributed effectively to the programme objectives? If not, why?	3.1. What are programme implementation partnerships in place? Who are the implementing partners? 3.2. What contribution have these partnerships made towards the effective delivery of results?	No. of implementing partners in place	Stakeholder interviews	Stakeholder interview guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports
4. Is the programme M&E system in place relevant, including collecting and using data disaggregated by gender, people with disabilities, and age (and other categories the programme has identified)?	4.1. Is there a functional M&E system? 4.2. What data is being collected? 4.3. Is the data analysed, and what reports are generated? Are the reports utilised by who and for what purposes? 4.4. Who are the users of the reports? 4.5. How has the M&E system influenced the delivery of programme results?	Existence of an M&E system No. of reports generated	PUNO programme managers Institutional interviews	KIIs FGDs	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports
G. Sustainability						
1. Assess whether programme	1.1. What were sustainability mechanisms put in place during	No. of sustainability mechanisms in place	Programme document	Review of documentation	Lead UN agencies Lead Government agencies	Analysis of completed outcome/output

<p>outcomes have been or are expected to be achieved sustainably, enabling continuing beyond the programme's lifespan?</p>	<p>programme design? 1.2. Have the achievements of the programme been maintained to date? (Outputs, Outcomes, and Impacts) 1.3. What is the likelihood that the Programme results will be sustainable? 1.4. What changes in programme implementation strategy are necessary to enhance the sustainability of results? 1.5. Which programme areas are the most relevant and strategic to scale up or consider going forward?</p>				<p>PUNOs CSOs Beneficiary representative organisations</p>	<p>measurement tools, Review of JP implementation quarterly and annual reports</p>
<p>2. To what extent do mechanisms, procedures, and policies exist to carry forward the results attained on gender equality, empowerment of women, human rights and human development by primary</p>	<p>2.1. What national capacities did the SP-JP have towards the sustainable mainstreaming of cross-cutting issues? 2.2. To what extent have the cross-cutting issues been institutionalised for sustainability? 2.3. What procedures and policies have been put in place that will be critical</p>	<p>No. of institutions capacity strengthened for mainstream cross-cutting issues in social protection procedures and policies No. of policies and procedures mainstreaming the programme cross-</p>	<p>Stakeholder interviews FGDs</p>	<p>Stakeholder interviews guides FGD guides</p>	<p>Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations</p>	<p>Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports</p>

stakeholders	for the sustenance of achieved results?	cutting issues				
3. Has a practical and realistic exit strategy been developed and implemented?	3.1. What is the programme exit mechanism, and at what stage will it be executed? 3.2. Which government agenc(ies) is/are the programme executing partner(s)? 3.3. What capacities has the programme supported for these agencies to take over and sustain the programme results?	Existence of an exit mechanism	Stakeholder interviews	Stakeholder interview guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of programme design, Review of JP implementation quarterly and annual reports
4. Identify and discuss gaps in the sustainability strategy and how the stakeholders, including other UN agencies' programmes'	4.1. What is the programme sustainability strategy? What are its components? 4.2. What are the threats to the sustainability of results, and how can they be mitigated? 4.3. What is the effect	No. of sustainability gaps identified and addressed	Stakeholder interviews	Stakeholder interview guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports

support, could these, address these, considering potential changes in the country due to the COVID 19 pandemic.	of the COVID-19 pandemic on the sustainability strategy? How has the potential impact been addressed?					
H. Impact						
1. What impact did the SP-JP have on the beneficiaries, and what are the critical project intervention and delivery strategies that contributed to the observed effects, if any?	1.1. What improvements occurred in promoting income security for the left behind populations? 1.2. What changes occurred for the informal sector employees, rural women, youths, migrants and social welfare recipients regarding their social protection and income security?	No. stakeholders expressing improvement improved income security for the programme target key populations Existence of social security for the informal sector Improved social welfare delivery system	Project monitoring reports Stakeholder interviews Beneficiary organization interviews	Key informant interview guides Beneficiary FGD guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports
2. Are there any unintended positive or negative impacts in relation to anticipated results in the programme document?	2.1. Did the programme have any unintended positive impacts, and what are they? 2.2. Did the programme have any unintended negative impacts, and what are they? 2.3. What was/were the source of the impact(s) - from the programme activities, external factors,	No. of unintended positive/negative impacts Timeliness in addressing negative impacts Sources of impact	Project monitoring reports Stakeholder interviews Beneficiary interviews	Key informant interviews guides Beneficiary FGD guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports





	or both?					
3. <i>Emerging issues:</i> What strategic issues have arisen from the evaluation that would need consideration during the remaining phase of programme implementation?	3.1. What strategic issues have arisen in terms of programme design? 3.2. What strategic issues have arisen concerning programme implementation? 3.3. What strategic issues have arisen in terms of programme management?	No. of strategic issues identified	Evaluation of available evidence Stakeholder KIIs	Notes Stakeholder KII guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports
I. Cross-Cutting Issues						
1. To what extent has the programme adhered to the cross-cutting issues through mainstreaming, institutionalisation, and capacity building for sustainable mainstreaming?	1.1. What has been the SP-JP adhered to the cross-cutting crosscutting themes, including gender and human rights, social dialogue, international labour standards, and just environmental transition.? How was the programme implementation strategy inclined towards strengthening these cross-cutting themes? 1.2. To what extent have the programme benefited the poor, marginalised, and furthest left behind? 1.3. To what extent is the SP-JP promoting evidence-based approaches to social protection and	No. of national policy instruments adopting the cross-cutting themes	Programme document Programme implementation reports Stakeholder KII	Notes KII guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports

	<p>social security policy formulation?</p> <p>1.4. Has the programme addressed gender, race/ethnicity, youth, and disability inclusion-related issues in the programme document?</p> <p>1.5. What results were achieved from mainstreaming these issues into the budgeting process?</p>					
J. Conclusions						
<p>1. <u>Emerging issues:</u> What strategic issues have arisen from the evaluation that would need consideration during the remaining phase of programme implementation and replication?</p>	<p>1.1. What strategic issues have arisen regarding programme design and Theory of Change?</p> <p>1.2. What strategic issues have arisen concerning programme implementation?</p> <p>1.3. What strategic issues have arisen in terms of programme management?</p> <p>1.4. What strategic issues have arisen in terms of impact and sustainability?</p> <p>1.5. What strategic issues have arisen regarding programme</p>	No. of strategic issues identified	Evaluation of available evidence Stakeholder KIIs	Notes Stakeholder KII guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed outcome/output measurement tools, Review of JP implementation quarterly and annual reports

	M&E?					
K. Recommendations for Improving Programme Implementation						
1. What are the key recommendations for improving programme policy design and implementation? What are the key recommendations for enhancing OECD and coherence criteria and adherence to the cross-cutting themes and the Five Principles for Aid Effectiveness?	1.1. What are the key recommendations for improving programme design? 1.2. What are the critical policy-level recommendations for enhancing the attainment of programme results? 1.3. What are the programmatic recommendations for improving programme performance	No. of policy and operational recommendations proffered	Evaluation of available evidence	Notes Stakeholder KII guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed draft report, Review of JP implementation quarterly and annual reports
Lessons Learnt and Good Practices						
What lessons were learnt from the partnership collaboration in implementing the Programme?	What developments, hints, mistakes, and risks were found during programme implementation which can be validated, consolidated, and finally documented as experiences that can guide follow-up and replication of the programme in similar settings?,		Stakeholder KIIs	Stakeholder KII guides	Lead UN agencies Lead Government agencies PUNOs CSOs Beneficiary representative organisations	Analysis of completed draft report, Review of JP implementation quarterly and annual reports

ANNEX 3: TOOLS/INSTRUMENTS

ANNEX 3-1: OUTPUT/OUTCOME MEASUREMENT TOOLS

JP Outcome 1 - Social assistance scheme consensus is reached						
Outcome Indicators	Indicator Performance (Real database ranking or stakeholder opinion)					Reason(s) for ratings
	Baseline	Target Oct 2022	May 2022 Status	Outcome Rating	Contribution of Programme	
Indicator 1:	A NEDLAC task force is established Actuarial studies are conducted already					
Outputs	Baseline	Target 2022	May 2022 Status	Output Rating	Contribution of Programme	
Output 1.1: Feasibility of social assistance scheme (Basic income grant) for 18 to 59 years old						
Indicator						
Output 1.2: Consensus is reached on the Social assistance scheme option, informed by good international practices in the context of social dialogue (including right holders)						
Indicator						
Output X						
Overall Rating of Outcome X:						
KEY		Achieved		May 2022 target is at least 95% achieved		
		Good Progress Made		May 2022 output targets have been met by at least 75%		
		Satisfactory		At least 50% of the May 2022 target achieved		
		Not Achieved		Performance is below 50% of the planned May 2022 target		

JP Outcome 2- Options are formulated to address Gaps in access of women excluded from social insurance						
Outcome Indicators	Outcome Indicator Performance (Real database ranking or stakeholder opinion)					Reason(s) for ratings
	Baseline	Target 2022	May 2022 Status	Outcome Rating	Contribution of Programme	
Indicator 1:	Existing social Insurance schemes cover only an estimated 5% of Women in the informal economy					
Outputs	Baseline	Target	May 2022	Output	contributio	

		2022	Status	Rating	n of Programme	
Output 2.1: Needs, ability, and willingness to contribute to social insurance are identified						
Indicator: % of Studies completed, and results disseminated amongst relevant stakeholders	0%					
Output 2.2: Prototyping models for service delivery are conducted						
	0%					
Output 2.3: National dialogue and advocacy are conducted						
0% dialogues of key stakeholders	0%					
Overall Rating of Outcome X:						
KEY		Achieved	May 2022 target is at least 95% achieved			
		Good Progress Made	May 2022 output targets have been met by at least 75%			
		Satisfactory	At least 50% of the May 2022 target achieved			
		Not Achieved	Performance is below 50% of the planned May 2022 target			

JP Outcome 3-Strengthened social welfare policy and regulatory frameworks						
Outcome Indicators	Outcome Indicator Performance (Real database ranking or stakeholder opinion)					Reason(s) for ratings
	Baseline	Target 2022	May 2022 Status	Outcome Rating	Contribution of Programme	
Indicator 1: Prevention and early intervention budgets increase from 6% in 2019 to at least 10% at the end of 2021	6%					
Outputs	Baseline	Target 2022	May 2022 Status	Output Rating	Contribution of Programme	
Output 3.1: Evidence of broadened access to social protection services for children is made available						
Indicator: % of studies completed, and results workshopped with relevant sector department	0%					
Output 3.2: Technical support to DSD and government on social welfare policy and social protection floor is provided						
Indicator: Number of roundtables with	0%					

DSD and NPC with defined action						
Output 3.3: Technical work and research on the development of an "integrated" modality linking cash transfers and complementary services is provided						
Indicator: Number of pilots completed, and results workshopped with DSD	0					
Overall Rating of Outcome X:						
KEY		Achieved	May 2022 target is at least 95% achieved			
		Good Progress Made	May 2022 output targets have been met by at least 75%			
		Satisfactory	At least 50% of May 2022 target achieved			
		Not Achieved	Performance is below 50% of planned May 2022 target			

PUNOs and National Level Lead Government Agencies

This interview guide will guide the evaluators' engagement with individual key informants. It is intended only as a guide and not a questionnaire. Many other issues will be discussed by follow-up depending on the informant's responses to the primary questions.

Relevance

- 2) What were the key challenges and priorities that necessitated the SP-JP intervention?
- 3) How relevant were the proposed programme interventions given the problem and needs at hand?

Effectiveness

- 1) Has the programme followed its theory of change (ToC), including interaction with external factors/assumptions? What was the SPSA-JP proposition, and to what extent was it proved?
- 2) To what extent did the programme achieve its objectives for the different targeted groups such as women, youth, and people with disabilities, and why?
For PUNOs only: From the perspective of your institutional mandate, what are the main strategic results that the SPSA-JP has achieved? Can you also state these in relation to the value-added of the UN Delivering as One approach?
- 3) To what extent has the programme addressed exclusion from existing social protection and social security provisions?
- 4) How satisfactory have been the quantity and quality of the outputs produced for the programme stakeholders, and why?
- 5) How has the COVID-19 pandemic influenced JP results and effectiveness, and how has the JP addressed this influence and adapted to emerging changes?
- 6) Were there any unintended outputs and outcomes?
 - i. Were there any unintended outputs from programme implementation? Were they positive or negative? How did they arise?
 - ii. Were there any unintended outcomes from programme implementation? Were they positive or negative? How did they arise? What were their effects on intended intermediary beneficiaries, i.e. government and other stakeholder institutions?
 - iii. Did the programme take timely measures to mitigate any unexpected negative results?
 - iv. What will be the long-term effects of the negative results if they remain unmitigated?
- 7) To what extent has the programme enhanced the national capacities to effectively institutionalise and manage social protection for the left behind populations?
- 8) What were the enablers for the effective implementation of the programme? To what extent have partnerships facilitated the achievement of results? To what extent have working relations with national stakeholders been an enabling factor? To what extent have global knowledge networks been enabling factors?
- 9) In the current situation in South Africa, what do you see as the UN's most distinct comparative advantage regarding the execution of the SPSA-JP? Do you feel that UNCT appropriately leveraged this comparative advantage?
- 10)

Effectiveness of governance and management arrangements

- 1) How effectively has the UN collaborated with the Government of South Africa and other partners in delivering results? What good practices are there? What challenges were encountered?
- 2) Has the governance arrangement of the programme facilitated programme results? Was there a clear understanding of roles and responsibilities by RCO, PUNOs, and national stakeholders?
- 3) Has the management arrangement of the programme facilitated programme results? Was there a clear understanding of roles and responsibilities by RCO, PUNOs, and national stakeholders involved in implementation and monitoring?
- 4) Have partnerships with stakeholders contributed effectively to the programme objectives? If not, why?
- 5) Were the programme's M&E system relevant, including collecting and using data disaggregated by gender, people with disabilities, and age (and other categories the programme identified)?

Efficiency

- 1) In your opinion, is the UN implementation model efficient, i.e. in terms of value-for-money and cost-efficiency? Any recommendations on how the UN can improve its efficiency?
- 2) What were the impacts of institutional arrangements and procedures on programme efficiency?
- 3) How well has the programme used its human and financial resources?
- 4) Were funds and activities delivered on time? If not, what were the bottlenecks encountered?
- 5) Did the programme budget make adequate provisions for addressing gender, human rights and inclusion-related specific objectives/ activities?

Impact

What impact did the SP-JP have on the beneficiaries, and what are the critical programme intervention and delivery strategies that contributed to the observed effects, if any?

Cross-Cutting Issues

- 1) How has gender been mainstreamed into the design, implementation and monitoring of the SPSA-JP?
- 2) To what extent did the programme adhere to the human rights checklist on social protection, including:
 - Universality of social protection
 - Equality, non-discrimination, and response to special needs
 - Meaningful and effective participation
 - Adequate legal and institutional framework
 - Access to complaint and appeal procedures and effective remedies
 - Sustainable and sound financing
- 3) How have the JP processes embraced social dialogue and tripartism?
- 4) To what extent has the JP sought the sustainability of the cross-cutting issues through mainstreaming, institutionalisation, and capacity building?

Sustainability

- 6) What is the programme sustainability strategy? What are the gaps in the sustainability strategy, and how could the stakeholders, including other UN agencies programmes support, address these, taking into consideration potential changes in the country due to the COVID 19 pandemic?

- 7) What risks do you see for the sustainability of results? Do you feel that sustainability issues are sufficiently planned and managed through the SPSA-JP to mitigate these risks?
- 8) Has a practical and realistic exit strategy been developed and implemented?

Coordination and Delivering as One

- 9) Since the UN officially became a 'delivering as one' country in 2016, what has changed in terms of the way you do business?
- 10) What has been the impact of 'delivering as one' on (a) your programming, (b) your resources, and (c) your results?
- 11) In terms of your understanding, do you feel that the UN is 'delivering as one'? Please explain with relevant examples.
- 12) Concerning the UN reforms, particularly the reinvigorated RC system, what do you think the UN in Zimbabwe should do to conform and adapt to the new system effectively?

Reporting/Accountability

14. Do you feel that UN agencies have effective M&E systems? Are you satisfied with the UN's accountability for results, (a) to national partners and (b) to donors?

ANNEX 3-3: PROVINCIAL AUTHORITIES

This interview guide will guide the evaluators' engagement with individual key informants. It is intended only as a guide and not a questionnaire. Many other issues will be discussed by follow-up depending on the informant's responses to the primary questions.

Relevance

The UN In South Africa has been collaborating with the has been working with the organisation in the implementation of the SPSA-JP.

1. What key challenges and priorities necessitated the SP-JP intervention in the sector?
2. How relevant were the proposed programme interventions given the problem and needs at hand?
3. To what extent do you think the JP efforts addressed the government's needs and priorities in social protection and security? Do you believe the JP was responding to the country's development priorities?

Effectiveness

1. To what degree has your Department/organisation been involved in the JP processes? What were your responsibilities as a partner in the implementation of the SPSA-JP?
2. What evidence demonstrates that it achieved its intended results in your area of interest? Has the programme influenced the establishment of a comprehensive and inclusive social protection and social security system that leaves no one behind?
3. To what extent did the programme achieve its objectives for the different targeted groups such as women, youth, and people with disabilities, and why?
4. To what extent has the programme addressed exclusion from existing social protection and social security provisions?
5. To what extent have the quantity and quality of the outputs produced been satisfactory for the programme stakeholders?
6. What coordination structures were in place to support your participation in the JP? How effective were they?

Efficiency

How has the SPSA-JP demonstrated cost-efficiency in the delivery of results?

Sustainability

1. What measures have been put in place to ensure the results' sustainability?
2. What capacities have been built in the provincial offices to sustain the results?

Lessons learned and recommendations

1. What did lessons get from your participation in the SPSA-JP?
2. What was done well design and implementation of the SPSA-JP? What needs to be improved? What needs to change?
3. What recommendations would you make to the UN in South Africa regarding supporting social protection and social security?

If you have any materials that could support and enhance this discussion, kindly email them to Sifiso Chikandi, sifisoch@gmail.com, copy Iturugari@gmail.com

Thank you

ANNEX 3-4: DONORS

You have financially supported the rollout of the SPSA-JP implemented by the UN in South Africa.

1. As an organisation, what was your interest in the JP?
2. What were your expectations when you decided to support the JP?
3. Did the programme performance meet your technical expectations? Did the programme result in the expected outcomes?
4. On the administration and management of the donor resources, did the UN in South Africa demonstrate the capacity to manage donor resources?
 - Where are the disbursed resources utilised within planned timeframes? Did the UN in South Africa demonstrate an ability to absorb resources timely?
 - How efficiently did the UN in South Africa account for the donor resources? Did it submit quarterly/annual project performance reports timely as per the funding agreement?
 - Where are disbursed funds acquitted in line with the funding agreement?
5. What would be your recommendations to the UN in South Africa regarding its approach to the rolling out of the SPSA-JP process?
6. Do you have any other issues you might want to highlight about your partnership with the UN in South Africa that we have not discussed?

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Thank you

ANNEX 3-5: ELECTRONIC STAFF SURVEY

The Evaluation Management Committee of the Independent Final Joint Evaluation (South Africa UNRCO, ILO, UNICEF, UN Women, and OHCHR) of the Social Protection in South Africa Joint Programme (SPSA-JP) have commissioned an evaluation of the joint programme by independent evaluation consultants. As part of that process, we request you answer the following survey as candidly as possible. The survey does not solicit any information related to your identity, and it should not take more than 15 minutes to complete.

For each of the following statements, please indicate your opinion using the rating scale. Choose only one.

1. RELEVANCE (Have we been doing the right thing?) Please respond to the following scale:

Based on my understanding of the outcomes to which I contribute, I think that:	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
The SPSA-JP was aligned to the country's development priorities in the area of social protection					
The SPSA-JP addressed the UN's core values/principles to 'leave no one behind.'					
The SPSA-JP addressed key challenges identified in the CCA					
SPSA-JP outcomes continued to be relevant despite the changing country context under COVID-19					

Please explain with examples if you chose 'disagree' or 'strongly disagree' on any one above:

2. EFFECTIVENESS (Are we making a difference?) Please respond to the following scale:

Based on my understanding of the outcomes to which I contribute, I think that:	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
The UN has been effectively contributing to national development priorities					
The SPSA-JP strategy was well balanced between support at the institutional policy level (upstream) and direct support to vulnerable groups (downstream)					
The SPSA-JP achieved its intended results					
The UN had the flexibility that enabled it to respond to changes in situations					
Effective systems for monitoring and reporting SPSA-JP progress have been established					
UN collaborated effectively with Government and other partners					

Please explain with examples, if you chose 'disagree' or 'strongly disagree' on any one above:

Based on my individual experience with the projects with which I am familiar, I think that:	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Funds were disbursed in a timely and effective way					
Interventions were implemented and completed timely					
Allocated resources were adequate to complete activities and achieve planned results					
The SPSA-JP used its resources cost-effectively					

Please explain with examples, if you chose 'disagree' or 'strongly disagree' on any one above:

4. SUSTAINABILITY (Will our results continue after funding ends?) Please respond to this scale:

Based on my individual experience with the JP, I think that:	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
The UN contributed effectively to building national capacities					
SPSA-JP processes were aligned with national systems					
There is a clear strategy for handing over SPSA-JP results either to the government or to beneficiaries					
There was strong ownership and leadership of SPSA-JP processes					

Please explain with examples, if you chose 'disagree' or 'strongly disagree' on any one above:

5. CROSSCUTTING ISSUES (Are we maintaining our core values?) Please respond to this scale:

Based on my individual experience with the projects with which I am familiar, I think that:	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Gender equality was mainstreamed in the JP					
Social dialogue was mainstreamed in the JP					
Tripartism was mainstreamed in the JP					
Capacity building was mainstreamed in the JP					
RBM principles are mainstreamed in the JP					
Human rights are mainstreamed in programmes					

Please explain with examples, if you chose 'disagree' or 'strongly disagree' on any one above:

6. MONITORING AND EVALUATION (How well did we assess ourselves?) Please answer the scale below.

Based on my individual experience with the JP, I	Strongly		Neither Agree		Strongly
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think that:	Agree	Agree	nor Disagree	Disagree	Disagree
There was adequate periodic monitoring and oversight of activities					
Formal programme and outcome evaluations have been done					
Some decisions were made based on monitoring and evaluation reports					
When available, national data were used to measure progress toward planned results					
When national data was not available, resources were allocated to build capacity for such data					

Please explain with examples, if you chose 'disagree' or 'strongly disagree' on any one above:

7. DELIVERING AS ONE (Were we working as a team in the JP?) Please answer the scale below.

Based on my individual experience, I think that:	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
The coordination systems and mechanisms that were in place facilitated interagency collaboration					
I noticed that joint planning was done effectively under the SPSA-JP committees					
Coordination among UN agencies has been increasing in the last two years under the JP					
The UN in South Africa effectively communicated with One Voice under the JP					
I am aware of specific efficiency gains that have been realised as a result of working across agencies					

Please explain with examples, if you chose 'disagree' or 'strongly disagree' on any one above:

ANNEX 3-6: CIVIL SOCIETY ORGANISATIONS AND SOCIAL PARTNERS

Your organisation has been partnering UN in South Africa to implement the SPSA-JP.

1. As a CSO, what is your interest in social protection and social security? What instruments mandate you to support interventions in this area?
2. To what degree has your agency been involved in the SPSA-JP processes? What were your responsibilities as a partner in the implementation of the JP? Which components of the programme were you supporting?
3. To what extent do you think the SPSA-JP efforts addressed the needs and priorities in your sector? Do you think the programme was responding to the priorities of your constituency?
4. What evidence demonstrates that the JP achieved its intended results related to your constituency of interest? What results were achieved? And how?
5. What coordination structures were in place to support your participation in the SPSA-JP? How effective were they?
6. Do you think the results achieved in your area will be sustainable? What were sustainability mechanisms put in place?
7. Do you think the SPSA-JP sufficiently mainstreamed cross-cutting issues, including gender, disability, social dialogue, tripartism and human rights? What evidence is there to demonstrate the mainstreaming of each of these issues?
8. What lessons did you learn from your participation in the SPSA-JP?
9. In this JP, what worked well? What did not work well and needed improvement? What recommendations would you have for the UN in South Africa and the government to improve the design and implementation of similar JPs?

If you have any materials that could support and enhance this discussion, kindly email them to Sifiso Chikandi, sifisoch@gmail.com, copy lturugari@gmail.com

Thank you

ANNEX 4: PROPOSED INTERVIEW SCHEDULE

To be developed after consultations on Monday 20 June 2022

ANNEX 5: LIST OF DOCUMENTS REVIEWED

- Adato M., Ahmed A. And Lund F., (2020), *Linking Safety Nets, Social Protection, and Poverty Analysis: The Right to Social Protection in South Africa*
- Concept Note, Webinar on Extension of The R350 Covid-19 SRD Grant: Launch of the Expert Panel Report on Basic Income Support
- Department of Planning, Monitoring and Evaluation, (n.d.), *Medium-term strategic framework 2019–2024*
- Department of Welfare, RSA, (1997), *WHITE PAPER FOR SOCIAL WELFARE August 1997 Principles, guidelines, recommendations, proposed policies and programmes for developmental social welfare in South Africa.*
- Heever, A, et al., (2021), *Expert Panel on Basic Income Support Summary Report: Report into the appropriateness and feasibility of a system of Basic Income Support for South Africa*
- Human Rights Checklist – SDG Fund Social Protection Joint Programme South Africa
- ILO Evaluation Office, (2012), Checklist 4.8, *Writing the inception report*
- Joint Programme document: *An integrated and universal social protection linked to developmental social welfare services in South Africa*
- Joint SDG Fund, 2020. “Joint Programme 2020 Annual Progress Report.” Project Factsheet - PSP 2019 South Africa
- Joint SDG Fund, 2021. “Joint Programme 2021 Annual Progress Report.” Project Factsheet - PSP 2019 South Africa
- National Planning Commission RSA, (n.d.), *National Development Plan 2030, Our future – Make it work*
- National Planning Commission, (n.d.), *Executive summary for the National Development Plan 2030 Programming, Monitoring and Evaluation Handbook.*
- Reduction — Directions for Africa*
- Social Protection in South Africa Work Plan 2020 – 2021
- South Africa: *towards a basic income grant*
- Summary of Human Rights Recommendations
- UN South Africa, (2019), *Common Country Analysis*
- UN South Africa, (2020), *United Nations Sustainable Development Cooperation Framework South Africa 2020-2025*
- UN South Africa, (n.d.), *Rationale for JP No-Cost Extension*
- UNDG, (2014), *Guidance Note on joint programming*
- UNDP (2020), *Human Development Report 2020: The next frontier – Human development and Anthropocene*
- UNDP, (n.d.), *Social Insurance Scheme Options for the Informal Sector in South Africa, with a focus on Women and Youth*

UNDP. 2014. Resident Representative and National Planning Secretariat/ Acting Director-General: Policy Options for Extending Social Protection to Informal Workers in South Africa. An Issue Paper for The National Planning Commission

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