DUT DURBAN UNIVERSITY OF TECHNOLOGY

# Independent Research Proposal

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| **Faculty** | Arts and Design |
| **Department** | |

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| **Name of Principal Investigator[1]** | Anise Gold-Watts | | **Title** | **PhD, Senior Manager** |
| **Postal Address** | KPMG Huset - Sørkedalsveien 6<br>Pb 7000 Majorstuen, N-0306 Oslo | | | |
| **Tel (W)** | **Tel (H)** | **Cell** | **Fax** | **e-Mail** |
| | +47 04063 | +47 90156865 | +47 21092927 | Anise.gold-watts@kmpg.no |
| **Name of Co-investigator[1]** | Jean Baxen | | | |
| **Title of Study** | Final evaluation of the UNICEF South Africa's Undaunted Program | | | |

| **Ethics Category** | **1** | **2** | **3** |
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| | | **x** | |

| **Research will result in a patent** | **Yes** | | **No** | x | **Unsure** | |
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**Summary of the study (150-200 words)**

The evaluation focuses on the Undaunted Girls Empowerment Program, a five-year initiative (2018-2023) under the Girls and Boys Education Movement in South Africa. The program aimed to enhance educational outcomes for girls, protect them from violence, reduce teen pregnancy and HIV infection risks, and prevent early marriage, particularly for those from disadvantaged backgrounds.

The purpose of this evaluation is to provide UNICEF South Africa, the South African government, participating schools, and the Canadian Natcom with insights into the program's implementation, relevance, and potential for scalability. It will assess the extent to which the program achieved its intended outcomes and aligned with its objectives.

The study adopts a mixed-methods approach using a concurrent design to build a robust evidence base. Both primary and secondary data will be collected and analyzed, including document reviews, secondary data analysis, semi-structured interviews, and surveys. This summative evaluation will probe the program's Theory of Change, examining its impact and effectiveness over the five-year period. The findings will guide future strategies to empower girls and improve gender equality in South Africa.


## 1. Context of the Research

[1]Abridged CV's of the Principal Investigator and Co-Investigators are to be attached to the application

South Africa has made strides in gender equality, but significant challenges persist. Women face barriers in education, employment, entrepreneurship, and leadership. While gender parity in school attendance for 14-18 year-olds is at 91%, issues with educational completion and quality remain. Approximately 15% of learners do not complete Grade 9, and only 40% finish their final year of schooling. Reading competencies are alarmingly low, with 58% of primary school children unable to read with meaning, impacting overall learning outcomes.

Gender disparities in academic performance, especially in STEM subjects, further disadvantage girls. Despite fewer males in secondary schools, they account for over half of the passes in mathematics and physical science. Females also report higher rates of early sexual debut and are disproportionately affected by sexual and domestic violence.

South Africa faces high HIV infection rates and adolescent pregnancies, with young women particularly impacted. About 20.5% of 15-19 year-olds have been pregnant, threatening their education and perpetuating poverty. These challenges are compounded by pervasive inequality, which is particularly harsh on women and girls from disadvantaged backgrounds, such as rural areas and poor communities. Additional barriers include safety concerns, sexual and gender-based violence, substance abuse, and nutrition issues.

## 2. Research Problem and Aims

This evaluation, concluding the five-year project (2018-2023) , aims to inform UNICEF South Africa, the South African government, participating schools, and the Canadian Natcom, on implementation methods, relevance, and scalability potential of the Undaunted Program, and analyze the degree of alignment with set outputs, results, and outcomes. It will assess overall program outcomes, comparing actual achievements with intended outcomes through a reconstructed Theory of Change (ToC). Additionally, it seeks insights to ensure the program's long-term sustainability, not only for this evaluation but for future projects with similar goals, thus enhancing UNICEF's overall program efficacy. Specifically, the evaluation will:

1. Assess if the implementation of the program was in line with the set outputs, results and outcomes;
2. Analyze the factors that may have influenced the implementation of the program positively or negatively;
3. Collect data on outcomes that can be used for future comparison for impact; and
4. 4. Document lessons learned on the implementation of the program that can support planning for similar types of interventions.

## 3. Literature Review

The following text presents the findings of a rapid literature review of both academic and grey literature using a scoping review methodology. Although there are mixed findings regarding the effectiveness of comprehensive sexuality education (CSE) on the sexual health and reproductive outcomes of adolescent girls in South Africa (Pike et al., 2023; Koch and Wehmeyer, 2021), other studies highlight that the provision of CSE in schools is effective in reducing HIV transmission (George et al., 2022). Additionally, the literature underscores the need for improved teacher training to effectively deliver CSE (Venketsamy and Kinear, 2020; Koch and Wehmeyer, 2021; Pillay, 2022). Furthermore, significant improvements are required in CSE curricula to enhance their impact (Adesina and Olufadewa, 2020).

In relation to menstrual health among adolescent girls in South Africa, a 2018 study conducted in Gauteng found that 46% of girls who lacked sufficient menstrual products were more likely to miss school compared to those with adequate supplies (22%) (Crankshaw et al., 2020). Several small studies from different provinces in South Africa have indicated that pre-menarche training and the lack of menstrual hygiene management (MHM) practices, particularly the provision of free sanitary products, remain critical issues in low-income communities (Siddiqui and Mahomed, 2023). Moreover, shame and stigma are significant barriers, limiting menstrual education, knowledge outcomes, and awareness (Sobudula and Naidoo, 2024; Chikulo, 2015; Khamisa et al., 2022; Beksinska et al., 2023; Fennie et al., 2021).

Additionally, the South African Constitution (1996) and the South African Schools Act (1996) form the foundation for educational rights and non-discrimination in South Africa. These policies guarantee the right to education for all, including females, and mandate that public schools admit learners without unfair discrimination, including pregnant learners (Republic of South Africa, 1996a; 1996b). The Policy on Learner Pregnancy (Department of Basic Education, 2023) builds on these, aiming to prevent discrimination against pregnant learners and ensure their continued education. This policy is particularly relevant to addressing dropout rates among girls, as pregnancy has been a significant factor in female students leaving school prematurely.

The South African government has implemented various other policies to address gender disparities in education. The National Development Plan 2030 includes specific objectives on eliminating discrimination against girls in education and reduce female student dropout rates (National Planning Commission, 2012). The Department of Basic Education's Gender Equity Unit has focused on improving girls' retention in school and promoting their participation in science and mathematics (Republic of South Africa, 1996). The Integrated School Health Policy (Department of Health and Department of Basic Education, 2012) and the National Policy on HIV, STIs and TB (Department of Health, 2017) aim to address sexual and reproductive health issues, which can impact girls' school attendance and performance. The National Education Policy Act (1996) also has provisions related to school enrollment, though it does not include specific policies targeting girls' education or menstrual health. Additionally, the Sanitary Dignity Policy Framework (Department of Women, 2017) aims to provide sanitary products to girls from low-income backgrounds, potentially improving school attendance.

The National Policy Framework for Women's Empowerment and Gender Equality (Office on the Status of Women, 2000) and international agreements such as CEDAW (United Nations, 1979), the Solemn Declaration on Gender Equality in Africa (African Union, 2004), and the Sustainable Development Goals (United Nations, 2015) provide broader contexts for promoting gender equality in education. These frameworks emphasize the importance of women's involvement in economic activities, which could include STEM fields

## 4. Research Methodology

The study will take the form of an evaluation will be summative in nature and data collection tools will be used to probe and assess the programmatic Theory of Change (ToC) from the period of 2018-2023. This will involve mixed methodologies and both primary and secondary data collection/analysis, including a document review, secondary analysis, semi-structured interviews, and a survey.
Data collection instruments. The evaluation team will be mainly gathering data from:

1. Desk/Document reviews which focus on the mapping and synthesizing of available information and help identify programming gaps in the program, thus providing the foundation for further development of qualitative data collection tools and subsequent analysis. Literature will include all possible sources of existing information and documents including:
   - Funding application
   - Concept Note
   - Periodic Donor Reports (e.g., progress reports and annual reports)
   - Program documentation
   - Any other clarifying information to support the evaluation

   Additionally, other key documents may be included and identified during data collection. It is expected that UNICEF will support in the collection of key documents, particularly those internal to UNICEF programming.

2. Secondary analysis (if relevant) will investigate changes in different variables over time. Indicators to be investigated will be informed by existing monitoring data as reported in the results framework to determine the extent to which the intended project results across the three action areas have been achieved.

3. Semi-structured interviews will be conducted with key-informants as donors, key partners, and project stakeholders such as implementing field staff and school administrators from participating schools. The interviews will be based on interview guides in order to ensure consistent and comprehensive collection of information. The guides will be structured to include key questions that address the assignments key objectives stated in the ToR and the evaluation matrix in Section 2.3. Interview notes will be analysed using framework analysis to identify key themes as they emerge. It is expected that UNICEF will support the coordination with implementing partners if needed during the planning of interviews.

4. Focus group discussions will be conducted with beneficiaries. Each FGD will have between 6 – 12 participants to better visualize the 'how's and 'why's. The FGDs will allow for further probing of information on specific issues from specific groups of respondents. A common interview guide will be used to elicit views of program beneficiaries. Local in-country consultants will conduct FGDs in the field. It is expected that UNICEF will support the coordination with implementing partners if needed during the planning of interviews.

5. A survey will be administered to program beneficiaries to document core indicators related to programmatic objectives to enhance understanding of implementation and the effectiveness of the program including any progress that has been made towards the achievement of results and the perceived value of the Undaunted Program. Surveys will also be used to obtain feedback on programming. Data collected through questionnaires will then be compiled, cleaned, and analysed. It is expected that UNICEF will support in the dissemination of the survey to selected beneficiaries.

## 5. Key References


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## Declarations

### Researcher Declaration

**I, the undersigned, certify that:**

- Where I have used the work of others this has been correctly referenced in the proposal and again referenced in the bibliography. Any research of a similar nature that has been used in the development of my research project is also referenced.
- This project has not been submitted to any other educational institution for the purpose of a qualification.
- All subsidy-earning outputs (artefacts and publications) will be in accordance with the Intellectual Property Policy of the Durban University of Technology.
- Where patents are developed under the supervision of the Durban University of Technology involving institutional expenditure, such patents will be regarded as joint property entitling the Durban University of Technology to its share, subject to the Durban University of Technology's policy on the Management and Commercialisation of Intellectual Property.
- I understand that plagiarism is wrong, and incurs severe penalties.

I HEREBY DECLARE THAT THE ABOVE FACTS ARE CORRECT.

**Signed:**  **Date: 22.10.2024**

**Section C: Ethics**
**Note:** Ethics requirements are project specific. Kindly ensure that you are aware of and have complied with all relevant ethics requirements.

**Please mark with an 'X' as appropriate in all 4 options**

| Humans | | Organisations | | Animals | | Environment | |
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| Yes | No | Yes | No | Yes | No | Yes | No |
| X | | X | | | X NA | | X NA |

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| 1. | Exempt from Ethics and Biosafety Research Committee Review (straightforward research without ethical problems) | |
| 2. | Expedited review (minimal risk to humans, animals or environment) | X |
| 3. | Full Ethics and Biosafety Research Committee review recommended (possible risk to humans, animals, environment, or a sensitive research area) | NA |

**Attach Addendums (if any)**

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| **Please initial alongside if the project is to be registered as secret** | |

## ETHICAL ISSUES CHECKLIST FOR RESEARCH APPROVAL

To be completed by all researchers wishing to conduct research projects under the auspices of Durban University of Technology.

1. Use the Durban University of Technology's Research Ethics Policy and Guidelines to ensure that ethical issues have been identified and addressed in the most appropriate manner, before finalising and submitting your research proposal.

2. Answer all questions by indicating your response in the relevant cell by means of an 'X.'

3. Type motivations/further explanations where required in the cell headed COMMENTS.

4. Attach Addendums/ Annexures (if any) and label them clearly and in a logical order.

| NO. | QUESTION | YES | NO | N/A |
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| | ***DECEPTION*** | | | |
| 1. | Is deception of any kind to be used? If so, provide a motivation for acceptability. | | x | |
| | **COMMENTS:** | | | |
| 2. | Does the data collection process involve access to confidential personal data (including access to data for purposes other than this particular research project) without prior consent of participants? If yes, motivate the necessity. | | x | |
| | **COMMENTS** | | | |
| | ***CONFIDENTIALITY*** | | | |
| 3. | Will the data be collected and disseminated in a manner that will ensure confidentiality of the data and the identity of the participants? Explain your answer. | x | | |
| | **COMMENTS**<br><br>The data collection team will ensure that data is secured according to this protocol and all confidential information obtained through this evaluation will be stored and handled securely in order to protect the privacy of participants and according to UNICEF's Policy on Personal Data Protection (2020). During qualitative KIIs and FGDs, the confidentiality of participants will be protected. During FGDs, participants may ask to be identified by different names and the group will refer to them using pseudonyms for the remainder of the session, if desired. Audio files on the recorder will be immediately | | | |

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| | erased after transcription. All recordings of each interview/FGD will be destroyed after analysis. Transcripts will be de-identified and to protect participants' (e.g., representatives of stakeholder organizations) privacy, participants will be assigned an identification number. All of the information provided will be stored only with the identification number, not with the participant's name. However, names of interview and FGD participants will be tracked and stored separately from the data in a password-protected connection key on the Team leader's computer. Only the evaluation team will have access to the connection key during the evaluation, however at the end of the evaluation this key will be deleted from the team leader's device. The connection key will match participants names to their unique identifier and in the event of a safeguarding concern or if an evaluation participant requests that their data be deleted/removed from the evaluation, this connection key would allow the evaluation team to properly follow-up. | | | |
| 4. | Will the materials obtained be stored and ultimately disposed of in a manner that will ensure confidentiality of the participants? If no, explain. If yes, specify how long the confidential data will be retained after the study and how it will be disposed of. | x | | |
| | **COMMENTS**<br>Data obtained will be stored and disposed of in a manner that ensures the confidentiality of participants and erased from the evaluation team's computers five years after the conclusion of the evaluation (December 2025). All transcribed materials and notes from qualitative interviews and focus group discussions (FGDs) will be anonymized, omitting participants' names and any identifying information. All files and evaluators' computers will be password-protected and encrypted. No identifiable data will be presented or published. For online data collection, a secure communication platform will be used, and recordings will be destroyed immediately after transcription. Files will only be transferred using KPMG's secure large file transfer system, and no cloud-based software, such as Google Storage or Dropbox, will be utilized. Confidential data will be retained for one year after the evaluation's conclusion (December 2025), after which it will be securely disposed of through permanent deletion from all storage devices and systems. | | | |
| 5. | Will the research involve access to data banks that are subject to privacy legislation? If yes, specify and explain the necessity. | | x | |
| | **COMMENTS** | | | |
| | ***RECRUITMENT*** | | | |
| 6. | Does recruitment involve direct personal approach from the researchers to the potential participants? Explain the recruitment process. | x | | |
| | **COMMENTS**<br>The recruitment process for this evaluation will be facilitated through designated liaison personnel either UNICEF staff or implementing partner organizations. The evaluation team will use convenience, purposive, and snowball sampling strategies, engaging with | | | |

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| | UNICEF field staff in each selected province. A focal point or liaison will be appointed to assist in recruiting potential participants. This liaison will directly approach individuals identified through programming contacts, ensuring they are properly informed and can voice any concerns or feedback regarding the evaluation activities. Participants will be recruited through convenience, purposive, and snowball sampling strategies. UNICEF field staff in each priority province (KwaZulu-Natal, Eastern Cape, Limpopo, and Gauteng) will assist as liaisons to help recruit potential participants, including girls from schools who were beneficiaries of the program. Data collection will take place in these priority provinces. Interviews are estimated to take 30-45 minutes, while focus group discussions may take up to an hour. If participants agree, detailed notes and audio recordings will be taken during interviews and focus groups. For participants under 18 years old, both parental consent and child assent will be obtained. An active parental written consent procedure will be used, where parents/guardians can consent or refuse to have their child participate. Detailed information sheets and consent forms will be distributed to parents/guardians prior to data collection. Child participants will also provide verbal assent after the study is explained to them in age-appropriate language. The assent process will make clear that participation is voluntary and they can withdraw at any time without consequences. To protect participant identities, names and identifying information will be removed from all data, participants will be assigned ID numbers, and audio recordings will be destroyed after transcription. All data will be stored securely and anonymized, with no identifying information included in reports or publications.<br><br>The following criteria have been established to determine the eligibility of participants selected for the evaluation. These criteria ensure that the evaluation will accurately capture the opinions and experiences of those influenced by the Undaunted program.<br><br>Inclusion criteria: • Residents of the priority provinces of KwaZulu- Natal, Eastern Cape, Limpopo and Gauteng where the Undaunted program was implemented. • Direct beneficiaries of the Undaunted program. • Indirect beneficiaries, such as family members of direct beneficiaries and other community members who have been influenced by the program activities. • Relevant stakeholder representatives such as donors, key implementing partners, implementing field staff, school administrators from participating schools, and government staff at central, provincial, district, and facility levels. • Individuals who provide informed consent/assent to participate. • Adolescents who provide assent, with parental or guardian consent where applicable.<br><br>Exclusion criteria: • Individuals who do not reside in the priority provinces of KwaZulu-Natal, Eastern Cape, Limpopo and Gauteng. • Individuals who have not participated in any Undaunted program activities, directly or indirectly. • Individuals who do not provide informed consent or assent to participate in the study. • Individuals who do not provide informed consent or assent to participate in the study.<br><br>Before the evaluation begins, consultations will be held with national, provincial, and district officials. The liaison will also facilitate customary visits with village heads to |

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| | inform them about the evaluation and seek necessary clearances. UNICEF will act as gatekeeper for this assignment. The evaluation team will conduct introductory meetings with the liaison to review recruitment procedures and ensure adherence to participants' rights and voluntary participation.<br><br>The target population for this evaluation are direct beneficiaries of the Undaunted Program, UNICEF staff, key partners, government stakeholders, donors, and other relevant stakeholders to be included for primary data collection. These include key persons in ministries, other strategic partners and stakeholders, school heads/principals, and other relevant non-governmental organization (NGOs). The data collection will take place in priority provinces throughout the country including KwaZulu- Natal, Eastern Cape, Limpopo, and Gauteng.<br><br>To achieve the specific aims of the evaluation, the evaluation team will employ convenience, purposive, and snowball sampling strategies. To facilitate the selection of participants, the team will engage with UNICEF field in each of the selected provinces (preferably UNICEF program staff), and a focal point/liaison will be assigned to assist in the recruitment of potential participants to participate in the evaluation. Before commencing the evaluation, consultations will be carried out with national, provincial, and district officials. The liaison person will recruit participants to participate in the evaluation through contacts from programming. Through this role they will help facilitate sampling efforts to make sure that participants are properly informed and able to raise any concerns/feedback regarding evaluation activities. Another important role is to facilitate customary visits with heads of villages to inform them about the evaluation and seek their clearance (if necessary). The evaluation team will have introductory meetings with the liaison person about recruitment procedures and evaluation protocol to ensure that they adhere to participants rights and voluntary participation. The focal point/liaison will also help the evaluation team identify eligible participants and invite them to the data collection activity. The sample in each province where this evaluation will be carried out will include two main participant groups: 1) program beneficiaries and 2) relevant stakeholders. Program beneficiaries Primary data collection will also be conducted with program beneficiaries (e.g., girls in schools who benefited from the interventions) to document core indicators related to programmatic objectives to enhance understanding of the effectiveness of the program including any progress that has been made towards the achievement of results and the perceived value of the Undaunted Program. 11 Stakeholders Key stakeholders for this evaluation will include donors, key implementing partners, and other project stakeholders such as implementing field staff and school administrators from participating schools. KII will also include government staff at central level as well as at provincial, district, and facility levels. Participation will require informed consent. The sample will include two main groups: program beneficiaries (e.g., girls in schools who benefited from the interventions) and relevant stakeholders, such as donors, implementing partners, field staff, and government officials. All participants will be invited to participate after |

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| | providing informed consent, ensuring that their participation is voluntary, and their rights are protected throughout the evaluation process. The approximate sample size for this evaluation will involve relevant stakeholders (n~10-20) however; since the evaluation is more qualitatively weighted, the evaluation team will discontinue semi structured qualitative interviews and/or FGDs with evaluation participants (approximately 4-12 FGDs, n~24-96) when saturation of data has been reached. In other words, the evaluation team will determine that they are empirically confident that the data is saturated and further sampling will not lead to new findings. Those who meet the selection criteria and agree to participate in the evaluation will be invited to the evaluation activity (interview or FGD) during which they will be asked to consent or assent to participate, a more thorough description of consent procedures is detailed in Section 3. For the survey component, due to the complex nature and timing of this evaluation (e.g., occurring several years after program completion), there may be limitations in accessing former beneficiaries. As a result, KPMG has adjusted the methodology to emphasize qualitative approaches, adopting a primarily convenience sampling strategy to gain a deeper understanding of programmatic outcomes. Additionally, the overarching approach may incorporate other sampling strategies, such as randomization, where appropriate. We have leveraged information from our implementing partners to identify the original beneficiary locations and numbers, and further where beneficiaries are most likely to be found, acknowledging that many may have already left the schools where the programs were initially implemented. Therefore, our sampling approach has been modified to enhance our ability to answer the evaluation questions effectively (convenience sampling). Additionally, we will be working with facilitators who were involved in the programme to support access to schools/centers and beneficiaries. The sampling method for each partner has been tailored to their specific program structure and beneficiary population, optimizing the quality of data collected to allow for more in-depth exploration of evaluation questions (e.g. to help develop breadth and depth of understanding of programmatic achievements). *This is further described in the research protocol.* Given the nature of the evaluation and the limited availability of past participants, achieving representativeness will not be a primary focus. Instead, participants will be selected to provide rich, in-depth qualitative insights into programmatic achievements and challenges. KPMG notes that there are limitations to this sampling approach. The generalizability of our results may be limited, due to the non-random nature of convenience sampling. Our findings might not be easily applicable to the broader population or different contexts but will be able to speak to the Undaunted/Breaking the Glass Ceiling programme, to some extent. Given that many beneficiaries may have left their original schools, we anticipate challenges in locating and accessing our intended sample.<br><br>Data collection will take place in the priority provinces of KwaZulu-Natal, Eastern Cape, Limpopo, and Gauteng. The interviews will be held at locations of convenience of the interviewees, ensuring adequate safeguarding and consent. Interviews are estimated to take 30-45 minutes. Focus group discussions may take up to an hour. If participants |

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| | agree, detailed notes and audio recordings will be taken during interviews and focus groups. | | | |
| 7. | Are participants linked to the researcher in a particular relationship, for example employees, students, family? If yes, specify how. | | x | |
| | **COMMENTS** | | | |
| 8. | If yes to 7, is there any pressure from researchers or others that might influence the potential participants to enrol? Elaborate | | | x |
| | **COMMENTS** | | | |
| 9. | Does recruitment involve the circulation/publication of an advertisement, circular, letter etc.? Specify | | x | |
| | **COMMENTS** | | | |
| 10. | Will participants receive any financial or other benefits as a result of participation? If yes, explain the nature of the reward, and safeguards. | | x | |
| | **COMMENTS** | | | |
| 11. | Is the research targeting any particular ethnic or community group? If yes, motivate why it is necessary/acceptable. If you have not consulted a representative of this group, give a reason. In addition, explain any consultative processes, identifying participants. Should consultation not take place, provide a motivation. | x | | |
| | **COMMENTS**<br>Primary data collection will be conducted with program beneficiaries (e.g., girls in schools who benefited from the interventions) to document core indicators related to programmatic objectives to enhance understanding of the effectiveness of the program including any progress that has been made towards the achievement of results and the perceived value of the Undaunted Program. Therefore, in that sense, previous programme participation will be the primary criteria for selecting potential participants.<br><br>The evaluation team has consulted with implementing partners regarding the evaluation. | | | |
| | ***INFORMED CONSENT*** | | | |
| 12. | Does the research fulfil the criteria for informed consent? [See guidelines]. If yes, no further answer is needed. If no, specify how and why. | x | | |
| | **COMMENTS** | | | |
| 13. | Does consent need to be obtained from special and vulnerable groups (see guidelines). If yes, describe the nature of the group and the procedures used to obtain permission. | **x** | | |
| | **COMMENTS** | | | |

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| | Since this evaluation involves youth as potential evaluation participants, in instances where a participant is under the age of 18, this requires that unique protocols are followed since children are incapable of providing informed consent to participate in evaluation activities. Therefore, the team proposes to implement a consent process to ensure that their rights were protected. Written or verbal informed consent will be obtained from all adult participants. For participants under 18, parental consent and child assent will be obtained. Consent forms explain the study purpose, procedures, risks/benefits, and voluntary nature of participation. Names and identifying information will be removed from all data. Participants will be assigned ID numbers instead of using names. Only the evaluation team will have access to the key linking names to ID numbers. Audio recordings will be destroyed after transcription. All data will be stored securely and anonymized. No identifying information will be included in reports or publications.<br><br>We will use the DUT assent template.<br><br>We will use an active parental written consent procedure, so that parent/legal guardian(s) are able to consent or refuse to have their child participate in the evaluation. We will achieve this by distributing a detailed information sheet and consent form, prior to data collection activities. Consent forms will be available in English or local languages. If a parent/caretaker(s) is not literate, the interviewer will the information in the letter and refer them to speak with the organizational representative/focal point or evaluation team where they would be able to get more information (all contact information will be included in the form).<br>All evaluation activities that involve participants under the age 18 will also require that informed verbal assent from participants is obtained. In all assent procedures, the evaluation team will make it clear that there was no expectation that participants would take part in the corresponding evaluation activity, and that their decision to not participate or withdraw would have no potential consequence. Finally, as part of the informed assent process, data collectors will remind participants that they are free to withdraw from the evaluation, leave the room, terminate audio recording, or refrain from contributing at any time during all data collection activities. | | | |
| 14. | Will a Letter of Information be provided to the participants and written consent be obtained? If no, explain. If yes, attach copies to proposal. In the case of participants for whom English is not the preferred language, explain what arrangements will be made to ensure comprehension of the Letter of Information, Informed Consent Form and other questionnaires/documents. | x | | |
| | **COMMENTS**<br>Yes, a Letter of Information will be provided to participants, and written consent will be obtained. Please see the attached copies of the Letter of Information and Informed Consent Form. | | | |

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| | For participants who do not prefer English, consent forms and related documents will be available in local languages. If a parent or caretaker is not literate, the interviewer will verbally explain the information in the letter and provide them with contact information for the organizational representative or focal point, as well as the evaluation team, who can offer further clarification. All relevant contact details will be included in the form to ensure participants fully understand the information provided. | | | |
| 15. | Will results of the study be made available to those interested? If no, explain why. If yes, explain how. | x | | |
| | **COMMENTS**<br>Effective communication and broad dissemination of results and syntheses are also key to this evaluation. Therefore, an evaluation dissemination workshop will be organized online to present primary findings, lessons learned, and recommendations to key stakeholders, partners, and UNICEF program teams. To ensure accessibility and relevance to diverse stakeholders, including those engaged in specific sub-programs, the team will also create a succinct executive summary and corresponding PowerPoint slide decks.<br>Additionally, implementing partners may choose to disseminate key findings of the evaluation to the community through meetings/discussions with local stakeholders. | | | |
| | ***RISKS TO PARTICIPANTS*** | | | |
| 16. | Will participants be asked to perform any acts or make statements which might be expected to cause discomfort, compromise them, diminish self-esteem or cause them to experience embarrassment or regret? If yes, explain. | | x | |
| | **COMMENTS** | | | |
| 17. | Might any aspect of your study reasonably be expected to place the participant at risk of criminal or civil liability? If yes, explain. | | x | |
| | **COMMENTS** | | | |
| 18. | Might any aspect of your study reasonably be expected to place the participant at risk of damage to their financial standing or social standing or employability? If yes, explain. | | x | |
| | **COMMENTS** | | | |
| 19. | Does the research involve any questions, stimuli, tasks, investigations or procedures which may be experienced by participants as stressful, anxiety producing, noxious, aversive or unpleasant during or after the research procedures? If yes, explain. | x | | |
| | **COMMENTS**<br>There are minimal risks involved for evaluation participants who participate in this evaluation. It is possible that the topic of interviews may elicit strong emotional reactions from the participants, however the evaluation team is well-versed in human subjects' research and data collectors will be trained to listen to the participants and to | | | |

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| | refer any participants who need further counselling or support to the relevant authorities. Furthermore, the team will clearly share the purpose and provide a detailed overview what participation in an interview or focus group discussion entails in order to establish trust for potential evaluation participants and their communities and accountability for the evaluation team. | | | |
| | ***BENEFITS*** | | | |
| 20. | Is this research expected to benefit the participants directly or indirectly? Explain any such benefits. | x | | |
| | **COMMENTS**<br>This evaluation is not expected to provide direct personal benefits to participants. While there will be no immediate benefits or monetary compensation for participating, the information gathered will be valuable in the long term. It will help inform UNICEF's future programming and advocacy efforts, potentially leading to improved services and support within your community. This indirect benefit could contribute to positive changes and advancements that impact the broader community over time. | | | |
| 21. | Does the researcher expect to obtain any direct or indirect financial or other benefits (not including a qualification) from conducting the research? If yes, explain. | | x | |
| | **COMMENTS** | | | |
| | ***SPONSORS: INTERESTS AND INDEMNITY*** | | | |
| 22. | Will this research be undertaken on the behalf of or at the request of a pharmaceutical company, or other commercial entity or any other sponsor? If yes, identify the entity. | | x | |
| | **COMMENTS** | | | |
| 23. | If yes to 22, will that entity undertake in writing to abide by Durban University of Technology's Research Committees Research Ethics Policy and Guidelines? If yes, no further explanation is required. If no, explain. | | | x |
| | **COMMENTS** | | | |
| 24 | If yes to 23, will that entity undertake in writing to indemnify the institution and the researchers? If yes, no further explanation is required. If no, explain. | | | x |
| | **COMMENTS** | | | |
| 25 | Does permission need to be obtained in terms of the location of the study? If yes, indicate how permission is to be obtained. | | x | |
| | **COMMENTS** Gatekeeper permission will be obtained from UNICEF South Africa, who will work in coordination with local government. | | | |
| 26 | Does the researcher have indemnity cover relating to research activities? If yes, specify. If no, explain why not. | x | | |
| | **COMMENTS**<br>KPMG's contract with UNICEF includes an indemnity clause which states: | | | |

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| | 4.4 The Contractor will indemnify, hold and save harmless and defend, at its own expense, UNICEF, its officials, employees, consultants and agents, each entity that makes a direct financial contribution to UNICEF to procure the Services and Deliverables and each Government or other entity that receives the direct benefit of the Services and Deliverables, from and against all suits, claims, demands, losses and liability of any nature or kind, including their costs and expenses, by any third party and arising out of the acts or omissions of the Contractor or its Personnel or sub-contractors in the performance of the Contract. This provision will extend to but not be limited to (a) claims and liability in the nature of workers' compensation, (b) product liability, and (c) any actions or claims pertaining to the alleged infringement of a copyright or other intellectual property rights or licenses, patent, design, trade-name or trade-mark arising in connection with the Deliverables or other liability arising out of the use of patented inventions or devices, copyrighted material or other intellectual property provided or licensed to UNICEF under the terms of the Contract or used by the Contractor, its Personnel or sub-contractors in the performance of the Contract.<br><br>4.5 UNICEF will report any such suits, proceedings, claims, demands, losses or liability to the Contractor within a reasonable period of time after having received actual notice. The Contractor will have sole control of the defence, settlement and compromise of any such suit, proceeding, claim or demand, except with respect to the assertion or defence of the privileges and immunities of UNICEF or any matter relating to UNICEF's privileges and immunities (including matters relating to UNICEF's relations with Host Governments), which as between the Contractor and UNICEF only UNICEF itself (or relevant Governmental entities) will assert and maintain. UNICEF will have the right, at its own expense, to be represented in any such suit, proceeding, claim or demand by independent counsel of its own choosing. | | | |
| 27 | Does the researcher have any affiliation with, or financial involvement in, any organisation or entity with direct or indirect interests in the subject matter or materials of this research? If yes, specify. | | x | |
| | **COMMENTS** | | | |

Please note: Questions 28-34 deal with research in a clinical setting. If your proposed project does not involve clinical research, please answer these items with 'No.'

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| 28 | Will the research involve the use of no-treatment or placebo control conditions? If yes, explain how the participant's interests will be protected. | | x | |
| | **COMMENTS** | | | |
| 29 | Does the protocol require any physically invasive, or potentially harmful procedures [e.g. drug administration, needle insertion, rectal probe, pharyngeal foreign body, electrical or electromagnetic stimulation, etc.?] If yes, ~~please~~ outline below the procedures and what safety precautions will be used. | | x | |
| | **COMMENTS** | | | |

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| 30. | Will any treatment be used with potentially unpleasant or harmful side effects? If yes, explain the nature of the side-effects and how they will be minimised. | | x | |
| | **COMMENTS** | | | |
| 31. | Will any samples of body fluid or body tissues be required specifically for the research which would not be required in the case of ordinary treatment? If 'Yes,' explain and list such procedures and techniques. | | x | |
| | **COMMENTS** | | | |
| 32. | Are any drugs/devices to be administered? If 'Yes,' list any drugs/devices to be used and their approved status. | | x | |
| | **COMMENTS** | | | |
| | ***GENETIC CONSIDERATIONS*** | | | |
| 33. | Will participants be fingerprinted or DNA "fingerprinted"? If yes, motivate why necessary and state how such is to be managed and controlled. | | x | |
| | **COMMENTS** | | | |
| 34. | Does the project involve genetic research e.g. somatic cell gene therapy, DNA techniques etc.? If yes, list the procedures involved. | | x | |
| | **COMMENTS** | | | |
| 35. | Are there any project specific ethical issues not covered by the above questions? If yes, explain. | | x | |
| | **COMMENTS** | | | |

*N.B. For ethical clearance for categories 2 and 3, kindly refer to the IREC web page*:http://www.dut.ac.za/research/institutional_research_ethics.

**The undersigned declare that the above questions have been answered truthfully and accurately**

**PRINCIPAL INVESTIGATOR** Anise Gold-Watts

**SIGNATURE----**  **----------** **DATE** October 22nd 2024

**CO-INVESTIGATOR-**

**SIGNATURE----------** **DATE** October 22nd 2024