ANNEXURE A: LESSONS LEARNED

ILO Lessons Learned Template
Lesson 1

Project Title: Job Creation through SME Development – *A Knowledge Sharing Project*
Project TC/SYMBOL: RAF/14/06/FLA
Name of Evaluator: Capacitate (Jason Bygate and Trish Heimann)
Date: November 2016 – January 2017

Brief description of lesson learned (link to specific action or task)	A project of this nature requires a full time staff member solely focused on the coordination, implementation and monitoring of project activities
Context and any related preconditions	The absence of a full-time resource meant that the project did not have the attention that it required, at times, to support the driving of activities to achieve the broader project objectives. In line with this learning, the ILO should re-consider committing to the delivery of a small project such as the KS4SME project only if insufficient project resources are available to adequately manage all aspects of the project.
Targeted users / Beneficiaries	Direct user of this lesson: ILO Beneficiaries: all stakeholders related to project
Challenges /negative lessons - Causal factors	The absence of a full time resource person resulted in • Staff members from the ILO having to spend extra time on project activities (additional cost that was not charged to the project) • Less time spent on communication (with stakeholders and donor) • Strain on consolidating data into an M&E system for measuring progress
Success / Positive Issues - Causal factors	This lesson demonstrated the commitment from the ILO in delivering the project by drawing on in-house expertise and no cost to the project. This lesson also promoted innovation in terms of leveraging results on ongoing activities lead by other projects
ILO Administrative Issues (staff, resources, design, implementation)	This lesson learned should be incorporated into future project design and implementation with deliberate allocation of resources for a full time project manager. This lesson learned impacts on budget, design, implementation, coordination and monitoring.

ILO Lessons Learned Template
Lesson 2

Project Title: Job Creation through SME Development – A Knowledge Sharing Project
Project TC/SYMBOL: RAF/14/06/FLA
Name of Evaluator: Capacitate (Jason Bygate and Trish Heimann)
Date: November 2016 – January 2017

Brief description of lesson learned (link to specific action or task)	Consistent communication (outside of formal arrangements) is necessary in project implementation
Context and any related preconditions	Although the ILO met the annual reporting requirements for the project, communication to both the Donor and to stakeholders considered as key partners to the KS4SME project, was not optimal. The learning is that it is not sufficient to meet basic reporting requirements for projects such as these – it is about key informal communications, reporting and ongoing dialogue so that stakeholders have enough information to know about the project objectives, about planned activities and about achievements and difficulties of the project. A communication plan that includes a semi-annual meeting requirement, would benefit small projects like the KS4SME project.
Targeted users / Beneficiaries	**Direct user of the lesson: ILO** **Beneficiaries: all stakeholders and the donor**
Challenges /negative lessons - Causal factors	The negative lesson is that stakeholders feel they were not optimally involved in strategic decisions related the project. The donor too felt that they could have been made more aware of any challenges faced or key activities.
Success / Positive Issues - Causal factors	Learning this lesson will enable the Project team to prioritize communication and for future similar projects to include a deliberate strategy for communications.
ILO Administrative Issues (staff, resources, design, implementation)	Prioritize communication (no cost) through dedicated time (on a monthly or quarterly basis) to update all stakeholders and the donor. For future projects a communication strategy could be outlined or described in the project document.

ILO Emerging Good Practice Template

Project Title: Job Creation through SME Development – *A Knowledge Sharing Project*
Project TC/SYMBOL: RAF/14/06/FLA
Name of Evaluator: Capacitate (Jason Bygate and Trish Heimann)
Date: November 2016 – January 2017

The following emerging good practice has been identified during the course of the evaluation.

Further text can be found in the full evaluation report.

Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)	In project implementation, focus was placed on relevance by being flexible, maintaining fluidity and by following a participative approach with stakeholders whilst ensuring responsiveness to their needs.
Relevant conditions and Context: limitations or advice in terms of applicability and replicability	An emerging good practice that optimised the value of activities and investments made was the fluidity of the project to adapt the project theme to meet the needs of targeted stakeholders and to incorporate new aspects during implementation. By being flexible and fluid, the project was able to contribute and leverage off existing initiatives as well as maintain relevance by being responsive to the needs/demands of stakeholders. In a complex and constantly changing environment it is critical that projects are able to adapt. The KS4SME project brought stakeholders together to participate and collaborate on project activities that are aligned to the country's priorities, responsive to the needs of the region, linked to ILO's and the project Donor's strategies and aligned to the mandates of ILO constituency partners.
Establish a clear cause-effect relationship	The effect of applying a flexible and fluid project implementation approach and following a participative approach with stakeholders whilst ensuring responsiveness to their needs, is that the project maintained its relevance. For example, the project was re-designed to include two other SADC countries after implementation had started. In terms of focus areas, formalisation of the informal SME in South Africa was already identified by organised labour, organised business, informal sector operators and the government as priorities to focus on. Linking the project to sector priorities, other projects, other countries and the strategic objectives of ILO constituents allowed the contribution to be greater and increased benefits to beneficiaries.

Indicate measurable impact and targeted beneficiaries	The measurable impact is in the commitment from stakeholders during the activities and after (whereby stakeholders refer to the content and event in different fora). This approach encouraged greater ownership.
Potential for replication and by whom	This could be replicated by all project managers in the ILO and any existing project steering committees.

Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)	• South Africa Decent Work Country Programme
	• Outcome 4: Sustainable and competitive enterprises (including cooperatives) create productive and decent jobs especially among women, youth and persons with disabilities
	  o Enabling policy and regulatory reforms exist for sustainable enterprises and a conducive environment for sustainable enterprises
	  o Programmes that foster the adoption of responsible and sustainable enterprise level practices are implemented
	  o Government and the social partners undertake initiatives in policy areas that facilitate transition of informal activities to formality
	• ILO's Strategic Policy Framework:
	• Outcome 4: Promoting Sustainable Enterprises

Other documents or relevant comments	None

ILO Emerging Good Practice Template

Project Title: Job Creation through SME Development – A Knowledge Sharing Project
Project TC/SYMBOL: RAF/14/06/FLA
Name of Evaluator: Capacitate (Jason Bygate and Trish Heimann)
Date: November 2016 – January 2017

The following emerging good practice has been identified during the course of the evaluation. Further text can be found in the full evaluation report.

Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)	KS4SME project activities applied two good methodologies that were found to produce greater benefits to beneficiaries

Relevant conditions and Context: limitations or advice in terms of applicability and replicability	Specific methodologies for implementing activities that were highlighted as highly effective, were the following: • The EESE methodology that followed three key phases including (i) research; (ii) validation of findings; and (iii) development of a policy brief, was a strength of the KS4SME project that is considered an emerging good practice; and • The ILO KS4SME project team should document the methodology applied for some learning events that created a participative approach where learning was maximised and where activities were hosted that led to participants applying learnings (such as developing action plans for implementation). The toolkits used can be replicated.
Establish a clear cause-effect relationship	The comprehensive and participatory methodology applied resulted in ownership and sustainable action from BUSA through the development of their own internal action plan
Indicate measurable impact and targeted beneficiaries	Commitment of resources and time on an action plan which provides solutions to the challenges and gaps identified in the EESE Assessment
Potential for replication and by whom	By project managers and in project designers.

Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)	• South Africa Decent Work Country Programme,
	• Outcome 4: Sustainable and competitive enterprises (including cooperatives) create productive and decent jobs especially among women, youth and persons with disabilities
	   o Enabling policy and regulatory reforms exist for sustainable enterprises and a conducive environment for sustainable enterprises
	   o Programmes that foster the adoption of responsible and sustainable enterprise level practices are implemented
	   o Government and the social partners undertake initiatives in policy areas that facilitate transition of informal activities to formality
	• ILO's Strategic Policy Framework:
	• Outcome 4: Promoting Sustainable Enterprises

Other documents or relevant comments	None

Terms of Reference / Request for Proposals

Midterm Evaluation
Job creation through SME development – A knowledge sharing project (RAF/14/06/FLA)

October 2016

Project code	RAF/14/06/FLA
IRIS	105039
Award no	501629
Project duration	1 January 2015 to 31 December 2017
Geographical coverage	South Africa
Donor	Government of Flanders
Budget	€ 600'000

1. Introduction & rationale for the Midterm Review

The Job Creation through SME Development – a Knowledge Sharing Project (henceforth referred to as KS4SME) is a 36 months technical cooperation project funded by the Government of Flanders with an overall allocation of €600'000.

As per the agreement with the donor and as per ILO's evaluation policy, the project is subject to both a mid-term and final evaluation – one of which must be independent. This mid-term evaluation will be an internal evaluation where the project contracts a consultant/service provider to carry out the evaluation. The final evaluation will be an independent evaluation managed by the evaluation manager of the Regional Office for Africa (ROAF).

The mid-term evaluation (henceforth referred to as MTE) will cover the period from January 2015 to the time of the evaluation. A final MTE Report must be submitted by the ILO to the Government of Flanders no later than 1 December 2016.

The MTE is undertaken in accordance with the ILO Evaluation Policy adopted by the Governing Body in November 2005, which provides for systematic evaluation of projects in order to improve quality, accountability, transparency of the ILO's work, strengthen the decision making process and support to constituents in forwarding decent work and social justice.

The overall objective of evaluation is to analyse progress made towards achieving outcomes, to identify lessons learnt and to propose recommendations for improved delivery of quality outputs and achievement of outcomes. The evaluation provides an opportunity for taking stock, reflection, learning and sharing knowledge regarding how the project may improve the effectiveness of its operations.

2. Brief background on project and context

The KS4SME project was designed to foster knowledge sharing around a common shared goal of job creation through SME development within South Africa, but also with the countries of Malawi and Mozambique, which are target countries of development cooperation of the Government of Flanders. The idea is to bring organizations and individuals together to share existing knowledge as well as develop, distribute and apply new knowledge. Through i) a strengthened coordination and collaboration across organizational, disciplinary and geographical boundaries; ii) increased evidence on effective job creation models and iii) capacity development of government officials and practitioners in order to inform policy, strategies and programs for job creation through SME development in South Africa, Malawi and Mozambique.

The **end-of-project outcome** is an improved environment for SMEs where support programs and technical assistance facilitate formalization and enable SME development as a result of increased knowledge sharing, coordination and collaboration between SME stakeholders. The project seeks to also ensure that i) evidence based research inform government policies and programmes and ii) improved knowledge sharing, coordination and collaboration contribute to innovative models for job creation and that iii) developed capacities of policy makers and practitioners inform new program development

Link to the Decent Work Country Programmes

The project is aligned and linked to the Decent Work Country Programme (DWCP) for South Africa 2010 – 2014 under constituents priorities *Strengthening Enterprise Development – SMMEs, Cooperatives and Social Enterprises (including on-going mentoring to entrepreneurs* under Priority 2: Promotion of Employment. More specifically, the project is a direct response to Outcome 4 on *Sustainable and competitive enterprises (including cooperatives) create productive and decent jobs especially among women, youth and persons with disabilities.*

Project management arrangement

Given the size of the project budget there is not a provision for full-time project manager recruited for the project. Three work months have been allocated annually for the overall management of the project and these have been allocated to an existing international staff in the ILO Pretoria office, which also have other responsibilities in other projects. The enterprise specialist is therefore taking a more pro-active role in overall project management. Similarly, a finance and admin assistant is supporting the project also with a 3 work month allocation annually.

3. Purpose, scope and clients of the midterm evaluation

Purpose

The MTE serves two main purposes:

i.   Give an assessment of progress to date of the initiative, assessing performance as per the foreseen targets and indicators of achievement at output level; strategies and implementation modalities chosen; partnership arrangements, constraints and opportunities

ii.   Provide recommendations for the remainder of the project in terms of strategies, institutional arrangements, partnership arrangements and any other area within which the evaluator wish to make recommendation

Scope

The MTE will cover all outcomes of the project and will assess key outputs produced since the start of the project and where relevant make recommendations regarding:

- Progress made towards achieving the project outcomes
- Quality outputs in the project period
- Likelihood of reaching outcomes within the project period
- Internal and external factors that influence project implementation
- Management of the project
- Strategic fit of the initiative in the context of the DWCP for South Africa
- Relevance of the initiative within national development priorities/frameworks
- Synergies with other SME programmes
- Knowledge management and sharing

Clients

The primary clients of the evaluation are the project management, the ILO DWT Office of Pretoria and the Enterprises Department at HQ as implementers, the Government of Flanders as donor of the initiative and the Government of South Africa and constituents. The evaluation process will be participatory. The ILO office, the tripartite constituents and other parties involved in the execution of the project would use, as appropriate, the evaluation findings and lessons learnt.

4. Evaluation criteria and questions

The evaluation will address ILO evaluation concerns such as

i.   relevance and strategic fit
ii.   validity of design
iii. project progress and effectiveness
iv. efficiency of resource use
v.   effectiveness of management arrangements and
vi. impact orientation and sustainability as defined in the Office guidelines[1].

Gender concerns will be based on the ILO Guidelines on Considering Gender in Monitoring and Evaluation of Projects (September, 2007). The evaluation will be conducted following UN evaluation standards and norms[2] and the *Glossary of key terms in evaluation and results-based management* developed by the OECD's Development Assistance Committee (DAC). In line with the results-based approach applied by the ILO, the evaluation will focus on identifying and analysing results through addressing key

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[1] *ILO policy guidelines for results-based evaluation: principles, rationale, planning and managing for evaluations / International Labour Office, Evaluation Unit (EVAL) - Second edition - Geneva: ILO, 2013*

[2] ST/SGB/2000 Regulation and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation

questions related to the evaluation concerns and the achievement of the outcomes/immediate objectives of the initiative using the logical framework indicators.

Key Evaluation Questions

The evaluator shall examine the following key issues:

1) Relevance and strategic fit
   i.   Project relevance to national development plans?
   ii. How well it complements other ILO programmes in the South Africa?
   iii. Strategic fit with the Government of Flanders country strategy for South Africa

2) Validity of design
   i.   Adequacy of the design process
   ii. Is the project design logical and coherent?
   iii. Do outputs causally link to the intended outcomes that in turn link to the broader development objective?
   iv. Have targets and indicators been sufficiently defined for the project?
   v.   Considering the results that were achieved so far, was the project design realistic?

3) Project effectiveness
   i.   To what extent have the expected outputs and outcomes been achieved or are likely to be achieved?
   ii. Were outputs produced and delivered so far as per the work plan? Has the quantity and quality of these outputs been satisfactory? How do the stakeholders perceive them? Do the benefits accrue equally to men and women?
   iii. In which area (geographic, component, issue) does the project have the greatest achievements so far? Why and what have been the supporting factors?
   iv. How effective were the backstopping support provided so far by ILO to the programme?
   v.   Are there any unintended results of the project?
   vi. What internal and external factors have influenced the ability of the ILO to meet projected targets?

4) Efficiency of resource use
   i.   Are resources (human resources, time, expertise, funds etc.) allocated strategically to provide the necessary support and to achieve the broader project objectives?
   ii. Are the project's activities/operations in line with the schedule of activities as defined by the project team and work plans?
   iii. Are the disbursements and project expenditures in line with expected budgetary plans? If not, what were the bottlenecks encountered? Are they being used efficiently?

5) Effectiveness of management arrangements
   i.   Are the available technical and financial resources adequate to fulfil the project plans?
   ii. Is the management and governance arrangement of the project adequate? Is there a clear understanding of roles and responsibilities by all parties involved?

iii.   How effectively the project management monitored project performance and results? Is a monitoring & evaluation system in place and how effective is it? Is relevant information systematically collected and collated? Is the data disaggregated by sex (and by other relevant characteristics if relevant)?

iv.   Is the project receiving adequate administrative, technical and - if needed - political support from the ILO Pretoria office and technical specialists and the responsible technical units in headquarters?

v.   Is the project receiving adequate political, technical and administrative support from its national partners/implementing partners?

vi.   Is the project collaborating with other ILO programmes and with other donors in the country/region to increase its effectiveness and impact?

vii.   Are all relevant stakeholders involved in an appropriate and sufficient manner?

6) Impact orientation and sustainability

i.   Is the programme strategy and programme management steering towards impact and sustainability?

ii.   Has the project started building the capacity of people and national institutions or strengthened an enabling environment (laws, policies, people's skills, attitudes etc.)?

iii.   Assess whether project activities are sustainable and identify steps that can be taken to enhance the sustainability of project components and objectives

7) Lessons learned

i.   What good practices can be learned from the project that can be applied in possible future phases and to similar future projects?

5. Methodology

The evaluation will be carried out through a desk review and field work in South Africa for consultations with ILO management and project staff, constituents, implementing partners, beneficiaries and other key stakeholders. The evaluator will review inputs by all ILO and non ILO stakeholders involved in the project, i.e. government departments and partners from the private and civil sectors.

The draft evaluation report will be presented and shared with a select group of key stakeholders to allow for comments and to discuss how the recommendations can be implemented. The evaluator will seek to apply a variety of evaluation techniques – desk review, meetings with stakeholders, focus group discussions, field visits, informed judgement, and scoring, ranking or rating techniques. Subject to the decision by the evaluator an evaluation knowledge sharing workshops with key partners may be organised.

Desk review

A desk review will analyze project and other documentation provided by the project management. The desk review will suggest a number of initial findings that in turn may point to additional or fine tuned evaluation questions. This will guide the final evaluation instrument. The evaluator will review project related documents before conducting any interview.

Interviews with ILO officials
The evaluator will undertake discussions with the country office director, the programming unit, selected decent work team specialists involved in the project, administrative and financial staff, project staff as well as staff from the enterprises department in Geneva, which is the technical backstopping department related to the project. Furthermore, officials of the ILO International Training Centre in Turin, Italy, which the project has been collaborating closely with will also be interviewed. An indicative list of persons to be interviewed will be proposed by project management.

Interviews with stakeholders and beneficiaries
Key stakeholders of the project in South Africa is the Government of Flanders, the donor of the project; ILO constituents on the government side such as the department for small business development; the national employers' organisation Business Unity South Africa (BUSA), the three major trade union federations as well as representatives of the community constituency. Furthermore, participants from Malawi and Mozambique who have been involved in knowledge sharing and capacity development activities undertaken by the project will also be interviewed, though not face-to-face, but through telephone/Skype and or e-mail. An indicative list of persons to be interviewed will be proposed by project management.

6. Main outputs

The expected outcome of this evaluation is a concise Evaluation Report no longer than 30 pages as per the proposed structure in the ILO evaluation guidelines:

- Cover page with key project and evaluation data
- Executive Summary
- Acronyms
- Description of the project
- Purpose, scope and clients of the evaluation
- Methodology
- Clearly identified findings for each criterion
- Conclusions
- Recommendations
- Lessons learned and good practices
- Annexes

All draft and final outputs, including supporting documents, analytical reports and raw data should be provided in electronic version compatible with Word for Windows. Key stakeholders can make appropriate use of the evaluation report in line with the original purpose and with appropriate acknowledgement.

7. Management arrangements, work plan & time frame

The place of evaluation is Pretoria, South Africa. As the key activities have been implemented in South Africa, interaction with partners from Malawi and Mozambique will be done telephonically.

A proposal for the assignment must be submitted electronically by Close of Business on Monday 24 October 2016. The proposal should contain:

- A budget with details on professional fees and travel fees, if any.
- A CV of the consultant and/or profile of the consultancy firm
- Example of previous evaluation assignments undertaken

National consultants may submit a proposal, individuals as well as firms. Selection criteria are a) quality of proposal, b) experience in undertaking evaluations and c) costs

The proposal must be submitted to Anjali Patel (patel@ilo.org) with a copy to Jens Dyring Christensen, senior specialist on enterprise development at dyring@ilo.org. Questions related to the evaluation assignment are welcome on 012 818 8044.

The evaluation will commence no later than 26 October 2016 and must be finalized by 30 November 2016.

A contract will be entered into with the selected firm/consultant.

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INCEPTION REPORT

MIDTERM EVALUATION

JOB CREATION THROUGH SME DEVELOPMENT – A KNOWLEDGE SHARING PROJECT

PURCHASE ORDER
No. S001253-1425624

TABLE OF CONTENTS

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1. INTRODUCTION

Capacitate is pleased to submit this Inception Report as the first of three deliverables to the ILO for a mid-term evaluation (MTE) of the 'Job Creation through SME Development' project. The MTE will cover the implementation period from January 2015 to November 2016 and will be undertaken in accordance with the ILO Evaluation Policy adopted in November 2005.

This report is structured as follows in response to the International Labour Organization's **I-eval Resource Kit**– Checklist 3:

- **Section 2 confirms the purpose, objective and scope of the evaluation**. As part of the section, the conceptual framework that is planned for undertaking the evaluation, is described. The OECD criteria of relevance, efficiency, effectiveness and sustainability, are considered. Impact is considered to a lesser degree as this is a mid-term evaluation on a programme that has only been implemented for two years, hence it is unlikely that there is any impact as a result of outcomes at this point in time. Section 2 also describes the way that the chosen data collection methods, data sources and sampling method will support the evaluation questions.
- **Section 3 provides a revised project plan illustrating the timeframe, key deliverables and milestones**.
- **An Evaluation Plan**, which considers both subjective sources of data through interviews and objective sources of data (through desktop review of documents received), **is presented as part of Section 4**.
- **Section 5** includes Capacitate's **acknowledgement of the formatting requirements for evaluation reporting**.

2. EVALUATION PURPOSE AND SCOPE

EVALUATION PURPOSE

The overall **objective of evaluation** is to **analyse progress made towards achieving outcomes**, to **identify lessons learnt** and to **propose recommendations for improved delivery** of **quality outputs** and **achievement of outcomes**. The evaluation provides an opportunity for **taking stock, reflection, learning and sharing knowledge regarding how the project may improve the effectiveness of its operations**. The evaluation follows a participatory process and **serves two main purposes:**

- **Assess** the initiative's **progress to date**, assessing performance as per the foreseen targets and indicators of achievement at output level; strategies and implementation modalities chosen; partnership arrangements, constraints and opportunities;
- Provide **recommendations** for the remainder of the project in terms of strategies, institutional arrangements, partnership arrangements and other areas identified by the evaluator.

EVALUATION SCOPE

This section presents the conceptual framework for the evaluation, with the overall evaluation questions, followed by describing the activities as part of delivering the evaluation.
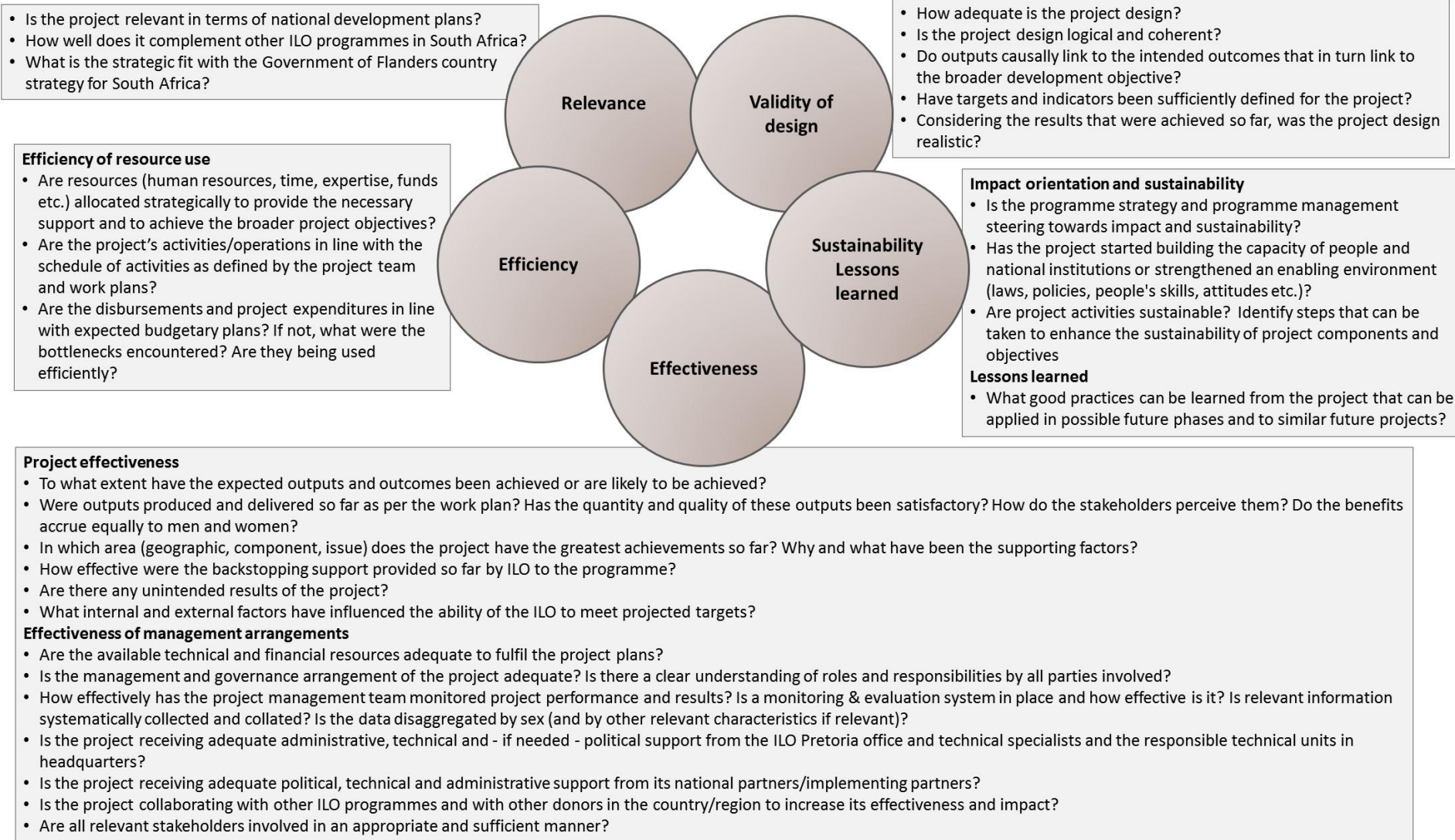
The following presents the overall evaluation questions:

Conceptual Framework for Evaluation of the KS4SME Programme

- Is the project relevant in terms of national development plans?
- How well does it complement other ILO programmes in South Africa?
- What is the strategic fit with the Government of Flanders country strategy for South Africa?

- How adequate is the project design?
- Is the project design logical and coherent?
- Do outputs causally link to the intended outcomes that in turn link to the broader development objective?
- Have targets and indicators been sufficiently defined for the project?
- Considering the results that were achieved so far, was the project design realistic?

Relevance

Validity of design

Efficiency of resource use
- Are resources (human resources, time, expertise, funds etc.) allocated strategically to provide the necessary support and to achieve the broader project objectives?
- Are the project's activities/operations in line with the schedule of activities as defined by the project team and work plans?
- Are the disbursements and project expenditures in line with expected budgetary plans? If not, what were the bottlenecks encountered? Are they being used efficiently?

Efficiency

Sustainability Lessons learned

Effectiveness

Impact orientation and sustainability
- Is the programme strategy and programme management steering towards impact and sustainability?
- Has the project started building the capacity of people and national institutions or strengthened an enabling environment (laws, policies, people's skills, attitudes etc.)?
- Are project activities sustainable? Identify steps that can be taken to enhance the sustainability of project components and objectives

Lessons learned
- What good practices can be learned from the project that can be applied in possible future phases and to similar future projects?

Project effectiveness
- To what extent have the expected outputs and outcomes been achieved or are likely to be achieved?
- Were outputs produced and delivered so far as per the work plan? Has the quantity and quality of these outputs been satisfactory? How do the stakeholders perceive them? Do the benefits accrue equally to men and women?
- In which area (geographic, component, issue) does the project have the greatest achievements so far? Why and what have been the supporting factors?
- How effective were the backstopping support provided so far by ILO to the programme?
- Are there any unintended results of the project?
- What internal and external factors have influenced the ability of the ILO to meet projected targets?

Effectiveness of management arrangements
- Are the available technical and financial resources adequate to fulfil the project plans?
- Is the management and governance arrangement of the project adequate? Is there a clear understanding of roles and responsibilities by all parties involved?
- How effectively has the project management team monitored project performance and results? Is a monitoring & evaluation system in place and how effective is it? Is relevant information systematically collected and collated? Is the data disaggregated by sex (and by other relevant characteristics if relevant)?
- Is the project receiving adequate administrative, technical and - if needed - political support from the ILO Pretoria office and technical specialists and the responsible technical units in headquarters?
- Is the project receiving adequate political, technical and administrative support from its national partners/implementing partners?
- Is the project collaborating with other ILO programmes and with other donors in the country/region to increase its effectiveness and impact?
- Are all relevant stakeholders involved in an appropriate and sufficient manner?

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Capacitate adheres to the criteria defined for many international development project evaluations as set out by the Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development (OECD).

PROJECT INCEPTION MEETING

During this meeting the purpose, objective and scope of the evaluation will be finalised. A preliminary evaluation plan will be presented. All relevant reports and contact details for relevant stakeholders to be engaged, will also be collected. This Inception Report was prepared as an outcome of the meeting to detail the agreed Evaluation Plan, Timeframe, purpose, objective and scope of the evaluation.

SYSTEMIC MAPPING PROCESS

Although the Systemic Intervention Mapping Methodology™ (SIM) that is employed by Capacitate, was proposed for this project, due to the tight timeframes within which the evaluation report must be delivered to the ILO, the workshop to complete the SIM process has been omitted.

There is no risk to the quality of the evaluation outcome for the following reasons:

- Findings from the **document review** will inform the evaluation team of what qualitative and quantitative measures are available to evaluate project performance.
- Key questions asked during the SIM workshop will be built into **initial interviews with ILO Officials**. The initial interviews may be longer than initially planned. However, the outcome of completing initial interviews will be to inform the establishment of qualitative and quantitative measures to evaluate project performance.
- The evaluation plan may be revised, if needbe, to confirm the measures of success for the programme, in relation to evaluation questions.
- Final interview instruments will be developed with revised and additional questions to ensure a response can be provided to each of the evaluation questions.

DOCUMENT REVIEW

All documentation provided by the ILO project management team will be reviewed in order to understand and document the history of the programme and to provide initial responses to the evaluation questions. The outcome of the document review may influence additional questions for data collection.

INITIAL INTERVIEWS WITH ILO OFFICIALS

The evaluator will review inputs by all ILO and non ILO stakeholders involved in the project, i.e. government departments and partners from the private and civil sectors. Initial interviews will be conducted with the country office director, the programming unit, selected decent work team specialists involved in the project, administrative and financial staff, project staff as well as staff from the enterprises department in Geneva, which is the technical backstopping department related to the project. Furthermore, officials of

the ILO International Training Centre in Turin, Italy, which the project has been collaborating closely with, will also be interviewed.

Initial interviews aim to gain an initial response to evaluation questions as well as clarify how to make the valuing criteria explicit. Appropriate evaluation rubrics[1] will be designed for making the valuing criteria explicit – it may be appropriate to develop evaluation rubrics to comment on efficiency, effectiveness and sustainability. For example the evaluation team may draw up a rubric to determine what high efficiency, versus poor efficiency is in relation to planned project disbursements and expenditures in the context of this project. The view of stakeholders will then present evidence to indicate at what level this project was found to be. Based on the available data, first drafts of these rubrics will be developed by our evaluation team, and then checked by the evaluation users before final application. The ILO officials will participate in drawing, interpreting, and justifying conclusions, through a workshop where preliminary findings will be shared.

Based on evaluation questions, the following are some areas where evaluation rubrics may be useful:

- Defining '*quality*' in terms of expected outputs;
- Determining '*poor-*' versus '*good effectiveness*' relating to backstopping support and monitoring of project performance and results;
- Understanding '*strategic*' allocation of resources to evaluate whether necessary support was provided;
- Clarifying '*efficiency*' in relation to planned project disbursements and expenditures;
- Assessing '*adequacy*' in relation to internal technical and financial resources, technical, administrative and political support received nationally through partners and implementing agents, as well as management and governance arrangements;
- Defining 'capacity' and 'an enabling environment' in terms of expected outcomes of this project; and
- Clarifying 'sustainability' in relation to expected project components.

An indicative list of persons to be interviewed was proposed by the ILO project management team, who provided relevant contact details and who briefed interviewees on the project through emails to ensure their commitment and availability for interviews. The majority of interviews will be telephonic, with the exception of ILO officials residing in Pretoria, Gauteng.

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[1] For more information on this, refer to: http://betterevaluation.org/evaluation-options/rubrics

INSTRUMENT DEVELOPMENT

Instruments will be developed using information sourced from initial ILO interviews, from the project management team at the inception meeting, as well as findings based on the document review. Instruments will be refined as preparation for group discussions and interviews with stakeholders and beneficiaries.

DATA COLLECTION: INTERVIEWS WITH STAKEHOLDERS AND BENEFICIARIES

Data collection is premised on the collation of qualitative data through interviews, focus groups and site observations locally (if applicable). The evaluation team anticipate that contact lists will be provided by the project management team from which interviewees can be selected for group discussions (120 minute discussions) and individual interviews (90 minute interviews). Our assumption is that interviewees will be able to converse in English.

Because of the tight timeline for the evaluation, data collection will follow the most efficient format. This implies that if participants cannot be available for a focus group interview or a face-to-face interview, telephonic/skype interviews will be held. Site visits will only be conducted within the Gauteng region.

The following stakeholder engagement plan will be executed as part of the evaluation:

Table 1: Stakeholder Engagement Plan

Stakeholder Group	Role in the Evaluation
• Government of Flanders	The donor of the project
• Department for small business development; • The national employers' organisation Business Unity South Africa (BUSA); • The three major trade union federations; and • Representatives of the community constituency	ILO constituents on the government side
• Participants from Malawi and Mozambique	Those who have been involved in knowledge sharing and capacity development activities undertaken by the project

ANALYSIS

Thematic content analysis will be used to interpret the qualitative data. Multiple data sources will be triangulated to ensure data integrity. Key themes from stories told and observations made, will be reported on in response to evaluation questions as part of the Findings.

DATA LIMITATIONS

Evaluation findings will be based on triangulation of findings across qualitative data based on **self-reported perceptions** of stakeholders interviewed in response to structured interview questions. It is unlikely that testing or verification will be done of results achieved beyond triangulation of findings[2].

REPORTING AND FEEDBACK

The evaluation team will prepare a draft narrative report of 30 pages to highlight key findings. The report will provide an Executive Summary; a list of Acronyms; a description of the project; the purpose, scope and clients of the evaluation; the evaluation methodology; clearly identified findings in response to evaluation questions that include lessons learned and good practices; as well as conclusions and recommendations to inform the future implementation of the programme. Annexures will include the interview schedule and additional relevant information in support of the evaluation findings.

The draft evaluation report will be presented and shared with a select group of key stakeholders at a workshop that will allow for comments and to discuss the recommendations, prioritise them and determine how they can be implemented. An evaluation knowledge sharing workshops with key partners may be organised if deemed necessary.

The final evaluation report will incorporate all additional revisions identified through the review and alignment process. The final report and supporting data will be provided in electronic format compatible with Word for Windows. Anonymity of interviewees will be ensured, hence raw data (interview notes) will be provided without names, should it be required.

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[2] Triangulation means that the same themes (stories) are identified across stakeholders and/or stakeholder groups interviewed

3. PROJECT TIMELINE

Based on our understanding of the objectives, scope and timeframe of this assignment, the following high-level project plan has been agreed:

Revised High Level Project Plan (14 November 2016): Evaluation activities	Nov-16			Dec-16		Jan-17			
					LEAVE				
	14	21	28	5	12 Dec - 8 Jan	9	16	23	30
Prepare detailed evaluation plan with questions; Project Inception meeting	1,5								
Prepare Inception Report; submit first invoice (50% of contract value)	1,25								
Collate reports and contact details for relevant stakeholders to be engaged	1								
Document Review to collate evidence against evaluation questions	1	2,5							
Systemic mapping workshop to define optimal project outcomes; Product key for evaluation success (no longer part of scope - will use time for analysis)									
Scheduling and conducting initial interviews (up to 10 interviews with ILO Officials, estimated at 60-90 minutes each): Country Director; Programming unit; Work team specialists; Administrative staff; Finance staff; Project Staff; Enterprises Dept Geneva staff; ILO Training Centre staff (Turin & Italy)	0,5	2							
Analysis of initial interviews - develop evaluation rubric and refine instruments			1,5		1				
Schedule interviews with Stakeholders and Beneficiaries (up to 10 interviews and 2 focus groups, estimated at 90-120 minutes each): Government of Flanders; Department for Small Business Development; BUSA; 3 trade union federations; Community members; project participants from Malawi and Mozambique		0,5	3,5	1					
Analysis and triangulation of data					4	2			
Prepare first draft report with consolidated findings and workshop presentation						3,5	1		
Submit draft report to team for review by Close of Business							16th		
Teleconference mtg: Discuss draft findings and recommendations; discuss changes to finalise report							18th		
Prepare and submit Final Evaluation Report; submit final invoice (50% of contract value)								23rd	
Project Management & Progress Reporting		25th		6th		13th			

Key project dates include the following:

- Inception meeting (face-to-face) at ILO office on 17 November 2016;
- Project progress report on 6 December – if all interviews could be secured and completed within the timeframe, the project timeframe would remain unchanged;
- Submit Draft Report on 16 January, with time set aside by ILO to review and provide inputs;
- Findings and recommendations workshop – preferably face-to-face at ILO office on 18 January 2017.

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4. EVALUATION PLAN

ABOUT THE KS4SME PROGRAMME

The Job Creation through SME Development – a Knowledge Sharing Project (henceforth referred to as KS4SME) is a 36 months technical cooperation project funded by the Government of Flanders with an overall allocation of €600'000. The KS4SME project was designed to foster knowledge sharing around a common shared goal of job creation through SME development within South Africa, but also with the countries of Malawi and Mozambique, which are target countries of development cooperation of the Government of Flanders.

The **project aim** is to bring organizations and individuals together to share existing knowledge as well as develop, distribute and apply new knowledge through the following ways:

i) A strengthened coordination and collaboration across organizational, disciplinary and geographical boundaries;

ii) Increased evidence on effective job creation models; and

iii) Capacity development of government officials and practitioners in order to inform policy, strategies and programmes for job creation through SME development in South Africa, Malawi and Mozambique.

The **end-of-project outcome** is an improved environment for SMEs where support programmes and technical assistance facilitate formalization and enable SME development as a result of increased knowledge sharing, coordination and collaboration between SME stakeholders.

The project also seeks to ensure that i) evidence based research informs government policies and programmes and ii) improved knowledge sharing, coordination and collaboration contribute to innovative models for job creation and that iii) developed capacities of policy makers and practitioners inform new programme development

The project is **aligned and linked to the Decent Work Country Programme (DWCP) for South Africa** 2010 – 2014 under constituents priorities Strengthening Enterprise Development – SMMEs, Cooperatives and Social Enterprises (including on-going mentoring to entrepreneurs under Priority 2: Promotion of Employment. More specifically, the project is a direct response to Outcome 4 on Sustainable and competitive enterprises (including cooperatives) creating productive and decent jobs especially among women, youth and persons with disabilities.

Project management arrangement: Given the size of the project budget there is not a provision for full-time project manager recruited for the project. Three work months have been allocated annually for the overall management of the project and these have been allocated to an existing international staff in the ILO Pretoria office, which also have other responsibilities in other projects. The enterprise specialist is therefore taking a more pro-active role in overall project management. Similarly, a finance and admin assistant is supporting the project also with a 3 work month allocation annually.

USE OF EVALUATION RESULTS

The primary clients of the evaluation are the project management, the ILO DWT Office of Pretoria and the Enterprises Department at HQ as implementers, the Government of Flanders as donor of the initiative and the Government of South Africa and constituents. The ILO office, the tripartite constituents and other parties involved in the execution of the project would use, as appropriate, the evaluation findings and lessons learnt.

EVALUATION DESIGN

This evaluation follows a utilization focused evaluation approach where the key project stakeholders will be engaged from the onset to establish their involvement as facilitators in the design of the evaluation. .. The evaluation design can be characterised as an ex-post formative evaluation with a primarily qualitative slant, although quantitative information may be incorporated as applicable.

DATA COLLECTION METHODS

Data collection will include the use of primary data (through site observations, interviews and focus groups) and secondary data (document review of available project documentation). The instruments prepared for fieldwork will be pre-tested and all interviewees will form part of the first interview conducted by the lead Evaluator, to ensure consistency in data collection.

INFORMED CONSENT

Before any data collection is conducted, participants will be fully briefed on the purpose of the evaluation, their rights as evaluation participants, and informed consent will be sought. Consent forms will also clearly set out the procedures used to ensure anonymity and confidentiality, as applicable. The original source data will be provided to the client, only in anonymised format, if necessary.

EVALUATION QUESTIONS

The following table details the **questions** to be asked and the **sources** from which evaluation findings will be generated. It is noted that ILO representatives include the country office director, the programming unit, selected decent work team specialists involved in the project, administrative and financial staff, project staff, staff from the enterprises department in Geneva (the technical backstopping department), officials of the ILO International Training Centre in Italy. ILO constituents from Government refer to the South African Department for small business development; The national employers' organisation Business Unity South Africa (BUSA); The three major trade union federations; and Representatives of the community constituency.

Table 1: Evaluation Questions and sources of data collection

Purpose	Areas of Inquiry	Document review	Initial interviews with ILO representatives	Government of Flanders (Donor)	ILO constituents from Government	Programme participants / beneficiaries
Programme relevance	Relevance: • Is the project relevant in terms of national development plans? • How well does it complement other ILO programmes in RSA? • What is the strategic fit with the Government of Flanders country strategy for RSA?	√ √ √	√ √ √	√ √		
Programme design	Design: • What is the Theory of Change for the programme? • Clarify broader project objectives • Identify key project components	√	√	√		
	Validity of design: • How adequate is the project design? • Is it logical and coherent? • Do outputs causally link to intended outcomes and ultimate development objectives? • Have targets been sufficiently defined? • Was the project design realistic, given results achieved so far?	√ √ √ √	√ √ √ √	√ √ √ √		

Purpose	Areas of Inquiry	Document review	Initial interviews with ILO representatives	Government of Flanders (Donor)	ILO constituents from Government	Programme participants / beneficiaries
Programme efficiency	Efficiency of resource use (human resources, time, expertise, funds, etc.) • Define what is meant by necessary support	√	√	√		√
	• Are resources allocated strategically to provide the necessary support?	√	√			√
	• Are resources allocated strategically to achieve the broader project objectives?		√			
	• What is the schedule of activities as defined by the project team and work plans?	√	√			
	• Are the project's activities/operations in line with the schedule of activities?		√			√
	• What are expected budgetary plans?	√	√			
	• Are disbursements and project expenditures in line with expected budgetary plans? If not, what were the bottlenecks encountered?	√	√	√		
	• Is the budget being used efficiently?	√	√	√		√

Purpose	Areas of Inquiry	Document review	Initial interviews with ILO representatives	Government of Flanders (Donor)	ILO constituents from Government	Programme participants / beneficiaries
Programme effectiveness	**Effectiveness of management arrangements** • Define what is meant by poor vs effective relating to technical resources, financial resources, management, governance and monitoring and evaluation	√	√	√	√	√
	• Are the available technical and financial resources adequate to fulfil the project plans?	√	√	√	√	√
	• Is the management and governance arrangement of the project adequate?	√	√	√	√	√
	• Is there a clear understanding of roles and responsibilities by all parties involved?	√	√	√	√	√
	• How effectively has the project management team monitored project performance and results? Is a monitoring & evaluation system in place and how effective is it?	√	√	√	√	√
	• Is relevant information systematically collected and collated as part of the M&E system? Is the data disaggregated by sex (and by other relevant characteristics if relevant)?	√	√		√	√
	• Is the project receiving adequate administrative, technical and - if needed - political support from the ILO Pretoria office and technical specialists and the responsible technical units in headquarters?		√	√	√	√
	• Is the project receiving adequate political, technical and administrative support from its national partners/implementing partners?	√	√	√	√	√
	• Is the project collaborating with other ILO programmes and with other donors in the country/region to increase its effectiveness and impact?	√	√	√	√	
	• Are all relevant stakeholders involved in an appropriate and sufficient manner?	√	√	√	√	√

Purpose	Areas of Inquiry	Document review	Initial interviews with ILO representatives	Government of Flanders (Donor)	ILO constituents from Government	Programme participants / beneficiaries
	Effectiveness of the programme					
	• To what extent have the expected outputs and outcomes been achieved or are likely to be achieved?	√	√		√	√
	• Were outputs produced and delivered so far as per the work plan?	√	√	√	√	√
	• Define what 'satisfactory' looks like relating to quantity and quality of outputs	√	√	√	√	√
	• Has the quantity and quality of these outputs been satisfactory? How do the stakeholders perceive them? Do the benefits accrue equally to men and women?	√	√	√	√	√
	• In which area (geographic, component, issue) does the project have the greatest achievements so far? Why and what have been the supporting factors?	√	√		√	√
	• How effective were the backstopping support provided so far by ILO to the programme?	√	√	√	√	√
	• Are there any unintended results of the project?					√
	• What internal and external factors have influenced the ability of the ILO to meet projected targets?	√	√	√	√	

Purpose	Areas of Inquiry	Document review	Initial interviews with ILO representatives	Government of Flanders (Donor)	ILO constituents from Government	Programme participants / beneficiaries
Programme results (sustainability)	**Impact orientation and sustainability** • Is the programme strategy and programme management steering towards impact and sustainability?		√			
	• Define 'enabling environment' in the context of this project?		√	√	√	√
	• Has the project started building the capacity of people and national institutions or strengthened an enabling environment (laws, policies, people's skills, attitudes etc.)?		√	√	√	√
	• Are project activities sustainable? Identify steps that can be taken to enhance the sustainability of project components and objectives		√		√	√
	Lessons learned • What good practices can be learned from the project (relating to project components) that can be applied in possible future phases and to similar future projects?	√	√	√	√	√

ANALYSIS & INTERPRETATION

Thematic content analysis will be used to interpret the qualitative data. Multiple data sources will be triangulated to ensure data integrity. Key themes from stories told and observations made, will be reported on in response to evaluation questions. Appropriate evaluation rubrics[3] will be designed for making the valuing criteria explicit – For example we may draw up a rubric to determine what good value for money, versus poor value for money in the context of this project and in the view of stakeholders may be, and then present evidence to indicate at what level this project was found to be. It may also be appropriate to do similar evaluation rubrics to comment on efficiency, effectiveness, impact and sustainability. Based on the available data, first drafts of these rubrics will be developed by our team, and then checked by the evaluation users before final application.

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[3] For more information on this, refer to: http://betterevaluation.org/evaluation-options/rubrics

COMMUNICATION AND REPORTING

Project status reports will be provided fortnightly to provide feedback on the status of the evaluation against the Evaluation Plan and Timeline.

Deliverable reports will be provided in email format to the ILO project management team. The Lead Evaluator will present the content of the Draft Report to the team through a face-to-face meeting held locally (with ILO officials who are abroad dialling into the session over skype). Feedback that requires revision to deliverables will be minuted or submitted electronically to the Evaluation Team. Feedback on changes will be provided with the final evaluation report.

EVALUATION TEAM

Trish Heimann will be the lead evaluator. Jason Bygate will be the project director, overseeing the quality of instruments and deliverables for the assignment as well as the client liaison person. Yolande Croucamp will provide support on document review and interviews and Teresa Neville will provide administrative support to schedule interviews.

DATA STORAGE

Relevant documents and instruments will be captured electronically and stored in a dropbox folder. Anonymised data may be stored in the client accessible drive, if required, and work product with source data will be kept on a company cloud storage service, only accessible to the evaluation team.

5. ADHERENCE TO ILO GUIDANCE AND FORMATTING REQUIREMENTS

The Capacitate evaluation team acknowledges the formatting requirements, especially with regard to:

- Formulating and presenting recommendations;
- Identifying and presenting lessons learned, and filling in the appropriate templates; and
- Identifying and presenting emerging good practices, and filling in the relevant templates.

The Checklist 10: Documents for the evaluator, was signed during the Inception meeting, which confirms that all necessary documentation has been received and that the terms noted in Checklist 5 (preparing the evaluation report) have been accepted.

6. NEXT STEPS

Upon approval of the Inception Report, the evaluation team will continue with activities, as presented herein.

Upcoming activities for the evaluation team include scheduling of interviews, conducting the document review, conducting initial interviews, finalising the interview instrument(s) and conducting all interviews with stakeholders.

Key activities for the ILO project management team include formalising contact with those interviewees required as part of the evaluation to request their support and time for an interview between from 23 November to 5 December 2016.

Should there be any queries, please do not hesitate to contact Jason Bygate (Project Director; Tel: 082 337 1072, jason@capacitate.co.za) or Trish Heimann (Lead Evaluator; Tel: +27 (0) 83 779 4855; trish@capacitate.co.za).

ANNEXURE E: LIST OF INTERVIEWS SCHEDULED AND COMPLETED

								Sustainable Enterprise Academy (SEA)	EESE	Africa Talks	NIES	Blended learning informal workshop	25-yr celebration
						Interviews completed							
Interview Number	Interview Date		Contact number	Interviewee Name	Stakeholder Group	Organisation / Institution	email address						
1	2016-11-23	Country	+39 011 693 6665	Linda Deelen	Extended project team	International Training Centre of the ILO	l.deelen@itcilo.org						
2	2016-11-23	RSA	012 818 8054	Dr Joni Musabayana	Extended project team	International Labour Organization	musAbayana@ilo.org; PA: davids@ilo.org						
3	2016-11-25 2016-11-28	RSA	012 818 8025 0791406704	Ms Anjali Patel (follow up)	Project team	International Labour Organization	patel@ilo.org						
4	2016-11-25	RSA	012 460 0781 +27 82 766 3059	Dr. Geraldine Reymenants	Funder	Gov. of Flanders	geraldine.reymenants@flanders.org.za						
5	2016-11-25	RSA	012 460 0781	Ms. Katrien Vandepladutse	Funder	Gov. of Flanders	Katrien.Vandepladutse@flanders.org.za						
6	2016-11-25		41227997949	Ms Judith van Doorn	Project team	International Labour Organization	doorn@ilo.org						
7	2016-11-28			Ms. Coumba Diop	Extended project team	International Training Centre of the ILO	C.Diop@itcilo.org						
8	2016-11-28 2016-11-30 2016-12-09	RSA	012 818 8044	Mr Jens Dyring Christensen	Project team	International Labour Organization	dyring@ilo.org						
10	2016-11-28	RSA	012 818 8067	Ms Sindile Moitse	Extended project team	International Labour Organization	moitse@ilo.org						
11	2016-11-29	Malawi	+265999445495	Lora McCartney	Government	Ministry of Industry, Trade and Tourism	mclora@ymail.com;					x	
12	2016-11-29	Malawi	00265 99 489 0589	Charles Kazembe	Government	EX-SMEDI	cckazembe@gmail.com	x					
13	2016-11-30	RSA	012 818 8045	Ms Maria Machailo-Ellis	Extended project team	International Labour Organization	machailoellis@ilo.org						
14	2016-11-30	RSA	083 399 5845	Shawn Theunissen	Enterprise	Growthpoint Properties	stheunissen@growthpoint.co.za;	x		x			
15	2016-11-30	RSA	012 394 1604	Ziyanda Ndamse	Government	Dept for Small Bus Development	zndamse@dsbd.gov.za	x					
16	2016-11-30	RSA	071 688 9476	Tanya Cohen	Organised business	BUSA NEDLAC constituents	tanya.cohen@labourpolicy.com		x				
17	2016-11-30	Italy	+39 366 354 4434	Joel Alcocer	Extended project team	International Training Centre of the ILO	j.alcocer@itcilo.org						
18	2016-12-01	RSA	012 818 8046	Ms Inviolata Chinyangarara	Extended project team	International Labour Organization	Chinyangarara, Inviolata						
19	2016-12-01	RSA	+27 11 339-4911 Direct: 010 219 1308 082 563 6955	Theodora Steele	Organised labour	COSATU					x		
20	2016-12-01	RSA	033 264 2507* 082 852 5300	Navlene Thavar (hosting)	Government	KZN EDTEA	Navlene.Thavar@kznedtea.gov.za					x	

Interview Number	Interview Date		Contact number	Interviewee Name	Stakeholder Group	Organisation / Institution	email address	Sustainable Enterprise Academy (SEA)	EESE	Africa Talks	NIES	Blended learning informal workshop	25-yr celebration
Interviews completed													
21	2016-12-01	RSA	071 689 2801 033 2642513	Mr CEDRIC DUBE	Government	KZN EDTEA	Muntu.Dube@kznedtea.gov.za					x	
22	2016-12-02			Betsy Ings	Enterprise	Tradelane	betsyings@tradelane.co.za			x			
23	2016-12-14	RSA	Tel: +27 (0)11 023 3100 (Cell: +27 (0)82 898 6085)	Pat Pillai	NGO	SA Life College Association (LifeCo)	Pat Pillai <patp@lcu-sa.com> amyd@lcu-sa.com			x			x
24	2016-01-03	RSA	072 195 5781 012 394 1604	Stephen Umlaw	Government	Dept for Small Bus Development	sumlaw@dsbd.gov.za					x	
25	2016-01-03	Mozambique	+258 829062220	Noemia Ana Simao	Informal economy	Informal Traders Association ?	noemiaana.86@gmail.com					x	
26	2016-01-03	RSA	079 662 5620 0796611006_WhatsApp(20161215-11h35) +27 630 856 767	Ms. Conti Matlakala	Community		magdeline657@gmail.com	x				x	
27	2016-01-05	Mozambique	+25 882 8697720	Mr. Celso Cuambe	Employer	CTA	ccuambe@cta.org.mz;	x				x	
28	2017-01-10	RSA	+1 868 623 7178/7704 ext 450	Vanessa Phala (predecessor to Sharna Johardien	Organised business	BUSA	phala@ILO.org		x	x			
29	2017-01-27	RSA	0842154465 012 394 5707	Vukile Nkabinde	Government	Dept for Small Bus Development	Vnkabinde@dsbd.gov.za					x	
Interviews scheduled but cancelled by interviewee													
Cancelled by interviewee on day of interview	2016-12-05	RSA	Direct: 011 476 6831 Karen Schoonraad PA to Mrs. Keyter Tel.: 011 – 678 6328	Mrs Martle Keyter	Organised labour	FEDUSA (Deputy President) MISA (CEO)	Martle.Keyter@ms.org.za						
	2016-12-05	RSA	011 279-1800 073 531 5339.	Ms Brenda Modise	Organised labour	LABOUR -FEDUSA (works closely with Mrs Mart	socialpolicy@fedusa.org.za						
Cancelled by interviewee	2016-01-06	RSA	011 784-8000 084 306 3753	Sharna Johardien	Organised business	BUSA	sharna.johardien@busa.org.za		x				
Excused from group interview	2016-12-01	RSA	033 264 2830 0824682377	Sanele Ngubane	Government	KZN EDTEA	Sanele.Ngubane@kznedtea.gov.za					x	
	2016-12-01	RSA	332642798 / 082 818 2473	Dumisani Mzila	Government	KZN EDTEA	Dumisani.Mzila@kznedtea.gov.za; mzilad@kznded.gov.za ; mzilad@outlook.com					x	

								Interviews completed					
Interview Number	Interview Date		Contact number	Interviewee Name	Stakeholder Group	Organisation / Institution	email address	Sustainable Enterprise Academy (SEA)	EESE	Africa Talks	NIES	Blended learning informal workshop	25-yr celebration
Interviews that could not be scheduled with sampled participants													
no response	no response	RSA	072692 8159	Kgomotso Pooe	SME (previously informal services sector)	Soweto Outdoor Adventures	info@sowetooutdooradventures.co.za				x		
no response	no response	RSA	Anjali will try to get	Sthandwa Blose	Informal services sector	Twinz Health & Beauty Parlour	twinsizas@gmail.com				x		
no response	no response	RSA	Anjali will try to get	Nombuso Magugula	Informal services sector	People's Laundry	missndie@gmail.com				x		
no response	no response	RSA	082 389 2363	Preggy Chetty	Enterprise	Scaw Metals Group	preggy@scaw.co.za			x			
no response	no response	RSA	don't have, ask ria de Villiers	Leonia Macpherson	Academia	Training/adademic inst	lornamacpherson@gmail.com			x			
no response	no response	Malawi		Richard Zidana	Government	SMEDI	richardzidana@gmail.com					x	
no response	no response	RSA	082 416 6723	Mr. Manene Samela	Organised labour	NACTU	manene.samela@gmail.com						
no response	no response	RSA	076 105 5849	Mr Khwezilomso Mabasa	Organised labour	COSATU	khwezi@cosatu.org.za	x					
no response	no response	RSA	081 049 2256 / 033 897 5683	Ziphiwe Mbambo	Government	KZN COGTA	ziphiwo.ngcobo@kzncogta.gov.za; ziphiwo.ngcobo@yahoo.com					x	

TIER 1 INTERVIEWS: KS4SME mid-term evaluation

Interview schedule (V1.0): ILO, International Training Centre of the ILO and Government of Flanders

INTRODUCTION

Capacitate has been contracted to conduct a mid-term evaluation of the knowledge sharing project funded by the Government of Flanders. You have been identified as one of the key stakeholders to be interviewed as part of the initial interviews in this evaluation. These initial interviews will enable the evaluation team to gain a better understanding of the project activities and will inform other interviews to be conducted with stakeholders who participated as beneficiaries in one or more of the activities.

This is an explorative interview. During the interview I would like to explore your experience, views and thoughts on a range of questions that consider:

- Programme relevance;
- Validity of the programme design;
- Efficiency relating to resource use (human resources, time, expertise, funds, etc.)
- Programme effectiveness; and
- Programme results

I will be asking you a range of structured questions in this interview to guide our conversation.

CONFIDENTIALITY

Information you provide in this questionnaire is strictly confidential. No names will be used in reporting research findings. Quotes will be anonymous and general themes will be reported on. The interview is a safe environment for you to share your perceptions and experience.

Interviewer:		Date of interview:	
Name of person(s) being interviewed		Designation (current occupational role)	

A) UNDERSTANDING ROLES AND ACTIVITIES

A1. Please tell me the story of how you have been involved in the KS4SME project and which activities you are familiar with (Clarify role for each programme component)	

As we work through the interview questions, if there are questions that you feel are not applicable or only applicable in a certain context, please feel free to brief me as you provide your response...

B) PROGRAMME RELEVANCE

B1. Are you aware of any national development plans that the	

TIER 1 INTERVIEWS: KS4SME mid-term evaluation

Interview schedule (V1.0): ILO, International Training Centre of the ILO and Government of Flanders

KS4SME project is aligned to? Tell me more…	
B2. How well does the KS4SME project complement other ILO programmes in South Africa? Tell me more…	
B3. What is the strategic fit with the Government of Flanders country strategy for RSA?	

C) PROGRAMME DESIGN AND VALIDITY

C1. What are the broad project objectives based on your understanding?	
C2. What is your understanding of the key project components?	
C3. Can you briefly describe the anticipated short-term, intermediate and longer-term outcomes of the KS2SME project / of the project components that you were involved in?	
C4. If you reflect for a moment on the project design and your experience of project implementation, what would you say are flaws in any assumptions that were made? Can you identify any weaknesses in the project design that should be revised in future implementation?	
C5. What about strengths in the project design based on implementation accomplishments?	

TIER 1 INTERVIEWS: KS4SME mid-term evaluation

Interview schedule (V1.0): ILO, International Training Centre of the ILO and Government of Flanders

C6. Have targets been sufficiently defined?	
C7. Was the project design realistic, given results achieved so far?	

C) PROGRAMME EFFICIENCY

When we consider the efficiency of resource use (human resources, time, expertise, funds, etc.)…

C1. In your view, are resources allocated strategically to provide the necessary support?	
C2. How would you define 'necessary support' in the context of resources allocated to the KS4SME project?	
C3. Can you comment on whether the project's activities/operations are in line with the schedule of activities?	
C4. To those directly involved… What are expected budgetary plans? Are disbursements and project expenditures in line with expected budgetary plans? If not, what were the bottlenecks encountered? Is the budget being used efficiently?	

D) PROGRAMME AND MANAGEMENT EFFECTIVENESS

When we consider the effectiveness of management arrangements…

D1. If you consider a continuum with poor effectiveness on the one end and high effectiveness on the other, how would you define poor	

TIER 1 INTERVIEWS: KS4SME mid-term evaluation

Interview schedule (V1.0): ILO, International Training Centre of the ILO and Government of Flanders

vs effective relating to technical resources, financial resources, management, governance and monitoring and evaluation (they may want to break up components)	
D2. Are the available technical and financial resources adequate to fulfil the project plans for the KS4SME project?	
D3. Is there a clear understanding of roles and responsibilities by all parties involved?	
D4. How effectively has the project management team monitored project performance and results? Is a monitoring & evaluation system in place and how effective is it?	
D5. Is relevant information systematically collected and collated as part of the M&E system? Is the data disaggregated by gender (and by other relevant characteristics if relevant)?	
D6. Is the project receiving adequate administrative, technical and - if needed - political support from the ILO Pretoria office and technical specialists and the responsible technical units in headquarters?	
D7. Is the project receiving adequate political, technical and administrative support from its **national partners/implementing partners**?	
D8. Is the project collaborating with other ILO programmes and	

TIER 1 INTERVIEWS: KS4SME mid-term evaluation

Interview schedule (V1.0): ILO, International Training Centre of the ILO and Government of Flanders

with other donors in the country/region to increase its effectiveness and impact?	
D9. Are all relevant stakeholders involved in an appropriate and sufficient manner?	

When we consider the effectiveness of THE PROGRAMME...

D10. To what extent have the expected outputs and outcomes been achieved or are likely to be achieved?	
D11. Were outputs produced and delivered so far as per the work plan?	
D12. Define what 'satisfactory' looks like relating to quantity and quality of outputs?	
D13. Has the quantity and quality of these outputs been satisfactory? How do the stakeholders perceive them? Do the benefits accrue equally to men and women?	
D14. In which area (geographic, component, issue) does the project have the greatest achievements so far? Why and what have been the supporting factors?	
D15. How effective were the backstopping support provided so far by ILO to the programme?	
D16. Are there any unintended results of the project?	
D17. What internal and external factors have influenced the ability	

TIER 1 INTERVIEWS: KS4SME mid-term evaluation

Interview schedule (V1.0): ILO, International Training Centre of the ILO and Government of Flanders

of the ILO to meet projected targets?	

E) PROGRAMME RESULTS	

When we consider the results as an outcome of the programme activities...

E1. Has the project started building the capacity of people and national institutions or strengthened an enabling environment (laws, policies, people's skills, attitudes etc.)? Why do you say so?	

E2. How would you define 'enabling environment' in the context of this project?	

E3. Are project activities sustainable in your view? Identify steps that can be taken to enhance the sustainability of project components and objectives	

E4. Is the programme strategy and programme management steering towards impact and sustainability?	

F) GOOD PRACTICES AND LEARNINGS	

F1. What good practices can be learned from the project (relating to project components) that can be applied in possible future phases and to similar future projects?	

F2. Do you have any other comments that you believe we should be aware of when undertaking the evaluation of the KS4SME project?	

THANK YOU FOR TAKING THE TIME TO PROVIDE YOUR VALUABLE INPUTS

TIER 2 INTERVIEWS: KS4SME mid-term evaluation

INTRODUCTION

Capacitate has been contracted to conduct a mid-term evaluation of the knowledge sharing project funded by the Government of Flanders. You have been identified as one of the key stakeholders to be interviewed because of your involvement:

- **For NEDLAC constituents**: as part of the NEDLAC Steering Committee; or
- **For participants**: in one or more of the events that were either fully or part-funded by the project.

Events funded by the project include:
- **2015**: the Sustainable Enterprise Academy, the Enabling Environment for Sustainable Enterprises (EESE) assessment, African Talks on Entrepreneurship Futures
- **2016**: National informal economy summit, **Enterprise Formalisation Course (blended learning workshop)**

During the interview I would like to explore your experience, views and thoughts on a range of questions that consider:
- Programme relevance;
- Validity of the programme design;
- Efficiency relating to resource use (human resources, time, expertise, funds, etc.)
- Programme effectiveness; and
- Programme results

I will be asking you a range of structured questions in this interview to guide our conversation.

CONFIDENTIALITY
Information you provide in this questionnaire is strictly confidential. No names will be used in reporting research findings. Quotes will be anonymous and general themes will be reported on. The interview is a safe environment for you to share your perceptions and experience.

Interviewer:		Date of interview:	1 Dec, 10h30
Name of person(s) being interviewed		Designation (current occupational role)	

A) UNDERSTANDING INVOLVEMENT IN ACTIVITIES

CONFIRMATION OF ACTIVITIES INVOLVED IN…(*Note to interviewer: pre-populate before interview – confirm*)	
A1. FOR NEDLAC CONSTITUENTS: Please tell me the story of the type of feedback received during NEDLAC committee meetings and the type of inputs that you provided to the KS4SME project events.	
A1. FOR PARTICIPANTS OF EVENTS: Please tell me how	

you heard about the event(s) and how involved you were in the event	
A2. FOR PARTICIPANTS OF EVENTS: What was your initial motivation to take part in the event/course?	
A3. ALL: Does the project/event that you participated in align to your organisation's strategy? Tell me more	

B) RELEVANCE OF THE EVENT AND UNDERSTANDING OF THE PROJECT/EVENT PURPOSE

B4. FOR PARTICIPANTS OF EVENTS: In what way was the event/course relevant to you as a participant?	
C1. ALL: Do you know what the objectives of the KS4SME project are? PARTICIPANTS OF EVENTS: Do you know what the objective of the event/course that you attended, was?	

D) PROGRAMME EFFECTIVENESS

When we consider the effectiveness of management arrangements...

D9. If you reflect on the stakeholders who were part of the event that was hosted, were all relevant stakeholders involved in an appropriate and sufficient manner? *(Probe: who is there vs who is missing)*	
D4. Did you complete any evaluation or assessment after the event?	

Support by ILO and partners:

D6. Do you have any view on whether the project is receiving adequate administrative, technical and political support from the ILO Pretoria office and technical specialists and the responsible technical units in headquarters?	

D7. Is the project receiving adequate political, technical and administrative support from its **national partners/implementing partners**?	

When we consider the effectiveness of THE PROGRAMME AND SPECIFIC EVENTS...

D5. NEDLAC CONSTITUENTS: In which area (geographic, component, issue) does the project have the greatest achievements so far? Why and what have been the supporting factors?	

Perception of event(s):

D5. What was your overall impression of the event? (*Name the event*)	**Designing a platform for engagement in 2017 – what could work?**

F) PROGRAMME RESULTS

D. What knowledge did you gain from the event? Any other learnings from the event?	

D. What benefits materialised for you or your organisation or the sector because of having attended the event(s)? (*List for each event, as applicable*)	
D. Do you think that this benefit would have occurred in any way if there was no KS4SME event?	O Yes O Partly O No because….
D. Are other people within your Organisation (including	

leadership) aware of learnings gained from the event/course?	

D. In what way has the project or event assisted in creating an 'enabling environment' in your view?	

D. I want you to tell me whether any of the following ultimate goals/vision statements of the programme are on their way to being achieved because of events/courses hosted:	
IMPACT	**Yes / No /N/A**
(i) Inform national policies, strategies and programmes for job creation	
Why do you say so? ..	
(ii) Increased knowledge sharing and (iii) improved stakeholder coordination and collaboration in the field of SME development	
Why do you say so? .	
(iv) Increased knowledge of the link between SME development and job creation to improve Government policies and programmes	
Why do you say so? .	
(v) Developed capacities of policy makers and practitioners leading to new or revised programme developments	
Why do you say so? .	

D. **For enterprises in the informal sector**, how has this project helped them to move towards formalisation?	

D. **For Government:** how has this project helped to influence Government Policy?	

Factors hindering effectiveness or results:

D. What internal and external factors are you aware of that may have influenced the effectiveness of the event? Tell me more	

D. Are there any internal or external factors that may have influenced further benefits that your organisation could have had in the SME development space?	

Sustainability

D. With a view that the project is coming to an end at the end of 2017, do you have any suggestions on how to ensure that research within the SME development space as well as knowledge sharing, stakeholder coordination and capacity building, are sustainable beyond the project?	

Recommendations for 2017 activities that relate to the creation of an SME knowledge sharing network and key research to inform SME development for Job Creation or to inform policy briefs or practice notes on SME development…

D. Do you have any suggestions on how a knowledge sharing network could be created that could be sustainable?	

D. Do you have any suggestions on key research on issues or topics that you are still grappling with when it comes to either SME development for Job Creation or to inform policy briefs or practice notes on SME development…	

G2. Do you have any other comments that you believe we should be aware of when undertaking the evaluation of the KS4SME project?	

THANK YOU FOR TAKING THE TIME TO PROVIDE YOUR VALUABLE INPUTS

Capacitate Social Intelligence. (2016, 11 17). Inception Meeting Notes. *KS4SME Programme Evaluation*. (T. Heimann, Compiler) Pretoria, Gauteng, South Africa.

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ILO. (2015). *2015 Africa Talks.* Retrieved from Youtube: https://www.youtube.com/watch?v=otoutYSdKsk

ILO Pretoria. (2015). KS4SME Progress Report 2015. *Annual ILO Technical Cooperation Progress Report 2015*. Pretoria.

ILO South Africa. (2014). *Report on Knowledge-Sharing Workshop on SME Development in South Africa.* Pretoria: ILO.

ILO South Africa. (2015, February 24). KS Project Workplan 2015. Pretoria.

ILO South Africa. (2016, October). KS Project Workplan Oct 2016. Pretoria, Gauteng, South Africa.

Lovera, R. (2014, January 14). Approval Minute RAF1406FLAJan2015. PARDEV.

The following documents were reviewed:

2014 knowledge sharing event and video (this event led to the project)
1. Photos
2. KSW_Report_Final (email)
3. Youtube link (embedded in word document)

Project document, work plan, approval minute, budget
4. Approval Minute RAF1406FLA Jan2015 (pdf)
5. Budget overview as of 17 November 2016 (pdf)
6. Clean version Revised Prodoc RAF1406FLA 21 May 2015 (doc)
7. ILO_Knowledge sharing project_Signed PA (pdf)
8. KS project workplan 24 02 2015 (xls)
9. KS project workplan Oct 2016 AP (xls)

The first learning course, the sustainable enterprise academy in2015
10. Annex D- Flyer Sustainable Enterprise Academy (pdf)
11. Annex E - Timetable - Sustainable Enterprise Academy 2015 (pdf)
12. Annex F - project sponsored participants - Academy 2015 (xls)

The first year research, the EESE Assessment, knowledge sharing workshop, video and related documents

13. EESE policy brief (pdf)
14. Final EESE Report South Africa - wcms_459489.with logo (pdf)
15. Validation workshop Attendance Register (pdf)
16. Validation workshop Presentation of EESE Findings (pdf)

The first African Talks event in 2015, video and related documents

17. Agenda African Talks (pdf)
18. Concept - African Talks on Entrepreneurship Futures (2) (ppt)
19. ON BLACK_Africa Talks_A4 flyer_FINAL NEW5 (without fees) (pdf)
20. Quotes Back Channel African Talks 2015 (doc)
21. Youtube link for 2015 Africa Talks (embedded in word doc)

The first progress report and related documents

22. Annex I - Back Channel African Talks 2015 (doc)
23. Annex A - Survey Monkey (pdf)
24. Annex B - Detail of Respondents in Survey Monkey (pdf)
25. Annex C - EESE_SMEGI_technical analysis (pdf)
26. Annex D- Flyer Sustainable Enterprise Academy (pdf)
27. Annex E - Timetable - Sustainable Enterprise Academy 2015 (pdf)
28. Annex F - project sponsored participants - Academy 2015 (xls)
29. Annex G - 2015 Academy All Participants (xls)
30. Annex H - Academy Evaluation Results (xls)
31. KS4SME Progress Report 2015 (RAF-14-06-FLA) (pdf)

The second year knowledge sharing, national summit on informal economy and related documents
32. back up final draft report of Informal Economy Summit (doc)
33. FINAL- List Summit delegates (xls)
34. Latest revised programme with commissions 15 June 2016(2) (doc)
35. List of 7 attendees - ILO Knowledge Sharing Workshop (doc)

The second learning course on enterprise formalization
36. Evaluation Results - A1710151 (xls)
37. Flyer Transition to Formality Blended Learning Course (pdf)
38. Participants A1710151 (xls)
39. Time table transition to formality course (doc)

25 years of cooperation
40. 25 years illustration Flanders & ILO in South Africa (jpg)

The second year research on social innovation and the future of work
41. Social Innovation & Future of Work WORKSHOP AGENDA 6-7 December (pdf)
42. Working Paper_RELEVANCE_DRAFT 09-11 (doc)
43. Working Paper_RELEVANCE_DRAFT 09-11 (pdf)
44. Working Paper_KNOWLEDGE_DRAFT 09-11 (doc)
45. Working Paper_KNOWLEDGE_DRAFT 09-11 (pdf)

General Evaluation Documents
46. Checklist 5 - writing the evaluation report (pdf)
47. Code of conduct for evaluations (doc)
48. Executive summary template (doc)
49. Guidance Note 9 for conducting a project evaluation (pdf)
50. List of documents needed for project evaluators (pdf)
51. Sample Mid Term Project Evaluation (pdf)
52. Title Page Template (doc)

TOR and contract
53. PO_Capacitate (doc)

54. TOR Midterm Evaluation - KS4SME October (doc)

Additional documents
55. Executive Summary-NDP 2030 - Our future - make it work (pdf)
56. Nedlac update October 2016 (doc)
57. KS4SME Project Brief final (2) (pdf)
58. wcms_492744 (pdf)
59. 161117 Inception Meeting Notes (doc)
60. 161121 ILO Evaluation S 001253_Inception Report V3 (doc)

ANNEXURE H: BUDGET REVIEW OF FUNDING RECEIVED AND EXPENSES RECEIVED FOR THE KS4SME PROJECT

The following table outlines the funding received and summary of expenses for each year to 17 November 2016:

Table 1: Budget Overview KS4SME

Year	Total Grant Funding Allocated	Summary of Expenses[1]	
2015 (Full year)	134 746	Personnel Local & International	43 120
		Travel	3 175
		Mission & Evaluation	26 500
		Subcontracts	39 215
		Seminars	33 188
		Print & Equipment	153
		Sundries	392
		Programme support costs (13%)	15 502
2016 *(Up to 17 Nov 2016)*	264 872	Personnel Local & International	29 307
		Travel	2 387.14
		Mission & Evaluation	1 365.72
		Subcontracts	24 236.86
		Seminars	87 510.09
		Print & Equipment	0
		Sundries	4 428.11
		Programme support costs (13%)	19356.78
2017	290 655		
TOTAL	**690 273**	**303 335.7**	

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[1] Budget overview as of 17 November 2016.pdf

ANNEXURE I: SUMMARY OF INITIAL PROJECT OBJECTIVES AND OUTPUTS COMPARED TO THE REVISED ONES THAT WERE IMPLEMENTED AND MEASURED

The following table outlines the work plan designed in February 2015, compared to the revised objectives and reported outputs measured:

Table 2: 2015 Initial vs Revised Objectives and Output

Objectives	Initial Output February 2015[2]	Revised Objectives May 2015	Reported Output February 2016[3]
Objective 1. To increase knowledge sharing and improve stakeholder coordination and collaboration in order to strengthen job creation through SME development	**Output 1.1** Knowledge Sharing Infrastructure for a regional knowledge sharing network **Output 1.2** Annual national knowledge sharing events	**Objective 1.** Evidence based research inform government policies and programmes	**Output 1.1** Research on link between SME development, formalization and job creation. **Output 1.2:** Policy briefs/SME development practice notes to influence policy and programming
Objective 2. To increase knowledge and awareness of the link between SME development and job creation with the view to improve government policies and programmes	**Output 2.1** Research on link between SME development and job creation has been undertaken and disseminated. **Output 2.2** Policy briefs / SME development practice notes influence policy and programming	**Objective 2.** Improved knowledge sharing, coordination and collaboration contribute to innovative models for job creation	**Output 2.1** Regional knowledge sharing network **Output 2.2** Annual national knowledge sharing events
Objective 3. To develop the capacities of policy makers and practitioners, with the intention that they develop new programmes.	**Output 3.1** African policy makers and practitioners receive expert input and share knowledge on SME development through annual African Talks on Entrepreneurship Future **Output 3.2**	**Objective 3.** Developed capacities of policy makers and practitioners inform new program development	**Output 3.1** Policy makers and practitioners develop their knowledge and understanding of SME development through an annual blended learning course on sustainable enterprise **Output 3.2**

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[2] The KS4SME work plan 2015 (Excel Document) provided by ILO South Africa in Folder with Key Documents.
[3] KS4SME Progress Report 2015 provided by ILO South Africa in Folder with Key Documents.

	Policy makers and practitioners develop their knowledge and understanding of sustainable enterprises through an annual blended learning course		African policy makers and practitioners receive expert input and are exposed to innovative entrepreneurship models from the African continent through the annual African Talks on Entrepreneurship

The following table outlines the logical framework matrix provided in the revised work plan:

Project structure	Indicators	Means of verification	Assumptions
Development Objective/Expected impact • An improved enabling environment for SMEs where support programs and technical assistance facilitate formalisation and enables enterprise development in an equitable and sustainable manner •	**Long-term impact indicators** • # of jobs created • # of SMEs started, formalized and/or expanded	**Sources of information** • Job creation data from constituents and knowledge sharing network members • Research studies/reviews of knowledge sharing and collaboration activities	**Sustainability assumptions** • The Government of South Africa and provincial governments continue to assign political priority to job creation through SME development
Immediate objectives/project outcomes 1. Evidence based research inform government policies and programmes 2. improved knowledge sharing, coordination and collaboration contribute to innovative models for job creation 3. Developed capacities of policy makers and practitioners inform new program development	**Indicators for short/mid-term impact** 1.1: improved government policies and/or programs (Target: 2) 2.1 innovative models for job creation implemented by network members (Target: 2) 3.1 organizations develop and implement new programs for job creation (Target: 2)	**Sources of information** • physical evidence of models being implemented • physical evidence of policies and/or programs • baseline data of SME outreach and job creation compared with follow-up data of same	**Implementation assumptions** • Public and private institutions remain interested in finding solutions to the employment challenge in Southern Africa • The South African government continues to prioritize research and knowledge sharing to inform provincial SME development strategies and programmes • Policy makers and practitioners available for knowledge sharing and capacity development
Regards immediate objective #1: Evidence based research inform government policies and programmes Output 1.1: Research on link between SME development, formalisation and job creation has been undertaken and disseminated	1.1.1: At least 3 research studies published and debated by at least 300 representatives or government, organised business and labour over the project period	• Website data and reports • Workshop records, registrations and attendance lists	• Public and private institutions remain interested in finding solutions to the employment challenge in Southern Africa

Project structure	Indicators	Means of verification	Assumptions
Output 1.2: Policy briefs/SME development practice notes to influence policy and programming	1.2.1: At least 3 policy briefs / practice notes on SME development disseminated to at least 3'000 stakeholders in the SME sector in the SADC region		
Regards immediate objective #2: improved knowledge sharing, coordination and collaboration contribute to innovative models for job creation Output 2.1: Regional knowledge sharing network Output 2.2: Annual national knowledge sharing events	2.1.1: An SME knowledge sharing network reach at least 1'500 members 2.2.1: 3 national knowledge sharing events reach 1'000 policy makers and practitioners	• Physical evidence of publications • Physical evidence of policy briefs/SME development practice notes • Reports from dialogue events	• The South African government continues to prioritize research and knowledge sharing to inform provincial SME development strategies and programmes
Regards immediate objective #3: Developed capacities of policy makers and practitioners inform new program development Output 3.1: Policy makers and practitioners develop their knowledge and understanding of SME development through an annual blended learning course on sustainable enterprise development Output 3.2: African policy makers and practitioners receive expert input and are exposed to innovative entrepreneurship models from the African continent through the annual African Talks on Entrepreneurship	3.1.1: An annual blended learning course on sustainable enterprises develop capacities of at least 500 policy makers and practitioners over the project period 3.2.1: 3 African Talks on Entrepreneurship reach at least 300 policy makers and practitioners over the project period	• Conference program and flyers • Conference registrations • Contents and modules of e-leaning courses • Contents and modules of face-to-face learning program	• Policy makers and practitioners available for knowledge sharing and capacity development
Key Activities Under Outputs 1.1 & 1.2 A.1.1.1 consult with representatives from government, organised business, organised labour and			

Project structure	Indicators	Means of verification	Assumptions
Community on research priorities for SME development			
A.1.1.2 Commission research based on identified research priorities, including support to dsbd on the review of the Small Business Act and to BUSA research on transition to formality and the SME Growth Index survey			
A.1.1.3 Validate findings through stakeholder workshops and the community of practice and face-to-face discussions with network members			
A.1.2.1 Based on research findings and validation of these findings draft policy briefs / practice notes on SME development or other input requested by the implementing partners			
A.1.2.2 Present policy briefs to national and provincial government departments and other SME development stakeholders			
A.1.2.3 Assess to what extent policy recommendations have been adopted and has influenced innovative models for supporting job creation through SME development, including transition to formalisation			
Key Activities Under Outputs 2.1 & 2.2			
A.2.1.1 Consult with implementing partners and network members on their needs and priorities on features and functions of a network / community of practice			
A.2.1.2 Design features and functions of the network / community of practice based on identified priorities			

Project structure	Indicators	Means of verification	Assumptions
A.2.1.3 Launch the network /community of practice and thematic facilitate discussions forums and distribution and sharing of information			
A.2.2.1 Consult with implementing partners and network members on the design, content, structure and timing of the annual knowledge sharing events			
A.2.2.2 Promote the knowledge sharing events for broad participation in South Africa and facilitate participation from Malawi and Mozambique			
A.2.2.3 Undertake the annual knowledge sharing events, present findings from the research undertaken under Outcome 1 and evaluate events with a view to improving subsequent annual events			
Key Activities Under Outputs 3.1 & 3.2			
A.3.1.1 Consult with implementing partners and network members through on-line surveys and face to face on the content and electives of the blended learning course and the Sustainable Enterprise Academy to meet enterprise challenges and demand in the SADC region			
A.3.1.2 Design and promote the academy and facilitate participation from the three target countries and from SADC more broadly			
A.3.1.3 Deliver and evaluate the annual blended learning course and the sustainable enterprise academy with a view to improving subsequent annual courses			

Project structure	Indicators	Means of verification	Assumptions
A.3.2.1 Conceptualise and design the African Talks on Entrepreneurship			
A.3.2.2 Market the Talks and source high-profile speakers from the private and public sector, academia and civil society			
A.3.2.3 Deliver the African Talks on Entrepreneurship and transfer capacities to the chosen partner in the process to enable this organisation to continue organising the event independently in the coming years.			

Immediate Objective #1: Evidence based research inform government policies and programmes	Indicators		MTE targets reached
Output 1.1: Research on link between SME development, formalisation and job creation has been undertaken and disseminated	1.1.1:	At least 3 research studies published and debated by at least 300 representatives of government, organised business and labour over the project period	**EESE South African Report published February 2016** Validation workshop of EESE 26 February 2016: Attendance totalled 34: 4 ILO, 3 BUSA, 6 Govt, 1 WO, 20 EO **2016 Social Innovation and the future of work** 2x Working paper drafts dated 9 November 2016 - Relevance - Knowledge **Workshop scheduled for 6-7 December 2016**
Output 1.2: Policy briefs/SME development practice notes to influence policy and programming	1.2.1:	At least 3 policy briefs / practice notes on SME development disseminated to at least 3'000 stakeholders in the SME sector in the SADC region	**EESE Policy Brief** *No indication who drafted it and when and where this was distributed.*
Immediate objective #2: improved knowledge sharing, coordination and collaboration contribute to innovative models for job creation	Indicators		MTE targets reached
Output 2.1: Regional knowledge sharing network	2.1.1:	An SME knowledge sharing network reach at least 1'500 members	

Output 2.2: Annual national knowledge sharing events	2.2.1:	3 national knowledge sharing events reach 1'000 policy makers and practitioners	**2nd National Informal Economy Summit** 23-24 June 2016 Total Attendees[4]: 323 76 National Govt, 24 Provincial Stakeholders, 15 Agencies, 15 Organised Business, 23 Organised Labour, 15 Informal Economy, 45 Informal Business Organisations, 6 SETA, 31 LED Officials, 10 Donor and International Organisations, 2 Researchers, 25 Other Stakeholders, 21 DOL, 15 ILO
Immediate Objective #3: Developed capacities of policy makers and practitioners inform new program development	**Indicators**		**MTE targets reached**
Output 3.1: Policy makers and practitioners develop their knowledge and understanding of SME development through an annual blended learning course on sustainable enterprise development	3.1.1:	An annual blended learning course on sustainable enterprises develop capacities of at least 500 policy makers and practitioners over the project period	**2015 Sustainable Enterprise Academy** **31 August – 4 September 2015[5]** Total programme 140 participants Project Sponsored Participants Total: 10 participants[6] - 4 South Africans: 2 EO, 1 Govt, 1 WO - 3 Malawi: 1 EO, 1 Govt, 1 WO - 3 Mozambique: 1 EO, 1 Govt, 1 WO Other Participants: Total: 130 funded by other sources. - 9 South Africans - 4 Malawi - No other Mozambique **2016 Blended learning course on policies and practices for enterprise formalisation and SME development - South Africa** 1 August – 16 September 2016

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[4] FINAL – List summit delegates.xi (Note that count is based on all names reflected on list regardless of colour coding since no coding frame is provided and it is therefore assumed that all delegates attended the summit)

[5] Annex D – Flyer Sustainable Enterprise Academy.pdf

[6] Annex F – Project Sponsored Participants.xl

			Total: 24 Participants
			Project Sponsored Participants[7]
			- *Not clearly indicated if any SA participants were sponsored by the programme*
			- 5 Malawi
			- 3 Mozambique
Output 3.2:	African policy makers and practitioners receive expert input and are exposed to innovative entrepreneurship models from the African continent through the annual African Talks on Entrepreneurship	3.2.1:	3 African Talks on Entrepreneurship reach at least 300 policy makers and practitioners over the project period	**The African Talks on Entrepreneurship Futures** **26 November 2015 – Event** No attendance register. *Comments on back channel dominated by only a few people of which two seemed involved in the programme based on comments.* **YouTube African Talks Channel 2015** 188 views 1 like 1 dislike *Cannot see who viewed to profile and measure against indicator.* **2016 African Talks (Planned but not executed)**

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[7] Participants A1710151. Xl