

**INTERNATIONAL LABOUR ORGANIZATION (ILO)  
DFID-ILO Partnership Framework Agreement (PFA) 2006-2009**

**INDEPENDENT EVALUATION REPORT**

ILO Global Campaign for Social Security and Coverage for All As a means to  
reducing poverty in Africa and Asia:

Projects: GLO/06/54/UKM, ZAM/06/50/UKM, URT/06/50/UKM

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## **ABBREVIATIONS**

ATE	Association of Tanzanian Employers
CCT	Conditional Cash Transfer
CHF	Community Health Fund
CP	Cooperating Partners
CSO	Central Statistics Office (Zambia)
DFID	Department for International Development
EVAL	Evaluation Department, ILO Geneva
FNDP	Fifth National Development Plan (Zambia)
DWCP	Decent Work Country Programme
GEPH	Government Employees' Provident Fund (Tanzania)
GTZ	German Technical Cooperation
ILO	International Labour Organization
LASF	Local Authorities Superannuation Fund (Zambia)
LAPF	Local Authorities Pension Fund (Tanzania)
LCMS	Living Conditions Monitoring Survey
NGO	Non-Governmental Organization
MDGs	Millennium Development Goals
MKUKUTA	National Development and Poverty Reduction Strategy for Tanzania
MKUZA	Zanzibar Strategy for Growth and Reduction of Poverty
MOHSW	Ministry of Health and Social Welfare
MOLSS	Ministry of Labour and Social Security (Zambia)
MOLYD	Ministry of Labour and Youth Development (Tanzania Mainland)
NAP	National Action Plan
NAPSA	National Pension Scheme Authority
NHIF	National Health Insurance Fund
NSSF	National Social Security Fund
PARDEV	Development Partners Division
PFA	Partnership Framework Arrangement
PPF	Parastatal Pension Fund
PSPF	Public Service Pension Fund
PSRB	Public Service Retirement Benefit Scheme
SAG	Sector Advisory Group

<b>SB</b>	<b>Social Budget</b>
<b>SECSOC</b>	<b>Social Security Division</b>
<b>SPER</b>	<b>Social Protection Expenditure and Performance Review</b>
<b>UNICEF</b>	<b>United Nations Children’s Fund</b>
<b>TUKTA</b>	<b>Trade Union Congress of Tanzania</b>
<b>TWG</b>	<b>Technical Working Group</b>
<b>WHO</b>	<b>World Health Organization</b>
<b>UN</b>	<b>United Nations</b>
<b>UNDAF</b>	<b>United Nations Development Assistance Framework</b>
<b>ZCTU</b>	<b>Zambia Congress of Trade Unions</b>
<b>ZFE</b>	<b>Zambia Federation of Employers</b>
<b>ZSSF</b>	<b>Zanzibar Social Security Fund</b>

## **1. EXECUTIVE SUMMARY**

A project on social protection was included in the current ILO/DFID Partnership Framework Arrangement (PFA) in view of DFID's interest in the ILO Global Campaign for Social Security and Coverage for All as a means of reducing poverty in Africa and Asia. The Project was implemented in three countries, Tanzania Mainland, Zanzibar and Zambia from 7 November 2006 to 31 December, 2009.

The independent evaluation of the Project was a final evaluation carried out between 18 September 2009 and 7 November, beginning with a review of documents, discussions with ILO Geneva, field visits to Tanzania, Zanzibar and Zambia (4 – 19 October) to drafting of the Evaluation Report. The field visits included attendance at Social Dialogue and SPER/SB presentations in Mainland Tanzania and Zanzibar, and meetings and interviews with the ILO field staff, stakeholders, country level donor agencies, and other UN agencies. The donor/ DFID, is the main client of the evaluation.

The main purposes of this evaluation were to investigate the capacity to carry out the four stages of the Project, in terms of the technical inputs from ILO, the resources available and the required national structures to carry out the activities to assess the added value of the knowledge gained in social protection by the stakeholders on both social security and social assistance in the framework of social protection, to assess the outputs and outcomes and the immediate and future use of these outputs to enable the development of social protection policies, with identification of the fiscal space and technical capacities required for implementation. In addition, the evaluation attempted to identify the future role of the ILO in further enhancing the development of policy on social protection, and in capacity building for the implementation and monitoring of the policies.

A brief questionnaire was developed for the interviews in the three countries with the stakeholders and provided a framework for discussion. The responses were transparent, frank and friendly. Some of the stakeholders provided additional information in the form of documents, particularly on their national social protection policies and strategies.

The section on findings covers the different evaluation components, including the visits to ILO and the field offices, the findings from interviews with the stakeholders during the visits to Tanzania Mainland, Zanzibar and Zambia, findings related to the four Project stages, findings related to specific evaluation questions and general cross-cutting evaluation areas. The major outputs were achieved and it is expected that pending activities will be completed by the end of the year or through a modest extension of the project duration. The findings on the cross-cutting evaluation questions were in the main positive.

The main conclusions from the findings were the following:

- The Project effectively brought broad knowledge and expertise on contributory and non-contributory social protection to a broad range of stakeholders, with good tripartite representation, in the three countries and broadened the understanding among the cooperating partners.
- The Project demonstrated the ability of a set of activities, involving national

- stakeholders in the collection and analysis of relevant information, to debate the potential impact of a minimum set of social security protection benefits, and take the results to policy development.
- Attention was given to the national financial and administrative obligations involved in achieving universal coverage, rather than scaling up small pilot cash transfer schemes through donor contributions.
  - The focus on universality brought attention to the needs of the informal economy and to the issues of labour force participation in an environment where old age without work is a rare privilege.
  - The Project shifted thinking from addressing the needs of specific vulnerable groups or populations to considering the social protection needs of all, with universality as the goal even for the minimum benefits.
  - The Project helped the leaders and decision-makers of contributory social security schemes to talk to each other, compare their achievements and challenges, and generated an environment in which the need to improve was clearly recognized.
  - The Project established the mechanism to acquire the appropriate data for decision-makers, which would then serve as the building blocks for development of the social protection floor.

The scope of the data and the analytical tools should facilitate the application of such work in other countries and thereby assist the ILO in carrying out its mandate to extend social protection. However, consultation with the countries and basic mapping of social protection schemes and initiatives is considered a basic pre-requisite for optimal project design.

The section on lessons learned covers the following major issues:

- The design and scope of the project could have benefited from initial consultation with the countries, and a basic mapping of the existing interventions in the field covered; in this case social protection, noting the national stakeholders and cooperating partners.
- Funding for the entire period of the projects needed to be assured and flowing from the start, particularly when the placement of experts in the project country was required. The shortening of the project cycle by one year (one quarter of the original time planned) hampered full achievements of all the stages.
- In terms of project management, when technical capacity is concentrated at central level, it was crucial to have very clear definition of responsibilities at each level, with enough flexibility to change these responsibilities over the duration of a project, particularly when there are changes in the technical capacity in the field.
- The tripartite nature of cooperative structures in such projects must be assured, but stakeholders previously involved in the project area also need to be included, as well as civil society and additional cooperating partners.
- With regard to transfer of knowledge, the repeated presentation of the project scope and objectives and presentations on the basic subject matter did not guarantee full understanding by all the stakeholders, particularly those at high levels who are subject to changes in their positions.
- Real understanding and ownership of the Project outputs and outcomes needed more attention to existing as well as well as new concepts to meet stakeholder expectations.

- The technical level of the project outputs needed to be geared to the different levels of quantitative analytic capacity of the stakeholders in order to maintain interest and motivation.
- In terms of future work, there are still tasks remaining to be done to meet the short-term expectations of the stakeholders. The ILO and the donor will need to find ways to continue the work, possibly through a no-cost extension of the project until a longer-term solution to the provision of ILO expertise in social protection in the countries can be assured.

The section on recommendations deals with the immediate future and longer-term role of the ILO. The basic recommendations for the immediate future are to enable full completion of the Project and bridging with continued ILO support, mainly to carry out the following:

- Support to development of a National Social Security Action Plan in the three countries, to be started by the final Steering Committee meeting.
- Establishment of a Task Force from the Steering Committee to carry on the work.
- Intensification of the Knowledge Transfer to the Network of Social Protection experts
- Determination of Monitoring and Evaluation measures.

The recommendations on the future role of ILO are based on the interviews with stakeholders, who clearly see a need to have a continued social protection presence in the ILO Office in the respective countries. The following are seen as priority areas for future ILO support:

- Support to the areas raised after the SPER but not covered through the Project. This pertains mainly to contributory social security schemes and includes the issues of portability within and between neighbouring countries and administrative streamlining.
- Support to reviewing the relevant ILO Conventions, specifically ILO Conventions 102, 130 and 183 and in examining the implications towards ratification.
- Capacity building in the broader aspects of social protection, to deal with a range of issues including beneficiaries/membership and fund management, financial viability, decentralization, and monitoring and evaluation. This pertains to contributory schemes as well as social assistance measures included in the minimum package.
- Capacity building to ensure dialogue and linkage with other government and non-government agencies with mandates for the provision of social protection and involving the tripartite partners and as cooperating partners.
- Support to the development of health care and maternity protection in both contributory schemes and social assistance mechanisms as an integral part of social protection.
- Provision of a platform for continued linking of the social protection efforts with the Decent Work Country Programmes, and the strengthening of links with other ILO and UN agency work, including inputs to UNDAF.

- In Zambia, support to the drafting of the 6<sup>th</sup> National Development Plan's Chapter on Social Protection and on Employment and Labour. Technical support should focus on the inclusion of both contributory and non-contributory social protection in the next National Development Plan. In Tanzania, support to the new Regulatory Authority for the mandatory contributory schemes.
- Development of monitoring and evaluation tools, with attention to the process to include monitoring of project documents and work plans, with flexibility in changes when necessary and agreed, as well as monitoring and evaluation of outcomes.

In summary, the Project made very important strides among the stakeholders in the understanding of social protection, and the sharing of this understanding and knowledge among a broad range of stakeholders who previously had little opportunity to discuss the meaning of social protection as a right, of universality and therefore the need to consider the informal as well as formal labour sectors. This was done through a process of joint data collection and analysis, with knowledge transfer to ensure future national effort and commitment. The completion of the Project tasks and a sustained ILO social security presence in the countries is essential both to meet stakeholder expectations and to retain this success.



## **2. PROJECT BACKGROUND**

A project on social protection was included in the current ILO/DFID Partnership Framework Arrangement (PFA) in view of DFID's interest in further developing and applying the initiative carried out by ILO's Social Security Department, through DFID/GTZ and ILO collaboration. This initiative is the ILO Global Campaign for Social Security and Coverage for All as a means of reducing poverty in Africa and Asia. DFID's involvement follows the interest in social protection in low-income countries.

The ILO-DFID PFA includes three components:

- Funding to results based management,
- A contribution to the Regular Budget of the ILO for activities related to the development of Decent Work Country Programmes, and the elimination of poverty, and
- Selected priority policy programmes, including:
  - Social Security
  - Labour Migration
  - Forced Labour
  - Cooperatives in Africa

Given the overall context of the ILO-DFID PFA, it was anticipated that the process, outputs and outcomes of the Social Protection Project (henceforth the Project) would feed into the international debate on the role of a minimum set of social protection benefits in alleviating poverty and stimulating growth in African countries. Within the ILO mandate, it was considered essential that the Project fit into the Decent Work Country Programmes (DWCP). From a broader perspective, the Project was seen as a means of enriching the United Nations Development Assistance Frameworks (UNDAF) through the adoption of a national Social Security Action Plan in the respective countries. And from a global development viewpoint, the replicability of the support and outcomes in other developing countries was seen as an integral part of the outcomes and lessons learnt.

### ***Project activities:***

The Project was designed to carry out a series of data gathering and analytical activities, leading to social dialogue in specific low income countries, and then using the information and interest generated to model the affordability of a minimum set of social protection benefits. The aim of these activities was to identify the amount of fiscal space needed to implement a minimal social protection package in a country. Through a final stage of knowledge transfer, the project was planned to increase capacity in the eventual drafting of national action plans for social security.

The countries selected for the Project were Tanzania Mainland, Zanzibar and Zambia. These neighbouring countries have different economies, and different national development frameworks including plans for the extension of social protection as well as different institutional frameworks for their existing social security schemes. Social security inputs in these countries had been minimal so the choice of these countries enabled the ILO to give support to the development of social protection.

***Project Funding:***

The Project was funded by DFID through the PFA, with some additional resources coming through the technical input of specialists in the Social Security Department of the ILO (Geneva), which had overall responsibility for the Project. In accordance with the ILO policy of increasingly decentralizing technical cooperation to field offices, this regional project was set up to be both centralized and decentralized for budgetary and management purposes.

In the first year, 53 per cent of the budget was allocated to the Social Security Department in Geneva and 47 per cent to the two field offices in Tanzania and Zambia. The intention was to reverse the allocation to ILO Geneva and the Field Offices for the subsequent years of the Project. However, since national analytical capacity was still considered to be weak at the end of the first year, a decision was made with the DFID policy team in London that 60% of the budget would go to headquarters for the whole period of the project. The Social Security Department continued to make a significant contribution to the cost of the Project from its Regular Budget's staff time: the Deputy Director, Policy Coordinator and Statistician.

***Project Cycle and time frame:***

While the Project was planned to cover four years of activities in the three countries, actual implementation began late leading to a field period of just over 3 years, with the initial period needed for recruitment and placement of a Chief Technical Advisor (CTA) in one of the countries and National Project Officers in Lusaka and Dar-es-Salaam. Due to the linkage with other components of the PFA, it was not possible to amend the Project duration. Changes were therefore necessary in the expectations of completing the four stages noted above:

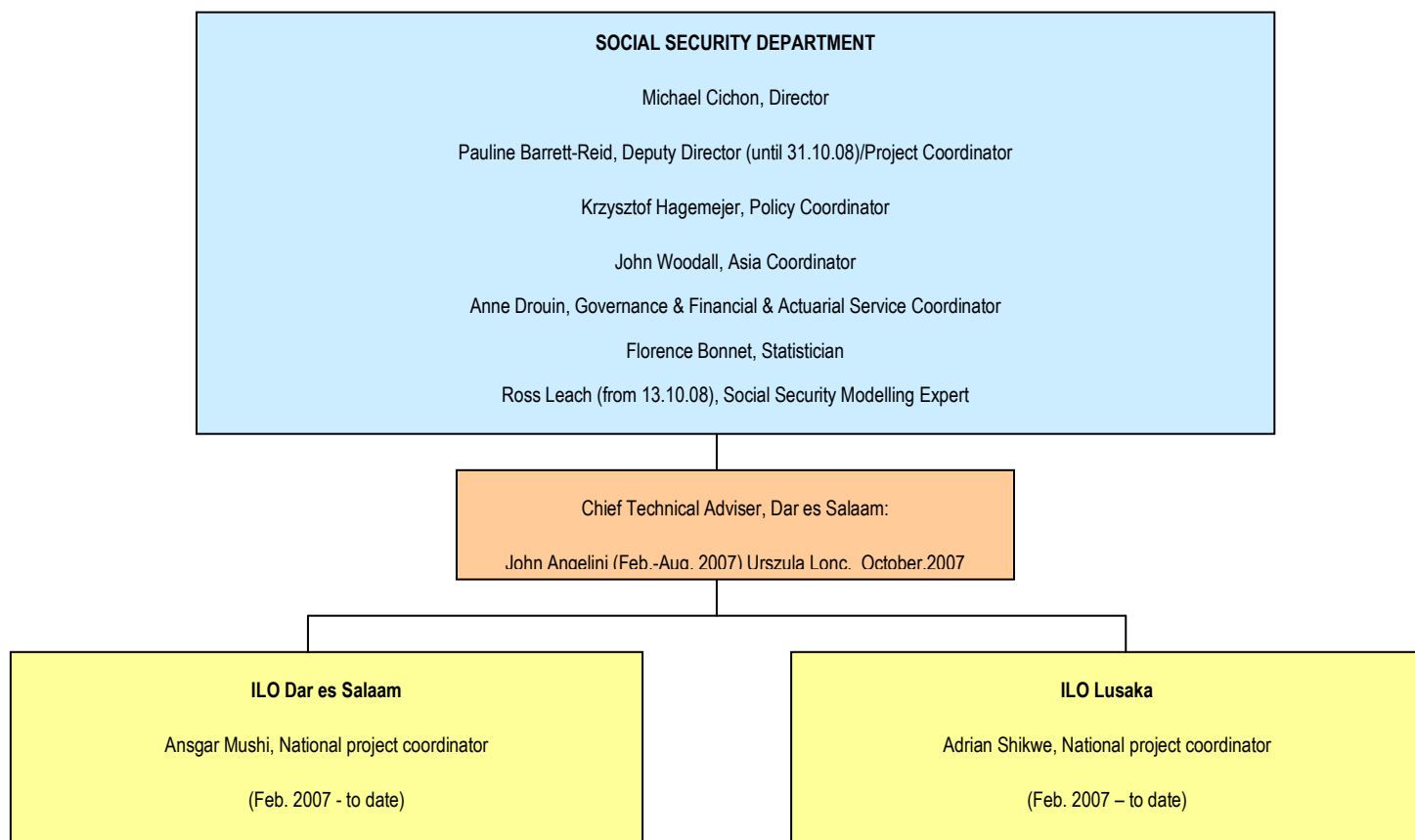
- Data gathering and analytical activities resulting in a Social Protection Expenditure Review (SPER) and Social Budget (SB), including the identification of the fiscal space needed;
- Holding a Social Dialogue Forum in the three countries with the stakeholders, using the data acquired in the SPER and SB.
- Development of Social Protection Policy documents for each country, prioritizing the introduction of a minimum package of social protection mechanisms;
- Knowledge transfer to promote national action plans for the implementation of the social protection strategy.

In the initial stage, the PFA funding was made available for the first year only, and this too needed some amendment to the timeframe planned for each activity. The Project staff in ILO Geneva provided the major planning directives and guidelines, technical input at each of the stages, and responsibility for the analyses of the results produced in the SPERs after reliable data had been acquired. The development of the SB, identification of the amount of fiscal space and the Transfer of Knowledge exercises were also the responsibility of the Project Team in ILO Geneva. This team was staffed by a mixture of full-time and consultancy staff, with a smaller team during the final year of the project. The Department's Deputy Director who retired on 31 October 2008 spent the majority of her time coordinating the work in all three countries and supervising the analytical work and dialogue activities for the final year. This staff time was charged to the Project. A full-time Economist was recruited for the policy analysis for all three countries. The Social Security

Department continued to contribute to the cost of the project from its Regular Budget but at a lower level for the final year.

**Project management:**

The management structure of the Project is shown in the Figure below.



**Work completed:**

The Project activities carried out by the time of this evaluation are summarized below.

In the first two months of the Project, the CTA and National Project Coordinators and Programme Assistants were appointed and Steering Committees were set up. Work on data collection started immediately and the major output of the first half of the project was the production, publication and endorsement of a combined SPER and SB Reports. The report for Tanzania Mainland was launched in November 2008 and included a full actuarial valuation of the largest scheme – National Social Security Fund with funding from the Fund and the ILO Department of Social Security. In Zambia, the SPER and SB report was launched in July 2008 and endorsed by the tripartite constituents. The Project was expanded in Zambia to investigate the issue of the amount of fiscal space needed in more detail through an analysis of the national accounts in developing options for the medium term to long term financing of a universal old age benefit. Considerable analysis of household income data was done to examine the impact of different policy options on poverty alleviation.

The draft SPER and SB for Zanzibar was presented in early October 2009, with emphasis

on the poverty and vulnerability impact. An actuarial valuation for the only social security fund operating in Zanzibar – the Zanzibar Social Security Fund (ZSSF) was undertaken as part of the SPER, as well as the mapping of non-contributory provisions funded by international and national NGOs and by the government (excluding health and education).

Throughout the Project duration, seminars were held on various aspects of social protection for target groups, including parliamentarians in Tanzania, fund managers and formal and informal sector working groups.

Following the launch and endorsement of the SPERS and SBs in Tanzania Mainland and Zambia, a Social Dialogue Forum was held in these two countries to generate dialogue on the development of a national social protection strategy and action plan. Networks for Knowledge Transfer were set up and activities begun in all three countries. At the time of this evaluation, the activities planned before the end of the 2009 included an additional Knowledge Transfer activity and a final meeting of the Steering Committees.

Given the central nature of the design and implementation of the Project by both DFID and the ILO, it is important to note relevant country activities before the Project started. There were initiatives in each of the countries related to social security and poverty alleviation. Tanzania had established a multi-sectoral body - MKUKUTA – Tanzania National Strategy for Growth and Reduction of Poverty - in 2007. Tanzania had also passed a Social Security Bill in 2003 which led to the current setting up of a Regulatory Authority to harmonize the existing contributory social security schemes. In Zanzibar, MKUZA had been set up in 2007 as is a multi-sectoral process involving a wide range of stakeholders in government and NGOs in the development of a national poverty reduction strategy. In Zambia, the social assistance component of social protection had already been included in the Fifth National Development Plan (FNDP). The streamlining of the operations of formal social security schemes and the extension of coverage was included in the chapter on Employment and Labour. The Ministry of Labour in Zambia had set up a steering committee which was spearheading the reforms in social security. The first national Social Security Policy paper was drafted over recent years and submitted to Cabinet along with a draft Social Security Bill in 2008. The Ministry of Health had also started discussing ways of strengthening of social health protection through the introduction of a national social health insurance system.

In Zambia, the same donor, DFID, was already engaged in social assistance projects, mainly dealing with cash transfers to vulnerable groups in pilot projects. The support to these pilot projects was managed through DFID's decentralized country activities and in cooperation with a range of stakeholders which did not include the main stakeholders in this ILO/DFID Project. The existence of these national initiatives and donor activities meant that the ILO Project needed to assure coherence and compatibility with the organizations, components and priorities in these cooperation projects.

***Demographic and economic characteristics of the three countries:***

The three countries selected are in the same geographic area in Central-East Africa, but have different economic, political, social and cultural contexts. The table below summarizes some of the main characteristics using information taken from the SPERs produced for the three countries. Most of the data are for the years 2006 and 2007.

**Table 1: Demographic and economic characteristics of the three countries**

Characteristic	Tanzania Mainland	Zanzibar	Zambia
Total Population (millions)	33.6	1.0	12.1
Percent under 15 years of age	44.2%	44.0%	45%
Percent over 65 years of age	3.9%	3.0%	3.5%
Life expectancy:			
1978	44 years	47 years	52 (1980)
2002	51 years	57 years	50 (2000)
Labour market participation (over 15 years). Note: High labour market participation of the elderly in all countries	89.6%	78.3% Late entry of women into the labour market	84.0%
Percent in Formal sector of total labour	6.5%	10% (Large civil service)	7.1 (*)
Main occupations	Agriculture	Tourism, commerce, agriculture	Agriculture, Mining, commerce
Social security coverage (Considered low in benefits and amounts in all countries)	3.3%	6.6% Higher coverage due to large civil service	3.4%

(\*) The figure of 12% of the labour force in the formal sector in Zambia was given by MOLSS during the evaluation. This figure still reflects shrinking of the formal sector over the last 20 years, partly due to changes in contracts in the mining sector which has the largest employers.

### **3. EVALUATION BACKGROUND**

The independent evaluation was carried out in accordance with the ILO regulations on evaluation of Projects with budgets of over US\$500,000. The main purposes of this evaluation may be summarized as the investigation of:

- Capacity to carry out the initially defined four stages of the Project, in terms of the technical inputs from ILO, the resources available and the required national structures to carry out the activities.
- Added value of the knowledge gained in social protection by stakeholders primarily involved in social security and those primarily involved in social assistance, and the development of links between the groups of stakeholders.
- Ability to carry out the activities to produce the planned outputs (SPER and SB) at the required level without excessive delays in the Project cycle.
- Immediate use of the outputs to enable the development of social protection policies, with identification of the fiscal space and technical capacities required for implementation.
- Identification of the future role of the ILO in further enhancing the development of policy on social protection, and in capacity building for the implementation and monitoring of the policies, as well as constant amendment with changes in social and economic development.

The independent evaluation was carried out with the donor, DFID, as the main client of the evaluation and the relevant ILO Departments as audience of the report, particularly with regard to the recommendations for the future role of the ILO in the countries covered and similar projects relating to the Global Campaign on Social Security and Coverage for All.

In addition to the specific Project objectives and areas, the Evaluation was designed to address general cross-cutting issues including establishing and maintaining partnerships, and interagency cooperation, knowledge sharing, tripartism, gender mainstreaming and sustainability.

The independent evaluation was carried out as a final evaluation, although some Project activities still remained to be carried out in the last quarter of the third year of the Project. The evaluation began with briefing in ILO Geneva from 22 – 24 September 2009 and then field visits to the three countries from 3-20 October 2009. The draft report was circulated to facilitate the presentation of the main findings before finalization by 7 November, 2009. The sequence of the evaluation was coordinated with Tharcisse Nkanagu, Evaluation focal point in the Social Security Department (SEC/SOC) of ILO Geneva.

The independent evaluation was carried out by Aviva Ron, an independent consultant with who has worked previously in both ILO and WHO, as staff member and consultant following retirement.

The evaluator is very grateful to all involved in the process. The background and explanations of the Project and the evaluation process provided by all in Geneva were

extremely useful, and the evaluator was grateful to have the opportunity to be present at two activities in two of the countries, with the ILO Project Manager, Pauline Barrett-Reid and other staff from SEC/SOC. Special thanks are due to Social Security evaluation focal point, Tharcisse Nkanagu for the overall arrangements, and to the CTA, Urszula Lonc and National Project Coordinators in Tanzania and Zambia, Ansgar Mushi and Adrian Shikwe and their Programme Assistants for the assistance in carrying out the meetings with the stakeholders in a well-planned, efficient and friendly environment.

## **4. EVALUATION METHODOLOGY**

The independent evaluation of the Project was carried out in several stages:

1. Desk review of relevant documents – mid-September, 2009
2. Discussions with ILO Geneva, with ILO staff in Social Security, Development Cooperation, Evaluation and Budget and Financing Departments – 22-24 September, 2009
3. Field visits to Tanzania, Zanzibar and Zambia, 4 – 19 October, 2009, including:
  - Discussions with ILO Staff in ILO Offices in Dar-es-Salaam and Lusaka, and with Liaison officer in Zanzibar.
  - Attendance at Social Dialogue and SPER/SB presentations in Mainland Tanzania and Zanzibar
  - Meetings and interviews with the stakeholders and ILO Office in Dar-es-Salaam and Lusaka, and with the Project Coordinator in Zanzibar.
  - Meetings and interviews with the country level donor agencies, and other UN agencies.
4. Drafting of the Report and pre-finalization presentation
5. Final drafting of the Report

The terms of reference for the evaluation are given in Appendix 1, while the list of persons met is detailed in Appendix 2. The main evaluation criteria were explained by the relevant officers during the meetings in ILO Geneva. In addition to the specific Project issues, the Evaluation was designed to address general cross-cutting issues:

- Establishing and maintaining partnerships, and interagency cooperation
- Knowledge Sharing
- Tripartism
- Gender Mainstreaming
- Sustainability

The meetings in ILO Geneva focused on the scope of the Project, the organizational framework and responsibilities at ILO Geneva and Field Office level in the three countries selected, the time frame and the progress to date. The review of the Project provided understanding of the central role of DFID and ILO in designing the Project and involvement of DFID at country level, as well as involvement of UNICEF as the lead UN agency in social policy in Tanzania Mainland and Zambia. The explanation was useful in determining which cooperation partners (CP) should be met during the field visits. The achievement of the Project activities and goals in each of the three countries was reviewed. Useful background information was provided on the Global Campaign on Social Protection and Coverage for All, and on the minimum package of social protection measures. The ILO declarations on Social Security in Africa in 2007 were noted as well as the planned event in Tunis in February 2010 when Africa countries will have the opportunity to report on progress since 2007.

The ILO-DFID PFA was explained, in order to better understand the framework in which the Project was funded, planned and implemented. In addition, the meetings in ILO Geneva provided the guidelines for an Independent Evaluation.

Briefings in the ILO Field Offices enabled review of the major issues in implementing the project in each country, and the planning of interviews with the major stakeholders,



beginning with those involved in the Steering Committees and Networks at the relevant stages of Project implementation. Information was provided on changes in the composition of the Steering Committee, linked to political events, and involvement of stakeholders in the current Project stages. This information was necessary to derive the maximal evaluation input during the field visits.

Due to the timing, the visits to Tanzania and Zanzibar provided opportunities to attend Project activities involving the stakeholders and to conduct the interviews. In Tanzania Mainland, time constraints prevented interviews with all of the stakeholders, particularly due to the large number of the contributory social security institutions. It was decided to limit the interviews to the major institutions. The visit to Zambia enabled interviews with the stakeholders and included meetings with individuals who been involved in the early stages of the Project but had since moved to other activities. In total, 22 interviews were conducted, with around 35 persons participating in the meetings.

A brief questionnaire (Appendix 3) was developed for the interviews with the stakeholders and was used as a basic tool as relevant. This questionnaire provided a framework for discussion, and enabled expansion of issues raised. The notes were written on the forms, and later reviewed to find both common and specific responses. In some instances, the stakeholders met provided additional information in the form of documents, particularly on their national social protection policies and strategies developed in recent years. These documents were useful in evaluating the compatibility of the outputs of the Project with national policy.

Meetings were held with the country level donor agency, DFID, in Tanzania Mainland and Zambia. In Zambia, meetings were also held with UNICEF as the lead UN agency in social protection, and with WHO. The health economist in WHO had been a member of the Steering Committee while working in the Ministry of Health and is now involved in developing a health care financing strategy for Zambia.

## **5. EVALUATION FINDINGS**

This chapter is structured to cover the different evaluation components, including the visits to ILO and the field offices, the findings from interviews with the stakeholders during the visits to Tanzania Mainland, Zanzibar and Zambia, findings related to the four Project stages, findings related to specific evaluation questions and general cross-cutting evaluation areas. This structure was used to allow concise coverage of the relatively large number of components at ILO headquarters and country levels in three countries. Where relevant, findings are reported in separate paragraphs for the three countries.

### **5.1 ILO Geneva**

The briefing in Geneva, 22- 24 September, 2009 had enabled explanation of the background of the Project within the scope of the Global Campaign on social Security and Coverage for All initiative, the organizational structure and funding of the Project within the ILO-DFID PFA.

At the ILO Geneva level, the core Project staff were assisted in the design, field activities and analysis by several other specialists in the Social Security Department, mainly to deal with issues related to policy, statistics and actuarial components. The statistical and actuarial staff from the Social Security Department in ILO Geneva contributed to field activities, particularly in the Knowledge Transfer stage. Adequate technical backstopping was therefore provided by ILO SEC/SOC and in the three countries, to carry out the planned activities, provide background technical knowledge and to carry out the analyses. The main outputs, that is, the SPER and SB were developed primarily by the Project Manager and staff in ILO Geneva, with data inputs from the field offices and review and editing with the assistance of consultants.

The overall design and decisions on activities were concentrated in ILO Geneva and for a variety of reasons, the field officers were dependent on the ILO Geneva Project staff for most aspects of project implementation, including design, the technical inputs and scheduling of most activities. This presented some challenges in changing design, content of the process and output (the SPER) and activities to suit national priorities and requests.

The Project was initially planned for four years, but started 10 months later than planned. The late start meant that field activities could only be carried out over three years. Changing the end date of the project was not possible, due to the time framework of the PFA. Fortunately, the speedy recruitment of the first Chief Technical Advisor (CTA) and placement in Dar-es-Salaam and the recruitment of well trained national project officers in Tanzania and Zambia and a liaison person in Zanzibar meant that by February 2007, the counterpart Steering Committees were appointed. Work was quickly started to explain the aims of the project, and begin the process of producing the SPER. Although difficulties in data gathering to produce the SPER and SB were anticipated, the actual time required in the data gathering and validation processes led to additional delays of several months.

A smaller delay in the arrangements in the field was caused by the change in the CTA in August 2007. In the interim before a new CTA was in place, the technical backstopping was provided by the Project Manager in ILO Geneva. It is likely that the heavily centralized role of the ILO Geneva Project team developed in the first year resulted from

linked to the necessity for the intensive involvement of the Project Manager as interim CTA for a period of several months. There was also some initial insecurity of funding, as the donor commitment was first made for only one year.

As noted above, the tripartite Steering Committees, chaired by the Permanent Secretaries of the Ministries of Labour were set up as soon as Project implementation began. However, political changes led to changes in the chairmanship of the Steering Committees in Tanzania and Zambia in the second year. The changes also meant that the initial activities to sensitize stakeholders on social protection needed repeating. Steering Committee meetings were linked to ILO Geneva Project staff participation, and therefore were not necessarily organized to coincide with the need to sensitize new chairpersons. Although care was taken to meet these new office bearers personally, more in depth sensitizing was needed. This task could have been relegated to the new CTA and national project coordinators but a combination of lack of field capacity, the essentially centrally driven nature of the project and some lack of definition of central and field responsibilities may have inhibited such activities. These factors ultimately led to a reduction in the frequency of the Steering Committee meetings and some lack of understanding of the broad scope of social protection among some of the key stakeholders.

## **5.2 ILO Field Offices**

At the time of the evaluation field visits, the ILO Director in Tanzania Mainland was out of the country and there was limited time to discuss the Project with the OIC. The meeting with the ILO Director in Zambia was extremely useful, with regard to the project outcomes, the role of the National Project Coordinators and the linkage with other ILO and other UN Projects. At the Project level, the resources and working environment were found to be very good, with appropriate support staff, communications facilities and space in both Dar-es-Salaam and Lusaka. The assistance in making arrangements for the evaluation interviews was excellent and reflected the good relationships developed between the National Project Coordinators and the stakeholders. The fact that this Project had enabled the placement of social security staff into the ILO Offices was appreciated by the stakeholders.

As noted in the Project Background, 47% of the budget in the first year was allocated for Field Office activities, with most of this amount going to the ILO Project Team in Tanzania Mainland, 32%, and 16% for Zambia. The percentages of budget allocation for Field Offices in the subsequent years were slightly lower.

## **5.3 Interviews with Stakeholders**

In the three countries, interviews were conducted with 22 social protection stakeholders and the development partners (as listed in Appendix 2). With the exception of a small number of interviews which took place during stakeholders meetings, the interviews were held in the offices of the person interviewed. Although it was not requested, in most cases, several persons from the same institution were present and contributed to the discussions, which reflected the interest of the stakeholders. Those present included members of the Steering Committee and/or members of the Network. In addition to the

planned interviews, in Zambia meetings were requested by three persons who had been intensively involved before the changes. In all cases, the atmosphere was friendly and the discussions were frank, went beyond the interview points in the questionnaire, duration was not limited and the average time was one hour.

The interviews were conducted primarily to assess the compatibility and contribution of the Project to national policies and structures. The paragraphs below relate to each of the interview points. For some points, the notes are for all the countries as the responses were fairly common. Where there were important differences, the notes are given separately for the three countries.

### ***Interview Points:***

#### ***5.3.1 Involvement in the Project***

About two thirds of the persons met had been involved in the Project since the beginning. Unfortunately, many senior officers, such as the current Permanent Secretaries and heads of social security departments came in at a later stage. This was mainly due to changes in government. The persons interviewed included many who were members of the Steering Committees and other who are currently in the Networks of Social Security Experts.

#### ***5.3.2 Comments on the design and activities***

All the stakeholders interviewed, including those in government, the employers and workers organizations and other institutions, commented that there was no opportunity to provide input to the Project design and activities before the implementation. This was particularly important because all three countries had on-going activities dealing with the development of social protection policies, while DFID had also started activities in social assistance at country level in Zambia. While some stakeholders had been extremely active in the acquisition of data for the SPER and SB, there was a general feeling that consultation could have led to a more sensitive output, and at levels that would have been easier to understand for many stakeholders. Most of the informants expressed appreciation for the increase in knowledge regarding the complexities of data collection and analysis and several of the stakeholders noted how the rigorous work done in data collection and analysis has impacted on their work.

#### ***5.3.3 Comments on activities that could have been added***

Although presentations on the Project objectives were given in the initial stage and presentations on general social protection issues were provided at the major meetings (such as the Social Dialogue Forum) and seminars for various groups (Parliamentarians in Tanzania, formal and informal sector working groups), about one quarter of the persons interviewed still had limited knowledge and understanding of the core subject matter at the time of the evaluation, although most indicated that their knowledge had been significantly broadened.

The Project Document, including the budget, and a Project Brief, were given to the members of the Steering Committee at the beginning of the Project. A revised budget was presented to the Steering Committee when the continuation of DFID funding was assured. A power-point presentation by the first CTA outlined the principles and scope of social

protection and such presentation were repeated at Steering Committee meetings or SPER and SB presentations. However, changes in the personal composition of the Steering Committee later in the Project cycle meant that new members came in after these presentations. Repetition of such presentations or sensitizing at an individual level for new members could have contributed to assuring an increase in knowledge and understanding to all the stakeholders.

The country level donors (DFID) noted that they had requested some additions to the SPER after it was first presented and these requests were not accommodated. The Project believed that they had dealt with the key comments given in writing by the CPs.

It should be noted that there was a significant lack of continuity in cooperation and transfer of information, since the DFID representative changed three times in Zambia and twice in Tanzania (including Zanzibar), while the DFID staff dealing with the project in London was also changed during the three years of the project cycle. There was also a lack of continuity of DFID staff dealing with the project in London.

#### ***5.3.4 Comments on outcomes and achievements***

Many of the stakeholders began with limited awareness of the broad meaning of social protection and noted that the Project had significantly broadened their knowledge and perspective. This broadening of knowledge was interesting: the stakeholders from contributory schemes noted that they had gained understanding of social assistance as an integral part of social protection, while those who come from the social welfare agencies appreciated the new knowledge on the contributory schemes. The importance of extension of coverage through both social assistance and contributory social security schemes was appreciated as necessary to reduce poverty and promote economic development. Another aspect of knowledge gained was on the importance of social protection coverage of populations in the formal as well as informal sectors.

Most of the informants who had been involved from the beginning felt that they had gained personally from the ILO Project, mainly through the opportunities to learn, involvement in the SPER and SB processes. Several of the stakeholders had since undergone further training on the extension of social security at the ILO Turin Training Centre, the University of Cape Town and Maastricht University.

The Steering Committee members were mainly the tripartite partners engaged in conventional contributory social security systems. Serious problems in the different schemes and benefits were identified through the SPER. The social protection interventions covered in the analysis of the amount of fiscal space were three non-contributory cash benefits through social assistance: namely, cash transfers to provide income security in old age, assistance to neediest families and a child grant. While these components of a minimum social protection package were recognized by all as necessary, almost all the stakeholders interviewed felt that existing challenges in the contributory schemes should have received more attention. There was particular interest in all the countries in:

- finding ways to increase compliance in existing schemes for the formal sector,
- improving the range and level of benefits provided,
- harmonization of social security schemes for various formal labour sectors,

- extending social protection coverage to the informal economy population,

It was also felt that inadequate attention was given to short-term benefits, such as health care and maternity. The public sector schemes recognized that services provided free of charge, such as maternity care, are of poor quality and the compulsory addition of this benefit, as in the social security schemes for the formal sector in Tanzania Mainland, and could be highly beneficial. The same approach was taken regarding health care, and it was considered that this benefit should have been more carefully studied to enable more appropriate discussion in the eventual social dialogue and development of national action plans for all population sectors, with focus on the majority of the population, that is, the informal economy.

Although these issues were raised by several Steering Committee members, the informants noted that the issues were not adequately addressed, and the opportunity for modelling, using the acquired data and tools, was not passed on to the Knowledge Transfer stage, except in Zambia where some modelling on health care is included in the Social Budget. A Network of national Social Security experts was set up in each country for the Knowledge Transfer stage but the inputs in that stage may not be sufficient to deal with benefits outside the minimum package stressed in the SPER. It is doubtful whether the members of the Network will have the technical capacity to use the same tools for the existing problems in the contributory schemes in their countries.

### ***5.3.5 Compatibility with national programmes***

In each of the three countries, initiatives to develop policy on social protection were in place when the Project started. In Tanzania Mainland and Zanzibar, the initiatives were linked to poverty reduction strategies, while in Zambia; they focused on social protection through contributory and social assistance components. While these initiatives were not mapped before the Project design, several statements can be made in regard to linkage:

- The Project attempted maximal linkage with the initiatives, through the inclusion of the persons and agencies involved in the activities,
- The activities and products of the Project contributed to broadening the scope and information base in the development of national policies.
- The Project enabled a shifting of social protection for only the most vulnerable population to a universal approach.
- Through the broad representation in the Steering Committees and the multi-sectoral nature of the Networks, important dialogues were started among the various stakeholders.

The existing initiatives in each country are described below:

#### ***Tanzania Mainland***

Tanzania had in fact already created two instruments dealing with poverty reduction and social security. The first is the MKUKUTA, which is a multi-sectoral process involving a wide range of stakeholders in government and non-government organizations (NGOs) in the development of a national poverty reduction structure. The second is the Social Security Policy passed by Government in 2003, which serves as a policy guideline for the extension of social security. The latter has a three-tiered approach, in which the first layer

is social assistance for the indigent and vulnerable population groups, the second is a compulsory contributory social security schemes for workers while the third is voluntary additional social insurance to provide supplementary benefits. All those interviewed noted that the ILO project was compatible with MKUKUTA and the Social Security Policy document, and had a positive contribution by:

- Increasing the knowledge base on social protection options, both in the direction of social assistance and social security options and structures.
- Enabling decision-making and planning based on information collected through the SPER and SB processes.

A small number of the stakeholders felt that the ILO Project was competing with the national plans, and reduced their active participation when the ILO Project was considered too technical. It is likely that the perceived highly technical nature of the outputs led to this feeling.

### ***Zambia***

In Zambia, the Government had already started implementing the Fifth National Development Plan (FNDP) covering the period 2006 – 2010. This provided the framework of all government programmes and Sector Advisory Groups (SAG), comprising of various stakeholders, had been formed to oversee the implementation of programmes outlined in each thematic Chapter. The Project was invited to join the SAG on Social Protection under the Ministry of Community Development and Social Services and the Technical Committee on Social Security Reforms under the Ministry of Labour's Employment and Labour SAG. The Project emphasised on the need to harmonise the fragmented social protection interventions in the country by encouraging dialogue between different stakeholders.

Following the findings of the SPER and SB Report, the Ministry of Labour and Social Security has taken forward the idea of implementing a universal old age pension and the Project worked to support this initiative. A draft Inception Stage Proposal outlining how the Ministry intends to build its capacity and lobby for broader government support before taking over the Katete Old Age Pilot Scheme and up-scaling to other Districts has since been submitted to the CPs. The Project provided support to this process. The Ministry of Finance had already begun modelling of cash transfers to the elderly, and the methods used in the SPER and SB were now being used to complement the previous work.

#### ***5.3.6 Comments on future use of outputs***

The value of the actual data eventually provided through the SPER and SB processes was noted by most of the informants. Several informants noted how the results are now being used in their own activities to further policy development. Subsequent to the launch of the SPER and SB Report in Tanzania, the Ministry of Labour started discussions on establishing a pilot site for the long-term establishment of a universal old age pension in Tanzania Mainland. The ILO has been asked to act as advisers to the project. This is a huge step in moving the policy agenda for the elderly in Tanzania and the long term alleviation of poverty. A universal old age pension was not on the agenda in Tanzania Mainland at the start of the project.

At ministerial level, the SPER results allowed for defining the limits of involvement and financial commitment to back up policy statements on for example, universal pension. This information was shared with the national poverty reduction strategy bodies in Tanzania Mainland (MKUKUSA) and in Zanzibar (MKUZA). In Zambia, the Government has convened a Committee of seven Permanent Secretaries to work on a government response to the SPER and SB Report. The Committee will look at what policy measures government should put in place to address the issues that came out of the Report.

### ***5.3.7 Comments on interest in future activities***

All the stakeholders interviewed expressed interest in future activities and the higher level informants even warned that the gains could be lost if the Project ended at the end of 2009 without completion of the Project cycle, and without having some monitoring and evaluation measures in place. The third stage of the Project Cycle, that is, the production of Social Security Action Plans, have not been completed in the three countries and it is doubtful whether this could have been accomplished within the reduced project cycle. The mechanisms, including the information base and analytic tools, to create these plans have been set up, but social dialogue is still required to produce policy papers which can then form the basis of appropriate legislative tools. Several informants noted that the Project provided the optimal platform for such discussion, due to the multi-agency nature of the Steering Committee. Some noted that additional people could have been brought in to broaden the dialogue. The completion of this phase is important to amend current policy documents in Tanzania and Zambia, while Zanzibar has not yet developed such a policy document through its own social protection/poverty reduction initiatives.

Informants in Zambia queried the figures on the size of the formal labour sector. It appears that several large employers in the mining industry were given concessions (namely, exemptions) from the mandatory social security requirements, as part of the privatization process. This does not mean that workers in these mining companies have no social security at all, but the provisions are limited, there is no guarantee of future long-term payments and obviously the risk pool in the private sector scheme has been reduced. These informants, from government and the workers organizations, had hopes that this issue could be discussed and that ILO could assist in dealing with the concessions in the future.

Several informants noted that elements of the minimum package benefits are in the pilot stage. Even with good funding prospects, their extension is not guaranteed, and following appropriate review, would need legislative measures to assure extension towards universal coverage. Some informants expressed interest in having ILO assistance in these stages: that is, appropriate review of the pilot schemes, design of appropriate organizational structures and identification of financial resources required for serious scaling-up, and in developing the legislative and regulatory tools required.

It is considered that most of the above could be undertaken through a modest extension of the Project, to allow time for the ILO to find ways to have permanent social protection expertise in the countries. The informants felt that there was a need to have a continued social protection presence in the ILO in the respective countries to at least carry out the following in the future:



- Provide support for the areas raised after the SPER and SB but not covered through the Project
- Assist in reviewing the relevant ILO Conventions, and examining the implications of ratification.
- Assist in capacity building in the broader aspects of social protection, particularly towards reaching financial sustainability of the new programmes.
- Capacity building to ensure dialogue linkage with other government and non-government agencies with mandates for the provision of social protection.
- Provision of a platform for continued linking of the social protection efforts with the Decent Work Country Programmes, and the establishment of links with other ILO and UN agency work, such as UNDAF.

#### **5.4 Findings related to the four Project Stages**

The areas covered below are slightly different to the initial four project stages, but reflect the reality of the Project process.

##### **Stage 1: Social Protection Expenditure Review (SPER) and the Social Budget (SB)**

Although the SPER and SB were initially presented as two separate stages in the Project design, they could be treated a single stage, also including the identification of the amount of fiscal space for the minimum package of social protection benefits, as they were produced through the same process of data gathering and analysis and were presented to the stakeholders together.

The SPER methodology was similar in all the three countries. The ILO Geneva Project Team developed the outline, and SPER manual which were presented during the second mission to the countries. In Tanzania Mainland and Zanzibar, an additional survey instrument was developed to enable mapping of social security provisions by NGOs and other civil society organizations. The latter was an important addition to the tools and is available for replication in other countries.

Work plans were done for each stage of the SPER and SB, with emphasis on the use of existing survey data, such as data from the Living Conditions and Monitoring Survey (LCMS) and the Labour Force Survey (LFS) in Zambia. The responsibility for the collection and validation of information was given to the National Project Coordinators, who worked with the relevant national agencies. Although this was not simple and took longer than expected, the exercise of collecting the data contributed to the national ownership of the project.

The launching of the SPERs was done at the time of missions of the ILO Geneva Project Team, through presentations of a draft to the Steering Committee and other stakeholders, including the CPs and comments were requested from all the stakeholders. The process in Zanzibar was delayed and the draft SPER was presented in October 2009. Following the review of comments, the final SPER was published and distributed through a formal launch process several months later to a broader group in Tanzania Mainland and Zambia.

Interviews with the Cooperating Partners (namely DFID Country Offices and UNICEF in Zambia) revealed that they had requested more involvement in the drafting of the final SPER as they felt this would be important for use in lobbying government to give more attention (and resources) to social protection interventions.

### ***General comments on the SPERs***

Some general comments on the SPERs may be useful to back up the findings and the recommendations in this Evaluation Report. In each of the countries, several issues related to the contributory social security schemes were common. First was the low coverage of the target populations (that is, compliance was low even in mandatory schemes for the formal labour sector) while the benefits were limited and inadequate to provide the income security for which the schemes were created, partly due to the absence of indexation and currency fluctuations. The percent of retirees actually receiving pensions was found to be very low, partly due to the regulations enabling withdrawals of accrued pensions or the current practice of most retirees taking two-thirds of their accrued pension amounts as lump sums and leaving them with small pensions. In Zambia, two pension funds were initially set up to cover the public sector: the PSPF for government workers and the LASF for worker in local government and some utility service companies, but without portability between them. However, a law passed in 2000 stipulates that new employees have to be covered by the private sector pension fund (NAPSA). As a result, the two public schemes have not had new entrants since 2000, one third to half of their members are retirees, and their administrative costs are now a very high percentage of their operations. The problem is dealt with in the Social Security policy paper and draft bill now before Cabinet, but any action to change will require extensive technical work, including actuarial studies and the development of legislative tools.

In the case of Tanzania Mainland, the pluralism of the funds is manifested in five separate schemes for public sector active and retired employees, without harmonization of the major components, without portability, while these schemes report to five different ministries. This was reported in the SPER and noted in discussions between the ILO Geneva Project Team and the relevant institutions. Due to the timing of the work, the SPER proved to be a powerful tool when looking at future policy for the regulation of these schemes. The Project Team were involved in national discussions on the draft legislation to establish a Pension Regulator. This timely and evidence-based ILO input resulted in the Ministry of Labour taking responsibility for the Office of the Regulator rather than the Bank of Tanzania, which was important to keep the pension schemes within the social security framework.

The SPERs produced extremely interesting information on the scope and extent of poverty in the three countries, noted the populations most vulnerable to poverty (the elderly and female and child-headed households). Despite limitations of data validity, it would have been useful to have more on the major reasons for falling into poverty, and look at, for example, factors such as the death of one or both parents due to HIV/AIDS. At least in Zambia, such information could have been acquired from the same source, that is, Living Conditions and Monitoring Survey (LCMS).

An important by-product of the SPER was the development of a survey tool to assess international and national NGO provision of social assistance. Another tool developed

through the Project was the analysis of work and social protection coverage in the informal economy, used in all three countries, which showed, for example, that women and the elderly are never able to retire from work.

The SPER and SB provided extensive data on expenditure on health and education, and noted high mortality indicators, with information showing that the major causes of morbidity and mortality are preventable infectious diseases, and noted the inadequacies of access to quality health care. Given the current high maternal mortality ratios in all the countries, it would have been useful to give more attention to maternity protection in the conclusions, particularly as the ILO has given increasing attention to maternity protection and reaching MDG5 in recent years.

However, the conclusions did not deal with social protection measures to assure access to health care, through both contributory and non-contributory measures. The stakeholders understood that the current approach to exempting the vulnerable from user fees is inadequate as social safety net when no reimbursement is given to the providers for these patients. It was noted that some district hospitals have a heavy burden of indigent families who do not pay and current exemption policies mean that the only paying patients are the civil servants with relatively low salaries. The SB for Zambia does include modelling for the extension of coverage of health care in Appendix A, but the general conclusions do not give priority to social health protection.

Finally, as a result of the SPER and SB, illustrative costings were undertaken of a minimum package of social protection benefits – universal old age pension, a child benefit and targeted social assistance over a defined period in all three countries. The results showed as a percentage of GDP in the longer term and confirmed the results of the previous ILO research work on the affordability of a minimum set of social protection benefits. This was indeed the major objective of the project.

## **Stage 2: Hold National Policy Dialogue Forum in each country**

The National Policy Dialogues were carried out in Tanzania Mainland and Zambia with excellent participation, by the Steering Committee members and a wide range of NGO's. The meetings were chaired by the Permanent Secretaries of the Ministries of Labour. The agendas included a review of the Project objectives and achievements to date, and reviews of specific non-contributory social protection benefits, with analyses related to their effectiveness, costs and potential resources. Although the audience included the representatives from the major contributory schemes, employers and workers organizations, the deficiencies and challenges now facing these schemes, as clearly reported in the SPER, were not discussed. This led to some disappointment among these stakeholders and possibly contributed to a decrease in interest in the follow-up of the work.

The previous work had broadened the knowledge about social protection in general among the stakeholders. The Forum provided reinforcement of this knowledge as well as basic information for persons who had not been involved from the beginning. Presentations on the introduction of similar social protection benefits in neighbouring countries were very helpful in providing concrete experiences with impact data.

The presentations provided the opportunity to present the minimum social protection package as financially affordable within a country's fiscal space. The presentations also provided the bases to see social protection as a right, and to look at coverage not only within small pilot projects but with universality as the national goal.

Discussion at the end of the Forum was somewhat limited and was insufficient for immediately going to the next stage, which was the development of a National Strategy through identification of national social protection priorities, with National Action Plans. As stressed by ILO, the development of such plans requires national input, and although ILO could provide technical cooperation, the key issue is commitment of the stakeholders to continue with this very necessary stage.

Conclusions were not drawn at the end of the Social Policy Dialogue Forum in Tanzania Mainland and Zambia. A Forum Proceedings report was sent out by the Project in Zambia, and this is now expected to be completed for Tanzania Mainland.

### **Stage 3: Development of a National Strategy through identification of national social protection priorities, with National Action Plans**

The third stage is still ongoing following the social dialogue forum held in each country. The intensity of development of the National Strategy may well depend on the changes in the leadership of the Ministries of Labour, as occurred in Tanzania Mainland and Zambia. Priority may be given to completing initiatives in progress, such as the establishment of the Regulatory Authority in Tanzania Mainland and advocacy for the Social Security Policy paper and draft Social Security Bill submitted to Cabinet in Zambia. The completion of the Project activities, including a final Project Steering Committee meeting and adequate Knowledge Transfer will be crucial in achieving the National Action Plans.

### **Stage 4: Knowledge transfer to enable the development of country-specific models**

Knowledge transfer was planned as a final stage of the Project, to provide training on statistical and economic analysis to a Network of individuals identified in each country as the social protection experts in the various stakeholder institutions. These persons would then be expected to provide the information for developing policy and decision-making.

The Knowledge Transfer stage was started in Zambia, but delayed in Zanzibar due to the late presentation of the SPER and SB and the fact that the Network covers Tanzania Mainland and Zanzibar. A final activity is planned for all three countries in November, 2009 and will include some inputs on health care. The individuals included in the Network need to be capable of carrying out complex quantitative analysis and those interviewed appreciated the training, and the opportunity to do this training with a wider range of persons from different institutions with which they generally had little interaction. However, the field interviews revealed that some of the persons from institutions responsible for the implementation of social protection measures were not included in the Network. One reason provided by the National Project Coordinators was that these individuals did not have the qualifications for the level of quantitative analysis required. In that case, it may have been appropriate to have additional Knowledge Transfer activities requiring a more basic level of analysis.

The planned form and duration of Knowledge Transfer activities in the Project is unlikely to suffice to provide an adequate basis for such independent quantitative analysis in the

future. Options for extended training need to be considered, as well as provision for an on-going linkage to ILO resources in this area. This type of activity assumes that the knowledge will also be transferred within the institution with which the Network member is affiliated. In practice, this would require a training of trainers approach, with monitoring of the transfer at institutional level. Given the high mobility of persons in the Network, this aspect is extremely important and has not yet been included in the Knowledge Transfer activities.

## **5.5 Findings Related to the Evaluation Questions**

### ***Establishing and maintaining partnerships, and interagency cooperation***

In all the three countries, the ILO Project promoted close and focused collaboration with the UN and other development partners. The Project had good visibility among other UN agencies involved in social protection, such as UNICEF and WHO. The various activities provided common understanding of the scope of social protection, and provided appropriate definitions which clarified the complementary nature of social security and social assistance within the broad concept of social protection.

The current shift towards One UN activities is most developed in Tanzania and Zanzibar. The ILO staff member responsible for the UN Joint Programme 5 provided periodic updates to the Joint Programme, reflecting the strong link and collaboration with the Project. The UN Joint Programme 5, which previously focused on education and micro-finance, now includes formulation of the social protection policy, action plan and capacity building of the key actors to implement the programme. In Zambia, the National Project Coordinator provided input to the UN Joint Team.

The current shift towards One UN activities is most developed in Tanzania and Zanzibar. The ILO staff member responsible for the UN Joint Programme 5 provided periodic updates to the Joint Programme, which previously dealt with education and micro-finance. In Zambia, the National Project Coordinator provided input to the UN Basic Social Services subgroup of the UNDAF and the UN Joint Team on HIV and AIDS.

In Zambia, the Project was launched when UNICEF was already the lead UN agency in social assistance which mainly had to do with cash transfers for defined vulnerable populations. The pilot social cash transfers projects for the elderly in Katete and for very low income households in Kalomo, Kazungula, Monze and Chipata were initially financed by GTZ under their pilot project. When the GTZ Project ended, DFID, Irish Aid and UNICEF took over the responsibility of providing the resources needed for the pilot programmes through the Ministry of Community Development and Social Services. A close relationship had already been developed between cooperating partners (UNICEF, Irish Aid and DFID) and the Ministry of Community Development and Social Services, working through the Social Protection Sector Advisory Group (SP-SAG). The new cooperation structure introduced by the implementation of this Project entailed that the ILO as had to work with the government agencies on social protection, cooperating mainly with the Ministry of Labour and Social Security (but also with the Ministry of Community Development and Social Services). This led to some misunderstanding between the agencies but did not have a negative impact on the activities, outputs and outcomes. As a result of the work undertaken by the Project, the Ministry of Labour and Social Security realized that non-contributory pensions are part of the strategies that could be used in the

extension of social security coverage and have thus taken on the responsibility for all pensions, both contributory and non-contributory. The Ministry has submitted a draft proposal to cooperating partners for the inception phase of the social cash transfer to the elderly (aged 65 years and above), which they intend to take over (Katete Pilot Scheme) and scale up to other districts.

***Link with other policy programmes under the DFID-ILO PFA:***

Social protection is well covered in the Decent Work Country Programmes (DWCP) in Zambia. The Labour migration component of the Project was particularly relevant for Tanzania Mainland and Zanzibar. Each has contributory pension schemes, and the SPER report raised questions regarding the retention of entitlement of workers who shifted between Zanzibar and Tanzania Mainland. Questions were raised regarding the portability of entitlement, which currently is not possible even between the various schemes in Tanzania Mainland. Portability and retention of entitlement of members working in the two countries was noted an area for further technical support by the ILO. Resolution of the issues in social security of migrant workers would add significant value to the two components of the PFA.

***Knowledge Sharing***

Knowledge sharing within the ILO Field Offices was an important by-product of the Project, particularly as there was no social security expertise in the ILO Offices in Tanzania and Zambia before the Project. The closest ties were with the DWCP and IPEC (dealing with the eradication of child labour), both of which have social security as integral components. As noted in discussions with the ILO Office director in Zambia and the relevant programme officers in Tanzania and Zambia, the presence of the Project, participation in the major activities (such as launching of the SPERs) as well as on-going sharing of information through the CTA and National Project Coordinators gave these programmes a far better understanding of the principles and objectives of social protection, as well as appreciation of the mechanisms and structures involved. These programmes were also exposed to the ILO Conventions on Social Security and the implications of ratification by the governments.

***Tripartism***

The Steering Committees in the three countries included representatives from government, employers and workers associations. The meetings were chaired by the Permanent Secretaries of the Ministries of Labour, and these ministries took the lead in the Steering Committees. However, representation and active participation of other key ministries involved in social welfare and poverty reduction were assured. While the representation was balanced in terms of tripartism, there were several factors which could have possibly improved the outcomes. The inclusion of civil society would have been beneficial as each country has associations currently involved in providing non-contributory social protection. On the other hand, the Employers and Workers Associations in Tanzania Mainland and Zanzibar reduced participation when they felt that the SPER was too technical and their involvement was not needed. This did not happen in Zambia, where the individuals involved changed but involvement was continued.

### ***Gender Mainstreaming***

Women were prominent in designing and conducting the Project, with the positions of Project Manager in ILO Geneva and the second CTA in the field held by women. Women were well represented in the Steering Committees and as two of the current chairpersons, the Permanent Secretaries of the Ministries of Labour in Tanzania Mainland and Zambia, are women. However, the number of women representing social security schemes, employers and workers organizations was small. In the SPER, data were disaggregated by sex where relevant, and the gender impact was included in the analyses of data.

### ***Sustainability***

The ILO Project lays the foundation towards self-sufficiency and financial stability in the provision of the priority social protection benefits. With all due reservations about the completeness of data acquired, the SPER and SB, as well as the identification of fiscal space, are transparent instruments which enable review of possible short-term and long-term funding options. The Knowledge Transfer should provide the analytical tools to continue a review of priorities, in terms of social protection benefits and target populations, and work towards financial sustainability with decreasing donor support to the programmes. The continuation of Knowledge Transfer activities planned before the end of the Project will contribute towards sustainability of the outcomes. However, it should be pointed out that updating of data and continued use of the models developed will require additional technical support, and intensified capacity building in the relevant institutions. The ILO could well provide these inputs if the resources were guaranteed.

Another aspect of sustainability is the likelihood of the project to have longer-term development impact. The identification of fiscal space in the social budgets of the countries was the first and critical step in showing the stakeholders the cost of the minimum package social protection benefits. The Knowledge Transfer activities have sharpened attention to the potential sources of funding, with possible short-term long-term support of between one half (Zambia) and two-thirds (Tanzania Mainland) coming from donors, while national resources are identified to cover the total cost of the benefits in the long-term. The discussion of possible funding and the weaning away from donor support can be considered an important outcome of the Project.

### ***Effectiveness and Efficiency in the use of Project Resources***

The funding level of the Project was considered sufficient for the entire Project cycle. However, the initial allocation for only one year led to delays in implementation. Some activities planned for the first stages had to be delayed as the required funds were not available at the time of commitment to payments. When this factor is considered along with ILO requirements linked to in-house changes in programme budgets, further delays were sometimes incurred. While there are still activities planned before the end of the year, there are likely to be unspent funds remaining at the end of the Project in December 2009.

## **6. CONCLUSIONS**

This section will attempt to cover general conclusions as well as conclusions related to the different Project stages and evaluation components.

### ***General conclusions:***

- The Project effectively brought broad knowledge and expertise on social protection into the countries and broadened the understanding among the cooperating partners of contributory and non-contributory social protection systems.
- The Project demonstrated the ability of a set of activities, involving national stakeholders in the collection and analysis of relevant information, to debate the potential impact of a minimum set of social security protection benefits, and take the results to policy development.
- The Project changed the concept that work on non-contributory social protection policy development is primarily the domain of donors, while work on contributory social security is a national government concern.
- Attention was given to the national financial and administrative obligations involved in achieving universal coverage, rather than scaling up small pilot schemes through donor contributions.
- The Project shifted thinking from addressing the needs of specific vulnerable groups or populations to considering the social protection needs of all, with universality as the goal even for the minimum benefits. Reporting in the media in Tanzania Mainland and Zambia brought these concepts to the general public.
- The Project helped the leaders and decision-makers of contributory social security schemes to talk to each other, compare their achievements and challenges, and generated an environment in which the need to improve was clearly recognized.
- The focus on universality brought attention to the needs of the informal economy and to the issues of labour force participation in an environment where old age without work is a rare privilege.
- The Project established the mechanism to acquire the appropriate data for decision-makers, which would then serve as the building blocks for development of the social protection floor. The needs for regular and reliable information for decision-making as well as for actuarial valuations were recognized by the major stakeholders, some of whom have since made efforts to improve their own information systems.

### ***Conclusions related to the Project Stages:***

By the time of the evaluation, the project had effectively delivered the main outputs, in the form of published reports on the Social Protection Expenditure Reviews and Social Budgets for the two of the countries covered, with publication in process for the third country. The Project partners were given opportunities to consider the findings in the Reports, comment and discuss policy options, all of which contributed to ownership of the Project outputs. These high quality documents, based on information provided by the stakeholders, had a significant impact on policy development in all three countries. More importantly, the reports and tools used provided evidence on the affordability of a minimum set of social protection benefits for low income countries. Through production of the SPER, the ILO Project to date had identified and strengthened internal capacity to develop the information base and expertise in use of this base to identify fiscal space.



Furthermore, the Knowledge Transfer to the Network of national social security experts the last stage of the project will enable the countries to carry on the work, amending policies as demographic and economic factors change. This form of capacity building, which needs to be continued, created both better understanding of social protection and motivation to develop and implement national policies.

### ***National Social Security Action Plans***

The stated policy of the Social Security Department is that technical cooperation projects that projects should aim to produce National Social Security Action Plans. While the three countries are now committed to put in place the organizational structures to develop their priorities for both contributory and non-contributory social protection provision, efforts should be made to achieve this output through the Project. There is a risk of losing the momentum if responsibility for the Action Plans is not determined and if the stakeholders lose their involvement.

### ***Drawbacks in the Project Activities***

Some drawbacks in the accomplishment of the Project need to be noted. The Project is a part of the Global Campaign for Social Security and Coverage for All as a means to reducing poverty in Africa. The majority of the stakeholders involved in the Project activities, mainly through their membership in the tripartite Steering Committees, are those involved in the conventional contributory social security mechanisms, and only covering the formal sector in the three countries. Yet the outputs in the form of the SPER and SB focused on a minimum package of social protection, including universal pension or income security in old-age, social assistance for the neediest families and a child allowance for the first child for a defined period. Although the focus on the fiscal space for these three minimum package benefits was seen as an essential broadening of the social protection concept, some expectations of many of the stakeholders were not met. These expectations included having more support to resolving the serious problems in the contributory schemes during the Project cycle.

The failure to deal with the issues related to the contributory social security schemes within the context of the Project can be understood. The Project funding was provided as a result of the donor's interest in the Global Campaign for Social Security and Coverage for All as a means of reducing poverty in Africa. The amount of work involved in achieving the outputs in the three countries was enormous. It can be hypothesized that dealing the problems in the contributory schemes would have shifted the focus away from the non-contributory or social assistance schemes, which are seen as the more immediate means of alleviating poverty. Some stakeholders pointed out that dealing with some of the existing problems would require legislative reform which was not a part of the Project. The stakeholders accepted the limitations of the SPER and SB conclusions and expressed the view that additional ILO technical assistance would be required.

It was considered regrettable that more attention was not paid to access to health care in the conclusions of the SPER and SB, both through contributory and non-contributory mechanisms. In the interim, various efforts are being made in the countries to extend coverage, but these seem to be fragmented and limited to the formal labour sector or middle-income informal economy populations. In the very near future, micro finance

projects are expected to start in the countries, and it would be unfortunate if access to health care is promoted in a fragmented way through small micro-health insurance schemes linked to this initiative.

### ***Conclusions related to project replication***

The scope of the data and the analytical tools should facilitate the application of such work in other countries and thereby assist the ILO in carrying out its mandate to extend social protection. However, consultation with the countries and basic mapping of social protection schemes and initiatives is considered a basic pre-requisite for optimal project design.

## **7. LESSONS LEARNED AND RECOMMENDATIONS**

### **7.1 Lessons learned**

This section lists the lessons without any order of priority and follows the sequence of the Evaluation Report, with short headings for each item.

**Design:** The design and scope of the project could have benefited from initial consultation with the countries, and a basic mapping of the existing interventions in the field covered; in this case social protection, noting the national stakeholders and cooperating partners. Current and future relationships between the donor's central and in country operations also should have been clarified.

**Added value:** The effort in additional activities was worthwhile: Through the process of producing the SPERs, a useful and replicable tool was developed to measure the provision of social protection by international and national NGOs.

**Funding and time-frame:** Funding for the entire period of the projects needed to be assured and flowing from the start, particularly when the placement of experts in the project country was required. Even when such a project is linked to other projects by the same partnership arrangement, flexibility in the duration would have been beneficial. The shortening of the project cycle by one year (one quarter of the original time planned) did not enable full achievements of all the stages.

**Project management:** In a project where technical capacity is concentrated at central level, it was crucial to have very clear definition of responsibilities at each level, with enough flexibility to change these responsibilities over the duration of a project, particularly when there are changes in the technical capacity in the field. If field technical capacity was perceived to be weak, it should have been strengthened rather than shifting to management from the central level, in order to assure continued technical support to the stakeholders and to avoid frustration of the field project staff.

**Stakeholder structures in the project:** While the tripartite nature of such structures must be assured, the inclusions of stakeholders previously involved in the project area, and including civil society as well as additional cooperating partners, would have been beneficial.

**Transfer of knowledge on the project area:** The repeated presentation of the project scope and objectives and presentations on the basic subject matter did not guarantee full understanding by all the stakeholders, particularly those at high levels who are subject to changes in their positions. Sensitizing should have been carried out as needed throughout the project, and the field staff should have had the capacity to carry out this function.

**Creating ownership and motivation:** Real understanding and ownership of the Project outputs and outcomes needed more attention to existing as well as well as new concepts. Closer attention to the comments of the national recipients of products, such as the SPER and SB could have led to even better acceptance of the outcomes and commitment to further work by all the stakeholders.

**Technical level of the project outputs:** The activities and outputs needed to be geared to the different levels of quantitative analytic capacity of the stakeholders in order to maintain interest and motivation.

**Future work:** Apart from the work planned for the last 2 months of the Project cycle, there are still tasks remaining to be done to meet the short-term expectations of the stakeholders. The ILO and the donor will need to find ways to continue the work, possibly through a no-cost extension of the project until a longer-term solution to the provision of ILO expertise in social protection in the countries can be assured.

## **7.2 Recommendations**

This section covers recommendations for the immediate future, to enable full completion of the Project and bridging with continued ILO support, and then long term recommendations on the role of ILO beyond the Project cycle. **It is stressed that failure to carry out the main recommendations could diminish the positive impact of the Project.**

### **7.2.1 Recommendations on the immediate future:**

The ILO and the donor should discuss how remaining funds and other resources could be used to support activities as a continuation of the Project. An extension of the project should facilitate ILO activities to support:

- The process of a National Social Security Action Plan in the three countries, to be started by the final Steering Committee meeting, with expanded participation to include other relevant stakeholders and cooperating partners.
- Establishment of a Task Force from the Steering Committee to carry on the work, with consideration and integration of current national policy processes.
- Intensification of the Knowledge Transfer to the Network of Social Protection experts
- Determination of Monitoring and Evaluation measures to be in place before the end of the Project.

While national ownership is cardinal, the support to reaching a policy document would stimulate progress and help to assure the broad range of stakeholders involved so far. In Zambia, a policy document has been prepared and submitted to Cabinet but it would be beneficial to review the document and see whether new information and new thinking would give added value. The ILO could assist in identifying a pool of local specialists in

the country to work with the policy people and carry out the appropriate advocacy and sensitizing activities to speed up the introduction and approval of the policies and the drafting of legislation. The establishment of small Task Force would ensure the responsibility for the next steps, which may involve other partners besides the Ministry of Labour and Social Security. In Zanzibar, the support to an initial document is expected and considered crucial by MKUZA.

### **7.2.2 Recommendations on the future role of ILO**

The ILO, through SEC/SOC in Geneva, the Regional Office for Africa and the ILO Area Offices should seek ways to continue appropriate technical support, through Regular Budget and other sources, to support activities, as identified below and following a review of country priorities. Based on the interviews with stakeholders, there is clearly a need to have a continued social protection presence in the ILO in the respective countries. The initial scope of work should be determined with stakeholder involvement and first address some of the issues not covered by the Project. For example, questions were raised regarding possible merging of the contributory schemes in Tanzania Mainland and Zambia. The ILO Project did indeed raise this issue but no further steps were taken related to the Project activities. It would appear that appreciation for the need to reach broader pooling, portability and reduced administrative costs was generated by the Project. In fact, several active members of the Steering Committees strongly suggested that a next phase of the project provide advice on increasing efficiency of administrative structures, given the existing plurality.

Based on the discussions with the stakeholders, the following could be major areas in which ILO support will be required through a permanent presence in Tanzania Mainland, also covering Zanzibar, and in Zambia. The social protection expert selected would not necessarily be able to provide technical support in all the areas required, but would have the knowledge and resources to identify and recruit the necessary expertise, in coordination with ILO SEC/SOC in Geneva.

The following are recommended as priority areas for future ILO support:

- Support to the areas raised after the SPER but not covered through the Project. This pertains mainly to contributory social security schemes and includes portability within and between neighbouring countries and administrative streamlining.
- Support to reviewing the relevant ILO Conventions, specifically ILO Conventions 102, 130 and 183 and in examining the implications towards ratification, towards reaching appropriate design in benefit schemes and ensuring that social protection is recognized as a right and codified into national legislation.
- Capacity building in the broader aspects of social protection, particularly towards reaching financial sustainability of the new programmes. Capacity building in social protection will need to go beyond the current Quantitative Training for Africa.
- Capacity building beyond the development of strategy documents and the appropriate legislative tools. Areas such as the organization of social protection for the various sectors and benefits needs to be developed, to deal with a range of issues including beneficiaries/membership and fund management, decentralization, and monitoring and

evaluation. This pertains to contributory schemes as well as social assistance measures included in the minimum package.

- Sensitizing of all stakeholders and cooperating partners beyond the tripartite partners to assure understanding of the social protection concepts in future development.
- Capacity building to ensure dialogue and linkage with other government and non-government agencies with mandates for the provision of social protection and involving the tripartite partners.
- Support to the development of health care and maternity protection in both contributory schemes and social assistance as an integral part of social protection.
- Provision of a platform for continued linking of the social protection efforts with the Country Decent Work Programmes, including the issues of concessions related to social security benefits given to employers in Zambia, and the establishment of links with other ILO and UN agency work, including inputs to UNDAF.
- In Zambia, support to the drafting of the 6<sup>th</sup> National Development Plan's Chapter on Social Protection. Technical support should focus on the inclusion of contributory and non-contributory social protection in the 6<sup>th</sup> National Development Plan.
- In Tanzania, support to the new Regulatory Authority for the mandatory contributory schemes and the National Social Protection Framework.

## **Appendix 1 – Terms of Reference for Evaluation**

### **Background**

The ILO project “Global Campaign on Social Security for All as a Means to combat poverty in Africa is part of the DFID/ILO Partnership Framework Arrangement (PFA) 2006-09. The work on social protection was included in the partnership agreement in order to test in country the research based modeling findings also funded by DFID that a minimum set of social protection benefits was affordable for low income countries.

The project is made up of three separate parts for financial purpose but which are inter-linked at the management, technical and policy level. This was done to support the ILO policy of decentralizing technical cooperation to the field. Thus the project is based in Tanzania, Zambia and the ILO headquarters in Geneva. The Social Security Department in Geneva has been responsible for all policy and technical backstopping.

It was agreed with DFID policy in London at the end of the first year of the project that Asia would be dropped from the project document in order to concentrate in more detail on the African countries. A very slightly amended log frame (at Annex A) was agreed after the DFID review in order to reflect the need for the project to be clearly outcome orientated.

### **Project aims, strategy, log frame and links to the programme and budget**

#### **The project aims**

The project aims at furthering the policy agenda of the *ILO Global Campaign on Social Security and Coverage for All* by exploring the feasibility of the provision of a basic set of social security benefits in two countries – The Republic of Tanzania including Zanzibar and Zambia. This is to be achieved by undertaking simultaneously; detailed analytical work, engaging in tripartite social dialogue as a basis to broader social dialogue to ensure national ownership of the outputs and by being part of the existing national process of policy development linked to national plans (replaced poverty reduction strategies), UNDAF’s and DWCP’s. The aim being to ensure national policy coherence and the identification of national policy space with particular reference to fiscal space.

#### **The project strategy**

The project strategy is made up of four stages. The *first stage* of the strategy is to establish a baseline by conducting a diagnosis of national needs and opportunities by, if possible, building on existing research. The baseline consists of a Social Protection Expenditure and Performance Review (SPER).

The objective of a SPER is to identify all existing major social transfer programmes in order to identify gaps in social protection provision as well as efficiency gains in the existing system and to avoid duplication and incompatibilities with any new policies. The diagnosis stage forms the basis of a subsequent assessment of the impact of extending social security coverage on poverty reduction as well as social and economic development.

The *second stage* of the strategy is to develop a Social Budget (SB) as a national medium and long-term budgeting tool to allow the assessment of current and future costs of

existing and potential new social protection schemes specific to Tanzania Mainland, Zanzibar and Zambia using a macro-simulation model.

A Social Budget model can simulate and project costs and effects of new or modified social transfers. The establishment of a national Social Budget requires an assessment of the financial status of all of the social protection provisions, including social security schemes.

**The *third stage*** involves identifying the reform priorities and packages suggested by national counterparts and testing them in an iterative process of fiscal, financial, economic, administrative and political feasibility analyses. This will also include the testing of alternative resource strategies. The social budgeting technique is being used to establish whether the resources identified can be better used to achieve a higher return in terms of poverty alleviation as measured by the overall poverty headcount index or closure of the aggregate national poverty gap.

**A *fourth and final stage*** is to further develop the models and to undertake the necessary task of transferring the models to the countries to enable them to maintain the data and conduct ongoing modelling of variations to their social protection programmes. Apart from the technical issues of enhancing the models, training of suitable staff in relevant Ministries will also be required. A natural progression would aim to provide a user interface to the model to allow national planners to undertake *what if* variations to the programs by way of variations in benefit, demographic selections and target groups etc.

The revised log frame is attached at Annex A

### **Links to Programme and Budget**

#### ***ILO Decent work programme***

The ILO Programme and Budget for the Biennium 2008-09 identifies two Intermediate Outcomes for social security: “Increase member State capacity to develop policies focused on improving social security systems”, and “Improve member State capacity to manage social security schemes and to implement policies focused on improving social security schemes”.

The overall strategic framework for 2008-09 is:

Standards	Employment	Protection	Dialogue
<input type="checkbox"/> 1a. Fundamental principles and rights at work realized.	<input type="checkbox"/> 2a. Coherent policies support economic growth, employment generation and poverty reduction.	<input checked="" type="checkbox"/> 3a. More people have access to better-managed social security benefits	<input type="checkbox"/> 4a. Employers and Workers have strong and representative organizations.
<input type="checkbox"/> 1b. Targeted action progressively eradicates child labour with a particular focus on the worst forms of child labour.	<input type="checkbox"/> 2b. Workers, employers and society benefit from the wider availability of relevant and effective skills development and employment services.	<input checked="" type="checkbox"/> 3b. Safety and health, working conditions in workplace are improved.	<input type="checkbox"/> 4b. Social Partners influence economic, social and governance policies.
<input type="checkbox"/> 1c. International Labour Standards are broadly ratified and significant progress is made in their application.	<input type="checkbox"/> 2c. Sustainable enterprises generate productive jobs.	<input type="checkbox"/> 3c. Labour migration is managed to further protection and decent employment of migrant workers.	<input type="checkbox"/> 4c. Tripartite dialogue occurs widely in policy making, labour law reforms and implementation.
		<input type="checkbox"/> 3d. Workplace policies respond to needs for HIV/AIDS prevention, treatment, care and support.	<input type="checkbox"/> 4d. Sectoral social dialogue promotes the improvement of labour and social conditions in specific economic conditions.

In each ILO member country the government and ILO undertake to develop and implement a Decent Work Country Program (DWCP) which seeks to promote opportunities for women and men to obtain decent and productive work in conditions of freedom, equity, security and human dignity.

The situation in mainland Tanzania is that the ILO DWCP identifies social protection as a secondary priority, however, the MKUKUTA clusters include social protection elements in two of the three priority clusters which are: i) Growth and Reduction of Income Poverty, ii) Improvement of Quality of Life and Social Well-Being and iii) Governance and Accountability. The United Nations Development Assistance Framework (UNDAF) for Tanzania has three priorities, one of which focuses on social protection i.e. *by 2010, increased access to quality basic social services for all by focusing on the poor and most vulnerable.*

In Zanzibar the ILO DWCP and UNDAF include Zanzibar as part of their Tanzania plans. The *Zanzibar Strategy for Growth and Reduction of Poverty* (MKUZA) is similar in organisation to the MKUKUTA and is based on three clusters- (i) growth and reduction of income poverty; (ii) Social services and well being; and (iii) good governance and national



unity. Cluster 2 has a specific task to *strengthen and expand social security and safety nets for the disadvantaged and most vulnerable groups*.

In Zambia the ILO DWCP also has social protection as a secondary priority and the ILO/DFID social protection project, ILO work and employment activities and the ILO/IPEC project support the national social protection strategy outlined in the 5<sup>th</sup> National development Plan previously described in section 1.6. The Lusaka Office has been structured around the three pillars of the DWCP; Employment creation, Child Labour and HIV and AIDS. Social Protection is identified as a cross cutting issue falling under the Job Quality Pillar which is coordinated by the Project National Officer.

## **Evaluation**

The project was designed to produce key outputs at each of the four stages as set out above and in the project document (including the log frame) but also to incorporate in all of the stages the following cross cutting issues :-

- Establishing and maintaining partnerships, and interagency cooperation
- Knowledge Sharing
- Tripartism
- Gender Mainstreaming
- Sustainability

which have been reported on with the more technical outputs in the two annual progress reports. Therefore the independent evaluation must look at both of these aspects of the work Regarding efficiencies, the evaluation should report on progress being made on tangible results from ILO contributions, noting risks and constraints to delivery. Key criteria are: 1) adequacy and cost-effective use of resources, 2) delivery of outputs, 3) use of outputs by partners, 4) notable milestones met linked to outcome indicators, and 5) emerging risks and opportunities.

The main objectives of the mid- term outcome evaluation are the following:

- Review the effectiveness of the interventions and main achievements in relation to the extension of social protection in each of the countries;
- Review and assess the partnership with government bodies, social partners and international organizations in project implementation with emphasis on integration into country National Development Plan implementation structures and UNCT delivering as One. Consider any impact on existing DWCP's;
- Review the relevancy and comparative advantage of the ILO within the broader UN and donor-supported initiatives on social protection;
- Review the sustainability of the achievements undertaken by the ILO;
- Identify constraints faced by the project in producing the requires outputs in the project time frame i.e. data limitations, changes at the ministerial and senior official level in country as well as technical capacity
- Identify lessons to be learnt for future work in this area in relation to project design and management structures ;
- Identifying possible future country needs for ongoing ILO support in the area of social protection.

## **Expected outputs**

The consultant is expected to produce an Evaluation Report that highlights the findings, recommendations, and lessons learnt. This report should follow the ILO Evaluation Report Template and include all sections recommended therein (see evaluation guidance).

## **Products expected from the evaluation**

The key product expected from this evaluation is a comprehensive analytical report and an executive summary using the ILO template format. The report should include, but is not limited to, the following components:

- Executive summary;
- Introduction;
- Description of the evaluation methodology;
- Analysis of the situation with regard to outcomes, outputs, resources, partnerships, management and working methods;
- Key findings;
- Conclusions and recommendations for any future work;
- Lessons learned.
- 

## **Audience**

The evaluation is intended mainly for DFID the project donors; the ILO's national constituents and cooperating partners which should include UN partners. It will also inform ILO social security specialists in headquarters and in the field of management approaches to technical cooperation that work and what transferable messages have emerged.

## **C. Methodology**

The ILO approach to all evaluation is to encourage participation of key stakeholders in the process. At country level, this involves designing an evaluation process that engages our national constituents, other partners and the project team in dialogue.

Based on the ILO's evaluation guidance documents, and in consultation with ILO Geneva, Tanzania and Zambia, the evaluator should develop a suitable methodology for conducting this outcome evaluation. The evaluator is expected to apply the following approaches for data collection and analysis:

4. Desk review of relevant documents
5. Discussions with ILO Geneva, Tanzania and Zambia senior management and technical staff based in Geneva and Africa;
6. Interviews of ILO constituents, partners and other stakeholders;
7. Consultation meetings and interviews:
  - Interviews with relevant staff;
  - Following a mission to Geneva, Tanzania Mainland, Zambia and Zanzibar the evaluator will prepare a report based on the evaluation objectives.

#### **D. Evaluation Team**

An independent international consultant will be appointed under the overall supervision of the ILO evaluation officer for Africa and under the direct coordination of the evaluation manager for the Social Security Department.

##### Qualification requirements for the international consultant:

- Higher education (a degree) in economics or any other social sciences subject related to social protection;
- Extensive experience in conducting evaluations, a strong working knowledge of the ILO and its tripartite constituents;
- Extensive knowledge of result-based management evaluation, policies, procedures, as well as participatory monitoring and evaluation methodologies and approaches ;
- Minimum 7-10 years professional expertise in international development co-operation/ social protection, in programme evaluation, impact assessment and strategic recommendations for continued support/development of programming/strategies including strong reporting skills. It would be useful to have some experience/knowledge of contributory and non-contributory social protection;
- Good professional knowledge of the African region;
- Experience in working with National Development Plans, UNDAF and DWCP's;
- Demonstrated analytical, communication and report writing skills;
- Excellent interviewing, public speaking at high levels;
- Teamwork capacity to work with the target group representatives;
- Fluency in written and spoken English.

The consultant will be responsible for the quality and timely submission of the final evaluation report to ILO and will carry out following tasks:

- Undertake an evaluation mission;
- Design the detailed evaluation scope and methodology and approach;
- Conduct the outcome evaluation in accordance with the proposed objective and scope of the evaluation;
- Draft and present a draft evaluation report;
- Finalize the evaluation report in English and submit it to ILO.

##### **Timeline and schedule (tentative)**

The work will commence in August/September 2009. The duration of the assignment is 22 working days, including writing of the report. A tentative time table follows:-

<b>ACTIVITY</b>	<b>TIMEFRAME</b>	<b>PLACE</b>	<b>RESPONSIBLE PERSON</b>
Desk review, evaluation design, methodology and work plan	3 days	Home country	Consultant and Sec/Soc Evaluation Manager
Initial briefing in Geneva	2 days	Geneva	As above
Mission to Tanzania including Zanzibar	5 days	Dar and Zanzibar	As Above
Mission to Zambia	5 days	Lusaka	As above
Prepare draft evaluation report	3 days	Home country	Consultant
Present draft report in Geneva	2 days	Geneva	Consultant
Finalize and submit report	2 days	Home country	Consultant and SEC/SOC Evaluation Manager

Guidance on evaluation:

[Concept and policies for project evaluations](#) (pdf, 301 KB)

[Planning and managing project evaluations](#) (pdf, 313 KB)

[Preparing the summary of project evaluation reports](#) (pdf, 139 KB)

[Quality checklist for evaluation Terms of Reference](#) - (doc, 89 KB)

[Quality checklist for evaluation reports](#) - (doc, 127 KB) [Checklist for selecting an evaluator](#) - (doc, 82 KB)

[Evaluation summary template](#) - (doc, 134 KB)

[Evaluation Title Page Template](#) - (doc, 35 KB)

Useful links:

- [www.ilo.pk](http://www.ilo.pk)

Social Security documents to be added in PDF

## **Appendix 2 - List of persons and organizations Interviewed**

Date	Institution	Responsible
<b>ILO Geneva: 22-24 September, 2009</b>		
	Department of Social Security	Michael Cichon, Director Pauline Barrett-Reid , DFID Project Leader Krysthoff Hagemeyer, Policy Coordinator Tharcisse Nkanagu, Evaluation focal point John Woodall, Pensions Coordinator Florence Bonnet, Statistician Ross Leach, DFID Project Staff
	ILO Evaluation Unit	Carla Henry
	Department of Projects and Development Cooperation (PARDEV)	Giorgia Muresu, Programme Officer
	Budget and Finance	Adnan Chugtai
<b>Tanzania (Mainland): 4-7 October, 2009</b>		
5-7 Oct. 09	ILO Tanzania	Ms Urszula Lonc Project Chief Technical Advisor
	ILO Tanzania	Mr Ansgar Mushi National Coordinator
	ILO Tanzania	Mr Philippe Vanhuynegem, OIC
	ILO Tanzania	Ms Flora Nyambo Minja UN Joint Programme 5 Coordinator
	Ministry of Labour, Employment and Youth Development	Ms Kijakazi Mtengwa, Permanent Secretary Mr David N. Kaali Assistant Labour Commissioner

	Parastatal Pension Fund (PPF)	Mr Michael Mjinja Director of Marketing and Member services.
	Association of Tanzania Employers (ATE)	Mr Mark Mfunguo Training Coordinator
	Trade Union Confederation of Tanzania	Ms Magrath Mandago Training and Members Education Manager Mr Nicholas E. Mgya, Deputy Secretary General
	Institute of Finance Management, Ministry of Finance	Mr Zubeda Chande Department Coordinator, Insurance and Social Protection Social
	Help-Age International	Mr Nicodemus Chipfupa
07/10/2009	DFID - Tanzania	Ms Gertrude Mapunda. Kinhurwa
<b>Zanzibar: 7-9 October</b>		
08/10/09	Steering Committee Meeting	Members of the Project Steering Committee, Zanzibar
09/10/2009	Ministry of Labour	Ms Mwanaidi Mohammed Ali Focal Point for Social Protection
	Zanema	Secretary General
	Zanzibar Trade Union Congress	Secretary General
	Zanzibar Social Security Fund (ZSSF)	Mr Abdul Wakil Hafiz, Managing Director
	Ministry of Women, Children and Labour	Mwanaidi Mohamed Ali, Focal Point for Social Protection

	Ministry of Finance	Dr Hamed R.H. Hikimany, Commissioner National Planning, Sector Development and Poverty Reduction
<b>Zambia: 9 – 19 October, 2009</b>		
	ILO Office, Lusaka	Mr Gerry Finnegan, ILO Representative for Zambia, Malawi and Mozambique  Ms. Johanna Silvander, OIC// DWCP Associate Programme Officer  Mr. Adrian Shikwe, National Project Coordinator  Ms. Birgitte Krogh-Poulsen, CTA IPEC TBP Programme
	Ministry of Community Development and Social Services	Mr. Stanfield Michelo, Chief Social Welfare Officer  Mr. Bestone Mboози, Principal Social Welfare Officer, Department of Social Welfare
	Ministry of Labour and Social Security	Dr Winnie Sithole Mwenda Permanent Secretary  Mr. Anthony Dumingo, Senior Social Security Officer  Mr. Joseph Banda, Social Security Officer
	Zambian Congress of Trade Unions (ZCTU)	Mr Roy Mwaba, Secretary General  Mr. Alfred Mudenda, Deputy Secretary General, Mr. Mutumbi Goma, National trustee and Mr. Luka Makinishi, Director Workers Education

	Zambia Federation of Employers (ZFE)	Mr Chibanda, Executive Director Ms Mwenya, Social Security Programme Manager
	Ministry of Health, Department of Planning	Mr. Mubita Luwabelwa, Deputy Director Planning, Mr Collins Chansa, principal economist responsible for Social Health Insurance
	World Health Organization	Mr Solomon Kagulula Health Economist (in MOH in the first 2 years of the Project)
	Pensions and Insurance Authority (PIA)	Mr. Chris Mapipo, Registrar Mr Martin Libinga, Deputy Registrar-Pensions and Mr Chilombo, Manager Compliance - Pensions
	Association of Pension Fund Managers	Mr. Charles Mpundu, formally Commissioner at Workers Compensation Fund Control Board and in Project Steering Committee)
	Ministry of Labour and Social Security	Mr Trevor Kaunda, Director, Department of Social Security
	Ministry of Energy and Water Development	Ms. Tiza Nkumbula, formerly Acting Director of Social Security Department, MOLSS
	Cabinet Office	Mr Ngosa Chisupa, former Permanent Secretary of MOLSS, and former Chair of the Steering Committee
	UNICEF	Dr Charlotte Harland, Chief, Social Policy
	DFID	Ms Kelley Toole Dr Sonya M.Sultan



		Vulnerability and Food Security Advisers
	Public Service Pensions Fund Board (PSPF)	Mr T.K. Phiri, Chief Executive Dr Richard Mwiinga, Director, Operations
	Local Authority Superannuation Fund (LASF)	Mr Hastings Mwila, Assistant Manager – Contributions and Benefits

### **Appendix 3 - Data Collection instruments**

The interviews were conducted around the following Interview points below. Responses were recorded on a separate sheet for each interview.

#### **INTERVIEW POINTS:**

1. Involvement in the Project: From the beginning..... Later ... .

    Since when.....

    Current involvement:

    Membership in the Steering Committee and/or Network

2. Comments on design, activities

3. Comments on outcomes - achievements

4. Compatibility with national policies

5. Comments on future use of outputs

6. Comments on interest in future activities

7. General Comments

## **Appendix 4 - Publications and documents**

ILO DFID-ILO PFA Project: Global Campaign for Social Security Coverage for All as a means to reducing Poverty in Africa and Asia: Overview of the ILO/DFID Project: Tanzania Mainland, Zanzibar and Zambia, Prepared by Pauline Barrett-Reid and Ross Leach, ILO SEC/SOC, Geneva September 2009

International Labour National Social Policy Dialogue Forum Proceedings, April 2009, Lusaka Zambia.

Tanzania Mainland: Social Protection Expenditure and Performance Review and Social Budget, ILO

Zambia: Social Protection Expenditure and Performance Review and Social Budget, ILO

Zanzibar: Draft Social Protection Expenditure and Performance Review and Social Budget, ILO

ILO DFID-ILO PFA Project: Global Campaign for Social Security Coverage for All as a means to reducing Poverty in Africa and Asia, Reports covering Progress

ILO DFID-ILO PFA Project: Global Campaign for Social Security Coverage for All as a means to reducing Poverty in Africa and Asia, Self-Evaluation Report, covering November 2006 – July 2009

Various Mission reports by the ILO Geneva Project Manager, CTA and National Project Coordinators, to the three countries, to workshops in neighbouring countries, to attend QUATRAN activities and to ILO Geneva.

ILO SEC/SOC, Documents on the mapping of social security provisions by NGOs, government agencies and other civil society organizations in Zanzibar.

ILO Global Campaign for Social Security Coverage for All as a means to reducing Poverty in Africa and Asia: Knowledge Transfer Handouts on Social Policy Design, Analysing the Zambian Income Distribution, Gradual and Sequences approach to the extension of Social Protection in Zambia, Preliminary analysis of the scale and scope of a Universal Social Pension in Zambia,

Aguzzoni, Luca, The concept of fiscal space and its applicability in the case of Social Protection Policy development in Zambia

Social Protection Floor –an update on ILO and international agenda, Kryszthof Hagemeyer presented October, 2009

ILO Geneva: Decent Work and Millennium Development Goal 5: ILO Strategies for Addressing the Broader Social and Economic Determinants of Maternal Health, 2008

Zambia: Decent Work Country Programme, 2007-2011, ILO Lusaka, December 2007