



# Mid-term Evaluation of improving synergies between Social Protection and Public Finance Management

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**Mid-term Evaluation of improving synergies between Social  
Protection and Public Finance Management**

*The opinions expressed in this document represent the authors' points of view  
and are not necessarily shared by the European Commission  
or by the authorities of the countries involved.*

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## SPECIFIC TERMS OF REFERENCE – PART A

### Mid-term evaluation of

### Improving synergies between Social Protection and Public Finance Management (PFM)

### Thematic programme DCI-HUM 2018/041-579

### FWC SIEA 2018 – Lot 5: Budget Support

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# 1 BACKGROUND

## 1.1 Relevant sector background

**Social Protection (SP)** refers to a **nationally defined system** of policies that provide income security and access to health services for all people, and equip and protect them throughout their lives to harness against poverty and risks to their livelihoods. SP instruments encompass a range of **non-contributory** schemes to individuals or households in need, as well as **contributory schemes**, where only those who financially contribute into a scheme's fund can receive a benefit. They can include:

- **Social assistance**, which are non-contributory transfers in cash, vouchers, or in-kind; public works programmes; fee waivers (for basic health and education); and subsidies (i.e. for food, fuel, etc.).
- **Social care services** for those facing social risks discrimination and social exclusion.
- **Social insurance**, which is made of contributory schemes providing support in the event of contingencies (illness, injury, maternity/paternity, unemployment, old age, disability, death, survivor).
- **Labour market programmes** which can be 'active' to strengthen skills and competencies to promote labour market participation or 'passive' to ensure minimum employment standards.

Social Protection (SP) is a **human right**, a major tool to tackle poverty and social exclusion, reduces inequalities, including gender inequalities, promote human development, increase productivity and employability and contribute to economic growth. Under international human rights treaties, states are legally obligated to establish SP systems<sup>1</sup> to prevent people from falling into poverty and to enable people to manage risks across the life-cycle. It is also a powerful **socio-economic stabilizer** upon which states can rely on to strengthen socio economic systems' and people's resilience in times of crisis and shocks. It is also a key tool to build political stability and to help societies to cope with **structural challenges**.

The potential of SP, although being so important in combating poverty and addressing life-long risks, has largely been underexploited in international cooperation. It is only **recently that SP gained considerable importance**, notably as a cross cutting priority in the Agenda 2030 and as part of the crisis response to COVID-19.

### Challenges and opportunities

Access to SP has continued to expand across partner countries, but significant gaps concerning coverage and inadequacy of benefits still exist. Today only 45% of the world's population have access to at least one type of SP benefit, while the remaining **55% – 4 billion people – are left unprotected**.

This limited coverage is first of all a result of **lack of adequate spending on SP schemes**. While the share of SP expenditure in partner countries differs considerably across and within regions<sup>2</sup>, the level of spending is highly correlated to the level of income of the countries. If, on average, partner countries at global level spend 6.6% of their GDP (=€ 1,765 billion<sup>3</sup>) on SP benefits (excluding health), this level is 1.3% on average in Low Income countries (LICs), 2.4% in Low-Middle Income countries (LMICs) and 7.9% in Upper-Middle Income countries (UMICs). **To achieve universal coverage** at an adequate minimum level, LICs would need

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<sup>1</sup> *Universal Declaration of Human Rights (UDHR); International Convention on the Elimination of All Forms of Racial Discrimination (CERD); Convention on the Rights of Persons with Disabilities (CRPD); Convention on the Rights of the Child (CRC); and the Convention for the Protection of Migrant Workers and their Families (CMW).* :

<sup>2</sup> *Please see Annex 1, Figure 1.*

<sup>3</sup> *Original figure in US\$ 2,086.6 (exchange rate Nov 2020: 1 USD = 0.845581 EUR)*



to spend additional 5,6% (€ 22.8 billion) of their GDP on SP, the LMICs 1,9% (€ 115 billion), and the UMICs 1,4% (€ 308.7 billion) per year to close the financing gap<sup>4</sup>.

Against this background, the key challenge for most partner countries is the collection of **sufficient financial resources** to run adequate SP systems. Faced with the need to create **fiscal space** to ensure scaled up delivery of SP, including contingency measures to adapt the delivery to crisis situations, governments are challenged to make a funding effort.

Furthermore, partner countries **have to plan their pathway to achieving universal social protection for all members of society**. As a first step, they determine the design of the **national SP floor**<sup>5</sup> to **guarantee income security and access to health services across the life cycle**. The process requires a **policy dialogue and country-based diagnostic** on priorities and SP programmes, and how to fund them without placing excessive strains on national budgets or crowding out spending on other vital social sectors. While some countries have the ability to create sufficient fiscal space, others with **debt** and **public health system distress** and **related challenges** will need long-term financial support from third parties (including debt relief, large-scale concessional lending or re-orientation of multi-stakeholder funds).

### International policy context

SP is seen as a **key driver** for the achievement of the **2030 Agenda**. Even if it cannot claim a specific SDG, the SDG target 1.3 (*“Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable”*) specifically addresses SP. Furthermore, increasing SP coverage is instrumental in making progress towards ending poverty (SDG 1) and hunger (SDG 2), good health and well-being (SDG 3), achieving gender equality (SDG 5), decent work and economic growth (SDG 8) and reducing inequalities (SDG 10).

To join forces to advance global SP coverage in line with the SDGs, the **Global Partnership for Universal SP 2030 (USP 2030)**<sup>6</sup> was launched in 2016 at the UNGA. The EU, a member of this initiative from the onset, keeps playing an active role, furthermore building on its unique commitment to social justice and social cohesion. The OECD through its Policy Statement on Universal Social Protection<sup>7</sup> recalls the need to re-emphasize strengthening SP systems in partner countries and refers to the Call for Action issued by USP2030<sup>8</sup>

Other coordination mechanisms the EU is involved in are the global **SP Inter-Agency Coordination-Board (SPIAC-B)**, established on request of the G20, and the **Grand Bargain Working Group** linking Humanitarian Cash and SP. Furthermore, the 3<sup>rd</sup> International Conference on **Financing for Development** committed to establish a “social compact” to provide fiscally sustainable and nationally appropriate SP systems and essential public services for all.

### The EU policy context, background and experiences

Already the 2012 **Communication ‘Social Protection in European Union Development Cooperation’** (COM(2012)446) stressed the importance of supporting the development of nationally-owned SP systems

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<sup>4</sup> ILO estimation, *World Social Protection Report 2017-2019*.

<sup>5</sup> The ILO Recommendation No. 202 on National social protection floors define the concept of floors as a nationally defined set of basic social protection guarantees that should ensure as a minimum that all in need have access to essential health care and to basic income security. It pays specific attention to children, older persons and vulnerable adults.

<sup>6</sup> The USP2030 is a multi-stakeholder Partnership that brings together governments, international and regional organizations, civil society organizations, social partners and other organizations. USP2030 is co-chaired by the International Labour Organization (ILO) and the World Bank.

<sup>7</sup> <https://www.oecd.org/dev/Policy-Statement-gkm-MAY-2019.pdf><https://www.oecd.org/dev/Policy-Statement-gkm-MAY-2019.pdf>

<sup>8</sup> <https://www.usp2030.org/gimi/RessourcePDF.action?id=55464>

to achieve resilience, peace, stabilization and economic growth. The **New European Consensus on Development** (2017/C210/01) fully aligned the EU development policies with the SDGs and promotes basic human rights, including the right to SP for all, ensuring that no one is left behind. The **Communication ‘Lives in Dignity’ on Forced Displacement and Development** (COM(2016)234) calls for greater synergies between humanitarian and development actors and describes SP as critical to empower the forcibly displaced and giving them long-term support. The EU **Communication on Resilience (JOIN (2017) 21)** is conducive to system strengthening supporting SP building. The **Council Conclusions on operationalizing the humanitarian-development nexus (9383/17)** address building risk sensitive systems, including SP systems.

In line with these policy documents, and working closely with DG NEAR and DG ECHO, DG DEVCO currently supports 29 partner countries with SP programmes financed through the **geographic envelopes** in implemented through different aid modalities. Almost half of this €1.75 billion investment in SP is implemented through budget support. Emphasis is placed on **strengthening national SP systems, broadening the scope of coverage and improving the delivery of social assistance programmes (in particular cash transfers, sometimes combined with targeted service delivery)**.

At **global level**, through its **thematic programmes in SP**, DG DEVCO contributes to producing international best practices and makes sure that this is fed into the geographic programmes. The 2014–2019 “**EU’s Social Protection Systems Initiative**” has developed evidence-based research on the SP contribution to inclusive growth, on SP and informality, on SP financing and, in very practical terms, has strengthened capacity at national level in 11 partner countries. The project made obvious in partner countries that SP is no longer to be perceived as a luxury for developed countries, but, on the contrary, as an already solid and sustainable tool to reduce poverty and inequalities even in low income countries.

Following this research-oriented phase, the new **programme on “Improving synergies between SP and Public Financial Management”**, which is subject of this mid-term evaluation was elaborated to contribute increasing the population's universal SP coverage in partner countries through improved policy coherence in the design, financing, implementation and monitoring of SP systems, and through making SP more sensitive to shocks. The programme directly supports eight partner countries<sup>9</sup> in medium term SP system building and an additional set of countries through short-term technical advisory services.

## COVID-19 and SP

The **COVID-19 outbreak** has evidenced and further exacerbated the vulnerability of the population at large. As a consequence of the pandemic, the World Bank’s previsions show an estimated **global economic downturn of 5.2% and 49 million more women and men falling into extreme poverty by the end of 2020<sup>10</sup>**. Besides the immediate health response, **SP has quickly emerged as an effective crisis response mechanism to the socio-economic impact of the pandemic**. Since the outbreak, 200 countries implemented more than 1000 SP measures in response to COVID-19<sup>11</sup>. However, the vast majority of the cash injection in all these new welfare schemes is in rich countries. In the poorest ones, extra **social spending announced so far amounts to just US\$1 per head - in total, not per day**.

**EU response to the socio-economic impact of COVID-19** was quick and pragmatic and largely translated into the promotion of SP measures: **At policy level**, SP is prominently mentioned as an important means to address the economic and social impact of COVID-19 in the Communication ‘Joint European Response in support to partner countries against COVID-19 of 8 April 2020. The corresponding Council Conclusions of 8 June 2020 explicitly welcomed the immediate support to attenuate the social, economic and political

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<sup>9</sup> Angola, Burkina Faso, Cambodia, Ethiopia, Nepal, Paraguay, Senegal, Uganda.

<sup>10</sup> At the end of 2019, the total number of extremely poor people was around 630 million and equivalent to 8% of the world population and at the lowest level since 1990.

<sup>11</sup> Social assistance through cash transfers to enable meeting basic needs was the most widely used type of intervention. These measures are complemented by measures in social insurance and active labour market measures.

consequences, which include SP measures, calling for consistency between the short term humanitarian response and medium and longer term support and for addressing preventive shock responsive mechanisms, **to be considered in the future of EU development cooperation.**

**At implementation level,** DG DEVCO immediately reallocated funds from existing programmes and unblocked funds under the current budget to help beneficiaries to protect livelihoods, restore income, and compensate for food price increases. This included speeding up disbursements in BS operations, adding cash transfer/food aid components to programmes and transferring funds to ECHO for immediate humanitarian aid response<sup>12</sup>. Among the most vulnerable categories that have benefitted from this support are people on the move, such as migrants, refugees and internally displaced persons (IDPs), as well as returnees. Within the thematic flagship programme under evaluation an additional 10 countries<sup>13</sup>, selected through a call-for-concept notes, benefit from short term technical assistance under Approach 2 of the programme to cope with the pandemic.

The European Commission will continue investing in Social Protection as part of Human Development, which is an EU priority in the next Multiannual Financial Framework (MFF) 2021-2027. The results of the MTE will therefore also feed into the identification and formulation of new programme in the fields of social protection and PFM.

Team Europe Initiatives (TEI), which are broader political and cross-sectoral approaches and fortify both country processes and global coordination efforts of the EU and its Member States, will play a key part in the future programming exercise. They bring together the collective European experiences and capacities with the aim of better supporting out partner countries' priorities, thus reinforcing shared values and interests. The thematic priority of the TEIs have indicatively been identified in line with the proposed country priority areas as part of a pre-programming exercise. They will later be further developed or might be modified, if relevant. Some of them concern the area of human development and might lead to more focussed attention on social protection (i.e. Angola, Burkina Faso, Eritrea, Uganda, Zambia, Pakistan, Dominican Republic, Paraguay).

## 1.2 The Intervention to be evaluated<sup>14</sup>

<b>Title of the Action to be evaluated</b>	<ul style="list-style-type: none"> <li>Improving synergies between Social Protection and Public Finance Management (PFM) (in short: SP &amp; PFM programme)</li> </ul>
<b>Budget of the Action to be evaluated</b>	<ul style="list-style-type: none"> <li>EUR 22.9 million</li> </ul>
<b>CRIS number of the Action to be evaluated</b>	<ul style="list-style-type: none"> <li>DCI-HUM/2018/041-579 and PCC-408767</li> </ul>
<b>Dates of the Action to be evaluated</b>	<ul style="list-style-type: none"> <li>Start: 01/10/2019</li> <li>End: 31/05/2023</li> </ul>

Starting from 1 October 2019, the European Commission is implementing the EUR 22.9 million global action on "Strengthening the synergies between Social Protection and Public Finance Management" (SP & PFM) for a period of 44 months. The action is co-implemented by ILO, as lead agency, and UNICEF in close

<sup>12</sup>EU global response to COVID 19 [https://ec.europa.eu/international-partnerships/topics/eu-global-response-covid-19\\_en](https://ec.europa.eu/international-partnerships/topics/eu-global-response-covid-19_en)

<sup>13</sup> Bangladesh, Cabo Verde, Cote d'Ivoire, Ecuador, Malawi, Myanmar, Nigeria, Peru, Sri Lanka, and Togo.

<sup>14</sup> The term 'Action' is used throughout the report as a synonym of 'project and programme'.

collaboration with the Global Coalition of Social Protection Floors (GCSPF), an international alliance of over 100 civil society organization, trade unions, labour movements and academics that are active in the area of social protection. The EU contributes €20mio to the Action being co-funded by the ILO (EUR 1.9 mio) and UNICEF (EUR 1 mio). The Action ensures full consistence with the EU policy framework and furthermore acknowledges and builds on the programming and social protection frameworks of the ILO, UNICEF and the GCSPF, as described in section 1 of the Description of the Action. In particular it will be guided by the ILO Labour and Social Security Standards.

From the Action's budget, around EUR 15 million are allocated for activities in support of the eight priority countries, and EUR 5 million for Approach 2 and around EUR 3 million for regional and global activities, including the research of multiplier effects (see below in this section).

**The Action aims to increase the population's universal social protection coverage in partner countries** preferably but not limited to those benefiting from EU funded budget support operations. Universal Social Protection (USP) refers to an integrated set of policies and programmes to ensure that all people throughout their lives, whenever exposed to risks, have equitable access to social protection schemes that protect them from the potential negative consequences of these risks.

**The Action supports governments' efforts to improve life-course risk social protection measures including their financing basis and redistributive effects** and considering the national context within which they are to be realised. Improvements are to be expected to legal, policy, fiscal and macroeconomic frameworks as well as to the overall coordination of sectoral social protection instruments, their implementation and assertion of entitlements for the beneficiaries. Coordination of the social protection system with other development interventions will broaden coverage further, at the same time as increasing the longer-term resilience of beneficiaries.

**Public finance management is a key dimension of a social protection policy**, regarding inter alia the link between Domestic Resource Mobilization and the sources of financing of a social protection system, the articulation between the State budget and the social protection budget, a reliable planning and execution of the budget and the assessment of financial sustainability. One of the challenges, indeed, is to increase financing for social protection while ensuring sound public financial management, financial sustainability and macroeconomic stability and ensuring adequate protection of the population, particularly the poor.

The Action is based upon the underlying assumption that low-income economies and fragile countries generally already have co-existing social insurance measures, covering only a minority of the population, and a disconnected myriad of fragmented and uncoordinated poverty-targeted safety nets. To develop a comprehensive and inclusive social protection system, the intervention logic also highlights important cross cutting issues, namely the importance of strengthening national capacities, the adoption of a rights-based approach and national, participatory processes including social and national dialogue, gender responsiveness, disability inclusiveness and non-discrimination, paying attention to the environmental dimension, addressing the needs of informal economy and migrant workers and fostering knowledge creation, sharing and partnerships in order to enhance the project's impact.

As defined in the Logframe (see Annex VI of these ToRs), the **general objective** of the Action is to increase the population's universal social protection coverage in partner countries preferably but not limited to those benefiting from EU funded budget support operations.

The **specific objective 1** is to improve partner countries' design and financing of social protection systems in support of their efforts towards SDGs 1 and 10.

Result 1.1: Adequate, sustainable and gender-sensitive social protection financing through improved cross-sector coordination in coherence with national macroeconomic, fiscal, digital and SDG strategies as well as diversification of sources of financing and increased fiscal space available for all social sectors to progressively achieving universal social protection.

Result 1.2: Enhanced evidence and availability of tools that support national evidence-based decision-making and encourage supra-national coordination and benchmarking of good practices (including the portability of social entitlements as integral part of economic and labour policies, gender-sensitive and disability inclusive social protection), with participation of regional bodies as well as civil society organisations.

The **specific objective 2** is to support governments in implementing and monitoring effective gender-sensitive and disability-inclusive social protection systems and programmes for all while ensuring financial sustainability and macroeconomic stability.

Result 2.1: Strengthened capacities of partner countries to achieve the best impact of diversified sources of funding for social protection, prioritizing women, children, persons with disabilities, informal economy and migrant workers.

Result 2.2: Strengthened knowledge and technical capacities of partner countries at national and sub-national levels to plan, deliver, monitor and report on social protection programmes, with participation of training institutions and civil society.

The **specific objective 3** envisages assisting partner countries in developing and applying shock-sensitive social protection programmes and systems adapted to the needs of those living in protracted fragility and crises, including forcibly displaced persons.

Result 3.0: Increased capacities of partner countries in the context of emergencies, natural disasters, forced displacements, protracted fragility and crises to establish contingency plans and multi-year funding strategies to run adaptive social protection mechanisms.

The Action is made of the following two approaches:

**Approach 1:** In 8 pre-selected priority countries (Angola, Ethiopia, Burkina Faso, Uganda, Senegal, Nepal, Cambodia, and Paraguay)<sup>15</sup>, ILO, UNICEF and the GCSPF provide medium-term technical assistance and conduct capacity and knowledge development activities, focussing on the country-specific priority areas of support and based on a three-years partnership with the partner countries developed during the inception phase. Whereas all countries are addressing improved PFM for Social Protection, they opted for different thematic foci, such as gender or disability inclusiveness, extension of coverage to informal economy workers, shock-sensitivity, fiscal space analysis, etc. Overall, the Action intends to collaborate closely with interested EU Member States/EFTA countries, other development partners' agencies and social protection related country activities of the UN Joint Fund for the Agenda 2030, where appropriate. These 8 priority countries can include a COVID-19 response components on request depending on the further development in the respective countries. In average, a budget of EUR 1.8 million is allocated to each priority country and evenly split between ILO and UNICEF. Both organizations agreed to create at least one part time position for support staff with duty station in the country. The GCSP is only active in some of the priority countries (Nepal, Cambodia, Uganda, Senegal).

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<sup>15</sup> A request for expression of interest was sent early 2019 to all EU Delegation. Among the more than 20 proposals, these countries were selected based on the following assessment criteria:

- Balanced geographical coverage, socio-economic and human development indicators
- Relevance of Social Protection in the country and in the NIP
- Mutual synergies between Social Protection and BS/PFM operations, and
- Feasibility of the proposed intervention/research

**Approach 2:** In other countries, on-demand shorter-term advisory services are provided by ILO: to increase performance as well as domestic financing of social protection policies and to strengthen the synergies between social protection and PFM. EU Delegations or Governments with support by the EU Delegations interested in such support can submit their requests following calls for proposals to be organized by the ILO throughout the implementation period. The first call (a minimum of 2 calls will be organized) with a Covid-19 response focus was launched in April 2020. The following 10 countries were selected and started their projects related to Covid-19 response in October 2020: Bangladesh, Cabo Verde, Cote d'Ivoire, Ecuador, Malawi, Myanmar, Nigeria, Peru, Sri Lanka, and Togo. In average EUR 200,000 were allocated per country.

Other partner countries who might be interested in the programme can be closely linked as associate in order to benefit from participating in the project's knowledge exchange, findings and best practices. EUDs can ask for such associate status for EU supported programmes on Social Protection that pursue the same objectives as the 'Improving synergies between Social Protection and PFM' programme and involve the same partners (ILO, UNICEF, GCSPP) in the implementation. Any costs originating from such association cannot be covered by the overall programme.

**At regional and global level,** the programme envisages taking advantage of synergies across the various country interventions in Approach 1 and 2 to ensure overall coordination, quality assurance and management of the programme. In this context, the Action supports research on multiplier effects of social protection measuring the impact of changes in the composition and magnitude of different types of social protection expenditure and revenue collection on domestic demand and growth. This research is carried out through building econometric models using high frequency data.<sup>16</sup> These include data on social protection expenditure and other social expenditure, both disaggregated by programme and different sources of government revenues (taxes, ODA, loans, other non-tax revenue. The University of Sao Paolo has been entrusted to carry out the econometric analysis. Depending on data availability, it should provide answers to the following questions on multipliers of different social protection expenditures, on multipliers of other government expenditures, in particular care services, education, infrastructure or consumption and how does GDP vary in function of different sources of government revenue? Data collection and the costs thereof will be borne by the participating countries or be covered by any other financial source, if necessary.

**The Action's intervention logic/Theory of Change** refers to the following results chain:

- 1) Further enhancements to the policy coherence in the design and financing of social protection (specific objective 1) will not only generate improvements in the effectiveness and impact of current and future EU budget support programmes but will also foster collaboration and mutual learning across policy sectors on the social needs, best practices and operational synergies of social protection interventions and their financing to ultimately achieve reduction of poverty and inequality.
- 2) The increased political recognition of social protection will benefit in turn from the Action's support to better coordination, implementation and monitoring of different social protection programmes, and to capacity building at both national and sub-national levels (specific objective 2) thereby creating a more coherent and comprehensive overall social protection system.
- 3) Finally, through demonstrating the potential of social protection systems to meet basic needs and protect households and specifically respond to the differing demands in contexts of crisis and structural fragility, and to help achieving greater resilience and creating income generating activities (specific objective 3), the Action will reinforce the importance of integrating social support into broader

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<sup>16</sup> The global research will include the following countries: Angola, Senegal, Cabo Verde, Malawi, Ecuador, Mexico, Paraguay, Viet Nam, and Pakistan and up to three additional countries still to be selected by DG DEVCO.

development and humanitarian policies, including through the participation of forcibly displaced persons in public social protection programmes.

The major part of baseline data and targets still remain to be defined until the end of first year of implementation, which makes it unforeseeable at the time when these ToRs were drafted if the implementing partners are able to provide the requested information, which essential for appropriate monitoring and evaluation.

The specific objectives and result chain of the programme were formulated before the outbreak of the COVID-19 pandemic that occurred just after the country multiannual programming was agreed upon. It obliged partner countries to implement restrictive measures, including lockdown, and shifted national priorities toward urgent sanitary and socio-economic responses to the crisis. This situation has negatively impacted and delayed the implementation, partly with the suspension of in-country recruitment. Nonetheless, the overall and specific objectives continue to be relevant for the crisis response. Many approaches to support the countries in designing and implementing COVID-19 responses, the overarching objective of the results and activities listed under specific objectives 1 and 2 were redirected to increase the capacity of partners in the context of emergencies to contribute to the discussions concerning the financial sustainability of the social protection systems post-crisis, (and thus to contribute to the specific objective 3).

### **The governance structure of the action**

ILO and UNICEF have established a **project management unit (PMU)**, which ensures the overall coordination of activities implemented by the partners. Furthermore it provides operational and administrative assistance to the **Steering Committee (SC)**, which is composed of five statutory members, each one with a voting right. These are the European Commission, ILO, UNICEF, one representative of the GP-SPF and one EU MS representing all EU MS. The European Commission (DG DEVCO), ILO and UNICEF shall alternate annually in taking the chair of the SC. For Approach 2, a selection committee, called **Operational Committee (OC)** is responsible for the assessments of all submitted call for concept notes. It consists of 5 persons with voting rights, three from the European Commission and two from the ILO. Finally, as from 2021 the Action plans to set-up an **Advisory Board** for technical guidance to both the Action, the Steering Committee and country teams.

### **1.3 Stakeholders of the Intervention**

**At global level**, the Action focusses **on key international development partners** at the interface of social protection and sound public finance management, to improve linkages, coordination and common approaches in view of fostering complementarities between the two fields. The Action leverages on ILO's, EU MS's and other development partners' expertise in countries benefiting from EU budget support to strengthen the sustainability, adequacy, inclusiveness and coverage of their social protection systems. In relation to the priority countries, it will create synergies with other EU and EU MS's global and national programmes as well as the 30 UN joint programmes on social protection, where possible. Finally, the Action benefits from and contributes to enhanced coordination in the framework of the Global Partnership for Universal Social Protection to Achieve the Sustainable Development Goals (USP2030), the Social protection inter-agency cooperation board (SPIAC-B), and the UN Social Protection Floors Initiative.

**At country level, in countries** preferably but not limited to those benefiting from EU budget support, the Action targets ministries and public agencies in charge of finance and planning, as well as ministries in charge of social policies (health, labour, social welfare, women, etc.) and social protection institutions and programmes, relevant civil society, workers and employers organizations, academia and seeks to enhance cross-sector coordination both concerning policy development and implementation at national, regional and local levels.

**The final beneficiaries** are individuals and households of partner countries who benefit from strengthened social protection systems. The Action will reinforce the implementation of the right to social protection of

vulnerable persons, in particular women, children, persons with disabilities and informal economy and migrant workers.

#### 1.4 Other available information

Additional preliminary information is also available at one of the two official websites of the programme <https://socialprotection-pfm.org/> or the previous [ILO SP & PFM](#) website, which equally includes the [Description of the Action](#).

In addition, [www.socialprotection.org](http://www.socialprotection.org) provides an overview of the DEVCO Social Protection response to the social impact of COVID-19 h.

Other Action specific information will be shared with the selected contractor after the signature of the contract, such as country, cross-country and Approach 2 project documents (see also Annex II of these ToRs).

## 2 DESCRIPTION OF THE EVALUATION ASSIGNMENT

Type of evaluation	mid-term evaluation
Coverage	Action in its entirety
Geographic scope	All activities, with a specific emphasis on the management and governance structure, the cross-country activities, 5 out of 8 priority countries (1 in LA (Paraguay), 1 in Asia (Cambodia or Nepal), 3 in Africa (Angola; Ethiopia or Uganda; Senegal or Burkina Faso), 4 out of 10 countries supported by the 1 <sup>st</sup> Call of Approach 2). Country selection will be done by the Reference Group. The priority countries Paraguay and Angola are included in the evaluation by default.
Period to be evaluated	From 01/10/2019 to 30/09/2021

### 2.1 Objectives of the evaluation

The corresponding Decision (CRIS number: DCI-HUM/2018/041-579) foresees a MTE to be done by the European Commission.

Systematic and timely evaluation of its programmes and activities is an established priority<sup>17</sup> of the European Commission<sup>18</sup>. The focus of evaluations is on assessing the progress and quality of the

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<sup>17</sup> COM(2013) 686 final "Strengthening the foundations of Smart Regulation – improving evaluation" - [http://ec.europa.eu/smart-regulation/docs/com\\_2013\\_686\\_en.pdf](http://ec.europa.eu/smart-regulation/docs/com_2013_686_en.pdf); EU Financial regulation (art 27); Regulation (EC) No 1905/2006; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Council Regulation (EC) No 215/2008

<sup>18</sup> SEC (2007)213 "Responding to Strategic Needs: Reinforcing the use of evaluation", [http://ec.europa.eu/smart-regulation/evaluation/docs/eval\\_comm\\_sec\\_2007\\_213\\_en.pdf](http://ec.europa.eu/smart-regulation/evaluation/docs/eval_comm_sec_2007_213_en.pdf); SWD (2015)111 "Better Regulation Guidelines", [http://ec.europa.eu/smart-regulation/guidelines/docs/swd\\_br\\_guidelines\\_en.pdf](http://ec.europa.eu/smart-regulation/guidelines/docs/swd_br_guidelines_en.pdf); COM(2017) 651 final "Completing the Better Regulation Agenda: Better solutions for better results", [https://ec.europa.eu/info/sites/info/files/completing-the-better-regulation-agenda-better-solutions-for-better-results\\_en.pdf](https://ec.europa.eu/info/sites/info/files/completing-the-better-regulation-agenda-better-solutions-for-better-results_en.pdf)



implementation against the implementation plan and the likelihood to achieve expected **results**<sup>19</sup> of the Actions at the end of the implementation phase in the context of an evolving cooperation policy with an increasing emphasis on **result-oriented approaches and the contribution towards EU foreign policy objectives and the implementation of the SDGs**.<sup>20</sup>

From this perspective, the Mid-term evaluation (MTE) should examine progress towards the implementation of the Action and advice on any corrective action needed. It should **look for evidence of why, whether or how the preliminary results of the Action are linked to the EU intervention** and seek to **identify the factors driving or hindering progress**. Moreover, it should assess the implementing organizations' and project partners' success in delivering outcomes and outputs, as well as the relevance and effectiveness of the approaches/strategies applied.

The evaluation should provide an understanding of the **cause and effect links** between: inputs and activities, and preliminary outputs, expected outcomes and impacts. It should serve internal coherence (in order to know if the logframe is still accurate), accountability, decision making, learning and management purposes.

**The main objective** of this evaluation is to provide the relevant services of the European Union and the interested stakeholders with:

- an overall independent assessment of the past performance of the Action on “Improving Synergies between Social Protection and PFM” paying particular attention to its ‘intermediate’ results measured against its expected objectives mentioned in the log frame
- preliminary lessons learned, conclusions and related recommendations in order to improve current and future Actions, for example those contributing to cross-sector approaches on human development or to more reliable mid-term financing planning of social protection budgets in the contexts of emerging National Integrated Financial Frameworks<sup>21</sup>.

**The specific objectives** are to provide the European Commission (DEVCO) with sufficient information to evaluate:

- i) How the Action is currently managed and how its management could be improved?

The performance of the Action, paying particular attention to the outcomes and results of specific interventions in the eight priority countries and those benefitting from Approach 2, as well as at cross-country level, against their specified objectives and the extent to which these actions have contributed to the processes of achieving more inclusive social protection support strategies and of generating greater momentum towards reforms and more substantial domestic and international financial commitments.

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<sup>19</sup> Reference is made to the entire results chain, covering outputs, outcomes and impacts. Cfr. Regulation (EU) No 236/2014 “Laying down common rules and procedures for the implementation of the Union's instruments for financing external action” - [https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial\\_assistance/ipa/2014/236-2014\\_cir.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial_assistance/ipa/2014/236-2014_cir.pdf).

<sup>20</sup> The New European Consensus on Development 'Our World, Our Dignity, Our Future', Official Journal 30th of June 2017. <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:C:2017:210:TOC>

<sup>21</sup> An Integrated National Financing Framework (INFF) is a planning and delivery tool to help countries strengthen planning processes and overcome existing impediments to financing sustainable development and the SDGs at the national level. It lays out the full range of financing sources – domestic public resources, aid and development cooperation, and domestic and international private finance – and allows countries to develop a strategy to increase investment, manage risks, and achieve sustainable development priorities, as identified in a country's national sustainable development strategy. The Inter-Agency Task Force on Financing for Development (IATF), including the EU, has started supporting countries' efforts to operationalise INFF in a number of pilot countries.

- ii) The extent and quality of the evidence-knowledge generation approaches to measure the impact of improved synergies between public finance management and social protection on designing, financing and delivery of social protection benefits, and the measures taken for the effective dissemination of intermediate results of the Action and the research on multiplier effects, further use and implementation of the knowledge gathered by partner countries, development partners and in EC cooperation and how it contributes to further achieve reliable mid-term financial planning of the social protection sector and to improve spending efficiency.

The main users of this evaluation will be the implementing partners of the Action to be evaluated, namely ILO, UNICEF and the GCSPF, the thematic and geographical units at DG DEVCO and EU Delegations, dealing with social protection, public finance management and its interdependencies, or having social protection and PFM related actions and those interested to engage in the future, the Ministries of Finance, Labour and Social Affairs in the countries benefitting from this Action, and development partners at international level and from EU MSs that are seeking for policy coherence in the support to social protection systems.

## **2.2 Requested services**

### **2.2.1 Scope of the evaluation**

The MTE will assess the Action using four out of the six standard DAC evaluation criteria, namely: relevance, coherence, effectiveness, efficiency. The assessment of sustainability and impact as well as the additional EU specific evaluation criterion on the “EU added value” will be left to the final evaluation<sup>22</sup>.

The evaluation team shall furthermore consider whether the Action mainstreams gender-sensitivity, inclusiveness of people with disabilities, informal economy and migrant workers, and the adaptation of social protection systems to shocks. It shall also look to what extent the SDGs 1 “No poverty” and 10 “Reduced inequalities”, and their interlinkages with the SDGs 2, 3, 8, 16 and 17 were identified; the principle of Leave No-One Behind and the rights-based approach methodology was followed in the identification/formulation documents and the extent to which they have been reflected in the implementation of the Intervention, its governance and monitoring.

### **2.2.2 Indicative Evaluation Questions**

The specific Evaluation Questions as formulated below are indicative. Based on the latter and following initial consultations and document analysis, the evaluation team will discuss them with the Evaluation Manager<sup>23</sup> and propose in their Inception Report a complete and finalised set of Evaluation Questions with indication of specific Judgement Criteria and Indicators, as well as the relevant data collection sources and tools.

Once agreed through the approval of the Inception Report, the Evaluation Questions will become contractually binding.

#### **Relevance:**

1. To what extent does the SP & PFM programme remain consistent with and supportive of the EU and implementing partners’ policy and programme frameworks within which it is placed according to the Description of Action?
2. Were beneficiary countries’ development plans, sector policies and public financial frameworks appropriately taken into account in the services provided by the Action?

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<sup>22</sup> The definition of the 6 DAC + 1 EU evaluation criteria is contained for reference in the Annex VII.

<sup>23</sup> The Evaluation Manager is the staff of the Contracting Authority managing the evaluation contract. In most cases this person will be the Operational manager of the Action(s) under evaluation.

3. To what extent were the beneficiary countries' institutions involved in the design, the COVID-19 related re-orientation and in the implementation of the country-specific activities (specifically concerning PFM)?
4. In how far did the priorities of the project's country programmes and those of the call for concept notes really feed into the partner countries' overall SP&PFM priorities?

#### Coherence:

1. To what extent are the SP & PFM interventions organized to maximize their joint effects with other EU Member States' and development partners' activities in the partner countries?
2. To what extent does the Action effectively integrate the interests of different stakeholders at all levels and final beneficiaries of social protection?
3. To what extent has the Action's support to make social protection systems more adaptive and the responses to COVID-19 and other shocks been built on the EU SPaN guidance package or on comparable other guidance notes?
4. To what extent gender and disability issues, as well as extension to informal economy workers, migrant workers and IDPs, have been taken into consideration in the design and implementation of the programme and country projects?

#### Effectiveness:

1. To what extent have objectives, outcomes and outputs been appropriately defined?
2. To what extent has the Action mitigated against external and internal factors (i.e. COVID-19) to achieve progress towards the Action's original objectives and outcomes?
3. To what extent has the governance structure of the Action facilitated the implementation of the action?
4. To what extent is knowledge shared and learning facilitated across the implementing countries?

#### Efficiency:

1. Has the Action selected the most suitable methodologies, instruments and implementing partners for achieving its objectives?
2. To what extent does the Action involve concerted efforts by the co-implementing partners ILO, UNICEF and the GCSPF to optimise synergies?
3. To what extent have timely and appropriate monitoring and management decisions been made to assure effective implementation, problem identification and resolution as well as coordination with domestic partners and development partners?
4. How efficient is the flow of information and the practical arrangements in managing the programme between the implementing partners and the Commission (including EU Delegations)?

### **2.3 Phases of the evaluation and required outputs**

The evaluation process will be carried out in five phases:

- Inception
- Desk
- Field
- Synthesis
- Dissemination

The outputs of each phase are to be submitted at the end of the corresponding phases as specified in the synoptic table in section 2.3.1.

**Disclaimer:** All proposed in-person meetings and field visits might need to be replaced by alternative, virtual meetings depending on the evolution of the travel and meeting restrictions related to the COVID-19 pandemic.

### 2.3.1 Synoptic table

The following table presents an overview of the key activities to be conducted within each phase and lists the outputs to be produced by the team as well as the key meetings with the Contracting Authority and the Reference Group. The main content of each output is described in Chapter **Error! Reference source not found.**

Phases of the evaluation	Key activities	Outputs and meetings
<b><u>Inception Phase</u></b>  <b>Duration: 1 month</b>	<ul style="list-style-type: none"> <li>Initial document/data collection with support of the implementing partners</li> <li>Background analysis</li> <li>Stakeholder analysis</li> <li>Reconstruction (or as necessary, construction) of the Intervention Logic, and / or description of the Theory of Change (based upon available documentation and interviews)</li> <li>Methodological design of the evaluation (Evaluation Questions with judgement criteria, indicators and methods of data collection and analysis) and evaluation matrix</li> <li>Development of criteria to select the seven not yet determined countries for the field phase</li> <li>Development of an overall concept for the dissemination phase</li> </ul>	<ul style="list-style-type: none"> <li><i>Kick-off meeting with the Contracting Authority and the Reference Group</i> [via remote conference]</li> <li>Meeting with the implementing partners</li> <li>Analysis of the overarching Theory of Change/intervention logic, including outline of a proposal for a revision, if relevant.</li> <li>Inception Report</li> <li>Slide presentation of the Inception Report</li> </ul>
<b><u>Desk Phase</u></b>  <b>Duration: 1 month</b>	<ul style="list-style-type: none"> <li>In-depth document analysis (focused on the Evaluation Questions)</li> <li>Interviews</li> <li>Identification of information gaps and of hypotheses to be tested in the field phase</li> <li>Methodological design of the Field Phase</li> <li>Planning of field phase, including mission dates (if relevant), with the implementing partners</li> </ul>	<ul style="list-style-type: none"> <li>Desk Note</li> <li>Slide presentation of key findings of the desk phase</li> <li><i>Meeting with Reference Group</i> [via remote conference].</li> <li>Proposals for revised overarching Theory of Change (if relevant)</li> </ul>

Phases of the evaluation	Key activities	Outputs and <i>meetings</i>
<b><u>Field Phase</u></b> <b>(Field data collection)</b>  <b>Duration:</b> <b>3 months</b>	<ul style="list-style-type: none"> <li>Covering 9 countries (of which 5 priority countries) and cross-country activities)</li> <li>Gathering of primary evidence with the use of ‘the most appropriate techniques’</li> <li>Data collection and analysis</li> <li>Verification of information and findings with field teams</li> </ul>	<ul style="list-style-type: none"> <li><i>Initial meetings at country level with EU Delegation, project country teams, main government partners, civil society and social partners, country specific steering committees, if applicable</i></li> <li>Intermediary Note</li> <li>Slide Presentation of key findings of the field phase</li> <li><i>Debriefing with the Reference Group (composition in section 2.5.1. below) and with the EUDs; via remote conference]</i></li> <li>Feedback meeting with programme stakeholders</li> </ul>
<b><u>Synthesis phase</u></b>  <b>Duration:</b> <b>1 month</b>	<ul style="list-style-type: none"> <li>Final analysis of findings (with focus on the Evaluation Questions)</li> <li>Formulation of the overall assessment, conclusions and recommendations</li> <li>Reporting</li> </ul>	<ul style="list-style-type: none"> <li>Draft Final Report</li> <li>Executive Summary according to the standard template published in the EVAL module</li> <li>Final Report</li> <li>Slide presentation</li> <li>Meeting with Reference Group [via remote conference]</li> <li>Feedback meeting with the programme stakeholders (online)</li> </ul>
<b><u>Dissemination phase</u></b>  <b>Duration:</b> <b>3 months</b>	<ul style="list-style-type: none"> <li>Organisation and execution of the series of webinars/seminars,</li> </ul>	<ul style="list-style-type: none"> <li>1-3 validation workshops</li> <li><i>Webinars/seminars</i> (min. 3 – to be recorded)</li> <li>7 country concepts notes</li> <li>Infographics, evaluation briefs, video (facultative)</li> </ul>

### 2.3.2 Inception Phase

This phase consists of a mini scoping exercise and aims at structuring the evaluation and clarifying the key issues to be addressed.

The phase will start with initial background study, to be conducted by the evaluators from home. It will then continue with a kick-off session in Brussels (or online) between DG DEVCO B3 (future INTPA G4) and the evaluators. Half-day (online) presence of both evaluators is required. The meeting aims at arriving at a clear and shared understanding of the scope of the evaluation, its limitations and feasibility. It also serves to clarify expectations regarding evaluation outputs, the methodology to be used and, where necessary, to pass on additional or latest relevant information.

A second separate meeting will be conducted with the implementing partners (ILO, UNICEF and GCSPF) to exchange on expectations vis-a-vis the evaluation and discuss work plan of the evaluation.

In the Inception phase, the relevant documents will be reviewed (see annex II)

Further to a first desk review of the political, institutional and/or technical/cooperation framework of EU support to social protection, social policies and public finance management, the evaluation team, in consultation with the Evaluation Manager will reconstruct or as necessary construct, the Intervention Logic of the Action to be evaluated.

Furthermore, the intervention logic/ Theory of Change will be tested and validated. The evaluators will develop a narrative explanation of the logic of the Action that describes how change is expected to happen within the Action, all along its results chain, i.e. Theory of Change. This explanation includes an assessment of the evidence underpinning this logic (especially between outputs and outcomes, and between outcomes and impact), and articulates the assumptions that must hold for the Action to work, as well as identification of the factors most likely to inhibit the change from happening.

Based on the validated Intervention Logic and the Theory of Change (or a proposed revision) the evaluators will finalise i) the Evaluation Questions with the definition of judgement criteria and indicators, the selection of data collection tools and sources, ii) the evaluation methodology, and iii) the planning of the following phases.

The methodological approach will be represented in an Evaluation Design Matrix<sup>24</sup>, which will be included in the Inception Report. **The methodology of the evaluation should be gender sensitive, contemplate the use of sex- and age-disaggregated data and demonstrate how the action has contributed to progress on gender equality, the inclusion of people with disabilities, workers in the informal economy, migrants, refugees, and IDP the systems' preparedness for crisis and shocks.**

The limitations faced or to be faced during the evaluation exercise will be discussed and mitigation measures described in the Inception Report. Finally, the work plan for the overall evaluation process will be presented and agreed in this phase; this work plan shall be in line with that proposed in the present ToR.

Any modifications shall be justified and agreed with the Evaluation Manager.

On the basis of the information collected, the evaluation team should prepare an **Inception Report**; its content is described in Chapter **Error! Reference source not found..**

The evaluation team will then present the **Inception Report via a virtual meeting** to the Reference Group.

### **2.3.3 Desk Phase**

This phase is when the document analysis takes place. The analysis should include a brief synthesis of the existing literature relevant to the Action, including the methodology and experiences so far in executing the research of the multiplier effects and how DEVCO, the EU delegations and key administrations in the priority countries are informed about and can benefit from it.

The analysis of the relevant documents shall be systematic and reflect the methodology developed and approved during the Inception Phase.

Selected virtual interviews with the project management team and other relevant representatives of the three implementing partners, the relevant EU services (DEVCO B3 (INTPA G4), selected EU delegations in and geographic units responsible for the priority countries of the Action and Irish Aid, representing the EU MSs in the Steering Committee, as well as the research institution that is conducting the multiplier effect may be conducted during this phase to support the analysis of secondary sources.

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<sup>24</sup> The Evaluation Matrix is a tool to structure the evaluation analysis (by defining judgement criteria and indicators for each evaluation question). It helps also to consider the most appropriate and feasible data collection method for each of the questions,

The activities to be conducted during this phase should allow for the provision of preliminary responses to each evaluation question, stating the information already gathered and its limitations. They will also identify the issues still to be covered and the preliminary hypotheses to be tested.

During this phase the evaluation team shall fine-tune the evaluation tools to be used during the Field Phase and describe the preparatory steps already taken and those to be taken for its organisation, including the list of people to be interviewed, dates and itinerary of visits, and attribution of tasks within the team.

At the end of the desk phase a **Desk Note** and a Slide Presentation will be prepared.

A presentation by the evaluation team to the Reference Group, if needed, will take place virtually.

#### **2.3.4 Field Phase**

**Disclaimer:** *All proposed in-person meetings and field visits might need to be replaced by alternative, virtual meetings depending on the evolution of the travel and meeting restrictions related to the COVID-19 pandemic.*

The Field Phase starts after approval of the Desk Note by the Evaluation Manager. The Field Phase aims at validating / changing the preliminary answers formulated during the Desk phase and further completing information through primary research.

If any significant deviation from the agreed work plan or schedule is perceived as creating a risk for the quality of the evaluation or not respecting the end of the validity of the specific contract, these elements are to be immediately discussed with the Evaluation Manager and, regarding the validity of the contract, corrective measures undertaken.

In the first days of the field phase, the evaluation team shall for each country to be evaluated hold a briefing meeting with the project management team, the implementing project teams, EU Delegations, DEVCO thematic and geo desk officers concerned and relevant authorities and other stakeholders. For cross-country aspects and management aspects of approaches 1 and 2, the briefing meeting will be held with the project management team, the steering committee and members of other project governance bodies (operational committee, advisory board).

During the field phase, the evaluation team shall ensure adequate contact and consultation with, and involvement of the different stakeholders; with the relevant government and, if relevant, local authorities, and agencies. Throughout the mission the evaluation team will use the most reliable and appropriate sources of information, respect the rights of individuals to provide information in confidence, and be sensitive to the beliefs and customs of local social and cultural environments.

At the end of the field phase, the evaluation team will summarise its work, analyse the reliability and coverage of data collection, and present preliminary findings in a meeting with [the project management team, the EU Delegation, and the Reference Group].

At the end of the Field Phase an **Intermediary Note** and a Slide Presentation will be prepared.

#### **2.3.5 Synthesis Phase**

This phase is devoted to the preparation by the contractor of **two distinct documents**: the **Executive Summary** and the **Final Report of the Mid Term Evaluation**, whose structures are described in the Annex III; it entails the analysis of the data collected during the desk and field phases to answer the Evaluation Questions and preparation of the overall assessment, conclusions and recommendations of the evaluation.

The evaluation team will present, in a single Report with Annexes, their findings, conclusions and recommendations in accordance with the structure in Annex III; a separate Executive Summary will be produced as well, following the compulsory format given in the EVAL module (see Annex III).

The evaluation team will make sure that:

- Their assessments are objective and balanced, statements are accurate and evidence-based, and recommendations realistic and clearly targeted.
- When drafting the report, they will acknowledge clearly where changes in the desired direction are known to be already taking place.
- The wording, inclusive of the abbreviations used, takes into account the audience as identified in art. 2.1 above.

The evaluation team will deliver and then present via an online meeting the **Draft Final Report** to the Reference Group to discuss the draft findings, conclusions and recommendations. One day of presence is required of the team leader and two additional members of the evaluation team as minimum.

The Evaluation Manager consolidates the comments expressed by the Reference Group members and sends them to the evaluation team for the report revision, together with a first version of the Quality Assessment Grid (QAG) assessing the quality of the Draft Final Report. The reference group and evaluated parties can also formulate comments and differing views on the finding, which would then be annexed to the final report including the author(s) thereof. The content of the QAG will be discussed with the evaluation team to verify if further improvements are required, and the evaluation team will be invited to comment on the conclusions formulated in the QAG (through the EVAL Module).

The evaluation team will then finalise the **Final Report** and the **Executive Summary** by addressing the relevant comments. While potential quality issues, factual errors or methodological problems should be corrected, comments linked to diverging judgements may be either accepted or rejected. In the latter instance, the evaluation team must explain the reasons in writing. After approval of the final report, the QAG will be updated and sent to the evaluators via EVAL Module.

### **2.3.6 Dissemination phase**

The evaluation team in close cooperation with the project management team and the Reference group will prepare and execute a series of dissemination activities to provide different target audiences the overall assessment, conclusions and recommendations of the mid-term evaluation and to encourage discussions on appropriate steps to be taken to implement the recommendations both with short-term and medium term horizon. This includes to further strengthen project design and implementation in order to achieve maximum impact in those countries that directly benefit from the Action, a systematic exchange of experiences across these countries and to contribute to the improved knowledge and generation of evidence at cross country level.

Several dissemination activities should in particular address those EU Delegations and countries where the programme is active, and which are implementing or concretely planning larger scale EU support programmes on Social Protection (with a minimum volume of EUR 2 million), both via budget support and programme approach modalities<sup>25</sup>, or in the context of Team Europe Initiatives. They aim at identifying means on how these actions and countries can establish links to the Action under evaluation and directly benefit from the thematic exchange to systematically putting particular emphasis on PFM and integrated country financial frameworks in all sector support actions on social protection.

The dissemination phase is scheduled for a period of 3 months following the submission of the final report.

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<sup>25</sup> The following non-exhaustive list from 2020 serves as indication: Bangladesh, Iraq, Yemen, Barbados, Haiti, Gambia, Ghana, Lesotho, Malawi, Nigeria, Somalia, Sudan, Tanzania, Zambia, Morocco, Tunisia, Jordan, Occupied Palestinian Territory.



The primary target audience of the dissemination phase are European Commission practitioners, specifically staff working in EU Delegations and DEVCO (INTPA), ECHO and NEAR officers that are involved in programmes in the areas of social protection and PFM. A wider stakeholder group are members of the implementing partners at all levels, EU MS agencies, other interested development partners, CSOs, social partners, as well as government representatives and national stakeholders in the countries concerned.

Besides 1-3 validation workshops with implementing partners and stakeholder from the countries that are included in the evaluation and a series of 3 webinars, other and more specialised communication tools and modalities, using standard online communication tool (Teams, Zoom, WebEx) can be taken into consideration for a better dissemination of the MTE and its findings. The evaluation team may also want to prepare infographics, evaluation briefs or even a video.

As additional output, a number of concrete 2-3-pager concept notes (only 1 per country) will have to be produced by the target audiences (EU Delegations and country teams addressed by the dissemination) that propose measures to implement the recommendations of the MTE at both a short- and medium term perspective (5 years), the development of which needs to be facilitated by the evaluation team and the draft concept be discussed with the Evaluation Team, the Reference Group and the Project Steering Committee before the end of the dissemination phase. As a minimum, such concept notes should be presented for

- 3 priority countries of the project (Approach 1),
- 3 countries benefitting from support via Approach 2 of the project
- 1 cross-country, global level approach

## **2.4 Specific Contract Organisation and Methodology (Technical offer)**

The invited Framework Contractors will submit their specific Contract Organisation and Methodology by using the standard SIEA template B-VII-d-i and its annexes 1 and 2 (B-VII-d-ii).

The evaluation methodology proposed to undertake the assignment will be described in the Chapter 3 (Strategy and timetable of work) of the template B-VII-d-i. Contractors will describe how their proposed methodology will address the cross-cutting issues mentioned in these Terms of Reference and notably gender equality and the empowerment of women. This will include (if applicable) the communication action messages, materials and management structures.

Given the current circumstances, the Framework Contractors are invited to present their views and plans for potentially adjusting the contract organisation and methodology to the effect and context of the global Covid-19 crisis.

By derogation of what is specified in the standard SIEA template B-VII-d-i, the maximum length of the specific Contract Organisation and Methodology is 7 pages, written in Times New Roman 12 or Arial size 11, single interline, excluding the framework contractor's own annexes (maximum length of such annexes: 3 pages), additional to the Annexes foreseen as part of the present Specific ToRs. The timetable is not accounted and may be presented on an A3 page.

## **2.5 Management and Steering of the evaluation**

### **2.5.1 At the EU level**

The evaluation is supervised by the Social Protection Team of Unit B3 in DEVCO– Migration, Employment (future G4 - Social Inclusion and Protection, Health and Demography - of the DG International Cooperation and Development [DEVCO] (future DG International Partnerships [INTPA]); the progress of the evaluation will be followed closely with the assistance of a Reference Group consisting of members of EU Services DEVCO A4 (future INTPA E1 - Macro-economic Analysis, Fiscal Policies and Budget Support), INTPA D4 – Performance, Results and Evaluations, DG ECHO C1 - Humanitarian Aid Thematic Policies, Irish Aid – Policy

Unit. Steering Committee members of the implementing partners are invited to participate in the meetings of the Reference group, unless one member of the reference group requests that an entire meeting or a part of a meeting should take place without participation of implementing partners' representatives. Implementing partners will not have any voting rights, if decision making by voting is requested.

The main functions of the Reference Group are:

- To validate the Evaluation Questions.
- To facilitate contacts between the evaluation team and the EU services, the partners' country teams and external stakeholders.
- To ensure, with support of the implementing partners, that the evaluation team has access to and has consulted all relevant information sources and documents related to the Intervention.
- To discuss and comment on notes and reports delivered by the evaluation team, to verify the content and correct factual errors, if relevant. Comments by individual group members are compiled into a single document by the Evaluation Manager and subsequently transmitted to the evaluation team.
- To assist in feedback on the findings, conclusions, lessons and recommendations from the evaluation.
- To support the development of a proper follow-up action plan after completion of the evaluation.

### **2.5.2 At the Contractor level**

Further to the Requirements set in the art. 6 of the Global Terms of Reference and in the Global Organisation and Methodology, respectively annexes II and III of the Framework contract SIEA 2018, the contractor is responsible for the quality of: the process; the evaluation design; the inputs and the outputs of the evaluation. In particular, it will:

- Support the Team Leader in its role, mainly from a team management perspective. In this regard, the contractor should make sure that, for each evaluation phase, specific tasks and outputs for each team member are clearly defined and understood.
- Provide backstopping and quality control of the evaluation team's work throughout the assignment.
- Ensure that the evaluators are adequately resourced to perform all required tasks within the time framework of the contract.

## **3 LOGISTICS AND TIMING**

Please refer to Part B of the Terms of Reference.

### **3.1 Planning, including the period for notification for placement of the staff<sup>26</sup>**

As part of the technical offer, the framework contractor must fill in the timetable in the Annex IV (to be finalised in the Inception Report). The 'Indicative dates' are not to be formulated as fixed dates but rather as days (or weeks, or months) from the beginning of the assignment (to be referenced as '0').

Sufficient forward planning is to be taken into account in order to ensure the active participation and consultation with government representatives, national / local or other stakeholders.

## **4 REQUIREMENTS**

Please refer to Part B of the Terms of Reference.

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<sup>26</sup> As per art 16.4 a) of the General Conditions of the Framework Contract SIEA.

## 5 REPORTS

For the list of reports, please refer to Part B of the Terms of Reference.

### 5.1 Use of the EVAL module by the evaluators

It is strongly recommended that the **submission of deliverables** by the selected contractor **be performed through their uploading in the EVAL Module**, an evaluation process management tool and repository of the European Commission. The selected contractor will receive access to online and offline guidance in order to operate with the module during the related Specific contract validity.

### 5.2 Number of report copies

Apart from their submission -preferably via the EVAL Module-, the approved version of the Final Report will be also provided in 2 paper copies and in electronic version at no extra cost.

### 5.3 Formatting of reports

All reports will be produced using Font Arial or Times New Roman minimum letter size 11 and 12 respectively, single spacing, double sided. They will be sent in Word and PDF formats.

## 6 MONITORING AND EVALUATION

### 6.1 Content of reporting

The outputs must match quality standards. The text of the reports should be illustrated, as appropriate, with maps, graphs and tables; a map of the area(s) of Intervention is required (to be attached as Annex).

### 6.2 Comments on the outputs

For each report, the Evaluation Manager will send to the Contractor consolidated comments received from the Reference Group or the approval of the report within 10 calendar days. The revised reports addressing the comments shall be submitted within 10 calendar days from the date of receipt of the comments. The evaluation team should provide a separate document explaining how and where comments have been integrated or the reason for not integrating certain comments, if this is the case.

### 6.3 Assessment of the quality of the Final Report and of the Executive Summary

The quality of the draft versions of the Final Report and of the Executive Summary will be assessed by the Evaluation Manager using the online Quality Assessment Grid (QAG) in the EVAL Module (text provided in Annex V). The Contractor is given – through the EVAL module - the possibility to comment on the assessments formulated by the Evaluation Manager. The QAG will then be reviewed following the submission of the final version of the Final Report and of the Executive Summary.

The compilation of the QAG will support/inform the compilation by the Evaluation Manager of the FWC SIEA's Specific Contract Performance Evaluation.

## 7 PRACTICAL INFORMATION

Please address any request for clarification and other communication to the following address(es):

Functional mailbox of DEVCO B3: [EUROPEAID-B3@ec.europa.eu](mailto:EUROPEAID-B3@ec.europa.eu)

## ANNEXES TO TOR - PART A

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### ANNEX I: SPECIFIC TECHNICAL EVALUATION CRITERIA

#### SPECIFIC TECHNICAL EVALUATION CRITERIA

Improving synergies between Social Protection and Public Finance Management (PFM)

Thematic programme DCI-HUM 2018/041-579

FWC SIEA 2018 – Lot 5: Budget Support

EuropeAid/138778/DH/SER/multi

SIEA-2018-1776

#### 1. TECHNICAL EVALUATION CRITERIA

The Contracting Authority selects the offer with the best value for money using an 80/20 weighting between technical quality and price<sup>27</sup>.

Technical quality is evaluated on the basis of the following grid:

Criteria	Maximum
<b><i>Total score for Organisation and Methodology</i></b>	<b>50</b>
<ul style="list-style-type: none"><li>Understanding of the specific SP/PFM relationship, the ToR, the and the aim of the services to be provided</li></ul>	10
<ul style="list-style-type: none"><li>Overall methodological approach, quality control approach, appropriate mix of tools and estimate of difficulties and challenges</li></ul>	25
<ul style="list-style-type: none"><li>Technical added value, backstopping and role of the involved members of the consortium</li></ul>	5
<ul style="list-style-type: none"><li>Organisation of tasks including timetable</li></ul>	10
<b><i>Score for the expertise of the proposed team</i></b>	<b>50</b>
<b><i>OVERALL TOTAL SCORE</i></b>	<b>100</b>

#### 2. TECHNICAL THRESHOLD

Any offer falling short of the technical threshold of 75 out of 100 points, is automatically rejected.

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<sup>27</sup> For more details about the 80/20 rule, please see the PRAG, chapter 3.3.10.5 - [https://ec.europa.eu/europeaid/funding/about-funding-and-procedures/procedures-and-practical-guide-prag\\_en](https://ec.europa.eu/europeaid/funding/about-funding-and-procedures/procedures-and-practical-guide-prag_en)

## ANNEX II: INFORMATION THAT WILL BE PROVIDED TO THE EVALUATION TEAM

### Directly available

- **Communication ‘Social Protection in European Union Development Cooperation’** (2012)  
<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52012DC0446&from=EN>
- **European Consensus for Development** – Social Protection under People – Human Development and Dignity [https://ec.europa.eu/international-partnerships/european-consensus-development\\_en](https://ec.europa.eu/international-partnerships/european-consensus-development_en)
- **European Commission’s Guidance Package on Social protection across the humanitarian-development nexus (SPaN)**. Capacity4dev - <https://europa.eu/capacity4dev/sp-nexus/wiki/guidance-package-span-resources>
- **Supporting Social Protection Systems**. Concept Paper No. 4, Tools and Methods Series, European Commission <https://europa.eu/capacity4dev/file/28199/download?token=7Fc1gRM>
- **Evaluation of EU support to social protection in external action**. Final report  
[https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/final\\_evaluation\\_report.zip](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/final_evaluation_report.zip)

### To be shared after the signature of the contract

- Country, cross-country and Approach 2 project documents
- ToR of the different governance structures, the Communication and Visibility plan, the Call for Concept Notes (COVID-19 response), etc. – list to be finalized during inception phase
- We can finalize the list during the inception phase of the MTE.
- Intervention’s inception and annual progress report, and technical reports
- Relevant documentation from National/Local partners and other donors
- Relevant national / sector policies and plans on PFM and on Social Protection from National and Local partners and other donors
- Intervention financing agreement and addenda
- Guidance for Gender sensitive evaluations
- Calendar and minutes of all the meeting of the Steering Committee, Selection Committee and Advisory board of the Intervention(s)
- Any other relevant document

**Note:** The evaluation team has to identify and obtain any other document worth analysing, through independent research and during interviews with relevant informed parties and stakeholders of the Intervention.

## ANNEX III: STRUCTURE OF THE FINAL REPORT AND OF THE EXECUTIVE SUMMARY

The contractor will deliver – **preferably through their uploading in the EVAL Module - two distinct documents**: the **Final Report** and the **Executive Summary**. They must be consistent, concise and clear and free of linguistic errors both in the original version and in their translation – if foreseen.

The Final Report should not be longer than the number of pages indicated in Chapter 6. Additional information on the overall context of the Intervention, description of methodology and analysis of findings should be reported in an Annex to the main text.

The presentation must be properly spaced and the use of clear graphs, tables and short paragraphs is strongly recommended.

The cover page of the Final Report shall carry the following text:

*“This evaluation is supported and guided by the European Commission and presented by [name of consulting firm]. The report does not necessarily reflect the views and opinions of the European Commission”.*

### **Executive Summary**

A short, tightly-drafted, to-the-point and free-standing Executive Summary. It should focus on the key purpose or issues of the evaluation, outline the main analytical points, and clearly indicate the main conclusions, lessons to be learned and specific recommendations. It is to be prepared by using the specific format foreseen in the EVAL Module.

The main sections of the evaluation report shall be as follows:

### **1. Introduction**

A description of the Intervention, of the relevant country/region/sector background and of the evaluation, providing the reader with sufficient methodological explanations to gauge the credibility of the conclusions and to acknowledge limitations or weaknesses, where relevant.

### **2. Answered questions / Findings**

A chapter presenting the answers to the Evaluation Questions, supported by evidence and reasoning.

### **3. Overall assessment (optional)**

A chapter synthesising all answers to Evaluation Questions into an overall assessment of the Intervention. The detailed structure of the overall assessment should be refined during the evaluation process. The relevant chapter has to articulate all the findings, conclusions and lessons in a way that reflects their importance and facilitates the reading. The structure should not follow the Evaluation Questions, the logical framework or the evaluation criteria.

### **4. Conclusions and Recommendations**

#### **4.3 Lessons learnt**

Lessons learnt generalise findings and translate past experience into relevant knowledge that should support decision making, improve performance and promote the achievement of better results. Ideally, they should support the work of both the relevant European and partner institutions.

#### **4.1 Conclusions**

This chapter contains the conclusions of the evaluation, organised per evaluation criterion.

In order to allow better communication of the evaluation messages that are addressed to the Commission, a table organising the conclusions by order of importance can be presented, or a paragraph or sub-chapter emphasizing the 3 or 4 major conclusions organised by order of importance, while avoiding being repetitive.

#### **4.2 Recommendations**

They are intended to improve or reform the Intervention in the framework of the cycle under way, or to prepare the design of a new Intervention for the next cycle.

Recommendations must be clustered and prioritised, and carefully targeted to the appropriate audiences at all levels, especially within the Commission structure.

### **5. Annexes to the report**

The report should include the following annexes:

- The Terms of Reference of the evaluation
- The names of the evaluators (CVs can be shown, but summarised and limited to one page per person)
- Detailed evaluation methodology including: options taken, difficulties encountered and limitations; detail of tools and analyses.
- Evaluation Matrix
- Intervention logic / Logical Framework matrices (planned/real and improved/updated)
- Relevant geographic map(s) where the Intervention took place
- List of persons/organisations consulted
- Literature and documentation consulted
- Other technical annexes (e.g. statistical analyses, tables of contents and figures, matrix of evidence, databases) as relevant
- Detailed answer to the Evaluation Questions, judgement criteria and indicators

#### ANNEX IV: PLANNING SCHEDULE **(TO BE COMPLETED BY THE CONTRACTOR)**

This annex must be included by Framework Contractors in their Specific Contract Organisation and Methodology and forms an integral part of it. Framework Contractors can add as many rows and columns as needed.

The phases of the evaluation shall reflect those indicated in the present Terms of Reference.

		Indicative Duration in working days <sup>28</sup>		
Activity	Location	Team Leader	Evaluator ...	Indicative Dates
Inception phase: total days				
•				
•				
Desk phase: total days				
•				
•				
Field phase: total days				
•				
•				
Synthesis phase: total days				
•				
•				
Dissemination phase: total days				
•				
•				
TOTAL working days (maximum)				

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<sup>28</sup> Add one column per each evaluator



## ANNEX V: QUALITY ASSESSMENT GRID (TO BE FILLED LATER)

The quality of the Final Report will be assessed by the Evaluation Manager (since the submission of the draft Report and Executive Summary) using the following quality assessment grid, which is included in the **EVAL Module**; the grid will be shared with the evaluation team, which will have the possibility to include their comments.

Intervention (Project/Programme) evaluation – Quality Assessment Grid Final Report			
<b>Evaluation data</b>			
Evaluation title			
Evaluation managed by		Type of evaluation	
Ref. of the evaluation contract		EVAL ref.	
Evaluation budget			
EUD/Unit in charge		Evaluation Manager	
Evaluation dates	Start:	End:	
Date of draft final report		Date of Response of the Services	
Comments			
<b>Project data</b>			
Main project evaluated			
CRIS/OPSYS # of evaluated project(s)			
DAC Sector			
<b>Contractor's details</b>			
Evaluation Team Leader		Evaluation Contractor	
Evaluation expert(s)			

### Legend: scores and their meaning

Very satisfactory: criterion entirely fulfilled in a clear and appropriate way  
Satisfactory: criterion fulfilled

Unsatisfactory: criterion partly fulfilled  
Very unsatisfactory: criterion mostly not fulfilled or absent

## The evaluation report is assessed as follows

### 1. Clarity of the report

This criterion analyses the extent to which both the Executive Summary and the Final Report:

- Are easily readable, understandable and accessible to the relevant target readers
- Highlight the key messages
- The length of the various chapters and annexes of the Report are well balanced
- Contain relevant graphs, tables and charts facilitating understanding
- Contain a list of acronyms (only the Report)
- Avoid unnecessary duplications
- Have been language checked for unclear formulations, misspelling and grammar errors
- The Executive Summary is an appropriate summary of the full report and is a free-standing document



Strengths	Weaknesses	Score
Contractor's comments	Contractor's comments	

### 2. Reliability of data and robustness of evidence

This criterion analyses the extent to which:

- Data/evidence was gathered as defined in the methodology
- The report considers, when relevant, evidence from EU and/or other partners' relevant studies, monitoring reports and/or evaluations
- The report contains a clear description of the limitations of the evidence, the risks of bias and the mitigating measures



Strengths	Weaknesses	Score
Contractor's comments	Contractor's comments	


### 3. Validity of Findings

This criterion analyses the extent to which:

- Findings derive from the evidence gathered
- Findings address all selected evaluation criteria
- Findings result from an appropriate triangulation of different, clearly identified sources



<ul style="list-style-type: none"> <li>When assessing the effect of the EU intervention, the findings describe and explain the most relevant cause/effect links between outputs, outcomes and impacts</li> <li>The analysis of evidence is comprehensive and takes into consideration contextual and external factors</li> </ul>		
<b>Strengths</b>	<b>Weaknesses</b>	<b>Score</b>
Contractor's comments	Contractor's comments	
<b>4. Validity of conclusions</b>		
<p>This criterion analyses the extent to which:</p> <ul style="list-style-type: none"> <li>Conclusions are logically linked to the findings, and go beyond them to provide a comprehensive analysis</li> <li>Conclusions appropriately address the selected evaluation criteria and all the evaluation questions, including the relevant cross-cutting dimensions</li> <li>Conclusions take into consideration the various stakeholder groups of the evaluation</li> <li>Conclusions are coherent and balanced (i.e. they present a credible picture of both strengths and weaknesses), and are free of personal or partisan considerations</li> <li>(If relevant) whether the report indicates when there are not sufficient findings to conclude on specific issues</li> </ul>		
<b>Strengths</b>	<b>Weaknesses</b>	<b>Score</b>
Contractor's comments	Contractor's comments	
<b>5. Usefulness of recommendations</b>		
<p>This criterion analyses the extent to which the recommendations:</p> <ul style="list-style-type: none"> <li>Are clearly linked to and derive from the conclusions</li> <li>Are concrete, achievable and realistic</li> <li>Are targeted to specific addressees</li> <li>Are clustered (if relevant), prioritised, and possibly time-bound</li> <li>(If relevant) provide advice for the Intervention's exit strategy, post-Intervention sustainability or for adjusting Intervention's design or plans</li> </ul>		
<b>Strengths</b>	<b>Weaknesses</b>	<b>Score</b>
Contractor's comments	Contractor's comments	

<b>6. Appropriateness of lessons learnt analysis <i>(if requested by the ToR or included by the evaluators)</i></b>		
This criterion is to be assessed only when requested by the ToR or included by evaluators and is not to be scored. It analyses the extent to which: <ul style="list-style-type: none"> <li>• Lessons are identified</li> <li>• When relevant, they are generalised in terms of wider relevance for the institution(s)</li> </ul>		
<b>Strengths</b>	<b>Weaknesses</b>	
Contractor's comments	Contractor's comments	
<b>Final comments on the overall quality of the report</b>		<b>Overall score</b>

## ANNEX VI: LOGICAL FRAMEWORK MATRIX (LOGFRAME) OF THE EVALUATED ACTION

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective	To increase the population's universal social protection coverage in partner countries preferably but not limited to those benefiting from EU funded budget support operations.	1) Percentage of the population covered by social protection floors/systems by sex, distinguishing children, unemployed persons, older persons, persons with disabilities, pregnant women with newborns, work-injury victims, poor and vulnerable (SDG 1.3.1)  2) Distribution of income before and after taxes and social transfers (expressed as Gini coefficient)	1) National statistical data or programme data  2) TBI in the inception phase/first year of operation by a baseline study <sup>29</sup>	1.-2) TBI during inception phase.  To be drawn from the partners' strategies <sup>30</sup>	1) ILOSTAT; ILO World Social Protection Database (ILO=custodian agency)  2) Joint incidence analysis of taxes of transfers <sup>31</sup>  1-5) additional sources SDG ann. progress reports Government progress reports on social protection State budget financing reports Diagnostic studies National accounts	Programmes keep timely and accurate administrative records and make them available to the project

<sup>29</sup> Applying Benefit Incidence Analyses limited to partner countries selected for medium-term technical support (approach 1).

<sup>30</sup> Baselines and targets to be set out according to each country and policy contexts.

<sup>31</sup> Using methodologies, such as Lustig (2017) CEQ Handbook, Estimating the impact of fiscal policy on inequality and poverty, or similar.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Outcomes	<b>SO1.</b> To improve partner countries' design and financing of social protection systems in support of their efforts towards SDGs 1 and 10.	<p>1.1) Number of social protection policy and programmatic documents, disaggregated by countries with mechanisms in place to enhance policy coherence of sustainable development (SDG 17.14.1)</p> <p>1.2) Number of new legislation and measures in place which expand social protection coverage that reflect core principles of international standards (UDHR, CRPD, R202, C102).</p> <p>1.3) Proportion of total government spending on essential services (education, health and social protection) (SDG 1.a.2)</p> <p>1.4) % ratio of the social protection expenditure to the total State budget (disaggregated by type of programmes/domain of benefits)<sup>32</sup></p> <p>1.5) Source of funding for social protection, distinguishing between domestic resources (disaggregated by social protection contributions and state budget) and external funding</p>	<p>4.1. -1.2) n.a.<sup>33</sup></p> <p>1.3 – 1.5) TBI in the inception phase/first year of operation</p>	<p>1.1 – 1.5)</p> <p>To be drawn from the partners' SP strategies.</p> <p>TBI in the inception phase/first year of operation.</p>	<p>1.1.) Country policy and programmatic documents officially published</p> <p>1.2.) Legislation published</p> <p>1.3.- 1.5) MoF annual budget and expenditure reports</p> <p>Audit reports</p> <p>Government progress reports on social protection</p> <p>Country policy and programmatic documents officially published</p> <p>SDG annual progress reports.</p> <p>National statistics and accounts</p>	<p>Economic and social policies are geared towards inclusive and sustained growth, expansion of social protection coverage and reduction of poverty and inequalities</p> <p>All sector social policies (e.g. health, education, food security, TVET, labor, migration) are properly articulated with social protection policy in terms of objectives, institutional mandates and allocation of resources.</p>

<sup>32</sup> Using at least the following types (social assistance [disaggregated by social transfers, public works; fee waivers for basic health or education services; other including cash plus], social care, social insurance, active labour market policies.

<sup>33</sup> Baselines are not defined for process indicators. Targets are country and programme-specific, and its quantification depend on the demand for TA support. To be completed during the inception phase for at least all partner countries selected for medium-term technical support (approach 1), disaggregated by counties

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
	<b>SO2.</b> To support governments in implementing and monitoring effective gender-sensitive and disability-inclusive social protection systems and programmes for all while ensuring financial sustainability and macroeconomic stability.	2.1) Number of national schemes or programmes with improved administrative and delivery mechanisms or M&E frameworks as reflected in the related (new or revised) regulations, (new or revised) implementation manuals or (new or revised) M&E frameworks  2.3) Number and ratio of national social protection programmes, for which gender-disaggregated data and qualitative information on the programmes' gender and disability sensitivity are publicly available (by country, quantitative, qualitative information)	2.1. 2.3.) TBI in the inception phase/first year of operation	2.1 – 2.3) To be drawn from the partners' SP strategy.  TBI in the inception phase/first year of operation.	Government progress reports on social protection  Country policy and programmatic documents officially published  ILO Word Social Protection Database.	The coordination of the different SP programmes and schemes is ensured in a cooperative manner by the responsible ministries and agencies.
	<b>SO3.</b> To assist partner countries in developing and applying shock-sensitive social protection programmes and systems adapted to the needs of those living in protracted fragility and crises, including forcibly displaced persons.	3.1) Number of policy and programmatic documents that mainstream fragility and shock-sensitive social protection approved.  3.2) Number of programmes with improved shock-responsiveness in line with population needs  3.3) Shock-related impact indicators <sup>34</sup>	3.1. 3.3.) TBI in the inception phase/first year of operation	3.1 – 3.3) TBI in the inception phase/first year of operation.	3.1.- 3..3) Government progress reports on social protection  Country policy and programmatic documents officially published	Financial and planning institutions, namely the Ministry of Finance, is responsive to the financial needs for crises-related contingencies of the social protection system.

<sup>34</sup> The definition of these indicators is case-specific as they depend on the type of shocks and crises (forced displacements, armed conflicts, natural disasters, economic shocks) and consequent type of intervention.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Results	<b>R1.1:</b> Adequate, sustainable and gender-sensitive social protection financing through improved cross-sector co-ordination in coherence with national macro-economic, fiscal, digital and SDG strategies as well as diversification of sources of financing and increased fiscal space available for all social sectors to progressively achieving universal social protection.	<p>1.1.1) Number of policy documents with an integrated/cross sectoral perspective on social protection, including related to fiscal, digital and SDG issues elaborated</p> <p>1.1.2.a) Number of policy documents with a gender-sensitive financing lens elaborated</p> <p>1.1.2 b) Change in share of public social protection expenditure benefiting women or girls</p> <p>1.1.3) Number of requests received for technical assistance from partner countries and EU delegations concerning result 1.1 and ratio of TA activities been carried out (disaggregated by total number and eligible requests),</p> <p>1.1.4) Level of satisfaction of partner governments and EUDs with the TA outputs concerning result 1.1.</p>	<p>1.1.1 – 1.1.2a) 0 with support of this Action.</p> <p>1.1.2b) TBI during inception phase</p> <p>1.1.3) 0</p> <p>1.1.4.) n.a.</p>	<p>1.1.1. – 1.1.4) TBI in the inception phase/first year of operation according to the planned actions</p>	<p>1.1.1.-1.1.2.a) TA reports, policy documents or presentations by government actors responsible for SP</p> <p>1.1.2.b) Government budget reports</p> <p>1.1.3) Management Information System (MIS), TA reports</p> <p>1.1.4) Evaluation of TA missions and reports, MIS</p>	<p>Policy dialogue takes place despite the fragmentation of the social protection institutional set up, even when this is not a focal sector of EU cooperation.</p>
	<b>R1.2:</b> Enhanced evidence and availability of tools that support national evidence-based decision-making and encourage supra-national coordination and benchmarking of good practices (including the portability of social entitlements as integral part of economic and labour policies, gender-sensitive and disability inclusive social	<p>1.2.1) Number of SP, RBA and PFM tools applied with support of the Action.</p> <p>1.2.2) Number of research studies financially supported by the action (started / completed) distinguishing between action research and rigorous research studies and those that include gender and disability specific outcomes.</p> <p>1.2.3) Number of national policy makers participating in social protection knowledge sharing and coordination activities at supranational level (disaggregated by sex)</p> <p>1.2.4) Number of countries that improve the provision of data on social protection that are</p>	<p>1.2.1.-1.2.5) 0 with support of this Action.</p> <p>1.2.6) n.a.</p>	<p>1.2.1. – 1.2.6) TBI in the inception phase/first year of operation according to the planned actions</p>	<p>1.1.1.-1.1.2.) TA reports, policy documents or presentations by government actors responsible for SP</p> <p>1.2.2) Research protocols, publications, study reports, grades of evidence generated,</p> <p>1.2.3) ToR, agenda, list of participants and reports of activities and events</p>	<p>Relevant institutions participate in supra-national coordination mechanisms</p> <p>Relevant institutions adhere cooperatively in setting up portability schemes and procedures.</p>



	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
	protection), with participation of regional bodies as well as civil society organisations.	disaggregated and comply with international statistical standards and harmonized indicators with support of this Action.  1.2.6) Number of requests received for technical assistance from partner countries and EU delegations concerning result 1.2 and ratio of TA activities been carried out (disaggregated by total number and eligible requests),  1.2.7) Level of satisfaction of partner governments and EUDs with the TA outputs concerning result 1.2.			1.2.4.) TA reports, policy documents, statistics, presentations by government actors responsible for SP  1.2.5) TA reports, Action's MIS  1.2.6) Evaluation of TA missions and reports, MIS	
	<b>R2.1:</b> Strengthened capacities of partner countries to achieve the best impact of diversified sources of funding for social protection, prioritizing women, children, persons with disabilities, informal economy and migrant workers.	2.1.1) Number of people receiving at least one social protection benefit through EU supported programmes, disaggregated by sex, age, disability <sup>35</sup> and by type/domain of benefit. <sup>36</sup>  2.1.2) Number of government representatives trained by this Action on social protection funding sources, prioritising women, children, persons with disabilities, informal economy and migrant workers (disaggregated by sex)  2.1.3) Number of countries where programme administration and/or delivery systems are	2.1.1) TBI in the inception phase/first year of operation  2.1.2.-2.1.5) 0  2.1.6) n.a.	2.1.1. – 2.1.6) TBI in the inception phase/first year of operation.	2.1.1) ILOSTAT; ILO World Social Protection Database, Project documents, Programme administrative data  2.1.2) ToR, agenda, list of participants and reports of training activities and events	Partner governments' social protection outcomes are not retained at the EUD level as key instruments of other social policies (education, nutrition, food security, health, employment, migration)

<sup>35</sup> This indicator corresponds to level 2 indicators for Inequalities/Social Protection. It can be measured at programme level. However, in budget support operations it's not possible to directly attribute the attainment of the targets to the BS contracts. The best that can be stated, is that the BS contract can contribute to the attainment of the results. The indicator relates to the SDG 1.3.1 Indicator on Social Protection: *Proportion of population covered by social protection floors/systems, by sex, distinguishing children, unemployed persons, older persons, persons with disabilities, pregnant women, newborns, work-injury victims and the poor and the vulnerable*. Only people actually receiving social protection benefits (effective coverage) can be counted rather than all those who are eligible (legal coverage).

<sup>36</sup> Indicator will only be measured for all countries selected for medium-term technical support (approach 1).

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
		<p>designed and operationalized with the support of the project.</p> <p>2.1.4) Number and proportion of targeted population who, as a result of this programme, is better informed of its entitlement and benefits under the applicable social protection system (by sex, age, people with disabilities, etc.</p> <p>2.1.5) Number of requests received for technical assistance from partner countries and EU delegations concerning result 2.1 and ratio of TA activities been carried out (disaggregated by total number and eligible requests),</p> <p>2.1.6) Level of satisfaction of partner governments and EUDs with the TA outputs concerning result 2.1.</p>			<p>2.1.3.) TA reports, policy documents, registry reports and statistics, presentations by government actors responsible for SP</p> <p>2.1.4-2.15) TA reports, Action's MIS)</p> <p>2.1.6) Evaluation of TA missions and reports, MIS</p>	Internal coordination among line ministries, Ministry of Finance and agencies related with social protection is effective.
	<b>R2.2.</b> Strengthened knowledge and technical capacities of partner countries at national and sub-national levels to plan, deliver, monitor and report on social protection programmes, with participation of training institutions and civil society.	<p>2.2.1) Number of stakeholders trained on planning, delivery and monitoring of social protection programmes per year (by number of identified entities, by number of people trained (total and per entity, disaggregated by sex)</p> <p>2.2.2) Number of multi-stakeholder dialogue events organized by the project to improve delivery and monitoring processes, (by country and region)</p> <p>2.2.3) Number of requests received for technical assistance from partner countries and EU delegations concerning result 2.2 and ratio of TA activities been carried out (disaggregated by total number and eligible requests),</p>	<p>2.2.1.-2.2.3) 0</p> <p>2.2.4) n.a.</p>	2.2.1. – 2.2.4) TBI in the inception phase/first year of operation according to the planned actions	<p>2.2.1.-2.2.2) ToR, agenda, list of participants and reports of training activities and events</p> <p>2.2.3) TA reports, Action's MIS)</p> <p>2.2.4) Evaluation of TA missions and reports, MIS</p>	The national statistical and Information systems are supportive of the social protection system

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
		2.2.4) Level of satisfaction of partner governments and EUDs with the TA outputs concerning result 2.2.)				
	<b>R3.0.</b> Increased capacities of partner countries in the context of emergencies, natural disasters, forced displacements, protracted fragility and crises to establish contingency plans and multi-year funding strategies to run adaptive social protection mechanisms.	<p>3.0.1) Number of multi-year contingency plans and funding strategies drafted or improved with support of the project by country</p> <p>3.0.2) Number of SP programmes designed or reformed through the project that have improved their shock-responsiveness</p> <p>3.0.3) Number of relevant and country-specific briefs/papers/reports/ tools delivered to governments and social protection stakeholders on how to strengthen SP systems and programs how to establish contingency plans and multi-year funding strategies to run adaptive social protection mechanisms</p> <p>3.0.4) Number of requests received for technical assistance from partner countries and EU delegations concerning result 3.0 and ratio of TA activities been carried out (disaggregated by total number and eligible requests),</p> <p>3.0.5) Level of satisfaction of partner governments and EUDs with the TA outputs concerning result 3.0.</p>	<p>3.0.1.-3.0.4) 0</p> <p>3.0.5) n.a.</p>	3.0.1. – 3.0.5) TBI in the inception phase/first year of operation according to the planned actions	<p>3.0.1.-3.0.3) TA reports, policy documents or presentations by government actors responsible for SP, Humanitarian and development actors</p> <p>3.0.4) TA reports, Action's MIS)</p> <p>3.0.5) Evaluation of TA missions and reports, MIS</p>	<p>Internal coordination among institutions responsible for emergency response, including Ministry of Finance, is adequate.</p> <p>International partners respond to emergency situations in a coordinated and timely manner.</p>

## ANNEX VII: THE EVALUATION CRITERIA

The definition and the number of the DAC evaluation criteria has changed following the release (10 December 2019) of the document “Evaluation Criteria: Adapted Definitions and Principles for Use” (DCD/DAC(2019)58/FINAL).

The evaluators will ensure that their analysis will respect the new definitions of these criteria and their explanatory notes. Reference and guidance documents are being developed and can be found here: <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

Unless otherwise specified in the chapter 2.2.1, the evaluation will assess the Intervention using the six standard DAC evaluation criteria and the EU added value, which is a specific EU evaluation criterion. Their definitions are reported below:

### **DAC CRITERIA**

- **Relevance:** the “extent to which the intervention objectives and design respond to beneficiaries’, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change.”
- **Coherence:** the “compatibility of the intervention with other interventions in a country, sector or institution.”
- **Effectiveness:** the “extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.”
- **Efficiency:** the “extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.”
- **Impact:** the “extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.”
- **Sustainability:** the “extent to which the net benefits of the intervention continue or are likely to continue.”

### **EU-SPECIFIC CRITERION**

- **EU added value:** the extent to which the Intervention brings additional benefits to what would have resulted from Member States' interventions only in the partner country. It directly stems from the principle of subsidiarity defined in the Article 5 of the Treaty on European Union (<https://www.europarl.europa.eu/factsheets/en/sheet/7/the-principle-of-subsidiarity>).

# **TERMS OF REFERENCE – PART B**

## **BACKGROUND INFORMATION**

### **1. Benefitting Zone**

### **2. Contracting authority**

The European Union, represented by the European Commission, B-1049 Brussels, Belgium.

### **3. Contract language**

English

## **LOCATION AND DURATION**

### **4. Location**

- Normal place of posting of the specific assignment: Home-based
- Mission(s) outside the normal place of posting and duration(s): Disclaimer: All proposed maximum in-person meetings and field visits might need to be replaced by alternative, virtual meetings depending on the evolution of the travel and meeting restrictions related to the COVID-19 pandemic. Europe: Brussels, Geneva (up to max 8 missions) Intercontinental: Africa (Angola, Ethiopia/Uganda, Burkina Faso/Senegal), LA: Paraguay, Asia: Cambodia/ Nepal or other countries to be decided by the Reference group (up to max 5 missions)

### **5. Start date and period of implementation**

The indicative start date is 01/10/2021 and the period of implementation of the contract will be 360 days from this date (indicative end date: 26/09/2022).

## **REQUIREMENTS**

### **6. Expertise**

The minimum requirements covered by the team of experts as a whole are detailed below:

- Qualifications and skills required for the team: Mix of post-graduate and graduate degrees in the areas of Development Policy, Development Evaluation, Macro-economics, Finance, Public Administration, Social Protection, Social Science and Social Policies
- General professional experience of the team: Proven at least 10 years of professional experience by a minimum of two thematic experts covering following thematic areas at global level and in partner countries:
  - Evaluation of development cooperation projects on public finance management, budget support and/or social policies
  - Budget support, Public finance management and fiscal policies
  - Analytical review of Social Protection policies, systems and financing
  - Development and implementation social protection information and management systems
  - Adaptive, shock-sensitive, crises response social protection, preferably

with experience in joint humanitarian development nexus activities and integrated financing approaches

- Specific professional experience of the team: Familiarity with the European Union structure and relevant EU policies (including relevant policy-documents on budget support, PFM and social protection in external action). Good knowledge of development cooperation management rules –including EC’s project cycle management guidelines, logical framework analysis, technical cooperation guidelines, procurement (PRAG) and funding rules is essential. Good knowledge of the main actors promoting national financial frameworks and social protection in development cooperation (key International Finance Institutions, UN agencies, EU Member States, civil society, etc.) is a veritable asset. Strategic thinking and ability to make (inter)connections between global development policies and instruments used for their implementation, showing the relevance, impact and sustainability of interventions on short, medium and long-term. Familiarity with systems thinking and associated facilitation techniques. Advanced skills and experience in co-designing and facilitating processes to enable sharing of experience and learning Experience in working in the fields of PFM, budget support and social protection. Experience with humanitarian assistance would be an asset. Excellent analytical and drafting skills, capacity to draft in a very clear, user-friendly and synthetic way.
- Language skills of the team: The whole team needs to speak, read and write excellent English. It will be an asset if one of the experts speaks and reads French, Spanish and/or Portuguese. The outputs will be submitted in English.

Requested number of days per category:

<b>Expert category</b>	<b>Minimum requirement concerning the category</b>	<b>Number of working days</b>	<b>Additional information</b>
Cat. I (>12 years of experience)		40	
Cat. I (>12 years of experience)		30	

## **7. Incidental expenditure**

No incidental expenditure provided for in this contract.

## **8. Lump sums**

No lump sums provided for in this contract.

## **9. Expenditure verification**

No expenditure verification report is required.

## **10. Other details**

No other details provided for in this contract.

# **REPORTS AND DELIVERABLES**

## 11. Reports and deliverables requirements

Title	Content	Language	Submission timing or deadline
Draft inception report	Based on the validated Intervention Logic and the Theory of Change (or a proposed revision) the evaluators will finalize i) the Evaluation Questions with the definition of judgement criteria and indicators, the selection of data collection tools and sources, ii) the evaluation methodology, and iii) the planning of the following phases. The methodological approach will be represented in an Evaluation Design Matrix , which will be included in the Inception Report. The methodology of the evaluation should be gender sensitive, contemplate the use of sex- and age-disaggregated data and demonstrate how the action has contributed to progress on gender equality, the inclusion of people with disabilities, workers in the informal economy, migrants, refugees, and IDP the systems' preparedness for crisis and shocks.	English	Within 5 Week(s) After the project start
Inception report		English	Within 8 Week(s) After the project start
Draft desk report	The analysis should include a brief	English	Within 9 Week(s) After the project start

Title	Content	Language	Submission timing or deadline
	<p>synthesis of the existing literature relevant to the Action, including the methodology and experiences so far in executing the research of the multiplier effects and how DEVCO, the EU delegations and key administrations in the priority countries are informed about and can benefit from it. The analysis of the relevant documents shall be systematic and reflect the methodology developed and approved during the Inception Phase.</p>		
Desk report		English	<p>Within 12 Week(s) After the project start</p>
Draft final report	<p>Two distinct documents: the Executive Summary and the Final Report of the Mid Term Evaluation. It entails the analysis of the data collected during the desk and field phases to answer the Evaluation Questions and preparation of the overall assessment, conclusions and recommendations of the evaluation. The evaluation team will make sure that:</p> <ul style="list-style-type: none"> <li>• Their assessments are objective and balanced, statements are accurate and evidence-based, and</li> </ul>	English	<p>Within 6 Month(s) After the project start</p>



Title	Content	Language	Submission timing or deadline
	<p>recommendations realistic and clearly targeted. • When drafting the report, they will acknowledge clearly where changes in the desired direction are known to be already taking place.</p>		
Final report		English	<p>Within 6 Month(s) After the project start</p>



## Annex 2: Interviews during inception and desk phases

Organization / Unit	Person interviewed	Date
EU DG INTPA–thematic units	DG INTPA G4: Juergen Hohman Dorte Bosse  DG INTPA E1: Noemi Lebreton-Pinsolle	23/06/2021, 22/04/2022, 27/04/2022  27/10/21
EU- BS focal points (+ Paraguay and Angola)	DG INTPA B: (Latin America) incl. Paraguay) Els BERGHMANS EUD Delegation Paraguay Matteo Sirtori (Head of Cooperation)  DG INTPA C (Asia and Pacific) Maurizio LEONARDI, Lucia LORENZO PEREZ, Vincent BIGOT + <u>Hub Bangkok</u> : (Damien RUGGERI)  DG INTPA A3 (Western Africa) Ellie STYLIANOU	25/10/21  03/11/21  26/10/21  27/10/21
UNICEF	Aristide Kielem Tomoo Okubo	05/11/2021, 20/04/2022
ILO	Celine Peyron-Bista Veronika Wodsak Alvaro Ramos Chaves Valérie Schmitt	05/11/2021, 25/04/2022
GCSPF	Chandrashu (HelpAge International) Hilde Van Regenmortel (Oxfam) Uzziel Twagilimana (WSM)	28/10/2021, 19/04/2022
EU Member States involved	Aileen O'Donovan (Ireland)	01/11/2021
Fundação Instituto de Pesquisas Econômicas (Fipe)	Laura Barbosa de Carvalho	14/04/2022



## Annex 3 : Bibliography

Year	Title	Reference	Author
2011	Increasing the impact of EU Development Policy: An Agenda for Change	COM(2011) 637 final	European Commission (EC)
2012	Social Protection Floors Recommendation (No. 202)	R202	ILO
2012	Integrated Social Protection Systems: Enhancing equity for children		UNICEF
2012	Communication: Social Protection in European Union Development Cooperation	COM(2012) 446 final	European Commission (EC)
2012	Reference Document on Social Transfers in the Fight against Hunger	Tools and Methods Series, Reference Document no 14	European Commission (EC)
2015	Supporting Social Protection Systems	Tools and Methods Series, Concept Paper n°4	European Commission (EC)
2016	Building social protection floors for all: Global Flagship Programme Strategy (2016-20)		ILO
2017	The new European Consensus on Development "Our world, our dignity, our future"		European Commission (EC)
2018	Evaluation of EU support to social protection in external action (2007-2013)	Final report	Particip GmbH and AETS
2018	UNICEF Strategic Plan 2018-2021		UNICEF
2018	Action Document for "Improving synergies between social protection and PFM"		European Commission (EC)
2019	Reference Document on Social Protection across the Humanitarian-Development Nexus	Tools and Methods Series, Reference Document no 26	European Commission (EC)
2019	Guidance Package (GP) on Social Protection across the Humanitarian-Development Nexus	SPaN	European Commission (EC)
2019	Global social protection programme framework: A framework for child sensitive social protection		UNICEF
2019	Annex I : Description of the Action (including the logical framework of the Action)	overall SP&PFM Action document	ILO
2019	Annex III: Budget of the Action		
2019	Evaluation plan: Improving synergies between social protection and Public Finance Management	DCI-HUM/2018/041-579, GLO/19/53/EUR	

Year	Title	Reference	Author
Dec-2019	Documents presented at the inception workshop		EC, ILO, UNICEF, GCSPF
2020	Implementation of the EU Action 'Synergies in Social Protection and Public Finance Management': Term of Reference for Country-level Stakeholders		Global Coalition for Social Protection Floors (GCSPF)
	Terms of Reference for the research on multiplier effect		
Oct-2020	SP&PFM Action First Inception Report From October 2019 to May 2020		
Apr-2020	First Call for concept notes: "Extend national social protection system in response to the COVID-19 crisis"		EC and ILO
Apr-2020	Minutes Steering Committee Session, 16 April 2020		
May 2020	Minutes Steering Committee Session, 6 May 2020		
Oct-2020	Minutes Steering Committee Session, 14 October 2020		
Nov-2020	Minutes Steering Committee Session, 18 November 2020		
Aug-2021	Advisory Board Meeting, 31 August 2021, Minutes		
Feb-2020	Civil Society Training Manual on Public Financial Management for Social Protection 2nd Draft		Global Coalition for Social Protection Floors (GCSPF)
2021	Memorandum of Understanding on GCSPF engagement in the EU SP&PFM Action.		Global Coalition for Social Protection Floors (GCSPF)
2021	Terms of Reference for a Joint Learning Agenda of GCSPF in Senegal, Uganda, Nepal and Cambodia		Global Coalition for Social Protection Floors (GCSPF)
Feb-2021	Minutes Steering Committee Session, 18 February 2021		
Sep-2021	Minutes Steering Committee Session, 7 September 2021		
Oct-2021	Minutes Steering Committee Session, 6 October 2021		
May-21	Financial Report as at 31.12.2020	GLO/19/53/EUR	PMU
May-21	First Progress Report October 2019-December 2020	DCI-HUM/2019/408-767, GLO/19/19/EUR	PMU
Jun-21	Resolution concerning the second recurrent discussion on SP (social security)	ILC.109/Resolution III	ILO
Jul-21	Evaluability Assessment - Final Report - 30 July 2021		Mel Cousins

Year	Title	Reference	Author
Jul-21	Second Call for concept notes: “Recovery from COVID-19 crisis: Building forward sustainable social protection systems”		EC and ILO
Jul-21	Multipliers of Social Protection in Cape Verde - Product 3 – Drafting the country case studies		Gilberto Tadeu Lima, Laura Carvalho, Marina Sanches & Dante Cardoso
Jul-21	Multipliers of Social Protection in Vietnam - Product 3 – Drafting the country case studies		Gilberto Tadeu Lima, Laura Carvalho, Marina Sanches & Dante Cardoso
Jul-21	Multipliers of Social Protection in Pakistan - Product 3 – Drafting the country case studies		Gilberto Tadeu Lima, Laura Carvalho, Marina Sanches & Dante Cardoso
March-22	Progress Report January–December 2021 - Angola	(GLO/19/50/EUR)	PMU
March-22	Progress Report January 2021– March 2022 – Bangladesh	(GLO/19/50/EUR)	PMU
March-22	Progress Report January–December 2021 – Burkina Faso	(GLO/19/50/EUR)	PMU
March-22	Progress Report January–December 2021 - Cambodia	(GLO/19/50/EUR)	PMU
March-22	Progress Report January–December 2021 – Ethiopia	(GLO/19/50/EUR)	PMU
March-22	Progress Report January 2021–March 2022 -Myanmar	(GLO/19/50/EUR)	PMU
March-22	Progress Report January–December 2021 - Nepal	(GLO/19/50/EUR)	PMU
March-22	Progress Report October 2020–March 2022- Nigeria	(GLO/19/50/EUR)	PMU
March-22	Progress Report January–December 2021 – Paraguay	(GLO/19/50/EUR)	PMU
March-22	Progress Report January 2021–March 2022 - Peru	(GLO/19/50/EUR)	PMU
March-22	Progress Report January–December 2021 - Senegal	(GLO/19/50/EUR)	PMU
March-22	Progress Report January–December 2021 - Uganda	(GLO/19/50/EUR)	PMU
March-22	Progress Report January 2021–March 2022 – Côte d’Ivoire	(GLO/19/50/EUR)	PMU
March-22	Progress Report January 2021–March 2022 - Togo	(GLO/19/50/EUR)	PMU
March-22	Minutes Steering Committee Session, 2 March 2022		
Sept-22	Second progress report: January – December 2021	GLO/19/53/EUR	PMU
July-22	Financial Report as at 31.12.2021	GLO/19/53/EUR	PMU





## **Annex 4: Technical Annex**

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### 1. Main PFM issues addressed by the Approach 1 country projects

Budget cycle	Main steps	Challenges for SP	Angola	Burkina-Faso	Cambodia	Ethiopia	Nepal	Paraguay	Senegal	Uganda
National and sectoral policies	Definition of priorities Strategic planning and medium-term financing	Develop SP programmes and policies covering more people with adequate levels of benefits	x		x	x			x	x
		Involve social partners and civil society in policy formulation	x		x			x	x	x
		Strengthen budgetary frameworks of SP schemes and programmes (costing,...)	x		x	x	x	x		
		Increase the financing base for SP	x	x		x	x	x	x	x
Approved annual budget	Operationnal planning & Budget programming	Budget programming and allocation in favour of SP expenditures	x		x			x	x	
		Budget flexibility and contingency funding for greater shock responsiveness					x			
	Budget approval	Review by Parliament	x							x
Budget Execution	Revenues collection	Improve tax administration (+ payment systems of SP contributions)								
	Actual spending	Strengthen delivery of SP spendings					x			
	Accountability system	Improve transparency and accountability	x				x		x	x
Service delivery / results monitoring	Performance monitoring & client consultation system	Monitor the situation of beneficiaries			x			x		
		Involve social partners and civil society in budget review			x			x	x	x
External audit	Independant audit and evaluation of public spending	Public Expenditures Review		x		x	x		x	
		External audit and control								

## 2. Social Protection in multiannual indicative programmes 2021 – 2027

	SP	SP & PFM	Reference to the project
<b>Approach 1</b>			
Angola	Improve the economic governance and strengthen the social protection system	To support stability-oriented macroeconomic policy, to promote efficient, effective and performance-based budgeting, to operationalize the universal right to social protection and to maximise the benefits of available resources, the EU will build on existing programmes and design new ones related to public finance management and social protection.	Yes
Burkina Faso	Comprehensive social protection as objective. More specifically, the objective is to support the structuring and coordination of national social protection mechanisms so that the various mechanisms can provide a coordinated and adapted response to the various structural and cyclical vulnerabilities of the poorest people, ensuring that these responses in terms of social protection integrate specific vulnerable groups (women, young people, the elderly, people with disabilities, internally displaced persons).	Outcome 1.3 of the objective: "The strategy, coordination and sustainable financing of social protection are strengthened"	No
Cambodia	Not a big priority. Part of one of 6 broad priority areas: "Support quality, accessible and inclusive services to strengthen human development that contributes to sustainable socioeconomic development, and poverty alleviation, encompassing education, skills development and TVET (Technical and Vocational Education and Training), health, nutrition and social protection as well as social and rural infrastructure."	No link between SP and PFM	No
Ethiopia	/	/	/
Nepal	Not a priority of the programme. "It is also proposed to promote decent work under all priority areas, [...]. This could be linked to a shock-responsive social protection system."	No link between SP and PFM	No
Paraguay	Social protection as one of the specific objective of the project: "To promote labour integration, employability and formalisation through the implementation of Social Protection programmes"	No link between SP and PFM	No
Senegal	3 <sup>rd</sup> sector of the human development priority area. EU is willing to support the Government's efforts for the upscaling and transformation towards greater inclusion of the main social protection programmes underway.	Aim to establish an autonomous mechanism for financing social protection that guarantees its fiscal, financial and economic sustainability	No

Uganda	The promotion of SP is included in the priority area 3 " Promoting Democratic Governance and Social inclusion"	No link between SP and PFM	No
<b>Approach 2</b>			
Bangladesh	SP for workers has an important place in the MIP. Specific objective 3: To enhance commitments for decent work and social protection for all in Bangladesh, covering the life-cycle, and enactment of labour legislation, in line with international labour standards.	No link between SP and PFM	No
Cabo Verde	SP as part of mitigation measures to respond to the covid-19 crisis: "this includes the reduction of the inequality gap, through social protection, education and the promotion of gender equality, while ensuring no one is left behind during the recovery phase"	No link between SP and PFM	No
Côte d'Ivoire	SP has an important place in the MIP, to achieve several objectives	No link between SP and PFM	No
Ecuador	SP included in broader objectives, not a specific focus	No link between SP and PFM	No
Malawi	Shock-responsive SP as one of the specific objectives of the priority area "Human development and social inclusion": Strengthening social protection systems to help mitigate the impact of the current pandemic and of future shocks (including those created or aggravated by climate change) and enhance the resilience of the most vulnerable.	No link between SP and PFM	No
Myanmar	SP only in the decent work objective "Increased capacity of government institutions and workers' and employers' organisations on employment, social dialogue, fundamental rights and principles at work, occupational health and safety and social protection"	No link between SP and PFM	No
Nigeria	objective of the human development priority area "Improving the Social Protection: Contributing to poverty reduction by supporting Government's efforts to implement the national social protection framework in selected States and improving its effectiveness through e-governance."	No link between SP and PFM	No
Peru	Important objective of the Priority Area 2: Human development and social inclusion. SP as a way to "to fight inequalities, build more inclusive, prosperous and sustainable economies and societies, support resilience and human development, targeting in particular women and young people and including vulnerable groups such as indigenous and migrant populations."	No link between SP and PFM	Yes

Sri Lanka	SP as a way to reach an inclusive and peaceful society. MIP will aim to improve SP system, particularly through innovative digital solutions	Interventions will also explore options to improve the overall policy, budgetary and institutional environment related to social protection as well as looking at options to pilot innovative social protection funding schemes and approaches	No
Togo	Improvement of SP as an objective of the MIP and more specifically of the universal health coverage	No link between SP and PFM	No

### 3. Indicators of Approach 1 countries

	Indicators	Achievements 2020 & 2021
RESULTS	1) Percentage of the population covered by social protection floors/systems by sex, distinguishing children, unemployed persons, older persons, persons with disabilities, pregnant women with newborns, work-injury victims, poor and vulnerable (SDG 1.3.1)	/
	1.4) % ratio of the social protection expenditure to the total State budget (disaggregated by type of programmes/domain of benefits)	/
INTERMEDIARY RESULTS	1.1) Number of social protection policy and programmatic documents, disaggregated by countries with mechanisms in place to enhance policy coherence of sustainable development (SDG 17.14.1)	Angola (Social Action policy), Cambodia (Family Package Policy), Nepal (National Integrated Framework), Uganda (Integration of GEG Initiative into KCCA Budget Framework paper, M&E Framework)
	2.1) Number of national schemes or programmes with improved administrative and delivery mechanisms or M&E frameworks as reflected in the related (new or revised) regulations, (new or revised) implementation manuals or (new or revised) M&E frameworks	Angola (National Council on Social Action), Burkina Faso (Information System for the national UHI scheme and Single Social Register), Cambodia (Family Package and M&E frameworks), Ethiopia, Senegal (CEC and RNU), Paraguay (!Vamos!)
	3.1) Number of policy and programmatic documents that mainstream fragility- and shock-sensitive social protection approved.	Angola (National Social Action Policy), Nepal (National Integrated SP Framework)
	1.1.1) Number of policy documents with an integrated/cross sectoral perspective on social protection, including related to fiscal, digital and SDG issues elaborated	Cambodia (Family Package Policy), Nepal (National Integrated Framework), Angola (Social Action Policy), Uganda (M&E Framework)
	1.1.2.a) Number of policy documents with a gender-sensitive financing lense elaborated	Angola (diagnostic report of the SP system and 2022 Budget Proposal), Cambodia (Family Package Policy document), Nepal (Review of preliminary costing on the extension of SP to informal & self-employed workers and 4 Social Budget Briefs), Senegal (Gender-responsiveness of the new RSPC), Uganda (feasibility study on extension of coverage)
OUTPUTS	1.2.1) Number of SP, RBA and PFM tools applied with support of the Action.	Angola (ANBD, ILO SSI, ISPA), Paraguay (SPPOT), Burkina Faso (CODI), Ethiopia (ILO SSI, actuarial valuations),
	1.2.2) Number of research studies financially supported by the action (started / completed) distinguishing between action research and rigorous research studies and those that include gender and disability specific outcomes.	Angola (diagnostic report), Cambodia (Research on SP needs & contributory capacity of informal workers), Ethiopia (actuarial valuation, study of financing strategy for SP, spending review for SP, SP to informal workers), Nepal (Research of SP in 2 local municipalities, challenges and opportunities around contribution-based social security, SSF: review of costing, capacity needs assessment and learning plan, Strengthening SP MIS, Systems Review of the SSF), Senegal (study on the gender-responsiveness of the RSPC, study on improvement of the CEC), Paraguay (Political Economy of the SP system, expansion of SP (direct and indirect equilibrium model)), Uganda (Expanding fiscal space for SP (for adolescent-oriented services. Feasibility study on Extension of Coverage; Challenges faced by adolescent girls in urban areas case for targeted SP programmes; PFM: Towards achieving vision 2040)
	1.2.3) Number of national policy makers participating in social protection knowledge sharing and coordination activities at supranational level (disaggregated by sex)	More than 245 ppl to the official launch of the programmes, Burkina Faso (ILO SP academy course attended by 2 gvt officials), Ethiopia (6 gvt officials trained), Nepal (9 gvt officials trained), Paraguay (49 gvt officials and workers and employers' organisations representatives)
	1.2.4) Number of countries that improve the provision of data on social protection that are disaggregated and comply with international statistical standards and harmonized indicators with support of this Action.	Angola, Nepal, Senegal (ILO Social Security Inquiry updated), Cambodia, Ethiopia
	2.1.2) Number of government representatives trained by this Action on social protection funding sources, prioritising women, children, persons with disabilities, informal economy and migrant workers (disaggregated by sex)	Angola (78 gvt representatives trained on performance-based budgeting), Cambodia (100 gvt officials trained on results-based budgeting), Malawi (72 officials trained through TRANSFORM Financing and PFM, and on the concept and design for social insurance financing mechanisms). Senegal (64 government actors trained in PFM & SP financing and on SP financing mechanisms) Uganda (50 parliamentarians trained on SP and PFM)
	2.1.3) Number of countries where programme administration and/or delivery systems are designed and operationalized with the support of the project.	Burkina Faso (Universal Health Insurance Scheme), Cambodia (Disability Allowance programme, Cash Transfer Programmes for COVID-19 and for pregnant women and children U2), Ethiopia (Urban and Rural productive safety net programmes), Nepal (improved identification mechanism for persons with disabilities, SSF, Beti Bachamwo and Beti Padhao Programmes, Paraguay (SP system Vamos), Senegal (CEC), Uganda (Urban SP Programme for Adolescent girls in Kampala & Senior Citizen Grant)
	2.1.4) Number and proportion of targeted population who, as a result of this programme, is better informed of its entitlement and benefits under the applicable social protection system (by sex, age, people with disabilities, etc.	Cambodia (information campaign at decentralized level and 240.000 people with disabilities to be covered by the Disability Allowance Programme), Nepal (awareness-raising through media), Ethiopia and Uganda (campaigns for registration to social security)
	2.2.1) Number of stakeholders trained on planning, delivery and monitoring of social protection programmes per year (by number of identified entities, by number of people trained (total and per entity, disaggregated by sex)	Angola (115), Burkina Faso (224), Cambodia (45), Ethiopia (10), Nepal (500), Paraguay (2), Senegal (30), Uganda (5)
	2.2.2) Number of multi-stakeholder dialogue events organized by the project to improve delivery and monitoring processes, (by country and region)	Angola (Meeting of the National Council for SP, Multisectoral Dialogue on the New NSAP, Roundtable discussions on extension of SP to informal workers and to refugees and migrant workers), Cambodia (Workshop on SP and contributory capacity of informal workers), Ethiopia (Meetings on the national SP platform, Labour & SP forum 2021, Consultative workshop), Nepal (4 meetings)

# Annex 5 - Country Notes

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THE PURPOSE OF THESE COUNTRY NOTES IS TO INFORM THE MID TERM EVALUATION OF THE EU PROGRAM “IMPROVING SYNERGIES BETWEEN SP AND PFM”. IT IS NOT DESIGNED TO BE AN ASSESSMENT OF THE SUPPORT PROVIDED BY THE COUNTRY PROJECT.

## **Approach 1 countries**



# Angola

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## List of acronyms

ABND	Assessment-Based National Dialogue
APROSOC	Social Protection Support
CNAS	National Council on Social Action
CSO	Civil Society Organisation
EFF	IMF Extended Fund Facility
GDP	Gross Domestic Product
ILO	International Labour organisation
IMF	International Monitoring Fund
INE	National institute of Statistics
INSS	National Institute of Social Security
IP	Implementing partners
MAPTSS	Ministry of Public Administration, Labour and Social Security
MASFAMU	Ministry of Social Action, Family and Women Promotion
MAT	Ministry of Local Administration
MoF	Ministry of Finance
MEP	Ministry of Economy and Planning
MoU	Memorandum of Understanding
NSAP	National Social Action Policy
PALOP	Portuguese Language Speaking Countries
PBB	Programme/Performance Based Budgeting
NDP	National Development Plan
PREI	National Programme for Reconversion of the Informal Economy
SP & PFM	Social Protection & Public Financial Management
UNDP	United Nations Development Program
UNICEF	United Nations Children's Fund

## 1. Country context and Intervention logic of the project

### 1.1. 1.1. Country context : State of social protection policy & institutional framework, public expenditures and macroeconomic and fiscal situation

The law 07/04 of 2004 established the first legal and institutional framework for SP system in Angola, organised around three pillars: Basic, Compulsory and Complementary SP. Fuel and utility price subsidies are not part of the statutory SP system, but expenditure on such subsidies have fallen under the SP budget rather than the energy budget. A significant portion of non-contributory social assistance falls also under the Angolan education and health sector budgets (e.g. school feeding programs, school kits, uniforms...).

The SP system remains highly fragmented in Angola, with a variety of small-scale programs and activities, that involves a wide range of actors and institutions. If several governmental institutions participate in the implementation of SP programmes, coordination and joint strategy have been pending. SP spending remains highly concentrated in two ministries in charge of social insurance rather than social safety net (the Ministry of Public Administration, Labour and Social Security and the Ministry of Defence). However, according to the Presidential decree 19/18 of January 2019, the Ministry of Social Action, Family and Women's Promotion (MASFAMU) is in charge of designing, coordinating and implementing social policies and programmes for the most vulnerable population. This Ministry has been through a restructuring process (merging of two previous separated ministries: ex-Ministry for Social Action and Reintegration and Ministry of Family and Promotion of Women), but so far it has received very limited budget allocations to carry out its mandate. The Ministry of Health (MINSA), the Ministry of Ex Combatants and Veterans of the Motherland (MACVP) and the Ministry of Territorial Administration (MAT) received also limited budget allocations. Together with the MASFAMU, all these ministries have received in average 2 percent of the total annual SP spending since 2014, which was allocated to non-contributory social assistance.

Under its first strategic axis on Human Development and social Welfare, the Angolan National Development Plan (NDP) for 2018-2022, approved in May 2018, addresses the key priorities of the country's SP policy aiming to (a) promote the social and productive reintegration of the most vulnerable and excluded groups; (b) contribute to equitable and sustainable development, promoting the reduction of social, economic, cultural and territorial asymmetries; (c) re-adapt the institutional architecture of support of the social action of the state, in accordance with the Sustainable Development Goals; and (d) support initiatives that provide support services for people with disabilities and their families. Some of the objectives of the NDP include registering 1,13 million social action beneficiaries in the national social registry by 2022, and the modernisation of the system of compulsory social security/insurance system, with specific focus on formalisation of the economy.

In parallel to the NDP, in January 2018 the national authorities launched a Macroeconomic Stabilization Plan that has been in line with the adoption and implementation of a 3-year Extended IMF Fund Facility (EFF) which aims at stabilizing the economy and guide economic reforms. This IMF arrangement, approved in December 2018, provided a macroeconomic and financial stability anchor to sustain the national reform agenda, build resilience against external shocks, and develop the required supply side policies' reforms for economic diversification and broad-based growth. In this framework, the authorities have continued to implement strong fiscal consolidation and debt-control measures. Notwithstanding recent positive developments, the outlook for the near term remains subject to significant downside risks, including from lower oil production, high inflation and possible oil price volatility. The removal of subsidies is at the core of this national macroeconomic reform

programme, especially for fuel and transport tariffs, following the adjustment of water tariffs in 2018. The IMF and donors' community have also made further recommendations to strengthen the country's social protection mechanisms in order to compensate the impact of the subsidy reform on the vulnerable population. This provides a favourable momentum for developing SP policy and schemes under the IMF fiscal programme and with the existing support of donors in the sector.

**In this context, the national authorities have committed to further phasing out the fuel subsidies once a cash transfer program mechanism reaches a critical mass of households.** With technical support from the IMF and the World Bank, they have embarked on technical preparatory work to evaluate the impact of the phasing out subsidies and identify potential additional targeted mitigating measures for the vulnerable population. The specific deliverables of the government's roadmap include: (i) building technical and analytical subsidies reform capacity in the energy sector; (ii) establishing the total fuel subsidy amount owed by the government to Sonangol (parastatal in charge of petroleum and natural gas production in Angola) as of end-December 2021, as well as the repayment schedule; (iii) quantifying poverty, social and economic impacts of various fuel subsidies reform options; (iv) designing social safety net mechanisms to cushion the negative impacts; and (v) developing a strategic communication plan towards the public. At the end of 2021, under the "Kwenda" (cash transfer) project, the authorities had already registered around 450,000 households out of their end-2022 goal of 1.6 million. However, only over 100,000 households have received benefit payments so far. Progress has been slower than anticipated largely due to the low banking and mobile money penetration among the poor, the related challenges faced in establishing a payment infrastructure for the poor across the country, and the lengthy and costly work currently underway that was also complicated by the COVID-19 crisis.

In the wake of the COVID-19, the Government of Angola launched a socio-economic recovery stimulus package and action plan, under the name of the "Alivio Economico" targeting the productive and informal sectors and the workers. One pillar of this action plan aimed at accelerating the transition from informal to formal activity, with the implementation of **the Informal Economy Reconversion Programme (PREI)**.

More recently, the approval of the **National Social Action Policy in February 2021** has provided an opportunity for DPs to engage with national stakeholders towards the implementation of a comprehensive SP policy framework, especially in the area of non-contributory social safety net, to address identified weaknesses related to coordination mechanisms and the budgeting and delivery of SP services. The government has initiated a national dialogue process around this comprehensive policy framework.

**Fuel and utility price subsidies have historically represented the largest share of SP budget** (above 60% of total SP spending until 2017) but their share has progressively decreased since 2014 to less than 2% of GDP in 2021. This resulted essentially from the fall of oil prices and, to a less extent, the progressive launch of the government's subsidy reform. Against this framework, spending on **social insurance has started to account for the bulk of SP spending in the country**, because the provided fiscal space did not translate into an increased funding for targeted non-contributory social assistance/poverty programs while some of the savings from the subsidy reforms were used to increase spending on pensions for the elderly and ex-military personnel.

According to a World Bank Social Protection Public Expenditure Review (2018), **public spending in SP has considerably decreased over the last few years as a share of GDP**, in real per capita terms, and as a share of total government spending. The total annual cost of the sole fuel subsidies was estimated by the IMF at 1.9% of GDP in 2021 while total fuel and utilities subsidies were the largest category of SP spending totalling around 7 % of GDP before 2014. Utilities and fuel subsidies

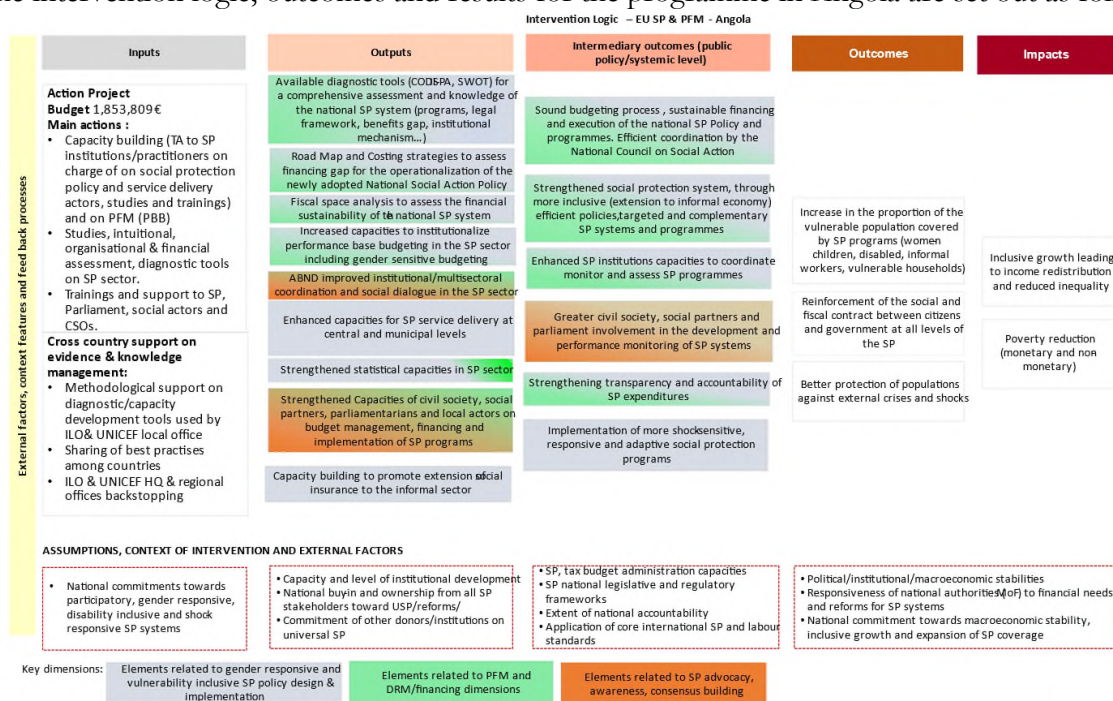
have a universal character and consequently are not effective as a poverty targeted measure. However, their progressive removal has also underlined that the **Angola social safety net remains limited in scope to mitigate the adverse social impacts of subsidy reforms on the poorest layers of the population**, especially in the urban areas. **Social insurance spending in Angola was estimated at 1.5 percent of GDP in 2018**, which is more than twice the average spending in the Africa region of 0.7 percent of GDP. **Social safety net expenditures (non-contributory) were estimated between 0.3% and 0.4% of GDP**, well below the average pending in Africa of 1.3% of GDP. Others upper-middle income African countries spend on social assistance on average more than 6 times the amount spent in Angola as a share of GDP.

However, the country's fiscal situation (high debt level, low government revenues, fiscal consolidation process to improve the country's non-oil primary fiscal balance...) has considerably constrained the fiscal space available for SP financing and led to consistent annual budget cuts in the social sector that have impeded progress in this area.

Non-contributory cash social assistance and safety net systems remain a recent policy domain in Angola, but since 2016, the country has embarked in a pilot programme of cash transfers targeted to vulnerable population, with the support of donors' funding and technical assistance (e.g., from UNICEF, EU and the World Bank). Some of the initial priorities have been the establishment of a reliable social registry (a unified social registry was instituted by decree in May 2019) and the progressive setting up of the institutional architecture and payment infrastructure at central and decentralised levels.

## 1.2. Main objectives and activities of the SP-PFM project 2019-2021

The intervention logic, outcomes and results for the programme in Angola are set out as follows:



## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a color according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks ?</b>	
<b>JC 1.1</b>	The SP&PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks.	
<b>JC1.2</b>	Country project address the <b>key priorities and needs including PFM factors</b> determining country capacities to implement sustainable SP systems.	
<b>JC1.3</b>	The responses provided to COVID-19 and other shocks were relevant according the immediate needs and the long-term objectives of the Action.	
<b>JC1.4</b>	The project addresses priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy.	

#### Main findings:

The project is in line with ILO Recommendation on Social Protection Floors (Recommendation n° 202) Decent Work and social insurance coverage to the informal sector (Recommendation n°204) as well as the Decent Work Agenda. The presence in Angola and the involvement in the project's consultations and activities of the **National Commission for ILO** (set up since 1991), made up of representatives of employers and workers and coordinated by the Ministry of Public Administration, Labour and Social Security, has also contributed to strengthen the overall alignment of the project with the ILO principles (JC 1.1) and the national SP objectives.

The project has also been fully aligned with the new **National Social Action Policy (NSAP)** (JC 1.1) adopted in February 2021. Indeed, the project has designed activities to: i) define a road map and implementation plan for its operationalisation; ii) promote a comprehensive and inclusive dialogue through an Assessment Based National Dialogue (ABND) process with all the potential stakeholders; and iv) to strengthen the institutional coordination mechanism. The objectives of the project have also been coherent with **the National Development Plan 2018-2022** which seeks to extend SP coverage and assistance to the vulnerable population. Despite its strong focus on the non-contributory branch of the SP system and on the most vulnerable population (JC 1.4), the project was also in line with the government's priorities in the area of formalisation of the economy and the extension of social insurance to the informal sector (JC 1.2 & JC 1.4) included in the adopted National Programme on Reconversion of Informal Economy (PREI). This programme was part of the government response to the COVID-19 pandemic crisis and remains high on the agenda of national priorities. The project has then also considered the contributory part of SP system and the concerned institutions (Ministry of Public Administration, Labour and Social Security, National Social Security Institute ...) in its diagnostics, SWOT analysis, capacity development.

The focus of the project to consolidate the capacity of the MASFAMU to lead, coordinate and implement the National Social Action Policy was also relevant in view of the social impact of the pandemic on the most vulnerable or the informal workers. However, the programme did not propose specific measures to address the immediate needs of the COVID crisis, considering that its focus on

promoting the operationalisation of non-contributory national SP system was relevant to strengthening the capacity of the country to address future similar economic and social shocks (JC 1.3). The project also supported the Ministry of Finance to organise roundtables on the impact of the COVID-19 pandemic on the budget process.

The project builds on previous EU-funded interventions in the SP area (JC 1.1) especially the APROSOC programme implemented by UNICEF which supported the country's first experience in implementing cash transfers and contributed to frame the development of the new National Social Action Policy. This programme also brought important lessons and knowledge to inform future planning, budgeting and financing of SP policies, especially on: (a) the challenges related to the institutional, administrative & infrastructure and human resources needs for the municipalisation of social services and delivery of social actions and cash transfer, (b) the design of institutional coordination and monitoring & evaluation mechanisms, management of information system and tools in the context of future cash transfers and social action programmes.

The objectives of the project were also aligned with the overall macroeconomic, PFM and subsidy reforms engaged by the country in the context of the IMF EFF programme and the need to streamline and further develop social assistance programmes to address the social impacts of these reforms on the poorest segment of the population. At a time when the country is facing medium-term fiscal consolidation challenge, the focus of the project on the costing of the newly adopted Social Action Policy, to develop a fiscal gap/space analysis and to build capacities among the administration (including institutions involved in SP policies on planning and budgeting) is relevant in relation to the existing challenges to ensure social policy budgeting and financing, and fiscal sustainability and efficiency of any future non-contributory SP programmes. If the PFM component has so far only addressed the upstream part of the public expenditure chain, the SWOT analysis and diagnostic developed by the project on the national SP system (still on-going) is also expected to address institutional and administrative challenges at the level of social assistance delivery to the population.

The PFM component of the project has included a gender sensitive budgeting dimension in its capacity development activities on PBB. Training, roundtables and sensitisation workshops and seminars were also held on the need to improve SP coverage to the most vulnerable layers of the population. The supported NSAP includes in its second pillar shock-responsiveness and disaster risk management components, whereas the ABND developed by the project made recommendations and advocated for a better integration of these dimensions in the future implementation action plan of the national policy, including the case for disability-inclusiveness in SP actions.

## 2.2 Coherence, coordination and complementarity

EQ2	To what extent have the EU Action's components and activities been consistent with each other and contributed to reinforce the overall coherence of all EU's and its implementing partners' interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors' interventions in the SP and PFM sectors?	
JC 2.1	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP.	
JC 2.2	SP-PFM project has benefited from cross-country activities.	
JC 2.3	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level.	
JC 2.4	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors' intervention.	



**Main findings:**

The different components of the project have been coherent and consistent with each other, as they have tried to address the key necessary drivers for an efficient operationalization of the new national policy on social action that focused on the non-contributory dimension of the national SP system (JC 2.1). However, this coherence has been constrained by the sequencing of implementation of these different components. The fiscal space analysis study has not started yet, due to difficulties in gathering the necessary information that took much more time than initially expected. The appointment of certain focal points to set up some working groups, such as the one on SP statistics, has also encountered difficulties. The COVID-19 pandemic and the electoral year (2022), combined with several top management changes in key positions and project's counterpart in ministries and institutions have contributed to hinder the smooth implementation of the project's activities.

The implementation of an initial assessment-based national dialogue (ABND) and the project's support to reinforce the National Council on Social Action as the multisectoral coordination mechanism for the SP policy allowed the project to consult and take on board interests of different stakeholders at all levels. This approach has been reinforced with the project's decision to involve representatives and stakeholders from the contributory and non-contributory branches of SP national system (at central, provincial and municipal and local levels) in its diagnosis, dialogue, advocacy and training activities. The project has also involved the ILO tripartite commission to ensure the involvement of key social actors.

Angola was not included in the global research on econometric study on the multiplier effect of SP due to the lack of comprehensive statistics. While there is limited evidence of cross-countries activities, the project has promoted, sometimes in coordination with other DPs, the participation of key national SP stakeholders in regional webinars and on-line training events to promote cross-fertilisation and exchange of experiences on COVID-19 policy responses in Africa, extension of SP to informal sector, budget transparency and programming (JC 2.2). The implementing partners have also extensively benefitted from the backstopping and technical support from their regional offices and headquarters, for example when drafting terms of references and mobilising relevant experts, defining training curricula on PBB, as well as to capitalise on IP experiences in other countries. The presence in the ILO office of a master trainer in Transform package methodology has also been an asset for the implementation of related activities. Finally, the cross-country component may have provided some support to the IP in the area of developing the ABND tool in Angola.

The project has been able to strongly capitalise on UNICEF's experience in managing the previous EU-funded APROSOC project (at a closing phase at the time of this review), which is considered to be the first national experience of financing and implementing of cash transfer programmes at municipal level (JC 2.3). Synergies have been less tangible in the context of the EU budget support operations that started in 2020 to support the Government's COVID-19 response and the macroeconomic reform agreed with the IMF. Although the SP&PFM Action has tried to promote a comprehensive approach to the different component of SP, it is fair to acknowledge that the core focus of the project remains on the operationalisation of the non-contributory SP policy. On the other hand, the EU, under its budget support operations, has rather focused (among other fields) on the contributory branch of the SP system. Policy dialogue and performance indicators thus focused on the extension of social insurance to informal workers to support one of the key priorities of the Government's agenda on the formalisation of the economy (under the PREI). This choice by the EU could derive from the uncertainties regarding the pace of implementation of the government subsidies' reform that will condition the financial sustainability of any cash transfers policy. It could also be explained by the strong presence of the World Bank in the social assistance sector, with an important cash transfer programme that could be further extended in the near future.



With regards to the PFM reform process, the EUD has requested that the SP&PFM project establishes stronger relations with the IMF Office in Luanda, considering the ongoing EU contribution agreement with the IMF that focuses on the consolidation of a Medium-Term Fiscal Framework. This could help establish synergies between the subsidy reform process supported by the IMF and the development of targeted cash transfers. At the same time, it would also create synergies with the EU-funded IMF technical assistance team in view of the project's PFM related activities on the development of PBB, the costing strategy of the newly adopted National Social Action Policy and the fiscal space analysis for SP. Yet, while this point has been taken into consideration by the project's implementing partners, such synergies are still pending as the project has faced difficulties to establish closer working relations with the IMF.

In the framework of the complementary support for capacity development of the upcoming budget support operation (at a formulation stage at the time of this review), it is expected that the EU will sign contribution agreement with the ILO to work on the scaling up of SP, with a specific focus on the informal sector (specific areas of intervention are still to be defined). This could also pave the way for future capitalisation and synergies with the EU SP&PFM project and consolidate the EUD engagement and policy dialogue with the national authorities on SP (JC 2.3). While it is difficult to assess the extent to which the SP&PFM project influenced the new EU programming exercise, the MIP 2021-2027 includes a sub-objective on the improvement of economic governance and strengthening of the SP system and referred explicitly to the "Government's commitment to optimize the fiscal space to extend the social protection", the "need to capitalise on the on-going project especially its involvement in identifying the coverage gap, estimating the cost of establishing a social protection floor and conducting fiscal space analysis to identify options to fill the financing gap". The expected results under this sub-objective relate to a "nationally appropriate social protection systems and measures implemented for all", a "reinforcement of the SP policy and its institutional set up", and the "design of social protection floors based on financing options". All these elements are fully in line and derived directly from the planned activities of the SP& PFM project (JC 2.3).

Considered as a key added value of the intervention, the project has been instrumental in setting up a donors' working and coordination group on SP. This group was established in November 2021 and meets on a monthly basis, thus allowing good exchange of information (JC 2.4). Regularity of these meetings has however been eroded during 2022. The efficiency of this donors' coordination mechanism could be further improved through the planned finalisation of specific terms of references (specifying its role, objective and working arrangements) and the systematic preparation of an agenda ahead of each meeting, minutes and follow up plans (JC 2.4).

Globally, several activities of the project have been implemented in close partnership, collaboration or synergies with other donors involved in SP, notably with the World Bank, involved in the biggest cash transfer project in the country; the UNDP which is supporting the extension of SP to workers in the informal sector; and with the Portuguese-funded ACTION project (for PALOP countries, implemented by ILO in Angola) which supports the strengthening of the institutional capacity and coordination in the area of SP statistics, mapping of related indicators and the set-up of a national SP statistic group. As mentioned above, the project has also capitalised on the EU-funded APROSOC project, implemented by UNICEF. In the PFM area, the project has capitalised on the existing cooperation framework that UNICEF established with the Ministry of Finance in the context of a specific Memorandum of Understanding.

## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

EQ3	To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?	
JC 3.1	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
JC 3.2	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems.	
JC 3.3	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP.	
JC 3.4	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability and oversight.	

SP is still an emerging policy area in Angola, especially its non-contributory dimension which covers less than 2% of the population (whereas social insurance schemes cover around 7% of the population). The project has been instrumental in promoting the agenda of the newly adopted National Social Action Policy focusing on non-contributory dimension of SP. It has also sought to address and support the development of such SP policy through a sector wide approach, taking into consideration the other SP branches (contributory and complementary) and their stakeholders to address the existing weaknesses in the coordination and articulation of the national system. The project activities and the developed diagnostic and analytical tools have raised awareness regarding the high level of fragmentation of the SP sector (i.e., several SP interventions, involvement of different government ministries and agencies without institutional coordination mechanisms, duplication of management information tools, lack of comprehensive monitoring and evaluation system).

The ABND process carried out by the project involved all the SP stakeholders and informed the preparation of the operationalisation of the Strategy of the National Social Action Policy through the development of a specific road map. Among the prominent features of the project, it is worth noting: the diagnosis and mapping of current SP system (existing stakeholders, institutional responsibilities, statistical systems, population covered, adequacy of benefits...) including an advanced analytical work through a SWOT analysis of the national SP system, as well as capacity building, workshops, round tables and sensitisation/advocacy activities. In that respect, the project has contributed to strengthening the capacity of national administration and SP stakeholders to better understand SP systems and management, existing challenges, and to take informed decisions on any future SP reform strategies, financing and programmes.

Despite its focus on the **National Social Action Policy (NSAP)**, the project has promoted the progressive development of a comprehensive SP policy wide-approach in Angola which did not exist hitherto (JC 3.1, JC 3.2, JC 3.4) and which remains challenging. In that regard, the project has faced some initial resistances from the MAPTASS, which is in charge of the contributory SP sector, to coordinate with the MASFAMU, in charge of implementing the non-contributory SP policy. Institutional capacity building and social dialogue activities have aimed at strengthening the coordination amongst all key stakeholders involved in SP (JC 3.4) by reviving the National Council on Social Action set up in 2019 which oversees social concertation, supervision, monitoring and evaluation of social public policies.

The use of the TRANSFORM policy-makers package<sup>1</sup> has also directly contributed to disseminate technical and operational knowledge among SP practitioners from various institutions. The SWOT analysis as well as the fiscal space analysis, which has been delayed, constitute valuable tools of analytical assessment to provide guidance to the government's future SP institutional and administrative reforms and organisation, as well as to policy planning and financing process. The project has also worked on the establishment and institutionalisation of an inter-institutional working group aiming at reinforcing national capacities to produce regular SP statistics (JC 3.2). This activity seeks to inform future SP policy/programme formulation and monitoring. The project has also supported the launching of a programmatic exercise through the preparation of the costing strategy for the implementation of the new Social Action Policy (JC 3.2).

The EUD has participated in several activities and events organised by the project, such as roundtables, seminars and policy dialogue process. It is fair to say that the participation of the EUD to project's activities and dialogues, especially on the improvement of SP coverage for informal economy workers, may have informed and guided the formulation of the new Budget Support operation that will support the PREI and the formalisation process of the economy including the inclusion of informal workers into the national social insurance system (JC 3.3.). As the EU was also financing the APROSOC project implemented by UNICEF, it was part of the Coordination Sector Working Group set up by the project and gathering all key DPs supporting SP in the country.

The preparation and launching of the trainings on PBB involving several institutions (comprehensive approach not limited to the SP sector) has also allowed the project to develop stronger working relations with the Ministry of Finance and the Budget Department, capitalising on an existing MoU between UNICEF and the Ministry of Finance. Although it is yet too premature to assess the real impact of this cooperation, this step is expected to pave the way for closer cooperation and coordination between the MASFAMU and other key institutional stakeholders (e.g., MAPTSS) with the Ministry of Finance in view of the budgeting and financing of the NSAP. Several challenges remain in view of the required fiscal consolidation process and the sensitivity and uncertainty on the pace of the state subsidy reform that should provide the needed short term fiscal space to finance the non-contributory strand of the SP system. The costing exercise of the NSAP and the fiscal space analysis (still to be finalised) will be instrumental to guide this future budgeting process and should condition the overall sustainability for the project's interventions.

The project has promoted a multisectoral dialogue on the NSAP, including senior government officials from key ministries as well as representatives from social partners, CSOs and DPs. Capacity building, training programs and social dialogues organised by the project have always been inclusive involving government institutions, CSO and social partners (JC 3.4). Members of several relevant Parliament Commissions have also been involved in the implementation of the decision-maker Transform training packages of the project. The project, together with development partners (UNDP, ACTION programme funded by Portugal), has also promoted a tripartite social dialogue on the extension of SP to workers in the informal sector involving government institutions, CSOs and the members of the permanent national ILO Commission, made up of representatives of employers and workers and coordinated by the MAPTSS.

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<sup>1</sup> TRANSFORM is an innovative training initiative in Africa, using a transformational approach to teaching and knowledge sharing, to strengthen individual and institutional capacity for the management of national social protection systems and the establishment of social protection floor.

In the framework of the PFM component and building on UNICEF's MoU with the Ministry of Finance, the project, has also conducted a series of webinars to promote greater transparency and participation in the management of public finances.

<b>EQ4</b>	<b>To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made?</b>	
<b>JC 4.1</b>	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems.	
<b>JC 4.2</b>	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability.	
<b>JC 4.3</b>	More financed and operating shock sensitive, responsive and adaptive SP programmes.	
<b>JC 4.4</b>	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers.	

### Main findings:

The initial focus of the project on the support to the drafting of the new NSAP and its operationalisation have contributed to set up for the first time in Angola a national policy framework dedicated to non-contributory SP to support the most vulnerable population and specific vulnerable groups (JC 4.1 & JC 4.3). The project has made initial contributions to the drafting of the NSAP, including shock-responsiveness and disaster risk management under the second pillar of the policy for the protection of citizens in situations of vulnerability and the provisions of temporary or emergency social services for those affected by shocks (JC 4.3). The Assessment Based National Dialogue developed by the project to support the preparation of the action plan for the operationalization of the NSAP has also recommended the inclusion of shock-responsiveness and disaster risk management as a key component of the Angolan Social Protection System.

Non-contributory SP is very new in Angola and the country is facing macro-fiscal, institutional, statistical and operational challenges to properly finance and implement such policy. So far, basic SP programmes have been funded by the DPs (UNICEF/UE, World Bank). According to the ILO and UNICEF, although the 2022 budget has included for the first-time allocations for social cash transfers targeting children, the concerned population is still extremely low, and the bulk of cash transfers programme will continue to be financed in the short term by the DPs.

Although much remains to be done before the NSAP is operationalised, financed by the State budget, implemented and sustainable (JC 4.2), all the activities (on-going or planned) of the project mentioned previously contribute to prepare the ground for this operationalisation and make the national SP policy framework more gender responsive and inclusive. However, the project alone cannot address all the challenges. While the SWOT analysis, the road map and the costing strategy of the NSAP's implementation, the social dialogue and the multi-institutional and stakeholder coordination promoted by the project will be instrumental, the fiscal space analysis will be extremely important. This analysis should be closely developed with the IMF and the Ministry of Finance, considering the government's commitment to the subsidy phasing out reform under the Extended Fund Facility (EFF). This will likely be the main source of fiscal space available in the short term to finance the NSAP and its social assistance programmes.

The efforts of the project to promote a sector wide approach addressing all the SP components and to address the extension of contributory SP to workers in the informal economy could also contribute to strengthen the coordination and articulation of future SP policies, and promote the financial sustainability of the whole SP system.

## 2.4 Efficiency

<b>EQ5</b>	<b>To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?</b>	
<b>JC 5.1</b>	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives.	
<b>JC 5.2</b>	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies.	
<b>JC 5.3</b>	The implementing partners have set up coordination with domestic partners and development partners.	
<b>JC 5.4</b>	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution.	
<b>JC 5.5</b>	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project.	

### Main findings:

The methodologies, diagnostic tools and approaches selected by the project were relevant to progress towards its objectives (JC 5.1). The ABND process has been able to develop a wide engagement with key institutions in the area of SP, which is still a new policy area for Angola and where strategic policy, institutional coordination, and information system have been lacking. Swot analysis of the sector, inventory of existing programmes, analysis of respective institutional responsibilities allowed to address key weaknesses and issues in the SP sector through inclusive social dialogue with all institutional stakeholders as well as social actors and CSOs.

Training and capacity development especially through the Transform training package also contributed to raise awareness and knowledge about SP. The presence in the local ILO team of a Transform Master Trainer has been a key advantage for the development of capacity building in the SP sector. The level of engagement of the Ministry of Social Action, Family and Women Promotion (MASFAMU), in charge of the implementation of the NSAP, has been very satisfactory. The success in securing the participation of the Ministry of Public Administration, Labour and Social Security (MAPTASS) in the project steering committee was also important in order to contribute to a more comprehensive approach to SP. However, the first steering committee of the project was only organised mid of 2021. The project has faced some resistance on the coordination with all SP stakeholders. COVID-19, the changes of top management in key counterpart ministries (MASFAMU, MAPTASS) and institutions (INSS, INE), the electoral year (2022), as well as other political economy related factors have hindered the smooth implementation of all planned activities.

Under its component dedicated to improving coordination in SP sector, the project has established and institutionalised inter-ministerial and multisectoral working groups, including specific technical working group in the area of SP statistics. It has also revived and strengthened exiting national bodies in charge of social concertation, supervision, and evaluation of public policies in the social sectors, such as the National Council on Social Action (CNAS). The project has also taken the initiative to set up a coordination working group with all DPs involved in the SP sector and has also promoted synergies and exchanges of information on bilateral basis with other projects in the sector. (JC 5.3)

In the PFM area, the project has adapted the timing of its activities on PPB training in order to better align this component with the national budget cycle and PFM reform planning of the Ministry of

Finance. The project has been able to capitalise on the existing UNICEF-fi Memorandum of Understanding in order to enhance its relationship with the Ministry (JC 5.2 & JC 5.3). If the training and capacity development PBB activities of the project have been first targeted to a wide audience of ministries, the project expects to promote the MoF's ownership to launch a PBB model in a sample of key social ministries and institutions.

Nevertheless, at its onset, the project faced difficulties in engaging with institutional stakeholders from the Government due to the initial strong focus of the project on the non-contributory SP sector but also due to existing institutional resistances in promoting synergies, exchanges of information, and multisectoral and inter institutional coordination. Several stakeholders have mentioned the need to promote stronger linkages between the non-contributory and contributory strands of the SP sector. In that regard, the project has developed inclusive dialogue involving actors from the contributory SP sector and work also on the extension of SP to the informal sector to develop the national SP contributory schemes in synergy with other DPs (JC 5.3), such as UNDP, and in line with the national priorities on the formalisation of economy. In this context, the project has demonstrated a strong adaptation capacity, developing working relations with the Ministry of Economy and Planning.

At the beginning of the project, and for the sake of better efficiency, the two IP have divided up between themselves the leadership of the different components of the project according to their respective comparative advantage and national knowledge while ensuring sound coordination and articulation of all the activities of the project (JC 5.4). ILO and UNICEF offices being in the same building has also favoured daily coordination. The project has faced several delays in recruiting some expert especially for the SWOT analysis on institutional coordination expertise on SP. The IP have also received useful support from their respective regional offices and their headquarters. The fiscal space analysis has not started yet as the project still faced difficulties to gather all the required information. Yet, the IP consider this delay as necessary in order to ensure that the study fits to the specific situation, needs and priorities of the government. Nomination and activation of institutional focal points as well as the collection of the necessary statistics and information have revealed more time consuming than initially expected, due to cumbersome bureaucratic processes among the concerned administrations.

Due to recent turnover of the EUD staff in charge of the project, it is difficult to assess the quality of exchange of information and synergies established between the implementation of the project and the upcoming EU budget support operation that targets not so much the non-contributory SP sector and the NSAP's implementation but rather the extension of the social security system to the workers from the informal sector and the implementation of PREI. However, the EU has acknowledged the key role of the project in fostering coordination among the public administration and among the DPs, in strengthening capacity of relevant national counterparts on SP policy and in advocating for SP reforms to be prioritised among the government's governance and macroeconomic reform agenda. EU Staff also called for tighter cooperation with the IMF, questioning the financial sustainability of the financing of the new NSAP and considering the tense national macro-fiscal framework, as well as the need to promote synergies and coherence with the national budgetary reform process.

**Annex 1: List of Institutions met**

Institution type	Institution / Minister	Service
Implementing partners	ILO	
	UNICEF	
EU	EU Delegation	
National authorities and institutions	Ministry of Finance	Budget Directorate
	Ministry of Social Action, Family and Women Promotion	
	Ministry of Public Administration, Labor, and Social Security	
	National Institute of Social Security	
Other donors	World Bank	
	UNDP	
Civil society	ILO National Commission	

# Cambodia

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## List of acronyms

ADB	Asian Development Bank
ASPC	Advanced Social Protection Cooperation
BS-SP	Budget Support to Social Protection
CSO-TU	Civil Society Organisations-Trade Unions
DP	Development partners
GC-SPF	Global Coalition – Social Protection Floors
GS-NSPC	General Secretariat of the National Social Protection Council
IL	Intervention Logic
IP	Implementing Partner
MEF	Ministry of Economy and Finance
MOSVY	Ministry of Social Affairs, Veterans and Youth Rehabilitation
MOL	Ministry of Labour
NSPC	National Social Protection Council
NSPPF	National Social Protection Policy Framework
NSSF	National Social Security Fund
PwD	Persons with Disabilities
RGC	Royal Government of Cambodia
RB	Results based
SIDA	Swedish International Development Agency
UNJP	UN Joint Programme

## 1. Country context and Intervention logic of the project

### 1.1 Country context : State of SP, policy and institutional framework

SP was rather limited before the COVID crisis in Cambodia but a strengthening of the SP system was in preparation. A National Social Protection Policy Framework (NSPPF) has been adopted in 2016 for guiding Government actions until 2025; a Social Security law was passed in 2019. A National Social Protection Council (NSPC) was set up in 2017, gathering 13 ministries at the highest policy level; the NSPC General Secretariat established in parallel was tasked with supporting NSPC work but also with playing a regulatory role of Social Security policies and actions.

Several ministries are involved in delivering social assistance, the most important being the MoSVY which covers the main Social Assistance programs except scholarships implemented by the Ministry of Education. The National Social Security Fund (MoL) is responsible for contributory schemes which remain limited to formal workers and employees. Cambodia has one of the highest rates of informality in the region. Informal workers are not covered by SP measures such as pension systems and health insurance.

**Table 1: Recent evolution of main SP schemes**

Social Protection schemes	Before COVID	Additional measures adopted during COVID	After COVID
Cash transfer system	Poor pregnant women and children aged 0 to 2 years, covering 78,060 beneficiaries (25,162 children)	Introduction of the Cash Transfer Program for the Poor and Vulnerable Households (about 710,000 households (corresponding to 2.8 million people) received the cash transfer in 2020  In June 2021, the government provided one-time only cash assistance to vulnerable individuals and families whose livelihoods were affected by the lockdown measures in Phnom Penh, Krong Takhmau, and Krong Preah Sihanouk	Family package of Integrated Social Assistance Program covering emergency support, health care, social care, child protection, child benefits and feeding, and disability and old-age allowances
Scholarship program	122,228 children in primary grades 1 to 6 in and 90,784 secondary school pupils in school year 2019/20.		
Disability program	11,000 beneficiaries	240.000 Persons identified	
Health insurance schemes	two types of state-backed (one directed at the poor, and community-based health insurance schemes)		Health care coverage for informal workers to be adopted
Employment injury insurance	extended to formal workers and employees		
Pensions	only to civil servants (around 7 per cent of the total		

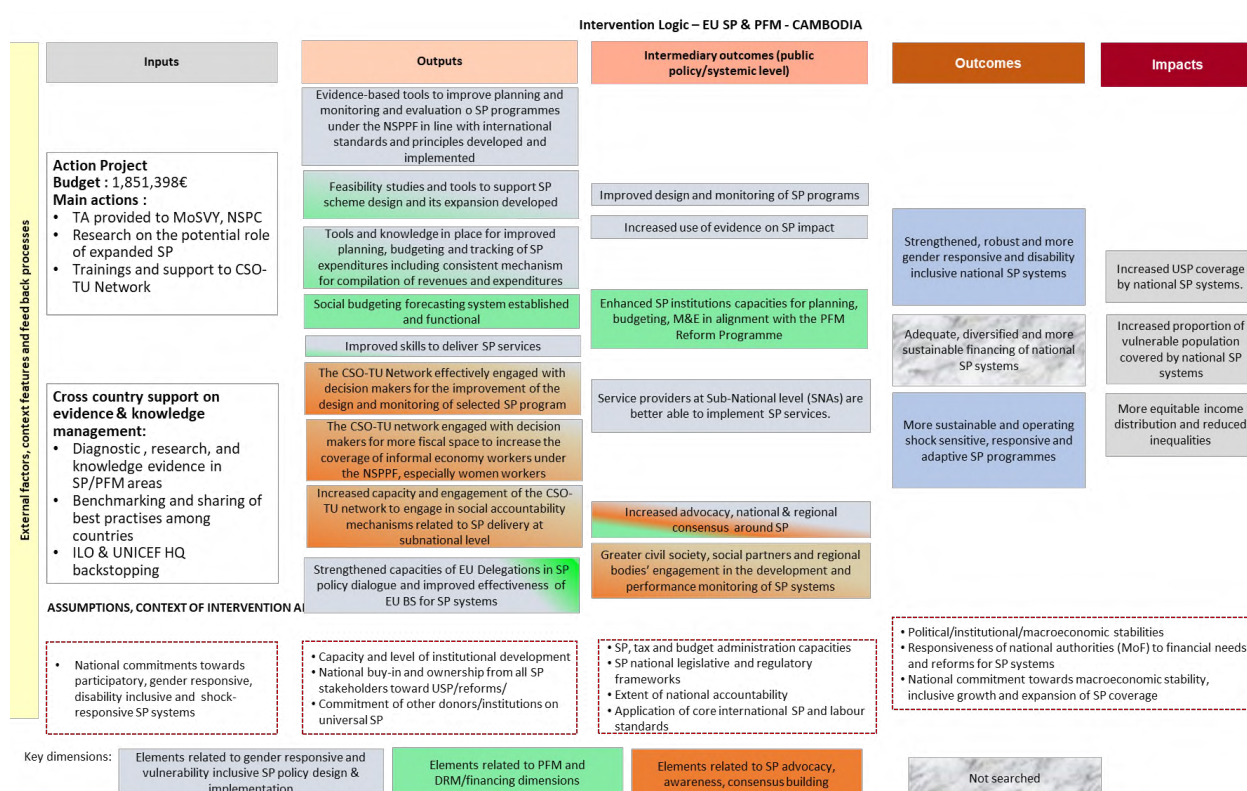
	population received retirement pensions)		
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In 2020, the RGC expanded considerably the existing cash transfer system to provide support to the poor and workers affected by the Pandemic. Social assistance of more than US\$760 million was delivered, including US\$506 million for monthly cash transfers to poor and vulnerable households and US\$260 million cash for job support. However, a large section of the urban workforce might yet be unprotected, especially households who may have fallen into poverty in 2020.

## 1.2 Main objectives and activities of the SP-PFM project 2019-2021

The SP&PFM project has targeted three main outcomes: 1) Improved design and monitoring of SP programs and increased use of evidence on SP impact system to contribute to increased coverage of SP; 2) enhanced planning, budgeting and M&E capacities of SP institutions in alignment with the Public Finance Management Reform; 3) Strengthened capacities of Service providers at sub-national level (SNAs) to implement SP services.

Concretely the project has scheduled to provide TA to selected entities to design, develop, implement and monitor SP programmes as well as on planning and budgeting of selected SP programmes (including work on functional classification of SP and social assistance expenditure tracking database). The project also included a strong civil society support dimension to engage CSO and TU stakeholders with decision makers for more fiscal space, as well as in social accountability mechanisms.



## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a color according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs ? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks ?</b>	
<b>JC 1.1</b>	The SP&PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks	
<b>JC1.2</b>	Country project address the key priorities and needs including PFM factors determining country capacities to implement sustainable SP systems	
<b>JC1.3</b>	The responses provided to COVID-19 and other shocks were relevant according the immediate needs and the long term objectives of the Action	
<b>JC1.4</b>	The project address priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy	

**The project is highly relevant regarding the objectives of enlarging the coverage of SP systems based on rights-based approach and of promoting a comprehensive and coherent national SP systems (JC1.1).** As underlined by many stakeholders, it came at the right time to address important issues such as the expansion and the coordination of existing schemes as well as the need to devote sustainable resources to SP.

The project was fully aligned on national priorities. Activities were well anchored in the NSPPF priorities (development of the cash transfer program; extension of disability program; strengthened coordination). The project adopted a holistic approach with broad objectives that responded to the situation of a still rather dispersed system. The focus on PFM and on the financing side was seen as key added value. The objectives and activities of the project were designed after an assessment of needs and through a participatory approach, involving the implementing partners (ILO, UNICEF, Oxfam) supported by an external consultant and the GS-NSPC mainly. It relied on the NSPC council created in 2017 whose mission is to develop a more comprehensive approach to SP in Cambodia.

The workplan was also articulated with the other programmes of the IPs (not so clear from the EU side) although it was not always easy to clearly understand the specificities of the SP&PFM program with regard to the many programmes already underway in this field.

**The links with PFM were clearly seen as one of the main specificities and interests of the program but initially it was not clear how to approach this issue (JC1.2).** The issue of long-term funding of SP system was seen as critical but not easy to address in a country where the Government is not keen to enter into the discussion of fiscal space and budget allocations. PFM dimension was mainly covered by reinforcing the budgetary process and implementing the newly adopted performance-based budgeting in SP sectors including developing adequate M&E frameworks. Social budgeting and functional classification were also addressed but without undertaking a comprehensive review of SP expenditures. Finally, a lot of attention was put in building the capacity and understanding of the CSO-TU Network on PFM also focusing more on transparency and accountability.

The third component targeting capacities of subnational levels (SNAs) to deliver SP services, reflect big needs but was not really a priority for this program (not enough anchored in national priorities).

The project has been reoriented to support the RGC in its response to the COVID-19 crisis (notably the implementation of the national COVID-19 Cash Transfers programme for ID Poor households) and to take advantage of the growing interest of the RGC and the DPs in SP schemes to develop longer-term engagement to strengthen SP.

The project clearly targeted priority issues such as inclusion of the most vulnerable population as well as of the missing middle which were affected by the COVID but who were not among the most vulnerable groups (including informal workers and workers in the most affected sectors). It also covers the access of disabled to SP schemes. The project supported gender mainstreaming in the design and development of the family package of integrated social assistance programmes. On the other side, the project didn't focus directly on informal workers situation and the need to enlarge the coverage of the contributory scheme (only 20% covered). When the project was formulated, attention was not so much on informal workers. This issue was mainly addressed through the support provided to the CSO-TU network to conduct studies and trainings in order to strengthen advocacy in this field. Today due to strong advocacy undertaken in 2021 in the context of the COVID crisis, it is considered as a priority.

## 2.2 Coherence, coordination and complementarity

EQ2	To what extent have the EU Action's components and activities been consistent with each others and contributed to reinforce the overall coherence of all EU's and its implementing partners' interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors' interventions in the SP and PFM sectors?	
JC 2.1	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP	
JC 2.2	SP-PFM project has benefited from cross-country activities	
JC 2.3	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level	
JC 2.4	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors' intervention	

### Main findings

**The project is well articulated to the national strategic framework (NSPPF) and to needs (demand driven approach) (JC2.1).** The inception phase allowed for consultation with the main stakeholders, which led to the establishment of an action plan responding to various needs recognised by the national stakeholders. The project remains nevertheless largely unknown to some key stakeholders. Several departments we met at MEF did not seem to be aware of the Project activities, even though they may have been involved at some point in a preparation meeting or have received training. The same is true for the NSSF, which works mainly with ILO, GIZ and GRET on the extension of benefits (recent launch of pension scheme) and beneficiaries (informal workers, taxi drivers and domestic workers for example) without really knowing what the contribution of this project is. but due to its focus on synergies between SP& PFM has difficulty finding its place in a context where many initiatives are currently being taken to strengthen the SP system

One theme addressed by the project, gender budgeting analysis, does not meet with unanimous approval among the national partners. Either MEF or the GS-NSPC consider it requires a careful treatment. Prior work is still needed before launching gender budgeting analysis.

**Some cross-country activities were carried out (webinars, access to the platform) but there is a shared view that there can be more and better targeted to the specific country needs (JC2.2).**

Cross country levels could have been very interesting, but it didn't happen a lot. IPs consider they have already access to many platforms; they need something more country specific, which might provide practical tools and concrete solutions to address at national level crisis consequences, extension to informal workers, PFM practices for example. While this is an important and complex issue, the actors on the ground regret not having been able to benefit from more personalised advice on the PFM aspect. The project could also be good to allow all stakeholders to know how different countries finance SP. Lastly, the research on Multiplier effects is not yet known; the partners consider it could be very interesting if it is contextualized to the country.

An exception to this, the cross country activities implemented through the GC-SPF (on line training on PFM, basic PFM training material and work at regional level on social accountability) provided a strong added value to implement the Oxfam component.

**There is limited evidence that the project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies (JC2.3).**

The EU has become an important partner in the area of SP mainly through its SP-BS 2020-2021. The SP-BS was a short programme in response to COVID including complementary technical assistance through the ASP project<sup>2</sup> implemented by the ILO and UNICEF with quite similar objectives to the SP&PFM project. The EUD aimed to ensure coherence between both projects by establishing a joint workplan in 2022 and tries to keep the whole picture together without making too much pressure on the Government which face many DPs. The EU also supported sub-regional EU-PFM Facility project for South-east Asia implemented by UNICEF which complements the PFM activities implemented under the Project, including through complementary results in pushing forward the PFM agenda through sector budget analysis, the promotion of budget accountability and transparency through citizen engagement. While the EU is a key partner in supporting the implementation of the PFM reforms and is very well introduced in the MEF, the SP&PFM project has not taken advantages of this position. Moreover, the EU is not involved in the UNJP (ILO and UNICEF) although the EU finances it indirectly (through the SDG trust fund). Ensuring coherence among all programs remains a complicated exercise for the EU.

**Although the project workplan is based on a clear division of tasks between IPs (UNICEF: social assistance; ILO: employment-based activities; Oxfam: CSO-TU network (advocacy)), boundaries with other SP programmes implemented by UNICEF and ILO are not very clear (JC2.4).** The same staff works on different programmes without knowing how much time is dedicated to one or the other. The overall planning process of the IPs includes the SP&PFM project activities ensuring coherence among all activities funded by multiple programmes.

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<sup>2</sup> The ASP project is part of the BS-SP (as complementary measure) and implemented jointly by ILO/UNICEF with a budget of 5.8 MEURO with the aim to expand Social Security and Social Assistance to the poor and the vulnerable. Oxfam also has been charged of implementing activities representing the views of demand side stakeholders (workers, workers' associations, trade unions, people living in a situation of poverty and vulnerability, etc.) and facilitating their inclusion in social protection decision making and implementation, with a budget of 1.8MEURO.



## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

EQ3	To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?	
JC 3.1	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
JC 3.2	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems	
JC 3.3	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP	
JC 3.4	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability and oversight	

Main findings :

**The project has contributed to strengthen capacities of national stakeholders to develop a comprehensive-wide approach through the development of a family package as planned in the NSPPF (JC3.1).** Through the TA provided to the GS-NPSC, the project has contributed to developing the options paper, programme document and the costed action plan for the future delivery of the integrated family package based on the implementation plan agreed between NSPC and MoSVY (covering 5 components: existing cash transfers for women and children; disability allowances; elderly allowances; scholarship and HIV).

Although the project aims to increasing resource for SP focusing much on national assistance programme rather than on contributory schemes, the project didn't work much on fiscal space and on multi-year funding strategies. According to some partners, more attention could have been given to the contributory system and to the increase of the coverage of the contributory scheme (covering only 20% today).

Studies planned for feeding SP national debate are still under way or postponed (research on sub national Administration's roles and responsibilities and capacity gaps postponed to 2022Q2). On its side, the CSO-TU network has launched joint research on SP needs and the contributory capacity of informal workers to the NSSF whose results were to be released in the second half of 2022. A research on the role of expanded SP<sup>3</sup> is also on going but mainly funded through the EU ASP project and with the UNDP while the ADB has launched a study on the SP Multiplier effect.

**The project has provided more significant contribution to the improvement of capacities to implement existing schemes and to deliver adequate responses to the COVID crisis (JC3.2).** SP response to COVID-19 became one of the main priorities in 2020 and 2021. Inputs from the implementation partners and the wider stakeholders were warmly welcomed by SP institutions including GS-GSPC, MEF, MoSVY and NSSF. Through a TA to the MoSVY, the project has contributed to the development of the cash transfers programme to respond to COVID, mainly by improving targeting and delivery process and expanding the system to 3 million people in a very short period of time (in 2 months).

<sup>3</sup> only one component is financed by the SP/PFM project : The labor survey (OPM).

Besides, the project has also provided technical support to improve the Disability Identification Process which was completed in 25 provinces with over 240.000 persons with disability identified.

**Synergies between PFM & SP** have been mainly improved firstly by contributing to strengthen capacities of the MoSVY units in charge of social welfare, child welfare and disability to adopt the recently adopted performance-based budgeting. Improvements are visible even if according to interviews with the MEF, MoSVY capacities are still considered as weak in terms of budget process. Secondly, the project (together with other projects) was also involved in contributing to the roll-out of the M&E system of the GS-NSPC in connection with the recent developments of the SP system. The M&E framework of the cash transfer programme has been rolled out nationally through development of the M&E App linked to programme MIS and delivery of trainings in all 1640 communes. The M&E framework is not yet fully operational and will still need to be adapted to the new organization of the MoSVY.

More broadly, the project has contributed to training and raising the awareness of various actors on PFM issues (introductory training on PFM related to sub-national administrations, social budgeting, M&E, performance based budgeting).

The project component dealing with social budgeting (set up of a social budgeting forecasting system; implementation of functional classification) was only partly achieved (some pilot social budgeting trainings provided in collaboration with ADB and ILO-ITC).

**The project has reinforced the position of the EU as a key partner in SP but with limited involvement of the EUD in the project, it has not contributed to strengthen its capacity to participate to policy dialogue (JC3.3).** The EU has become one of the key partners on SP mainly through the BS-SP implemented in response to COVID in 2020-2021. The SP&PFM project staff has provided advice and inputs for the development of the indicators of the BS-SP, including indicators resulting from the implementation of the activities under the project (e.g., endorsement of the family package; increased coverage of social assistance programmes). The EUD was not systematically involved in the Steering Committee (see EQ5) at least at the beginning of the project and found difficult to ensure the coordination with the ASP component of the SP-BS and to follow-up the project achievements. The situation has improved but as there are no fresh funds expected for SP in the MIP with priorities given to decent work and Human Resources, the interest of being involved has declined.

**The project has made a significant contribution to the strengthening of the capacities and the role of the CSOs and the social partners to take part to policy dialogue on SP, and notably to discuss available fiscal space, inclusion of missing middle as well as performance budgeting and M&E system and extension to informal workers (JC3.4).** The project has contributed to consolidate the CSO-TU network (SP4ALL) which plays a growing role to develop common understanding/ analysis and consolidate views and joint positions to discuss with the Government. CSOs are now participating to the working groups implemented by the NSPC (on Social Assistance, Employment based social security and Social Health protection) to coordinate SP policies and are invited to participate as an observer to the Budget working group. The project has overall promoted an increased cooperation and coordination between Development Partners/UN agencies, CSOs, Trade Unions, RGC's ministries and institutions involved in SP. In 2021, some members of the CSO-TU were also invited to discuss the draft sub-decrees for the SP law revision. The dialogue is growing but still the civil society and TU feel they are not really heard by the Government. Access to detailed and reliable information (on SP budget; evidence-based analysis of SP spendings, implementation) remains a challenge.



<b>EQ4</b>	<b>To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made ?</b>	
<b>JC 4.1</b>	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems	
<b>JC 4.2</b>	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability	
<b>JC 4.3</b>	More financed and operating shock sensitive, responsive and adaptive SP programmes	
<b>JC 4.4</b>	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers	

SP was quite new in Cambodia and is now improving step by step. An important achievement was the endorsement of the Family Package Policy document by the National Social Protection Council in December 2021. The Family Package Sub-decree is expected to be endorsed by the RGC in July 2022. The RGC intends to expand gradually the SP system and aims to reach a good level of coverage in 7 to 8 years (from 70-80% to 100% package for family package).

While increasing resourcing for SP focused much on national assistance programme, contributory schemes are also gaining in priority (including the situation of informal workers which became a big issue). Progress have been achieved recently in that area with the informal workers having progressively access to health care.

Despite the difficult fiscal environment in the last two years, the RGC had shown commitment to increase spending on SP as a means of stimulating the economy. The ratio of SP expenditures in the total State budget remained nevertheless low (estimated to 2,6% in 2021). It is unclear to what extent budget programming and execution process (including in the MEF) have been sufficiently strengthened to take into account the specificities of SP programmes and to sustainably strengthen their funding. The fact that social budgeting has not been developed may also limit the extent to which budget financing for SP is ensured in the future. A positive trend is nevertheless that SP has been identified as one of the four platforms of discussions for the budget 2023 (with Infrastructure, agriculture and education-health).

Although the SP&PFM project has provided valuable supports on different issues, it is difficult to isolate its contributions to the progress made from those of other projects which have often more resources dedicated to more specific objectives (see table 2 in annex).

## 2.4 Efficiency

<b>EQ5</b>	<b>To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?</b>	
<b>JC 5.1</b>	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives	
<b>JC 5.2</b>	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies	
<b>JC 5.3</b>	The implementing partners have set up coordination with domestic partners and development partners	
<b>JC 5.4</b>	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution	

<b>JC 5.5</b>	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project	
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Main findings :

**The three IPs had a long record of working with the RGC to improve SP in Cambodia and had developed close links with the main stakeholders targeted by the project which make them particularly relevant to implement the project (JC 5.1).** There are many existing (often recent) programmes through which all partners are already well involved in supporting SP. ILO is mainly involved in projects supporting the implementation of sustainable SP floors for the workers while UNICEF was notably working on different areas related to SP public financing for children including the provision of assistance to MoSVY to strengthen capacities for social assistance programme as well as the monitoring and evaluation system. Oxfam has also built close relationships with some Government institutions in the last years through various projects funded notably by the Belgian Development Cooperation (focusing on the promotion of gender-sensitive SP for informal workers) and the Dutch (focusing on the most left behind groups).

The approach followed with a 6-month inception phase was very well appreciated; it has permitted to clarify the role of the partners; to involve the NSPC created in 2017 and in charge of the overall coordination of SP programmes, to make an assessment of the needs with the NSPC and to follow a country driven process. The project has shown great flexibility in adapting to the most urgent needs, in this case the need following COVID to expand the provision of social assistance within a few months. The implementation of the CT programme was largely made possible by the technical support the project provided to MoSVY (also supported by the ASP EU project).

The partners were able to rely on their internal staff to manage the project overall and to carry out some of the activities (e.g., support on performance-based budgeting to some units of the MoSVY by one of the UNICEF staff who had already started similar work with the Ministry of Education). The use of external experts has been more complicated due to the limited availability of local experts on SP to support with surveys, research, knowledge building etc. This may explain some delays in project implementation.

Many DP are providing support in the area of SP in addition to IPs (ADB, EU, GIZ, Belgian cooperation, SIDA, Dutch Ministry of Foreign Affair, DFAT, UNDP). Coordination is becoming stronger and mainly driven by the GS-NSPC. A new mechanism has been set up to ensure DP coordination with the aim to have “only one voice, one idea, one pool fund” as mentioned by the GS-NSPC. Three groups have been implemented (related to health; labour; social assistance) each of them chaired by one DP in charge of coordinating the others (ILO and UNICEF are leading one group). Given the scope of the SP sector, the full and formal coordination mechanisms for contributory and non - contributory schemes have still to be put in place in addition to overall coordination by National Social Protection Council.

**The project may also have contributed to stronger coordination among DPs (JC5.3):** first among the IPs themselves and especially between ILO-UNICEF and the CSO; secondly with other DPs involved in the various areas where the project has provided support (EU with the ASP, GIZ (improvements and upgrading of the ID poor Data base), DFAT in the area of disability, ADB (digital platform for SP in the NSPC, social budgeting with the MEF)). The project has also prepared the floor for new projects such as the ASP EU and the UN-JP implemented jointly by ILO and UNICEF. While cooperation has eventually increased, more regular engagements and coordination efforts for increasing and maintaining a good cooperation among all IPs and network members are needed at project management and steering group levels.

**The project management process seems a bit floating with limited interactions with the EU either with the delegation or the HQ (JC5.4 & JC 5.5).** The main problems here are:

1. The implementation of the workplan is not easy to follow: after COVID, activities have been substantially revised; some were abandoned; others were taken over by other projects. It is quite difficult to get a complete view of the activities carried out by the project and their degree of achievements.
2. Management modalities are complicated. The fact that the financial management of the project is not unified and for some partners, centralised (at least ILO in Geneva) makes difficult to know exactly where the implementation of the project stands.
3. The steering committee gathering ILO, UNICEF, Oxfam and GS-NSPC worked more on an informal basis. EUD was not involved at the start. A more structured approach has only been adopted recently. From the EU side, even if information was made available, it was difficult to follow up the implementation of the project and to take advantages of the work done. Coordination with EU HQ was also very weak.

**Annex 1: List of Institutions met**

<b>Institution type</b>	<b>Institution / Minister</b>	<b>Service</b>
<b>Implementing partners</b>	ILO	
	UNICEF	
	GCSPF	Oxfam
<b>EU</b>	EU Delegation	
<b>National authorities and institutions</b>	Ministry of Social Affairs, Veterans and Youth rehabilitation (MoSVY)	National Social Assistance Fund Advisor to MoSVY on PFM Disability Department
	Ministry of Economy and Finance (MEF)	General Department of Budget Department of Statistics and Economic Analysis
	National Social Protection Council	
	National Social Security Fund	
	Economic Policy Research Institute (EPRI)	
<b>Other donors</b>	Asian Development Bank	
<b>Civil society</b>	CSO-TU Network	
	Trade Union representing informal economy workers	CATU, IDEA, HAC, CSFWF, CLC

**Annex 2:****Table 2: Main Indicators – program outputs and intermediary outcomes**

	2019	2020	2021 (Target)
<b>Analytical tools/Diagnostics</b>			
Updated SP expenditure review	0	0	0 (1)
Statistical briefs on SP coverage and expenditure	0		1 <sup>4</sup> (3)
Guidelines on improved budget process	0	0	Under way <sup>5</sup> (1)
Database tool for MoSVY supported programme	0	0	0 (1)
Ministries with SP functional classification improved	0	0	Nearly 1 (1)
<b>Studies</b>			
Studies contributing to the debate on the role of SP	0	0	1 to be published in 2022 (2)
<b>SP Policy Framework/Work Plan/Improved SP Programme</b>			
SP Policy Framework Action Plan	0	0	In process (1)
National Schemes with improved administrative and delivery framework or M&E	2	2	2 (3)
National SP M&E Framework implemented	0	In process	In process (1)
Family package of social assistance programmes developed and costed	0	1	1 (1)
Districts engaged in the disability identification	34	64	204 (191)
<b>Common recommendations produced by the CSO-TU</b>			
Submitted to the relevant govt institutions	0	0	2 (8)
Including gender sensitive policy improvements accepted by the relevant Gvt institutions	0	0	0 (6)
<b>Trainings</b>			
Number of Gvt officials trained on RB budgeting	0	12	100 (150)
Province and District Officials included in ToT trainings	0	0	25 (140)
Nbr of stakeholders trained on planning, delivery and monitoring of SP programs	0		20(140)
Training curriculum developed	0		Yes

Source: Annual reports

<sup>4</sup> Developed through EU facility Regional Programme support ?<sup>5</sup> To be delivered during the first semester of 2022

**Table 3: Contribution of the SP&PFM project to main achievements**

	Main achievements	Other projects contributing
<b>Outcome 1: Improved design and monitoring of SP programmes and increased use of evidence on SP impact system contributes to increased coverage of SP</b>		
Output 1.1: Evidence based tools and M&E of SP under the NSPPF	1) Contribution to M&E system development in GS-NSPC 2) Actuarial review of NSSF schemes to implement a gender-sensitive analysis 3) Ongoing research on the role of expanded SP	1) M&E: Other ILO program + GIZ 2) Also supported through the UNJP 3) + EU ASP and UNDP (only one financed by the SP/PFM project : The labor survey (OPM). SP Multiplier effect: ADB
Output 1.2: Feasibility studies and tools to support SP scheme	- Contribution to the development of the cash transfers program - Disability identification process - Design of the family package program	ADB: identification of ID poors + survey to assess the situation of vulnerable hh
Output 1.3: Engagement of CSO-TU Network with decision makers on SP programmes	- Set up of the SP4ALL network - Strengthening of network members capacities on PFM system, budget process and cycle, Reform programme (development of a advanced training on PFM) - Workshops with the NSPC (=> working groups initiated)	
<b>Outcome 2: SP institutions enhance their planning, budgeting and M&amp;E capacities in alignment with the PFM Reform Program</b>		
Output 2.1: Tools and knowledge for improved planning, budgeting of SP	- Programme based budgeting strengthened in MoSVY (Training, manual for MoSVY budget formulation and execution) - introductory training on PFM related to sub-national administrations	Based on tools developed by UNICEF for the education sector
Output 2.2: Social budget forecasting	- Lack of momentum	Training provided by ADB
Output 2.3: Engagement of CSO-TU Network with decision makers on coverage of informal workers under the NSPPF	- Joint research conducted on SP needs and the contributory capacity of informal workers to the NSSF	
<b>Outcome 3 : Service providers at sub national level (SNAs) are better able to implement SP services</b>		
Output 3.1: Improved skills at sub national levels for delivering SP services	- Development of a SP training curriculum	
Output 3.2: Engagement of CSO-TU Network with decision makers on SP delivery at SN level and accountability	- Study carried out in 2022 on social accountability at regional level - Recommendation to design the related training (expected in September 2022)	Supported by 3 projects (EU ASP, PFM&SP, DGD ?)

# Paraguay

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## List of acronyms

BS	Budget Support
DGP	General Budget Directorate
DP	Development Partner
EC	European Commission
EQ	Evaluation Question
EU	European Union
EUD	European Union Delegation
EUROsociAL	Programme for Social Cohesion in Latin America
GS	Social Cabinet (Republic Presidency)
IADB	Inter-American Development Bank
IMF	International Monetary Fund
ILO	International Labour Organisation
ITC	International Training Centre of the ILO
IP	Implementing Partners
JC	Judgement Criteria
MoF	Ministry of Finance
MIP	Multiannual Indicative Programme
PFM	Public Finance Management
RbB	Result-based Budgeting
SDG	Sustainable Development Goals
SET	State-Under Secretariat of Taxation
SP	Social Protection
SPS	Social Protection System ( <i>Vamos!</i> )
TA	Technical Assistance
TCC	Technical Coordination Committee
UTGS	Technical Unit of the Social Cabinet



## **1. Country context and Intervention logic of the project**

### **1.1 Country context: State of SP, policy and institutional framework**

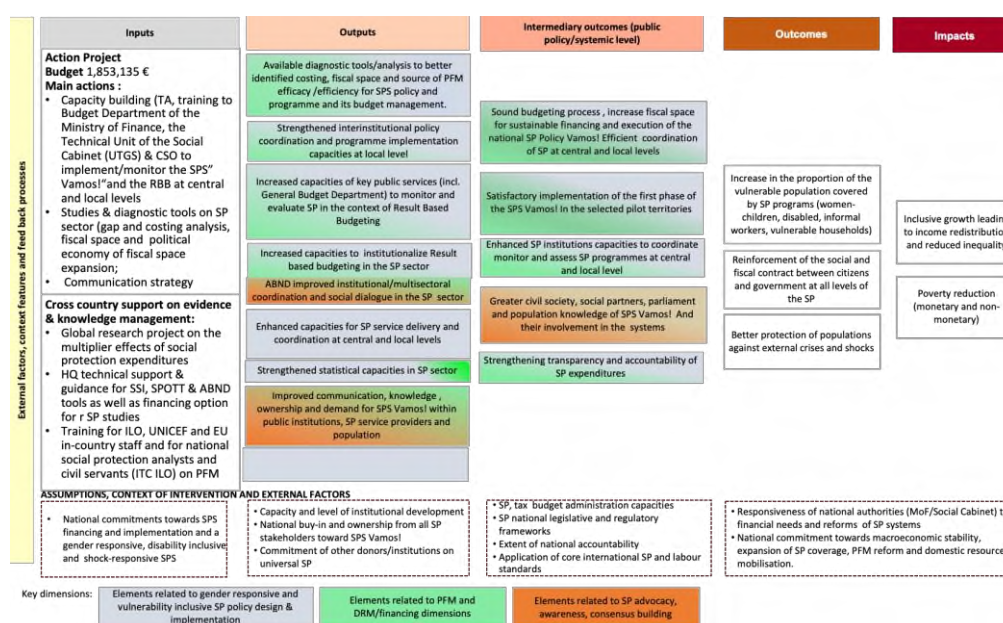
Since 2014, Paraguay has adopted the National Development Plan Paraguay 2030, that focused on 3 pillars: i) Poverty reduction and social development; ii) Inclusive economic growth; and iii) Insertion of Paraguay in the world. The issue of SP is found in the first pillar and, more specifically, in the objectives 1.1. Equitable social development, 1.2. Quality social services and 1.3. Participatory local development.

From 2017, the government of Paraguay has started to develop a Social Protection System (SPS), ¡Vamos! in an effort to provide coherence and integrate the intervention strategies of the public sector. The SPS ¡Vamos! is a framework that coordinates and articulates public policies between government institutions, allowing citizens to access social services with an integrated rights-based and life cycle approach with emphasis on vulnerable groups: children and young people, women, people with disability and indigenous populations. The system is based on three fundamental pillars: 1) Social inclusion, which is linked to non-contributory social assistance (for example, the cash transfer programme Tekopora), 2) Labor and productive insertion, related to labor regulation and inclusion policies and, in general, participation in productive activities, and 3) Social security, based on the contributory scheme. However, the SPS “Vamos!” goes beyond commonly covered risks such as unemployment, parental responsibilities, sickness and health, old age, housing, and social exclusion, but additionally includes components linked to education and health, more related to social investment than to SP (closer to the definition of the OECD than the ILO definition of SP).

As for the PFM, since 2020, the government has decided to promote an outcome-based budget management with the use of the results-based budgeting (RbB). The programmes that are part of the SPS must follow this RbB logic, which represents a substantial change in the traditional way of planning. The aim is to separate the resources allocated to operational management of public institutions from those allocated to solve the issues affecting the living conditions of the population.

### **1.2 Main objectives and activities of the SP-PFM project 2019-2021**

The logic of intervention and outcome of the project has been articulated around outputs that intend to promote financing resources for SP through efficiency, effectiveness and fiscal space to SP funding available over the medium terms, support the implementation of the national SP System “Vamos!” including at local level, generate institutional capacity development in SP and result based budgets and ensure visibility to the system.

**Table 4: Logic of intervention of the project**

## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a colour according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks?</b>	
<b>JC 1.1</b>	The SP&PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks	
<b>JC1.2</b>	Country project address the key priorities and needs including PFM factors determining country capacities to implement sustainable SP systems	
<b>JC1.3</b>	The responses provided to COVID-19 and other shocks were relevant according the immediate needs and the long-term objectives of the Action	
<b>JC1.4</b>	The project address priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy	

The Action aims to **support the implementation of the national Social Protection System (SPS) ¡Vamos!, approved by the Social Cabinet of the Presidency of the Republic in May 2019.** This new socio-policy framework supporting the implementation of SP with an integrated rights-based and life cycle approach, is aligned with the ILO's recommendation n°202 and the EU's 2012 Communication "Social Protection in European Union Development Cooperation" (JC 1.1). The project was also **aligned with the government's implementation's plan and sequencing of the new SPS** with a specific focus on the progressive implementation of this social policy framework in 4 pilot districts while supporting at central level the Technical unit of the Social Cabinet (UTGS), an

interinstitutional body, in charge of designing, supervising and coordinating the national policy's implementation.

**The Action has directly capitalised on the work supported by the EU Eurosocial +** for the drafting of Social Protection Sectoral Notes that have been key in defining the general features and guiding principles of SP and the institutional architecture of the overall national SP system, as well as designing the adopted country's SP System "Vamos!". **The Action has also been intended to complement previous and an ongoing EU Budget Support dedicated to accompanying the country in the implementation of its national public SP policy.** Finally, the action is relevant with the first pillar "People and Social Development" (development of a national SP and care system with equal access for the population to comprehensive and quality services) of the framework of sustainable development cooperation of the United Nation System in the country. The project is aligned with several outcomes of the ILO and UNICEF country programmes, strategic plans and result frameworks, especially regarding the development of an integrated systemic and comprehensive approach to SP for all the population, including specific categories such as workers and children.

The Action has been instrumental to deepen collaboration between the UTGS and the General Budget Directorate (DGP) in order to **ensure a strong involvement of the Ministry of Finance and align the implementation of the new SPS "Vamos!" with the ongoing main national PFM reform process aiming at developing a results-based budgeting and promote efficiency and effectiveness of public spending** with a focus on strengthening related institutional budgeting capacities of ministries and institutions at central and decentralised levels linked to the implementation of the SPS (JC 1.2). The project, through its component dedicated to developing a costing exercise of the new SPS for the expansion of the SP and a study on fiscal space analysis for the SPS has also intended to **address the financial sustainability of the newly adopted national SP policy and involve the State-Under Secretariat of Taxation (SET) together with the DGP.** In that regard, the project has sought to capitalise on another previous EU EUROsociAL programme which assisted the SET since 2019 to determine trends in the corporate income tax evasion gap and implement actions aiming at making more resources available to the State to improve redistributive public policies.

**With regard to the focus of the EU Action, the Technical Coordination Committee of the project composed of government representatives, the EU and the IPs decided since 2020 not to modify its activities and logic of intervention in front of the COVID-19 crisis as the objectives of the intervention were still assessed as relevant for strengthening the national SP system with a rather medium to long term perspective in order to better address future similar crises.** During 2021, the lock-down/emergency law adopted during the pandemic has however impacted the pace of implementation of the project activities (including the availability of the key government counterparts due to their engagement and involvement in managing the COVID-19 health and economic crisis) and has requested an adaptation of the action plan including rescheduling of activities.

In addition, through its support in the four SPS's pilot districts to the respective Social Protection Local Committee (set up to oversight the implementation of the SPS "Vamos!" and coordinated the government's institutions leading SP policies and activities at decentralised level), and in agreement with the project's Technical Coordination Committee, the EU Action has also contributed to strengthen the capacity of each territorial coordinator to promote collaboration between key concerned local public services and authorities (local health services, local governments...) for the location, registration and transport process in the context of the vaccination campaign of high-risk people and most remote communities.

The supported SPS “Vamos!” put emphasis on the SP services for population requiring special attention (population aged 0 to 4 years; 60 years and over; women; population living in poverty; people with disabilities and indigenous population) and aimed in its first stages of implementation at formalising policies and targeted approaches, several of them with a view to develop a scalable system to progressively enlarge SP coverage for this vulnerable population. Within this framework, the EU project has contributed to strengthening the institutional capacities at local level to address these transversal issues and foster their inclusion in SP delivery services through several angles of its intervention in the four pilot territories (JC 1.4).

In the context of its studies to develop diagnostic and guiding policy decision tools for the national authorities, the project has also included in its studies on costing of extension of SP services and political economy analysis of the national SPS specific dimensions related to SP increased coverage for informal economy workers including assessing feasibility of complementary contributory and non-contributory SP systems and addressing macroeconomic and social effects as well as fiscal challenges associated with the extension of such SP schemes.

## 2.2 Coherence, coordination and complementarity

<b>EQ2</b>	<b>To what extent have the EU Action’s components and activities been consistent with each other’s and contributed to reinforce the overall coherence of all EU’s and its implementing partners’ interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors’ interventions in the SP and PFM sectors?</b>	
<b>JC 2.1</b>	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP	
<b>JC 2.2</b>	SP-PFM project has benefited from cross-country activities	
<b>JC 2.3</b>	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level	
<b>JC 2.4</b>	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors’ interventions	

The project has been designed **in close consultation with Paraguayan officials from the UTGS, in the context of the implementation of the newly established SPS “Vamos!” at national and decentralised levels, and from the General Budget Department of the MoF to ensure that the implementation of the Action take place in the context of the ongoing national SP and PFM reform priorities and the promoted government’s new approach to public budgets management based on result/outcome-based budgeting (JC 2.1 & JC 2.3).**

Several meetings and workshops were held at the formulation stages in that purpose. Terms of references of the key Action’s activities were developed jointly with the Social Cabinet, the UTGS and the Ministry of Finance, especially for the studies and diagnostics to be carried out by the project (on SPS’s budget efficiency, political economy, fiscal space to finance SP expansion, impacts of the present SP programmes) as well as for the identification of priorities for institutional strengthening at central and local level (in the 4 pilot territories) including in the area of developing an application for mobile devices for the SPS and designing a comprehensive communication strategy of the Social Cabinet on the SPS “Vamos!”.

If consultations have occurred with the Economic Studies Directorate of the Ministry of Finance to access and use their national General Equilibrium Model to guide the project’s expected study on estimating the economic and social return of investing in SP, **it is less clear in which extent the**

**consultations with the Ministry of Finance and the Under-secretary of State for Taxation (SET) have been comprehensive enough to provide the project's consultant access to the national data base on tax information that were needed in order to carry out the fiscal space study.** Due to the sensitivity of the concerned information, the consultant in charge of the study has not always been able to access all the necessary and most relevant national data to follow closely the ILO's methodology and has relied on data derived from existing academic papers and international organisations' reports available in order to complement the lacking information.

The project has also capitalised on previous analysis carried out under the EUROsocial project dedicated to promote stronger national social cohesion: (i) the drafting of the Sectoral Social Protection Notes that have been key to the definition of the general features and guiding principles of SP and the institutional architecture of the Paraguayan Social Protection System "Vamos!" as well as on (ii) analysis on tax revenue administration gap and tax evasion to increase fiscal space for redistributive policy (unpublished report).

The Action has been designed in **strong complementarity with the other relevant EU interventions especially the preparation of a new EU budget support programme** to foster the progressive operationalisation of the SPS "Vamos!". In the context of the preparation of the EU BS programme, the launch of some activities of the present Action, especially the activities related to the publication of the communication and visibility on the SPS "Vamos!" has also been aligned with the official launching of the EU BS operation, leading to some adaptation of the timing of the action plan of the project by the Technical Coordination Committee.

**The SP & PFM project has benefited from several cross-country activities like technical inputs and methodological guidance to the project's staff and consultants** in charge of the study and analysis component of the project (financing options and fiscal space analysis for SP expansion). In this framework, the consultancy in charge of carrying out the political economy analysis and the study on extension of SP coverage and fiscal space analysis has been supported by ILO Headquarters, its experts from the Global Technical Facility and from the regional offices. Following the country's request, technical inputs were provided to adapt the English training on SP and PFM for SP analysts to the specific context of the Latin American region and its translation into Spanish with the support of the ITC-ILO, ILO and UNICEF HQ and regional offices' expertise. Following requests from officials and representatives from the key project's counterparts' institutions on the need to adapt the capacity building activities to ensure larger reach, this specific E-learning course on public finance for SP professionals in Spanish has been developed and has promoted sharing of experiences among several countries of the region as well as an increasing level of participation. Similar adaptation process is also being studied in the context of other E-learning course (such as one on Impact Assessment for SP analyst). Other capacity development and pedagogical training and materiel have been delivered with the support of the University of Santiago de Chili (experienced in the design of training programmes for public service officials on life-cycle approach SP system and results-based budgeting), in partnership with the University of Asuncion to develop a national curriculum on the design and management of SP programmes to the future benefit of Paraguayans public servants involved in the SPSP "Vamos!".

While initially planned under the cross-cutting activities, **it is however difficult to find evidence of specific support to the project's staff in engaging with the IMF on issues related to fiscal space analysis and tax reform** which will be instrumental to ensure the follow-up and capitalisation in term of policy decision on the fiscal space and SP expansion costing analyses prepared by the project.

**Paraguay is also one of the country case studies of the Global Research managed by the Economic Department of the University of Sao Paulo, on the multiplier effects of SP** that is expected to complement the project's analytical activities to provide scientific evidence on the economic and social returns of investing in SP. While the report has been completed, **it is yet difficult to assess the impact of the study on the project's expected objectives, especially in Paraguay where sustainability of financing extension of SP coverage and low tax to GDP ratio are at stake. The way the dissemination process of the study will be integrated into the project activities, including in its communication strategy to key SP policy actors and stakeholders inside and outside the government and to the population (Ministries, Congress, media, academic circles, CSO...) is not yet clearly established.** This should be a priority in order to maximise the initial advocacy objective of the study on providing scientific evidence on the potential SP contribution to promote sustained and inclusive growth, defined as the “multiplier effects” of SP expenditures. The latter represents the impact that increases in SP expenditures may have on aggregate economic activity (the main result of the study in Paraguay<sup>6</sup> indicates that one additional dollar spent on SP leads to an increase in real GDP of 1.81 to 3.70 dollars – with a stronger cumulative impact after three years).

**The SP&PFM project has been consistent with the strong EU cooperation in the SP sector in Paraguay since several years and has notably indirectly complemented the EU Budget Support** in one of its direct expected products on “Strengthening capacities leading to improvement of the institutional framework and governance of the Social Protection System Vamos!” by **providing technical assistance and skills development for public servants in charge of budgeting, implementing and monitoring the Social Protection System Vamos! at central and local levels.** The project has also sought, through some of its activities, to encourage synergies to support the achievement of EU Budget Support milestones and performances indicators such as the construction and implementation of an Integrated Social Protection Card (FIPS) which consist in an information collection tool, agreed upon by the institutions of the Social Cabinet, on social situation of the most vulnerable population that could be targeted by specific SP programmes.

In this framework, **coordination under the aegis of the UTGS and the interinstitutional technical working group on information under the SPS Vamos! has been also promoted with the other donors involved in this technical area (JC 2.4), especially the UNDP and IADB** that financed consultancy for a master plan for the reconversion of the Integrated Social Information System (ISIS). Specific and regular coordination has also been established with the EU technical assistance to the UTGS and to the DGP, financed under the complementary measures of the EU BS programme and contributing to strengthen institutional capacities for the implementation of the SPS Vamos! and developing a strategic vision for the PFM reforms, including the need to anchor these public financial reforms in a medium-term budgeting framework and a result-based budgeting approach. The strong and complex interinstitutional dimension of the SPS “Vamos!” that involved several ministries and agencies will indeed make the linkages between strategic planning and resource allocation in the budget process even more challenging.

**Through its active participation to the project's TCC, the EUD has been proactive in ensuring synergies and exchange of information between the SP&PFM project and the BS Technical**

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<sup>6</sup> The study used quarterly data from the Ministry of Finance on social protection expenditure covering the period between 2000 and 2020. It concluded that in Paraguay, increases in social protection expenditures have medium-run expansionary impact on output, leading to more than proportional increases in real GDP. However, the relatively low redistributive effectiveness of social spending implies also to not only expand but also improve the social protection system in order to further increase the multipliers impact. The study also states that if the multipliers of public investment is large and significant, the multipliers of social protection expenditure are even larger. If, according to the literature, public investment has a stronger expansionary impact than government consumption, the outcome of the study suggests also that the expansionary impact of social protection expenditure are even stronger.



**Assistance interventions.** More globally, the SP & PFM Action through its diagnostic activities on the costing of the SPS system as well as its capacity development support especially at central and local level on PFM training of key institutional stakeholders in charge of the SPS planning, budgeting and implementation at national and local levels (in the 4 pilot territories) may also contribute to foster in the medium term the credibility of the SPS “Vamos!” and the national SP policy which is a key element for the eligibility criteria of the EU BS programme.

Furthermore, the project has intended to support the setting up by the national authorities of the Cooperating Partners Committee, composed of all the cooperation agencies that work with the Social Cabinet on SP, and which will be instrumental to promote exchange of information and cooperation. So far, this committee has not been fully operationalised.

The Project has also developed synergies with the bilateral Italian cooperation international (Cooperazione Internazionale - COOPI) that, through an EU funded project, has worked on the build of an app to collect and record the FIPS data and which has received the direct support of the consultant hired under the SP&PFM project to develop the communication strategy at central and local levels through sensitisation of local institutions and public services on the development of this application. Other synergies have been created with other ILO, FAO, UNICEF and UNDP projects in the SP (e.g. support to the comprehensive national early childhood strategy supported by UNICEF, which is included in the SPS Vamos!, on expansion of SP to the informal sector supported by ILO), and food security areas, especially at local level in the context of the coordination of the implementation of SP programmes (*Tékopora* on conditional cash transfers to households with children) or policies implemented by the Ministry of Labour, Employment of Social Security on formalisation of employment. **The active role of the EU SP& PFM project at local level through the support to the local SP committees in some territories has also been conducive to favour such coordination process with other interventions in the area of social public services.**

## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

EQ3	To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?	Assessment
JC 3.1	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
JC 3.2	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems	
JC 3.3	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP	
JC 3.4	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability and oversight	

**The strong project’s diagnostic and capacity development components together with a focus on SP information system and coordination of SP programmes at local level should contribute in the medium-term to strengthen the capacity of the national administration at central and decentralised levels to better inform policy decision on planning and financing of SP programmes as well as on better identifying key SP beneficiaries, monitoring and coordinating modalities of interventions in the context of the SPS “Vamos!” (JC 3.1 & JC 3.2).**

Though difficult to assess at present time, once published and disseminated, the diagnostic of the SPS Vamos!’s budget efficiency and fiscal space analysis for SP coverage extension as well as other analysis on political economy of SP and its financing, should provide important guidance to the Social Cabinet and its Technical Unit to implement the SPS. It should also further strengthen working relations between all the ministries and institutions involved in the implementation of SP policies, the Ministry of Finance and possibly feed and inform expected political debate with the Congress in terms of reform, expansion and financing of the national SPS, especially in the wider macroeconomic context of the national debt and tax revenue policies. Against this framework, the diagnostics studies and analysis delivered by the project should nurture and inform future national strategic decision process on financing, planning and implementation of the SPS Vamos!.

The trainings and workshops on PFM and SP planning and financing that were delivered to key public officials from the UTGS, the Ministry of Finance and sector ministries should contribute to strengthen capacities of the relevant budget and policy departments from the Ministry of Finance (DGB) and line ministries to ensure the consistency of SP policy planning and budgeting process with the ongoing national PFM reforms on programme and result-based budgeting. It is however premature to assess any improvements so far into the budgeting process of the SPS Vamos!. This development should be consolidated by the contribution of the project on the fostering of the SP information and monitoring system, also strongly supported by the EU Budget Support’s complementary technical assistance project to the UTGS. These interventions will be instrumental for the robustness and performance of the national SPS.

**The project enabled increased inter-institutional coordination on issues related to SP and in particular closer coordination between the Ministry of Finance and the Technical Unit of the Social Cabinet (JC 3.4).** The project has also promoted a stronger involvement of the Directorate of Economic Study of the Ministry of Finance through the use of the national General Equilibrium Model to guide decision on multi-year funding strategies and impact assessment on social return of investing in SP. While this action should positively impact the collaboration between this department and the General Budget Department in the context of the budget planning process, it is however difficult yet to assess the impact of the project involvement in the fiscal space analysis area with the SET and the expected stronger collaboration between the tax and budget departments of the Ministry of Finance on the medium term fiscal framework and challenges related to the national financing capacities of SPS “Vamos!” and its sustainability over the medium-term.

**The project provided a real added value in setting up the required coordination and dialogue mechanisms at the local level in the 4 pilot territories selected for the test of the SPS Vamos! first phase of implementation (JC 3.4).** The project has been instrumental in establishing the local SP committees, led by a territorial coordinator funded by the project, and build the capacity at the local level of municipal authorities and decentralised SP administration to identify existing SP programmes, existing gap of SP public services coverage, identify the vulnerable population and communities. The project has also provided training in local SP policy and service delivery planning. In these selected territories, the project has then directly contributed to create an instance for a stronger articulation of the institutions that provide direct services to the population, developing the necessary dialogue between municipal authorities and representatives of the various ministries and institutions involved in the operationalisation of the SPS Vamos!, including the civil society and relevant social partners’ participation in such dialogue (JC 3.4).

**The activities of the project related to the development of a communication strategy for the SC and the UTGS on the SPS has promoted stronger exchange of information and**



**participatory dialogue among institutions and a progressive consultation and feedback process with a wide range of SP actors and beneficiaries.** The project has also directly contributed to diffuse information and raise awareness on the SPS implementation at territorial level and better inform the local authorities and the population on available SP services as well as on related policy and institutional initiatives such as the development process of the integrated SP card to facilitate the targeting of the beneficiary population for specific SP programmes and the awareness of the concerned people on their SP right and benefits. It is, however, difficult to find strong evidence so far of concrete capacity development impact on the CSO community to better monitor and evaluate SP programmes at local level.

The EUD has been actively involved, informed and consulted on the design and implementation of the project. **Due to the strong EU past and present engagement in cooperation on SP and PFM reforms and its involvement in policy dialogue with the concerned national authorities, the EU SP& PFM has not provided a major impact on the capacity of EUD in these areas (JC 3.3).** On the opposite, the successive EU BS operations in the SP sector and the present consistent EU TA components to assist the Ministry of Finance on PFM reforms and the UTGS on the SPS Vamos! implementation has sometimes been instrumental in facilitating or complementing the work of the SP&PFM project's IPs. However, it is expected that the numerous SP diagnostics and analysis prepared by the project will contribute to further inform the policy dialogue of the EU with the national authorities in the context of the ongoing BS. Similarly, the specific project activities carried out at the local level with the municipal and decentralised authorities through the territorial coordination committees as well as the project contribution to capacity development of public officials on PFM and SP policy at central and local level, the development of the communication strategy of the SPS and its information system are definitely an important added-value and sources of knowledge and information for the EU cooperation in the SP sector as well as additional support to allow the national authorities to fulfil some of the performance indicators of the EU BS programme.

EQ4	To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made?	
JC 4.1	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems	
JC 4.2	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability	
JC 4.3	More financed and operating shock sensitive, responsive and adaptive SP programmes	
JC 4.4	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers	

After only two years of implementation and considering the impact of the COVID-19 and the electoral agenda (municipal elections in October 2021) on the pace of implementation of the initial action plan of the project, it is still premature to assess the contribution of the project to the intended outcomes.

However, the SPS Vamos! adopted by the national authorities, and supported by the present project, aimed at addressing the dispersion of SP actions and mobilizing a broad and detailed scheme of public actions of sectoral policies and programmes through the articulation and coordination with more than 30 government institutions for the implementation of strategic actions at the national and territorial

level, in order to reduce the large sectors of unprotected vulnerable population. The SPS Vamos! that succeeded for the first time to install and consolidate a Social Protection System with a life-cycle approach, intends notably to improve SP services for several categories of population in need of special attention (population from 0 to 4 years of age, population aged 60 years and over, women, people living in poverty, people with disabilities and indigenous people).

Within this framework, **the EU project has contributed to strengthening the institutional capacities at local level to address these transversal issues and foster their inclusion in SP delivery services** through several angles of its intervention in the four pilot territories **including by: (i) improving coordination between SP institutions at local level, (ii) developing mechanisms to better identify the most vulnerable local populations in the concerned territories, (iii) promoting an approach of priority basic social services according to the communities' needs with a specific focus on childhood SP services and, (iv) through its involvement on communication, raising awareness of the local communities on a piloted integrated SP card (JC 4.1).**

The project has promoted several approaches in this purpose in the 4 pilot territories, selected by the national authorities: (i) **promotion of representation of the Ministry of Women in the SP Local Committees that have strengthened the relations of the Ministry with the local authorities, developed municipal women secretariats and prepare the ground for a more systematic mainstreaming of the gender dimension in the local public services' delivery** including the improvement of gender equality in the SP services' coverage; (ii) **promotion of stronger collaboration between the national secretariat for the Human Right of Persons with Disabilities (SENADIS) and the local SP Committee to streamline and improve disability card identification, certification, registration and distribution services;** (iii) **establishment of a roadmap for the implementation of integrated public services targeting children aged 0-4 years** with specific training activities for the local authorities on the assessment of local investment in children SP services. On this last dimension, the project, under the coordination of UNICEF, has also sought to strengthen the early childhood services in the first phase of implementation of the SPS Vamos! through a specific support to the implementation of one of the national early childhood strategy's actions related to the construction of early childhood care centres in some of the pilot territories.

All these activities aiming at improving the planning and design of SP programme administration, registration and management systems at local level should prepare the ground for a more coordinated, targeted and operational SP delivery services mechanisms that will contribute to an increased coverage by the SPS Vamos! of these vulnerable groups (JC 4.4). However, the project has faced several challenges related to the uncompleted decentralisation process and the **weak presence of the State throughout the national territory**, leading to weaknesses in the capacities at local level of some key representatives of SP government institutions that are involved in the implementation of the SPS.

During the COVID-19, Paraguay's social assistance programmes were crucial to mitigate the impacts of the pandemic shock on the vulnerable population. The country has notably developed a new cash transfer programme "Pytyvõ," which targeted informal sector and self-employed workers affected by the shock and has deployed another temporary social assistance programme (*Ñangareko*) that targeted families in the subsistence economy. These measures together with the increase in allocations to the established *Tekoporã* social assistance programme (for school-age kids, pregnant women, people with disabilities and vulnerable indigenous communities) have helped substantially mitigate the impact of the pandemic.

**Whereas the project has focused in developing a series of important diagnostic tools related to fiscal space analysis for the extension of SP coverage as well as a costing analysis and an**

**impact assessment of such SP extension, these analyses have not yet been validated and endorsed by the national authorities.** Similarly, if the project contributed to prepare the SP institutions to the adoption of more efficient SP budgeting process through capacity development on PFM and result-based budgeting in the SP sectors, it is yet premature to assess whether the project has already contributed to more efficient management of public expenditure programmes in the SP sector as these capacity development and PFM reform processes will take time to mature and deliver results.

**Considering the financing needs that will imply the SPS Vamos!'s implementation, the potential efficiency gain in public expenditure management in the sector will need to be complemented with a comprehensive tax reform in order to improve the national tax-to-GDP ratio that falls below the averages of various comparator group especially in the region (JC 4.2).** According to the IMF, rebuilding fiscal space remain a key national issue considering the country's substantial spending needs in critical sectors for long-term inclusive growth, including the social sectors, and the national authorities should reassess the country's special tax regimes for specific sectors and activities, and consider another tax reform that goes beyond some recent improvements enacted during 2020.

**While it is expected that the project's diagnostic tools and studies will contribute to inform policy decision and nurture the policy dialogue on the future discussions on the financing of national SP systems, the feasibility and sustainability of the implementation of the SPS Vamos! that will require additional budgetary resources (especially in its social assistance and non-contributory SP component net), will strongly depend of the capacity of the country to enhance domestic revenue mobilization.** This is all the more crucial that the country is facing a complex macroeconomic situation whereby previous countercyclical fiscal policies to mitigate the impact of the COVID -19 shock have raised public debt and depleted fiscal buffers.

**The difficulties encountered by the project consultancy to access the national tax data base and the lack of strong national willingness to remove tax incentives and increase the low tax pressure, do not bode well for a smooth increase of the required fiscal space for financing SPS.** The government has often considered such low tax pressure as a key comparative advantage and valid incentive economic policy tool to attract foreign investments from the region. In the context of the fiscal space analysis, the project has not yet developed a strong collaboration with the IMF nor with the SET (Under secretariat on Tax under the Ministry of Finance) as the key project's interlocutor from the Ministry of Finance has remained the Budget General Directorate which has no policy responsibility on tax policy. In collaboration with the EUD, the EU SP & PFM IPs should then promote closer working relations with these interlocutors to better address the issues surrounding the feasibility and sustainability of the national SPS Vamos!.

<b>EQ5</b>	<b>To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?</b>	
<b>JC 5.1</b>	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives	
<b>JC 5.2</b>	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies	
<b>JC 5.3</b>	The implementing partners have set up coordination with domestic partners and development partners	

<b>JC 5.4</b>	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution	
<b>JC 5.5</b>	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project	

**ILO and UNICEF experiences in the implementation of SP projects at the regional and national levels as well as their established working relations and networks with key SP national and local counterparts of the Action have allowed the project to capitalise on their experience and professional network especially in the area of SP policies and programmes, related institutional development, technical support and coordination activities (JC 5.1).** However, in the specific case of Paraguay, the project has also highly benefitted from the long EUD involvement in the SP and PFM reforms sectors through several successive sector budget support programmes targeted to the national SP policy. In this context, the EUD has been instrumental in supporting the IPs and the project to strengthening the needed inter-institutional working relations between the General Directorate of Budget (DGP- Ministry of Finance) and the Social Cabinet through its Technical Unit (UTGS).

**The project objectives and activities as well as the terms of references of specific studies and diagnostics carried out in the context of the project have been developed and defined in close consultations between the IP and the concerned institutional counterparts and stakeholders** (UTGS, Ministry of Finance, Budget General Directorate) to ensure proper response to priorities defined by the country with a strong focus on activities linked to strengthening capacity and building skills of the key actors involved in the implementation of the national SPS Vamos!.

**The project's activities have also been divided between ILO and UNICEF according to the comparative advantages and experiences of each IP.** ILO has been involved in activities related to the preparation of technical analyses and diagnoses in the area of budgetary efficiency and costing for the extension of the SPS, the economic policy analysis of SP in Paraguay and the analysis of the fiscal space. In this regard, technical expertise was mobilised to carry out the analysis with the methodological backstopping from the ILO HQ from Geneva including the project manager and the thematic experts of the Global Technical Facility as well as the regional office that has played a key role in the organisation of the capacity development and training activities on PFM and SP. UNICEF has rather focused on activities related to capacity building at the local level in terms of coordination and territorial planning of the different social services in the 4 pilot regions selected for the implementation of the SPS Vamos! as well as on the development of a national communication strategy on SPS.

In this context, **technical and human resources have been deployed, through open call for proposals, not only at national but also at territorial and decentralised level** to support the project's implementation. In order to promote conducive, locally installed and sustainable capacity development at local level, specific calls for proposals were organised **to recruit professional consultants residing in each of the 4 pilot territories to facilitate the management of activities and ensure close contacts of consultants with the local authorities and stakeholders.** In the framework of the project activities to develop in-country's PFM and SP training and curricula, the selection through a call for proposals of the Institute of Public Affair of the University of Chili, experienced and specialised in the whole Latin America in designing programmes for public service professional and civil servants, has allowed to set up a partnership with a national Paraguayan University (in Asuncion) to develop and deliver an academic programme on SP and PFM and

**promote knowledge transfer and sustainability of new academic curricula beyond the end of the present project (JC 5.2).**

The coordination of the project is managed through a monthly Technical Coordination Committee (TCC) with the participation from ILO, UNICEF, the European Union Delegation and the Paraguayan government which has so far allowed close and frequent interaction communication, information sharing, timely decisions, implementation of corrective measures by the main institutions involved in the implementation process. During the COVID-19, the TCC has been continued through online though less regular meetings to maintain a satisfactory level of interaction, communication and information sharing between the IP, the national counterparts and the EUD.

The European Union Delegation has been active in the TCC forum, promoting **stronger synergies between the project, the ongoing budget support programme as well as with the EU technical assistance project to the Ministry of Finance and to the UTGS**. This forum has ensured a **smooth and flexible management of the Project (JC 5.3 & JC 5.5)**. The IP have also communicated in the context of these TCC a regular updating of the project workplan which allowed transparent and detailed oversight and monitoring of the project's activities and provide the basis for discussions on the orientations of the project or on potential needs for revisions or adaptation of some activities. UNICEF has also provided information on a monthly basis on the development activities at the level of the 4 pilot territories and has established regular on-line meetings with the project's supported territorial coordinators from the 4 pilot territories to follow the project's activities at the decentralised level and inform accordingly the TCC.

It is yet difficult to assess the level of coordination and synergies with other donors involved in the SP sector (IADB, World Bank...) as the specific Coordination Committee expected to be set up under the SPS Vamos! and managed by the UTGS has not been fully operational. Finally, in the context of the project's activities related to the development of diagnostic tools and analysis on the national fiscal space for the sustainable financing of the SPS Vamos!, **the collaboration with key stakeholder like the IMF and the State-Under Secretariat of Taxation (SET) of the Ministry of Finance still need to be strengthened (JC 5.3).**

**Annex 1: List of Institutions met**

<b>Institution type</b>	<b>Institution / Minister</b>	<b>Service</b>
<b>Implementing partners</b>	ILO and UNICEF	
<b>Implementing partners</b>	ILO Consultants	Diagnostics studies on political economy and fiscal space analysis.
<b>Implementing partners</b>	Territorial coordinators of the UTGS under the SPS Vamos!	4 pilots territories- coordinators (Enlace territorial)
<b>EU Technical Assistance Unit</b>	General Directorate of the Budget (DGP)	EU Technical Assistant under the EU Budget Support Programme
<b>EU Technical Assistance Unit</b>	Technical unit of the Social Cabinet (UTGS)	EU TA under the EU BS programme
<b>EU</b>	EU Delegation	Head of Cooperation and EU SP&PFM Programme manager
<b>National authorities and institutions</b>	Ministry of Finance	General Directorate of the Budget (DGP)
	Social Cabinet	Technical Unit of the Social Cabinet (UTGS)
<b>Civil society</b>	Employers' federation	FEPRINCO

# Senegal

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## List of acronyms

ANSD	Agence Nationale de la Statistique et de la Démographie
BS	Budget Support
CB	Capacity Building
CEC	Carte d'Egalité des Chances
CMU	Couverture Maladie Universelle
CSO	Civil Society Organisation
CUSS	Code Unique de Sécurité Sociale
DG INTPA	Directorate-General for International Partnerships
DGPSN	Délégation Générale à la Protection sociale et à la Solidarité nationale
DP	Development Partner
DRM	Domestic Revenue Mobilisation
EC	European Commission
EQ	Evaluation Question
ERI-ESI	Enquête Régionale Intégrée sur l'Emploi et le Secteur Informel
EU	European Union
EUD	European Union Delegation
GCSPF	Global Coalition of Social Protection Floors
GDP	Gross Domestic Product
IL	Intervention Logic
IMF	International Monetary Fund
IP	Implementing Partners
JC	Judgement Criteria
MIP	Multiannual Indicative Programme
PER	Public Expenditure Review
PFM	Public Finance Management
PMU	Project Management Unit
PNBSF	Programme National de Bourses de Sécurité Familiales
PSE	Plan Sénégal Emergent
PwD	Persons with Disabilities
RG	Reference Group
RNU	Registre National Unique
RSPC	Régime Simplifié pour les Petits Contribuables
SC	Steering Committee
SDG	Sustainable Development Goals
SNPS	Stratégie Nationale de Protection Sociale
SP	Social Protection
SPF	Social Protection Floors
SRPC	Sector Reform Performance Contract
TA	Technical Assistance
TFP	Technical and Financial Partners
TORs	Terms of Reference
USP	Universal Social Protection
WAEMU	West African Economic and Monetary Union
WB	World Bank
WSM	We Social Movements



## 1. Country context and Intervention logic of the project

### 1.1 Country context : State of SP, policy and institutional framework

Senegal is characterized by a stable political and economic context, benefiting from a stable growth rate of over 6% since 2014. Senegal's population is still growing at 3% per year, and the country had a total of 16.74 million inhabitants in 2020, of which 52% were under 20 years old. In addition, the labor market is characterized by a large informal economy. According to the ANSD's ERI-ESI, in 2017, more than 97% of jobs were informal. As for the poverty rate, it remains high despite a decline since 2011, and was estimated at 37.8% in 2018/2019 according to the ANSD.

In 2014, the **Plan Senegal Emergent (PSE)** has been adopted as reference for economic and social policy in the medium and long term. The PSE is divided into three strategic areas: (i) Structural transformation of the economy and (ii) **Human capital, social protection, and sustainable development**; and (iii) Governance, institutions, peace and security.

To contribute to the implementation of the strategic orientations of the PSE, the government adopted in 2015 the second **National Social Protection Strategy (SNPS) 2016 - 2035**. This strategy is based on a "life cycle" approach and aims that "Senegal has an inclusive social protection system, firmly anchored in national culture and guaranteed by the State through Laws". The strategy refers to ILO Recommendation n°202 on Social Protection Floors.

The SP expenditures (excluding healthcare) account for 3.3% of the country's GDP.<sup>7</sup>

The SP system in Senegal is essentially based on three pillars: a contributory system, a non-contributory system, and a mixed system. Some key SP systems include:

- **Couverture Maladie Universelle (CMU)**: a universal basic health care protection based on a system of affiliation to mutuelles and subsidized at 100% for poor members, and at 50% for those who can afford it, introduced in 2013 by the government. In 2019, 49.3% of the population was covered by a health insurance.
- **Programme National de Bourses de Sécurité Familiale (PNBSF)**: established in 2014, the programme provided stipends to 316.941 vulnerable families in 2018.
- **Carte d'Egalité des Chances (CEC)**: initiated in 2012, this card allows its holder to benefit, depending on the level of his or her disability, from total or partial free health care in state-run health facilities. In 2019, 50.006 PwD were benefitting from this card.

In terms of PFM, the Government of Senegal follows **WAEMU directives** for the implementation of a new public management based on autonomy, performance, accountability, and transparency. An important step was achieved in 2020 with the first year of implementation of the programme-based budget. In parallel, the Government has adopted a strategy for increasing Domestic Resource Mobilisation<sup>8</sup> 2020-2025 and pursues a broad range of PFM reforms aiming at enhancing budget execution as well as reducing vulnerabilities linked to the debt structure.

To respond to the COVID-19 crisis, the government has focused on two key pillars: On the one hand, on improving the health system and strengthening SP: **64,4 billion FCFA** were allocated to health services to improve screening, treatment, and prevention.<sup>9</sup> On the other hand, food aid was

<sup>7</sup> ILO, World Social Protection Database, based on SSI; ISSA/SSA, Social Security Programs Throughout the World; ILOSTAT, ECLAC, IMF, WHO, WB, UNDP, UNICEF, completed with national data sources.

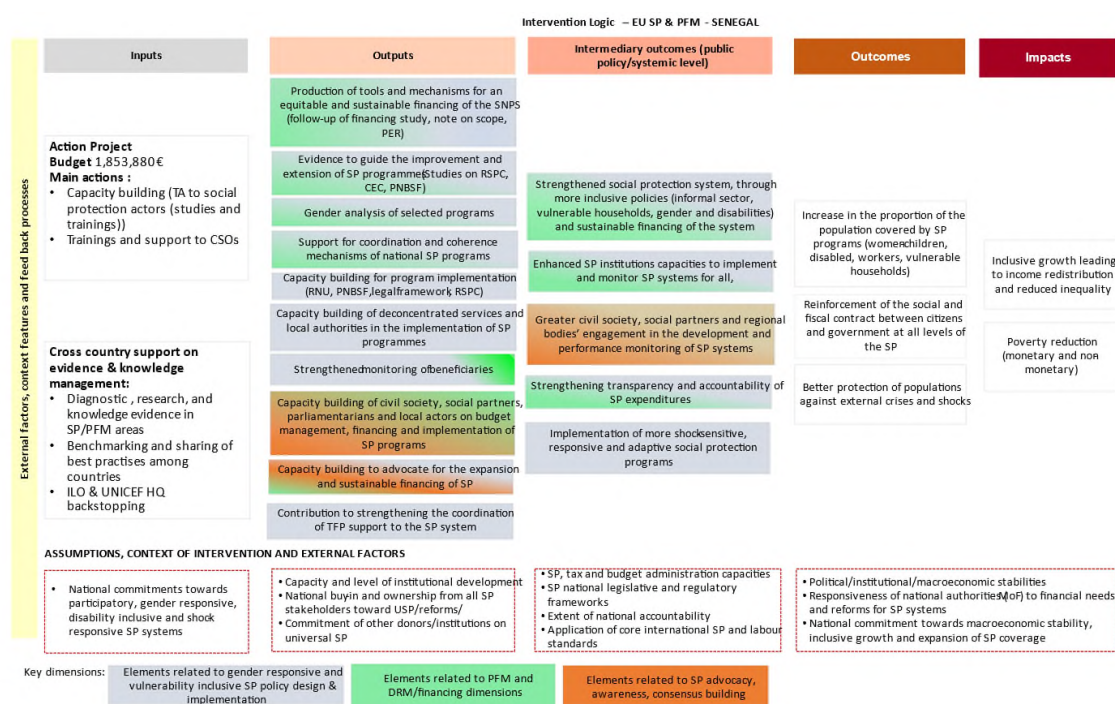
<sup>8</sup> Stratégie nationale de mobilisation des recettes à moyen terme pour le financement du PSE 2020-2025

<sup>9</sup> Programme de Résilience Economique et Sociale, République du Sénégal

distributed to approximately 1 million households (69 billion FCFA). Utility bills were also suspended for two months (for a total of 15.5 billion FCFA).

## 1.2 Main objectives and activities of the SP-PFM project 2019-2021

The project has focused its activities to provide evidence for supporting the extension of the CEC for people with disabilities, the introduction of the new Régime Simplifié pour les Petits Contribuables (RSPC), the effective inclusion of gender in the scheme and the pilot phase of the health branch. The activities also consisted in building the capacities of government and civil society representatives and advocating on issues of SP extension and financing.



## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a color according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs ? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks ?</b>	
<b>JC 1.1</b>	<b>The SP&amp;PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks</b>	
<b>JC1.2</b>	<b>Country project address the key priorities and needs including PFM factors determining country capacities to implement sustainable SP systems</b>	

JC1.3	The responses provided to COVID-19 and other shocks were relevant according to the immediate needs and the long term objectives of the Action	
JC1.4	The project address priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy	

The project is coherent with the ILO's **Recommendation N°202 on Social Protection Floors**, endorsed by the other partners, and the objectives of SP universal coverage (JC 1.1).

The project is well aligned with the country needs and priorities, being based on the SNPS<sup>10</sup> and its life cycle approach. The project also takes a systems approach integrating the regional level, as outlined in the SNPS. The planned activities follow on from the global review of the SP system<sup>11</sup>, carried out by ILO and financed by the EU, and the system deficiencies identified in it. The workplan is a continuation of the IP's ongoing work, such as the consolidation of the RNU, the study on the fiscal space or the draft of the new Regime Simplifié pour Petits Contribuables (RSPC), all reflecting national priorities.

Overall, the project has taken a pragmatic approach, aiming to collect evidence to build the case for SP extension and share it with national counterparts in view of the emerging needs (JC1.2).

Synergies between SP and PFM are mainly addressed by the project at two levels, both highly relevant: 1) identifying sustainable sources of financing (mainly by working on various scenarios) and 2) better understanding of SP spending by delimiting the scope of SP expenditures and reviewing the current state of SP expenditures. Overall, all stakeholders met consider that reinforcing the integration of SP into PFM is a key objective for improving SP policies and that it is the right time to address it. However, this issue was not sufficiently considered by the project. Some specific issues such as the expenditure chain for delivering SP and the implementation of programme budgets in this area were not considered. While the need to strengthen synergies is recognised, it was less clear how to do so. One of the reasons for this shortcoming may be a lack of initial guidance on the scope of the programme.

Regarding the response to the COVID-19 outbreak, the team decided not to modify its work plan, considering the activities still coherent in this context and given the assistance already provided by other programmes. The Ministry of Labour however received support to develop a digital platform to answer questions from the population regarding their social rights and safety measures taken in the workplace (JC1.3).

The project has considered the specific needs of persons with disabilities (improving identification and service package through the CEC), workers of the informal economy (identify and promote the incentives to registration to the RSPC), and women of the informal sector (better inclusion of gender in the scheme). Moreover, activities to come will also take into account gender cross-cutting aspect (production of a gender and disability-sensitive review of the SP system), child-specific factors (production of a child poverty analysis to strengthen children-sensitive cash transfers and better meet children needs) and monitoring the practices of families benefiting from the PNBSF. (JC1.4)

## 2.2 Coherence, coordination and complementarity

<sup>10</sup> Stratégie Nationale de Protection Sociale SNPS- 2015-2035, Délégation Générale à la Protection sociale et à la Solidarité Nationale (DGPSN), June 2016

<sup>11</sup> Revue Globale Et Analyse Du Système National De Protection Sociale Du Sénégal, Organisation internationale du Travail, January 2021

<b>EQ2</b>	<b>To what extent have the EU Action's components and activities been consistent with each others and contributed to reinforce the overall coherence of all EU's and its implementing partners' interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors' interventions in the SP and PFM sectors?</b>	
<b>JC 2.1</b>	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP	
<b>JC 2.2</b>	SP-PFM project has benefited from cross-country activities	
<b>JC 2.3</b>	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level	
<b>JC 2.4</b>	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors' intervention	

The project is fully consistent with and complementary to the SP-related initiatives undertaken since 2013 in the country.

However, the project does not appear as a coherent whole and as bringing together the SP actors under a common goal. Most of the actors benefiting from one component of the project were not informed about the other components, as the different activities were implemented in isolation. Fragmentation that characterizes the SP system in Senegal does not facilitate the overall coherence of the project and could explain the difficulty to involve jointly the many actors in charge of SP programmes (JC2.1). Civil society, led by WSM in this project in close collaboration with the Multi-Stakeholder Network on Social Protection (REMAPS), identified its own needs and objectives at the beginning of the project. Activities consisted mainly of capacity building through trainings on SP and PFM issues and strengthening advocacy through evidence generated by the project.

The contribution of the cross-country component of the EU Action has been rather limited (JC2.2). It has mainly consisted in trainings provided by the ILO on PFM and SP to officials of the DGPSN, the Ministry of Finance, Ministry of Labour, and the EUD. Senegal was to be included in the study on the multiplier effects of SP, but was not retained due to insufficient data. Hence, no activities and support from the cross-cutting component of the programme were noted, nor was there any exchanges and knowledge sharing with other countries in the programme, apart from the experience sharing between countries covered by the GCSPF for the civil society component.

The project fits in well with other supports from the IP (ILO and UNICEF): teams were flexible in their work plans for the achievement of their objectives, as part of this project or their other ongoing projects in the area of SP and PFM such as the operationalization of the PNBSF and the RNU, the capacity building of the OSBS or reviews of social sector budget expenditures for UNICEF, and the support to implementing the RSPC and the extension of SP as part of the Decent Work Country Programme (DWCP) 2018-2022 for ILO.

Regarding the complementarity with European Union support, the project was well articulated with the Sector Reform Contract in Support of Social Protection, Food Security and Nutrition (CPRS-PSSAN) agreed in 2018 for the period 2019 – 2024, and was intended to support some of its indicators, such as the updating of the RNU or improving of the PNBSF. In the end, there was little impact of the project on the BS as the SRPC was transformed in a unique FT to support the government after the COVID-19 crisis.

Synergies were difficult to achieve with the other two EU-funded civil society support projects on SP, namely OSCAR and REPROSOC. (JC2.3).



The project demonstrated good coordination with other support provided by DPs, especially when implemented by UNICEF and ILO (see the Belgian RSPC project implemented with ILO). Complementarities with the World Bank's approach regarding SP were also noticed on the updating of the RNU or on the monitoring of the plus component of the PNBSF for example, but there are still risks to see same activities funded on both sides (ex: PER in SP).

There is a sectoral thematic group (gathering every 2 or 3 months, depending on the needs and priorities of the moment) which allowed for regular exchanges between the different DPs and the main SP actors (JC2.4).

## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

EQ3	To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?	Assessment
JC 3.1	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
JC 3.2	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems	
JC 3.3	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP	
JC 3.4	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability, and oversight	

On the issue of the financing of SP, the project has contributed to the ongoing debate and understanding of the issues thanks to the technical note on the scope of the SP expenditures, and on the basis of the financing options presented by ILO in a previous study<sup>12</sup>, and will provide in-depth studies on a number of those options selected by the Ministry of Finance.

In terms of the design of the contributory and non-contributory SP programmes, the project produced valuable technical elements directly used in decision making, i.e., the study on gender mainstreaming of the RSPC, the report on incentives to formalization and to registration to the RSPC, and the study on the extension and improvement of the CEC scheme. (JC3.1) The project also supported the adoption of a revised legal framework (CUSS) through logistical training for the committee members in charge of the drafting, and expertise provided by experts from Geneva to ensure that the code is in line with international standards.

In addition, capacity-building activities were organized for parliamentarians and officials from relevant ministries on programme-based budgeting. The trainings were not directly focused on SP but will allow the actors involved to orient the SP budget on this basis. The project also contributed to strengthening the link between the SP and PFM thematic groups of DPs by organizing joint meetings.

<sup>12</sup> Financement De La Protection Sociale Au Sénégal : Analyse De L'espace Budgétaire, Des Options De Financement Et Des Impacts Des Investissements En Protection Sociale, ILO, January 2021

There has been little leverage from the project to strengthen the overall coherence of Senegal's SP system. There was also no direct contribution to mechanisms designed to respond to external shocks as other programmes have focused on this issue.

The project has made contributions to the strengthening of national capacities for implementing of specific SP programmes. Capacities have been reinforced (or are to be reinforced) to use the RNU as the main identification tool for delivering social assistance programmes (the project has covered 1 of the 14 regions for the update of the database), to implement the plus component of the PNBSF (the project will provide an input on the costing and monitoring of the plus component), to design incentives for informal workers to join the RSPC<sup>13</sup>, and the strengthening of regional platforms (trainings of local authorities for the effective implementation of these platforms) (JC3.2).

The EUD is well involved in the design and monitoring of project activities and participated in trainings provided by ILO on SP & PFM issues. This allows them to feed their own programme and provides them with elements to strengthen their dialogue with the authorities notably on the scope of the SP or on the extension of the RSPC to other professions (JC3.3). The objectives of the project are fully consistent with the MIP EU-Senegal for 2018-2023, but there is little evidence that the project influenced the programming of the MIP 2021 – 2027.

The project has participated in the national dialogue around SP and its funding, communicating the evidence generated by its research and advocating for these arguments. The project has made a strong contribution to strengthening the advocacy capacities of civil society and social partners, although the contribution to strengthening transparency and accountability is less clear at this stage, despite the inputs of the note on the scope of SP and strengthening of the OSBS. The project was able to mobilize civil society and its weight in Senegal to relay information to both authorities and local communities. (JC3.4)

<b>EQ4</b>	<b>To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made ?</b>	
<b>JC 4.1</b>	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems	
<b>JC 4.2</b>	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability	
<b>JC 4.3</b>	More financed and operating shock sensitive, responsive and adaptive SP programmes	
<b>JC 4.4</b>	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers	

The project has provided valuable support in different areas, together with other broader projects and more substantial amounts of assistance. It is therefore difficult to assess the exact contribution of the project to the expected outcomes (JC4.1).

With regard to the long-term financing of SP, no further progress is observed and is not expected by the end of the project, as the financing options are still under study by the government. The project will further support these discussions by producing in-depth notes requested by the Ministry of Finance on the most feasible sources of financing. However, these are aimed at increasing the State

<sup>13</sup> Détermination du cadre de mise en œuvre des mesures incitatives à la formalisation et à l'affiliation de l'économie informelle au Régime simplifié de sécurité sociale (RSPC), ILO, February 2022.

budget, and all sectors are pushing for increased funding. Thus, even if one of these options is adopted, there is still no guarantee that the revenues generated will be allocated to SP.

That is why it is also important to implement contributory systems in parallel. To this end, a new contributory system for small taxpayers in the informal economy has been under development since 2013. The RSPC will finally enter its pilot phase and should be effective by the end of the year. (JC4.2)

There has not yet been an effective increase in SP coverage. The percentage of population being covered by at least one SP benefit has remained at 20% from the World Social Protection Report of 2017-19<sup>14</sup> and the one of 2020-2022.<sup>15</sup>

Nonetheless, several extensions can be expected in the near future if the conditions for implementation are met. The CEC is expected to be extended to more beneficiaries starting in 2023 and could grow from 70,000 to 350,000 beneficiaries according to estimates based on a mid-range scenario. The implementation of the RSPC in 2023 after the initial pilot phase would make it possible to reach, at a rate of +5% per year, the coverage of 50% of informal workers in 10 years (corresponding to over 6 million people covered) (JC4.4).

## 2.4 Efficiency

EQ5	To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?	
JC 5.1	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives	
JC 5.2	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies	
JC 5.3	The implementing partners have set up coordination with domestic partners and development partners	
JC 5.4	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution	
JC 5.5	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project	

The partners have proven their suitability for this project given their involvement in the field and having well established relays with national partners. Overall, the IP were able to demonstrate flexibility and adaptation to the context (JC5.1).

However, many activities are still not yet implemented and face important delays (see annex 2). Partners remain confident that all activities could be achieved before the end of the project but, on the other hand, it will not be possible to ensure ownership by the actors and to ensure their impact.

<sup>14</sup> World Social Protection Report 2017–19 *Universal social protection to achieve the Sustainable Development Goals*, ILO, 2017

<sup>15</sup> World Social Protection Report 2020-22 *Social protection at the crossroads – in pursuit of a better future*, ILO, 2021

The programme's approach of implementing the project jointly by the IPs has led to challenges in implementation. Indeed, the different and sometimes incompatible procedures specific to the organizations have slowed down the organization of a number of activities and forces the partners to reorganise and divide the activities between them.

The project also faced difficulties of implementation due to the constraints related to COVID-19 mitigation measures, for trainings that had to be organized on site for example.

In terms of human resources, it was not always easy to mobilize external technical expertise, which also caused delays in the start of activities, more particularly for the gender and disability-sensitive review of the SP system for which the call for proposals had to be relaunched 3 times before finding qualified consultants.

Overall, there were regular internal exchanges between IP to coordinate efforts, although the coordination with the civil society component of the GCSPF is less clear as they had their own objectives and steering committee (JC5.2).

The project has established good coordination with the other TFPs, through the thematic groups or through more informal regular exchanges. The DGPSN, as main interlocutor, has been well integrated and informed about the project. With respect to other national partners, there was less evidence of their integration in the project monitoring except for the activities in which they were assisted, resulting in a certain lack of ownership of the project objectives. They could benefit from a general overview of the project and its outputs (JC5.3).

A technical coordination committee has been created and ensures a close collaboration between the IP (ILO, UNICEF, GCSPF), the EU and the DGPSN. The steering committee took longer to set up and was not operational until 2022. The SC has only met once so far.

Finally, information related to the financial execution of the project is quite limited, but it was reported that the cost of some activities was underestimated, resulting in budget cuts for other activities. For example, the activity on SP financing frameworks was replaced by the production of in-depth studies of financing options, or many of the planned activities to support the implementation of the RSPC were moved into the project in collaboration with the Belgian cooperation (JC5.4).



**Annex 1: List of Institutions met**

<b>Institution type</b>	<b>Institution / Minister</b>	<b>Service</b>
<b>Implementing partners</b>	ILO	
	UNICEF	
	GCSPF	WSM
<b>EU</b>	EU Delegation	
<b>National authorities and institutions</b>	Ministry of Community Development, Social and Territorial Equity	National Social Protection Delegation (DGPSN)
	Ministry of Labour	General Delegation of Labour and Social Security
	Ministry of Health and Social Action	Social Action Directorate
	Ministry of Finance	Directorate General of the Budget Directorate of Pensions
	Ministry of Economy, Planning and Cooperation	Social Budget Monitoring Observatory
	Institution of Retirement Planning of Senegal (IPRES)	
<b>Other donors</b>	World Bank	
	Belgian Cooperation	
	UN Women	
<b>Civil society</b>	REMAPS	
	CICODEV	

**Annex 2: List of activities**

List of activities	Planned activities	Implementation
Estimate the cost the Plus component (integrated social services) of the PNBSF in view of sustainable financing through national resources	1 technical report/1 workshop	Not started yet
Strengthen national capacities on public finance management and financing of social protection (with reference to the ILO Handbook on Fiscal Space)	2 workshops	Done
Deepen the fiscal space analysis, design and implement innovative financing options, including taxes reforms and mechanisms for capturing the contributory capacity of workers of the informal and rural economy	report of the review	Done
Support the updating of the social protection financing strategy/plan, the development and implementation of monitoring tools and framework of the national social protection (including budgets, in relation with EU budget supports).	1 plan/strategy	In-depth analyses of financing options underway
Conduct a gender and a disability-sensitive review of the social protection system	1 technical report / 1 workshop	To be executed in 2023
Support a public expenditures review of the social protection schemes and programmes (PER)	1 technical report / 1 workshop	To be executed in 2023
Realize a efficiency analysis of public allocation (DEA) in Education sector in the context of free fees policy	1 training session on the methodology	Cancelled
	1 technical report / 1 workshop	Cancelled
Provide technical assistance for the effective implementation and monitoring of the simplified scheme for independent workers and workers in the informal economy	2 workshops/ 1 technical note	study on incentives for formalization and registration to the RSPC scheme conducted. Workshops organised with the project ILO and Belgian cooperation
	1 workshop/ 1 technical note	
Build capacity of the line Ministries, IPRES, CSS, ANCMU, workers' organizations to effectively run the simplified scheme and support its scaling up	Training sessions	Done
Provide technical services and strengthen capacities for improving the link between the CMU and the PNBSF, and the CMU and the extension to workers in the informal and rural economy.	Workshops	Done
Provide technical assistance for improving the CEC programme, including a better definition of a disability-sensitive service package	technical note / 1 workshop	Done, study on the extension of the CEC
Support the updating of the database of the national unified registry (RNU), in relation with the EU budget support.	RNU updated	Done (funded by UNICEF)
	At least 2 workshop/	To be done

Support the promotion of essential family practices (Behaviour change communication activities) - monitoring of key family practices	training	
	At least 1 monitoring of key family practices	To be done
Build capacity of sub-national government's institutions for an improved implementation of the SNPS and social protection programmes (platform)	At least 1 platform implemented	Trainings to local authorities done and will be repeated
Build capacity of the OSBS for a real-time monitoring, adequacy and sustainability of public spending in social protection sectors	At least 1 training session	Done
Strengthen knowledge and capacity of parliamentarians and members of the CESE, HCCT, HCDS for a better understanding of the Pluriannual Budget Programme Documents and draft national budgets	2 workshops	Done
Document and disseminate good practices of gender-sensitive and disability-sensitive social protection interventions and extension to workers in the informal economy (briefs, videos and experience sharing with sub-national government entities).	1 practice	Study on gender-responsiveness of the RSPC
Capitalize and share documented good practices and country experiences, notably through the Regional social accountability platform for West and Central Africa.	2 workshops/ south-south cooperation	Not done
Enhanced local and national media and press capacities to support and relay advocacy for increased social protection financing	At least 1 training session/1 television or radio report	Cancelled
With support of the Global coalition for social protection floors, implement information and capacity building activities of actors of the civil society and workers' representatives in the budget planning and monitoring tools, for accelerated advocacy for extending gender- and disability-sensitive adequate social protection, and secured by transparent and sustainable financing	Technical support/events	Done
Organize employers' and private sector's awareness raising activities on the importance of social protection and governance and monitoring tools of the social protection sector	1 workshop	Done
Support Citizens Budgets to improve public understanding and ownership of social protection programmes and spending	1 draft of citizen budget on SP available	Not started yet
Conduct a child poverty analysis (Multiple Overlapping Deprivation Analysis) in order to strengthen children-sensitive cash transfers and better meet children needs, notably in terms of nutrition and food security	1 report available	1 <sup>st</sup> draft under review

# Uganda

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## List of acronyms

CSBAG	Civil Society Budget Advocacy Group
ESP	Expanding Social Protection Programme
EU	European Union
GCSPF	Global Coalition for Social Protection Floors
GEG	GirlsEmpoweringGirls Urban Social Protection Programme
GoU	Government of Uganda
HAI	HelpAge International
ILO	International Labour Organisation
KCCA	Kampala Capital City Authority
MoFPED	Ministry of Finance, Planning and Economic Development
MoGLSD	Ministry of Gender, Labour and Social Development
MoLG	Ministry of Local Government
NPA	National Planning Authority
NPC	National Population Council
NSSF	National Social Security Fund
NSPP	National Social Protection Policy
PFM	Public Finance Management
PWD	Person with Disabilities
SCG	Senior Citizens' Grant
SAGE	Social Assistance Grants for Empowerment
SPPOT	Social Protection Policy Options Tools
USPP	Uganda Social Protection Platform
UNICEF	United Nations Children's Fund

## **1. Country context and Intervention logic of the project**

### **1.1 Country context : State of SP, policy and institutional framework**

Uganda has a Third National Development Plan (NDPIII) which covers the period from 2020/21 – 2024/25. Recognising a problem of “Low investment in social protection systems, [which] has impacted on poverty and vulnerability levels across the entire population”, the NDPIII proposes “increased access to social protection” as one of its 21 “key development strategies”.

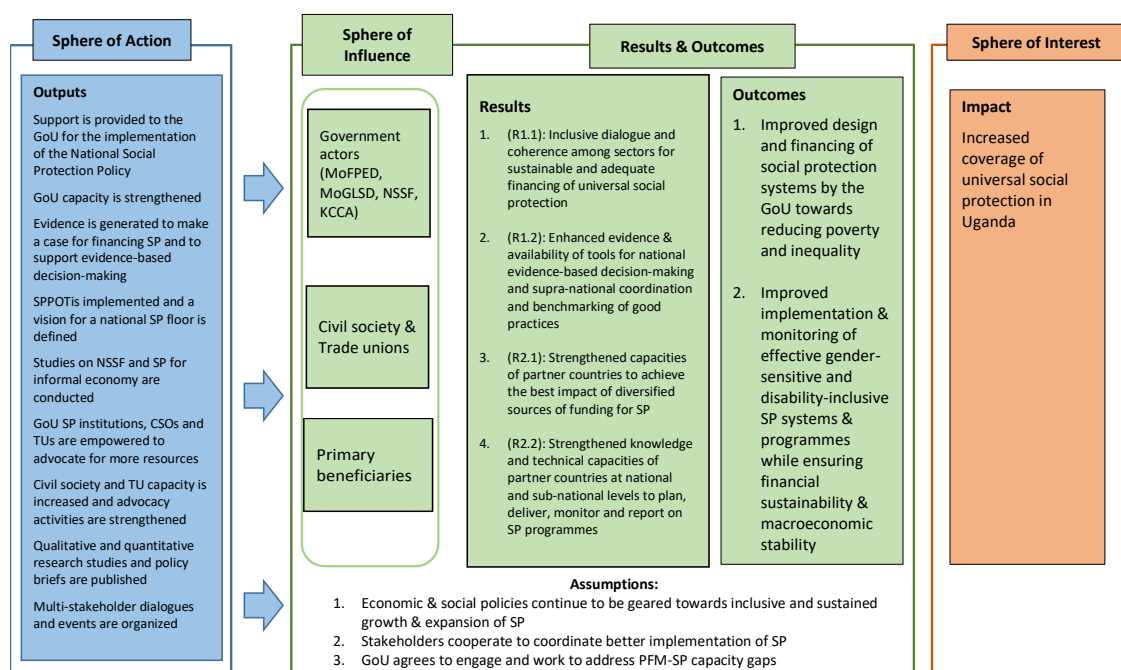
The “National Social Protection Policy: Income security and dignified lives for all” was published in 2015 (although the SP&PFM logframe seems to suggest that there is no guiding policy document?). This includes proposals to “Develop appropriate social security products for the informal sector” and “Expand access to direct income support by vulnerable groups in need”, both of which are relevant to the objectives SP&PFM. There is also a separate National Strategy on the extension of coverage to the informal sector. And there is an ongoing process to develop an updated National Social Protection Policy to which it is expected that the SP&PFM project will contribute.

Uganda has contributory pension scheme, workers compensation and health insurance, but these are restricted to the formal sector. The only non-contributory social assistance schemes are the Social Assistance Grants for Empowerment (SAGE) programme covering nearly 400,000 older persons and a new National Special Grant for persons with disabilities reaching 800 groups of 5-15 PWDs; and a number of public works programmes, mostly in the North of the country (e.g. NUSAF, DRDIP and the Karamoja Livelihoods Improvement Programme).

In terms of financing of SP, the 2015 Policy includes a chapter on “Financing”, which states “Government recognizes that there are different potential sources for financing Social Protection. These include revenues from the Government, grants from Development Partners, private sector investment, CSO financing, community support, household savings, individual and employer contributions”, again providing an entry point for the project. There is also a Uganda Public Financial Management Reform Strategy (July 2018 – June 2023), which sets out proposals for “enhanced resource mobilisation, improved planning and public investment management, and strengthened accountability for quality, effective and efficient service delivery”.

### **1.2 Main objectives and activities of the SP-PFM project 2019-2021**

The Intervention Logic, outcomes and results for the programme in Uganda are set out as follows:



## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a color according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs ? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks ?</b>	
<b>JC 1.1</b>	The SP&PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks	
<b>JC1.2</b>	Country project address the key priorities and needs including PFM factors determining country capacities to implement sustainable SP systems	
<b>JC1.3</b>	The responses provided to COVID-19 and other shocks were relevant according the immediate needs and the long term objectives of the Action	
<b>JC1.4</b>	The project address priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy	

#### Main findings :

The project is fully coherent with ILO support to Social Protection Floors, Decent Work and extension of social insurance coverage to the informal sector as expressed in the Uganda Decent Work Country Programme 2022-2026 under Priority 2: Strengthening and expanding social protection for the formal and informal sector; in ILO Programme and Budget 2022-2023, Outcome 8- Comprehensive and sustainable social protection for all; in the UNSDCP- Strategic Priority 2: Human Well-Being and Resilience. It is also consistent with UNICEF's work on SP for children (particularly adolescent girls in this case); with GCSPF's civil society advocacy work around SP, and with EU's

country programme (although it represents only a small component of this. It has contributed to broadening the discussion on “Beyond SAGE” (i.e., the old age pension) to also include as a priority a disability grant and support for the first 1000 days.

The project is coherent with GoU’s commitments in the NSPP and has supported discussions on affordability through annual Budget Briefs, a Policy brief on expanding fiscal space for SP in Uganda, and the organisation of a National Budget Dialogue on SP in NDPIII.

Additional payments were made through a number of the above social assistance programmes, and the Government implemented a COVID-19 Relief Fund (also known as the direct cash transfer program) for 500,000 households in the Kampala metropolitan areas, all cities, and municipalities. It also delivered food packages to 1.5 million vulnerable people in Kampala and Wasiko districts. COVID emergency support was also provided through SP DPs e.g., SIDA support through the Child Sensitive Social Protection Program (CSSP) in West Nile targeting refugee hosting districts and cash transfers to GEG beneficiary adolescents to ensure that girls transition safely into adulthood as process of implementing the first SP programme in Uganda directly targeting children. The project participated in the design of COVID-19 responses, which has fed into the design of GEG systems and to support (with WFP) to the implementation of a parish development model being advocated by GoU. This will have positive implications for future shock response.

There has been limited evidence of a focus on disability inclusion to date, but a functional difficulty survey is planned for 2022, which will look at how to build gender and disability inclusive SP systems. There has been a particular focus on adolescent girls in the project’s support to GEG, with a specific aim of empowering adolescent girls. It is also working with the National Social Security Fund (NSSF) to generate evidence on extending NSSF coverage to informal sector workers (some of whom will be migrants).

## 2.2 Coherence, coordination and complementarity

<b>EQ2</b>	<b>To what extent have the EU Action’s components and activities been consistent with each others and contributed to reinforce the overall coherence of all EU’s and its implementing partners’ interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors’ interventions in the SP and PFM sectors?</b>	
<b>JC 2.1</b>	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP	
<b>JC 2.2</b>	SP-PFM project has benefited from cross-country activities	
<b>JC 2.3</b>	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level	
<b>JC 2.4</b>	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors’ intervention	

### Main findings :

There is good evidence of participation in (and leadership of) existing sector working groups, but there is no existing high-level forum for engagement with GoU.



There has been good backstopping and technical support from HQs, but little evidence of leveraging project activities from other countries (although the GCSPF training manual has been shared across GCSPF countries).

The project has had some influence on the MIP for 2021-2027 (though there is as yet no budget support to SP in Uganda): the Annual Indicative Programme includes a proposed focus on gender for development, the expansion of universal health insurance cover, and some EUR 15 million for SP under the Action on Governance. The project has used the TRANSFORM training package, supported by EU, to significant effect in building the knowledge and understanding of National Assembly members. It has leveraged other UNICEF funding for GEG, and is coherent with ILO's PROSPECT, related to harnessing and synergising efficiencies in delivering common mandates on SP to refugees. As a result of the project the EUD feels better placed to play a lead role in SP sector engagement with GoU.

The NSPP provides a guiding framework for all partners, so there are no indications of incoherence. There is limited evidence of direct engagement with IMF/WB, but good engagement with other partners (e.g., ECHO, Irish Aid and FCDO), through the Social Protection Development Partners Group (SPDPG) and the Civil Society Budget Advocacy Group (CSBAG).

## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

<b>EQ3</b>	<b>To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?</b>	<b>Assessment</b>
<b>JC 3.1</b>	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
<b>JC 3.2</b>	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems	
<b>JC 3.3</b>	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP	
<b>JC 3.4</b>	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability and oversight	

### Main findings :

The project has produced a number of valuable tools and studies, including: Policy Briefs on Expanding fiscal space for SP and PFM: Towards Achieving Vision 2040; a Feasibility Study on Extension of Coverage of the NSSF; a Policy Brief on Challenges Faced by Adolescent Girls in Urban Area and the Case for Targeted Social Protection Programmes; a Study commissioned for the Federation of Uganda Employers on compliance with SP obligations; an Advocacy Brief reviewing Social Accountability Practices towards Social Protection; a Training Manual on Social Protection and PFM for CSOs and Tus; and a CSO Position Paper on Social Development Sector FY 2021/22.

The project has improved capacity and knowledge of SP among employees from MGLSD and NSSF. It has also provided good operational training to CSOs and trade unions, using a training-of-trainers approach to cascade learning, and has undertaken extensive and effective advocacy to parliamentarians through the Uganda Parliamentary Forum of Social Protection (UPFSP). It has had close engagement in operational systems' design for the GEG (Uganda's first urban social assistance

programme) and on the parish development model; with the intention being to learn lessons to inform GoU on systems strengthening for more general SP delivery.

EUD capacity has been strengthened, at least at level of the Programme Officer/Attache in EUD (“have learned a lot”), who in turn engages regularly with colleagues in some other EUD sectors, though not all. The project has “contributed to the MIP, even though the EUD would have liked to have been further advanced”. The Annual Indicative Programme includes a proposed focus on gender for development, the expansion of universal health insurance cover, and some EUR 15 million for SP under the Action on Governance.

The project has undertaken significant public awareness-raising, in particular by GCSPF (i.e., HelpAge) working through the SP Platform of Uganda. It has had good participation in existing coordination structures, and strong engagement with civil society platforms (including ILO tripartite partners), where it has activated a CSO and trade unions coordination committee. It undertook a comprehensive review of Social Accountability Practices towards SP in Uganda.

<b>EQ4</b>	<b>To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made ?</b>	
<b>JC 4.1</b>	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems	
<b>JC 4.2</b>	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability	
<b>JC 4.3</b>	More financed and operating shock sensitive, responsive and adaptive SP programmes	
<b>JC 4.4</b>	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers	

The project’s support to GEG and the parish development model has the potential to inform improvements in administrative, delivery and monitoring systems for SP. It plays a facilitating role, as an intermediary between GoU, parliamentarians, employers and civil society, which has the potential to influence the next iteration of the NSPP.

The project has not been able to engage sufficiently with the MoFPED, so issues around future financing of SP have not yet been satisfactorily addressed. GoU is contributing more to the costs of SAGE (as donor funding reduces), the extension of social insurance coverage to the informal sector should increase fiscal space, and the advocacy to parliamentarians should leverage additional funding. But this needs to be a priority focus for the remainder of the project.

Useful lessons in shock-responsive SP have been learned as a result of COVID-19 (though these need to be captured and better articulated). And the project’s focus on improved systems at national and parish levels should contribute to a robust platform for future shock response.

In terms of increased coverage, the project’s support to GEG has increased urban coverage (albeit on a small pilot scale). The SAGE programme has indeed expanded since the start of the project; and there is scope for expansion of the National Special Grant for PWDs, but these increases cannot be attributed to the project, except indirectly through the building of a coalition of apologists for SP among parliamentarians, civil society and employer/employee associations.

## 2.4 Efficiency

<b>EQ5</b>	<b>To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?</b>	
<b>JC 5.1</b>	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives	
<b>JC 5.2</b>	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies	
<b>JC 5.3</b>	The implementing partners have set up coordination with domestic partners and development partners	
<b>JC 5.4</b>	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution	
<b>JC 5.5</b>	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project	

### Main findings :

There are positive indications from MoLGSD of their involvement in programme design. All partners interviewed expressed considerable satisfaction with the project – GoU, DPs, employers, trade unions, civil society. Good apparent engagement of civil society through involvement of GCSPF and HelpAge.

There was some delay in recruiting a National Programme Coordinator for the project (with good support provided instead, during the interim, by Technical Officer in Addis). Other TA has been deployed successfully, and the quality was felt to be high.

There has been good engagement with partners (both domestic and development), though some difficulties in engaging with senior GoU stakeholders, especially in the MoF, where staff changes have made relationship-building very difficult. It has also proved challenging to set up formal mechanisms for project coordination with GoU: this currently relies on more informal exchanges (which appear to be working satisfactorily). The IPs are however part of the SP DPs' group, part of the National and Regional cash working groups and part of the Social Insurance Technical Group.

There have been delays in disbursement of project funds; partly offset by reduced payments as a result of COVID-19, with savings then available to cover the succeeding period, and partly through leveraging other sources of funding.

Reporting (as elsewhere in the Action) is time-consuming and lengthy, though the quality is good. The long delays, however, mean that flexibility is required at national level to effect local responses to challenges. Overall, a more frequent, lighter-touch reporting mechanism would be preferable.

### Annex 1: List of Institutions met

Institution type	Institution / Minister	Service
Implementing partners	ILO	
	UNICEF	

	GCSPF	HelpAge
<b>EU</b>	EU Delegation	
<b>National authorities and institutions</b>	Ministry of Finance	
	Ministry of Gender Labour & Social Development	
	Ministry of Health	
	Uganda Parliamentary Forum for Social Protection	
	Kampala Capital City Authority	
	National Social Security Fund	
	National Assembly members	
<b>Other donors</b>	WFP	
<b>Civil society</b>	Social Protection Platform of Uganda	
	Economic Policy Research Centre	
	Federation of Uganda Employers	
	Central Organisation of Free Trade Unions	
	National Organisation of Trade Unions	

## **Approach 2 countries**

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# Bangladesh

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## List of acronyms

BBDN	Bangladesh Business and Disability Network
BEF	Bangladesh Employers' Federation
BGMEA	Bangladesh Garment Manufacturers' and Exporters' Association
BKMEA	Bangladesh Knitwear Manufacturers' and Exporters' Association
BLA	Bangladesh Labour Act
BLR	Bangladesh Labour Rules
BMZ	German Federal Ministry of Economic Cooperation and development
BW	Better Work Bangladesh Programme
COVID-19	Coronavirus disease
DIFE	Department for Inspection of Factories and Establishments
DOL	Department of Labour, Government of Bangladesh
DPO	Disabled Persons Organization
DWCP	Decent Work Country Programme
ERTS	Employment Retention Through Subsidy
EUD	European Union Delegation in Bangladesh
GoB	Government of Bangladesh
HIES	Household Income and Expenditure Survey
IBC	IndustriALL Bangladesh Council
ILO	International Labour Organization
IOE	International Organisation of Employers
ITUC	International Trade Unions Confederation
LCG	Local Consultative Group
LIMA	Labour Inspection and Management Application
MIS	
MoLE	Ministry of Labour and Employment
NCCWE	National Coordination Committee for Workers' Education
NGO	Non-Government Organization
NSIS	National Social Insurance Scheme
NSSS	National Social Security Strategy
RMG	Ready Made Garments
RWCSIRMG	Workers Cash Support Initiative
SDIR	Social Dialogue and Industrial Relations
SOCPRO	Social Protection Department, ILO
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNSDCF	United Nations Sustainable Development Cooperation Framework
UN SERF	UN Systems' Socio Economic Response Framework
WRC	Workers Resource Center
WSDM	Wage Subsidy and Disbursement Mechanism

## 1. Country context and Intervention logic of the project

### 1.1 Country context : State of SP, policy and institutional framework

The National Social Security Strategy (NSSS) to which this assessment refers was developed in 2015 (under the Seventh Five-Year Plan) and remains the guiding SP policy framework. This has an Action Plan associated with it, covering the period 2016 to 2021. This sets out a range of reform priorities, both in terms of life-course programme coverage and in terms of institutional strengthening. Of relevance to this Action, one of the reforms (no A.3.3) is to the National Social Insurance Scheme (NSIS), where there is a plan to “Initiate study to determine the viability of a NSIS” and to “Recommend options for a NSIS”.

In 2019, the Government of Bangladesh has also received a Budget Support of Euro 113 million from European Union (EU) towards Social Security Reforms – mainly on four points, i.e., Improvement of institutional set-up of the social security system at central level; Introduction of a result-based M&E framework for social security system; Introduction of a nutrition-sensitive Child Benefit program, including establishment and upgrading a programme-based MIS; and Design and negotiation of an improved social security framework for workers, focusing on the RMG/export sector. In December 2020, the EU and the Government signed an Addendum, and the existing Financing Agreement was reoriented to address the COVID crisis.

### 1.2 Main objectives and activities of the SP-PFM project 2019-2021

The outcomes and results for the programme in Bangladesh are set out as follows:

Results chain	Indicators
<b>Impact (Development Objective)</b> To facilitate the gradual extension of social protection in Bangladesh through the design of income protection measures in response to COVID-19 pandemic which will lead to the implementation of long-term measures.	- Design of a wage subsidy disbursement mechanism for the RMG sector.
<b>Specific Objective 1</b> Technical support for the design and implementation of wage subsidies and employment retention in response to the COVID-19 crisis	- Lessons learnt and recommendations drawn from the wage subsidies programme
Output 1.1 A beneficiary identification criteria for wage subsidy disbursement programme for the formal sector workers developed.	- Draft inclusive and gender responsive beneficiary identification criteria
Output 1.2 Design of a database of workers in line with the beneficiary criteria set above consolidated.	- Design of a database of RMG workers for a wage subsidy disbursement mechanism
Output 1.3 A grievance handling mechanism in the context of social assistance/ wage subsidy disbursement designed.	- Established grievance handling mechanism
Output 1.4 A wage subsidy disbursement & employment retention mechanism for the formal sector workers designed.	- Designed wage subsidy disbursement & employment retention mechanism



Output 1.5 Technical inputs to pilot testing for the wage subsidy disbursement mechanism developed.	- Recommendations to implement the wage subsidy programme
Output 1.6 Technical assistance provided for the rapid impact assessment conducted under the interlinked BMZ project on wage subsidy disbursement .	- Recommendations to implement rapid impact assessment
<b>Specific Objective 2</b> <b>Recommendations on design of unemployment insurance scheme to counter the effects of exogenous shocks</b>	- Recommendation for an UI in Bangladesh
Output 2.1 Feasibility assessment of an unemployment insurance in consultation with Government, Workers and Employers for Bangladesh's formal sector conducted	- Final feasibility assessment conducted
Output 2.2 Framework of an unemployment Insurance Scheme for the formal Sector in Bangladesh designed.	- Designed framework designed for a UI for the formal sector
<b>Specific Objective 3</b> <b>Strengthen the knowledge of stakeholders to introduce sustainable social protection programmes</b>	- Key policy makers and stakeholders are in a position to take informed decision regarding the introduction, design and framework of the UI scheme under a social insurance principle
Output 3.1 An advocacy strategy for introducing social insurance scheme targeting the key policy makers developed.	- Advocacy tools and guidance notes are well received by policy makers and discussion is taking place around the introduction of the UI scheme

## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a color according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs ? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks ?</b>	
<b>JC 1.1</b>	The SP&PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks	
<b>JC1.2</b>	Country project address the key priorities and needs including PFM factors determining country capacities to implement sustainable SP systems	
<b>JC1.3</b>	The responses provided to COVID-19 and other shocks were relevant according to the immediate needs and the long term objectives of the Action	
<b>JC1.4</b>	The project address priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy	

## Main findings :

The project is fully coherent with ILO support to Social Protection Floors, Decent Work and extension of social insurance coverage to the informal sector. The project is coherent with reforms set out in the NSSS and its Action Plan and is consistent with country requirements, especially in the wake of shocks, to have a mechanism in place to support employers to retain jobs, rather than to have to retrench workers. The project is, however, less coherent with the budget support that EUD has been providing (on a much more substantial scale than through this project). The fundamental reason for this incoherence is that the EUD's budget support has been oriented exclusively towards strengthening systems to deliver SP to individuals, whereas this project is focussed on delivering cash support to employers. The two approaches are not mutually incompatible, of course: many countries provide support through both channels, and in most countries COVID-19 responses comprised a mix of support to businesses and to individuals.

The project was based on detailed studies and analysis of the labour market structure and related policies, and included extensive discussions with multiple Government entities, DPs, labour associations, employers and workers. It should therefore have contributed to the development of sustainable systems. However, the questions around PFM for a future funding source for the kind of support delivered by the project have not been resolved.

The introduction of the ERTS mechanism was an appropriate response to COVID-19, and provides a flexible shock-response approach for the future. Substantial discussion with Government and with the main garment industry associations to identify needs and produce appropriate detailed designs have produced a blueprint that can potentially be rolled out to other sectors and re-utilised if needed.

The ERTS mechanism is designed primarily as a SP response for the formal sector, so it will not have an impact on informal sector workers. It will have positive impacts in terms of gender equality in terms of women's access to SP, because the main focus is on (predominantly female) workers in the garment industry. Similarly, many of the workers in the garment industry are (internal) migrants, who will benefit from more security of employment.

## 2.2 Coherence, coordination and complementarity

<b>EQ2</b>	<b>To what extent have the EU Action's components and activities been consistent with each others and contributed to reinforce the overall coherence of all EU's and its implementing partners' interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors' interventions in the SP and PFM sectors?</b>	
<b>JC 2.1</b>	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP	
<b>JC 2.2</b>	SP-PFM project has benefited from cross-country activities	
<b>JC 2.3</b>	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level	
<b>JC 2.4</b>	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors' intervention	

## Main findings :

As mentioned above, there have clearly been some concerns, both in EUD and in Government, that the small SP&PFM project has been at variance with the overall pattern of broader EUD support to SP. The EUD in particular feels that it has been placed in a contradictory position by the direction that the project had taken (which admittedly had not been fully foreseen at the outset), with its focus on delivering BMZ's cash support to employers rather than individuals. The systems that the EUD's overall budget support has been developing are intended to strengthen the delivery of social assistance to address the vulnerabilities faced by individuals through the life-course. The orientation of this programme, as a result of its direct engagement in delivering the BMZ funds to employers is seen as a divergence from this.

There is some evidence of lesson-learning from Indonesia and Ethiopia, and Annex 4 of the final report attempts to capture lessons from the country experience to be shared with others. But there is limited evidence of any genuine benefit from the SP&PFM's global component, nor of direct exchange of experience with other SP&PFM projects working in similar areas (eg Sri Lanka).

Notwithstanding its inconsistency with the direction of the EUD's budget support to SP (see above), the project has broadened the debates around SP in Bangladesh and can expect to have contributed to future policy direction. It is fully consistent with other ILO interventions.

ILO's alliance with BMZ (to support delivery of their programme "Income Support for RMG Factory Workers in Bangladesh COVID-19 Response") has strengthened collaboration between DPs in this area, and, at strategic level, will support the EUD's fourth budget support pillar to deliver "Social security for unemployed and distressed workers in export-oriented garments, leather goods, and footwear". There was apparently good engagement with UN agencies, though limited evidence of engagement with WB and IMF. Overall, the approach appears to have been consultative and complementary, and there was a degree of harmonisation, especially through the design of a shared approach to MIS and grievance management.

## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

EQ3	To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?	Assessment
JC 3.1	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
JC 3.2	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems	
JC 3.3	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP	
JC 3.4	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability and oversight	

## Main findings :

In addition to the development and implementation of the Employment Retention Through Subsidy mechanism, a number of other analyses and reports which contribute to the national dialogue were produced by the project, including:

- A Technical Report on Towards an Unemployment Insurance Scheme in Bangladesh: A Preliminary Feasibility Assessment, which was shared among key stakeholders in a tripartite-plus validation meeting
- A Study reviewing the legislative framework against Unemployment protection in the formal sector of Bangladesh
- An analysis of Labour Market Structure and Protection Measures Against Unemployment in the Formal Sector
- A Review of Labour Market Policies and Employment Services in Bangladesh
- A Technical Note on Social Partners' Views on a Possible Unemployment Insurance Scheme

Formal capacity building (e.g., through training) has not been a prominent feature of the project. However, good multi-stakeholder dialogue was encouraged through a consultation workshop and through an online and findings sharing session based on the preliminary Feasibility Assessment with ILO “tripartite plus” stakeholders.

EUD capacity in SP was already relatively high, because of previous and ongoing actions in the sector. It is not felt that the current project necessarily enhanced this capacity, but it has broadened the engagement, for example in that the EUD has included Employment Injury Scheme and Unemployment Scheme as standing agenda items for its meeting with Government, Donors and ILO.

In terms of promoting national dialogue, there is good evidence of coordination, through the creation of a new RMG Tripartite Consultative Council to design medium- and long-term income protection measure in the garment sector. Accountability has been increased, through project support to the design of an awareness raising and grievance handling mechanism for the ERTS disbursement. There is no evidence of media or parliamentary engagement.

EQ4	To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made ?	
JC 4.1	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems	
JC 4.2	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability	
JC 4.3	More financed and operating shock sensitive, responsive and adaptive SP programmes	
JC 4.4	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers	

The project will contribute to strengthened, robust and (with its focus on the predominantly female workers in the garment sector) more gender responsive national SP systems. The project has innovated in systems areas such as delivery systems, M&E and the Single Registry. These systems will not necessarily include the most vulnerable, because the project supports only those in formal employment. Experience of implementing the ERTS should inform the next iteration of the NSSS;

and the EUD and ILO are actively working together on Social Security Reforms with Cabinet Division in Bangladesh.

Future unemployment insurance has the potential to increase the efficiency of public expenditure on SP, by transferring risk to contributory social insurance mechanisms. However, all the funding to date has been from off-budget sources (primarily BMZ funding). There is no government contingency funding in place, and the right to such insurance is not yet a justiciable right.

The project contributes to expanding the range of shock sensitive, responsive and adaptive SP programmes. ERTS is a flexible shock-responsive approach, and is a direct response to newly vulnerable workers in the RMG industry as a result of COVID-19. It is an approach that has the potential to be extended to other business sectors in response to a range of shocks.

Overall, it could be argued that coverage of universal SP systems has increased as a result of the project: indirectly, those workers in garment industry employment that have been supported by BMZ funding to their employers have more secure livelihoods (some 90,000, representing 0,05% of the population). This has benefitted more women than men, but has not really supported other vulnerable groups such as children, older persons, persons with disabilities, unemployed and informal sector workers, except for those dependent on the protected garment sector worker.

## 2.4 Efficiency

EQ5	To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?
JC 5.1	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives
JC 5.2	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies
JC 5.3	The implementing partners have set up coordination with domestic partners and development partners
JC 5.4	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution
JC 5.5	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project

### Main findings :

The methodologies and instruments selected by the project were suitable for achieving its objectives. The majority of the outcomes were successfully achieved within the timeframe; only the Rapid Impact Assessment was not, but that was due to factors outside the project's control. Generally, the stakeholders consulted were content with the achievements of the project (despite the sentiment in some cases that there was an inherent contradiction with the overall thrust of EUD support to SP in Bangladesh). Strengths included the highly collaborative nature of the design, tripartite discussions, and shared objectives. Challenges included the introduction of a comparatively very new agenda in country regarding social insurance, and a consequent lack of awareness and knowledge gaps among

constituents and social partners. Other challenges include misperceptions about Unemployment Insurance (covering all unemployed workforce), apprehensions about affordability of universal unemployment insurance, and non-clarity on its implementation. The timeframe of the project was perhaps too short, with coordination requiring more time and energy than envisaged. Reliance on BMZ for the ERTS funding created implementation delays and compromised the proposed Rapid Impact Assessment.

The technical and human resources deployed in the action were suitable and of high calibre. Stakeholders were fully satisfied with the quality of technical assistance. There was apparent good backstopping from technical support facility in ILO HQ, including the Programme management unit of the SP&PFM Programme, and New Delhi extended cooperation. It was also felt to be very important that ILO had engaged a dedicated National Coordinator for the project

There was strong evidence of coordination with Ministry of Labour & Employment, Ministry of Finance, Cabinet Division, Bangladesh Employers Federation (BEF), key garment sector associations (BKMEA and BGMEA), workers representatives and trades unions in the RMG sector, all of whom were engaged during design and implementation. The project helped to establish and cement a RMG Tripartite Consultative Council. In addition, there were apparently strong partnerships with EUD and UN agencies (though no evidence of engagement with ADB, WB and IMF on PFM issues).

Administrative requirements from the project were felt to be manageable if perhaps a bit burdensome. The reporting process was felt to be slow and a bit cumbersome, not generating rapid enough feedback to modify implementation.

Communication with the EUD could have been more frequent, which might have helped to mitigate or at least manage the perceptions of inconsistency.

**Annex 1: List of Institutions met**

Institution type	Institution / Minister	Service
Implementing partners	ILO	
EU	EU Delegation	
National authorities and institutions	Ministry of Labour and Employment	
Other donors	UNICEF	
Civil society	Employers' organisation	Bangladesh Knitwear Manufacturers and Exporters Association
	Workers' organisation	IndustriALL Bangladesh Council

# Lao PDR

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## List of acronyms

ASEAN	Association of Southeast Asian Nations
BMZ	Federal Ministry for Economic Cooperation and Development (Germany)
CoA	Chart of Accounts
COVID-19	Coronavirus Disease
GDP	Gross Domestic Product
ILO	International Labour Organization
IMF	International Monetary Fund
LAK	Lao kip (national currency)
LFTU	Lao Federation of Trades Unions
LNCCI	Lao National Chamber of Commerce and Industry
LSSO	Lao Social Security Organisation
M&E	Monitoring and Evaluation
MoLSW	Ministry of Labour and Social Welfare
NHI	National Health Insurance
NSEDP	National Socio-Economic Development Plan
NSPC	National Social Protection Commission
NSPS	National Social Protection Strategy
NSSF	National Social Security Fund
PFM	Public Finance Management
PMT	Proxy Means Test
PSP	Payment Service Provider
SDG	Sustainable Development Goal
SOLAR	SOcial protection and LABour Rights (EU Programme)
SPF	Social Protection Floor
ToC	Theory of Change
UNJP	United Nations Joint Programme
UXO	Unexploded Ordnance

## 1. Country context and Intervention logic of the project

### 1.1 Country context : State of SP, policy and institutional framework

Lao PDR is at the initial stages of developing its SP system. Existing SP provisions consist mainly of the following:

- Contributory social security for formally employed workers and voluntarily insured persons, including health insurance - National Social Security Fund (NSSF).
- National Health Insurance Scheme (NHIS) which provides almost universal coverage, including free health care for the poor, for those in maternity, and for children younger than five years.
- Social assistance or social welfare, providing ad-hoc disaster relief and scattered in-kind support to specific vulnerable groups.
- Education-related schemes providing free education, scholarships, and school meals.
- Poverty reduction and livelihood schemes, such as those of the Poverty Reduction Fund (PRF); and
- Small-scale pilots of conditional cash transfers (CCTs) supporting education and health outcomes.

These schemes do not yet form part of an integrated, on-budget, strategic approach to SP. Only 1.6 per cent of GDP is allocated to SP – and a mere 0.1 per cent if health (0.9 per cent) and social security (0.6 per cent) are excluded<sup>16</sup>. To date, Lao PDR's investment in SP is still the lowest in the region and among the lowest in the world. The recent update to ADB's Social Protection Indicator (forthcoming), shows that Lao PDR has the lowest index in the entire Asia region<sup>17</sup>. Current budgets are certainly insufficient to meet the aspirations of universal coverage

The systems that underpin SP in the country also require significant strengthening. The World Bank Assessment<sup>18</sup> concludes that “Lao PDR falls behind in South and East Asia on critical indicators for efficient and effective delivery of social protection programs”.

The 9<sup>th</sup> National Socio-Economic Development Plan (NSED<sup>19</sup>) sets out the Government's priorities for the post-COVID-19 period (2021-2025). It has six main outcomes:

1. Continuous quality, stable and sustainable economic growth achieved;
2. Improved quality of human resources to meet development, research capacity, science and technology needs, and create value-added production and services;
3. Enhanced well-being of the people;
4. Environmental protection enhanced and disaster risks reduced;
5. Engagement in regional and international cooperation and integration is enhanced with robust infrastructure and effective utilisation of national potentials and geographical advantages;
6. Public governance and administration are improved, and society is equal, fair, and protected by effective rule of law.

Social protection falls predominantly under Outcome 3, but can also contribute to Outcomes 1, 2 and 6.

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<sup>16</sup> ADB (2019).

<sup>17</sup> ADB (forthcoming).

<sup>18</sup> Ibid.

<sup>19</sup> GoL (2020a).

The Government has re-emphasised its commitment to SP in its National Social Protection Strategy (NSPS), which states: “The Government of Lao PDR is therefore committed to gradually aiming for universal coverage in social protection, according to the available resources and the given socio-economic context, and to working towards building a much-needed social protection floor that protects all Lao people from socioeconomic shocks, environmental disasters and vulnerabilities”. The NSPS has three pillars: health insurance, social security, and social welfare; it sets out an overall objective for each one (or two objectives in the case of social security), and it recommends a number of Activities to achieve each objective. The SP&PFM project operates firmly in the social security pillar.

## 1.2 Main objectives and activities of the SP-PFM project 2019-2021

The outcomes and results for the project in Lao PDR are set out as follows:

Results chain	Indicators
<b>Impact (Development Objective)</b> To expand social protection coverage to more unregistered workers and SMEs, through nuanced and evidence-based design of the social security scheme and administrative systems, improved financial sustainability of the NSSF, and inputs to amendment of the Social Security Law.	No. of evidence-based, gender-sensitive policy recommendations that are aligned with international labour standards developed and endorsed
<b>Output 1:</b> Improved analytical evidence base, to make tailored policies as well as regulatory and implementation frameworks of the NSSF, catering to the needs and circumstances of informal workers and enterprises.  Activity 1.1. Quantitative and qualitative data analysis of the characteristics of informal workers, households and SMEs and behavioural study on drivers to informality, and exploring what needs to change in order to facilitate the transition to formality.  Activity 1.2. Exchange of information and experiences among various stakeholders on difficulties faced by informal workers and households, focussing on female workers, and options on what could change in the NSSF design and operations at the central and local levels.	No. of recommendations to expand coverage to the informal economy that are aligned with international labour standards developed and endorsed  No. of recommendations prioritising female workers or ensuring gender sensitivity  No. of government representatives and other national partners trained on ways to expand adequate coverage to informal workers and women
<b>Output 2:</b> Strengthened financial sustainability of NSSF to respond to future shocks and enhanced financial planning and management capacities among LSSO.  Activity 2.1. Actuarial analysis of the NSSF to provide recommendations for the amendment of the Social Security Law in 2024 and to assess the impact of COVID-19 on financial sustainability.  Activity 2.2. Consultation and social dialogue among tripartite partners to identify challenges and discuss design options to provide inputs to the actuarial analysis, amendment of the Social Security Law, and improved shock responsiveness of NSSF.	Actuarial analysis of the NSSF  No. of social dialogue consultations held  No. of capacity building exercises or events on data management and analysis conducted.

Activity 2.3. Capacity building on data management, data analysis and financial planning, and knowledge transfer to LSSO through joint work and training throughout the actuarial process.	No. of LSSO staff trained on data collection, management and analysis as well as fundamentals of actuarial work
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The ultimate goal of the project is to contribute to the expansion of coverage to more unregistered workers, including self-employed workers, contributing household workers, agricultural workers and those working in large enterprises and SMEs, by generating a qualitative and quantitative evidence base that will allow policymakers from LSSO to design appropriate and effective policies and administrative systems. It also aims to improve the NSSF's financial sustainability and suggest improvements to the scheme design, which can also help to increase the attractiveness of the scheme to workers.

## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a color according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs ? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks ?</b>	
<b>JC 1.1</b>	The SP&PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks	
<b>JC1.2</b>	Country project address the key priorities and needs including PFM factors determining country capacities to implement sustainable SP systems	
<b>JC1.3</b>	The responses provided to COVID-19 and other shocks were relevant according the immediate needs and the long term objectives of the Action	
<b>JC1.4</b>	The project address priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy	

#### Main findings :

The project is fully coherent with ILO support to Social Protection Floors, Decent Work and extension of social insurance coverage to the informal sector. The project is coherent with reforms set out in the NSSS and its Action Plan and is consistent with country requirements. It is fully aligned with the Team Europe (EU, Finland, France, Germany, Hungary, Ireland, Luxembourg, and Switzerland) strategy for 2021-2025 (itself based on the NSEDP), which has three main elements: green and inclusive economy; human capital development; and good governance (which includes a PFM component). The project has the potential to contribute to all three areas.

The project specifically addresses the following priority areas of the NSPS:

- Objective 2.1: All the workers and self-employed workers in the formal sector are covered by social security.
  - Activity 1: Expansion of social security coverage for all formal economy workers.
  - Activity 4: Ensure robust actuarial design and sufficient fund reserves.
    - Conduct actuarial studies to assess the financial status of the National Social Security Fund in the short and long term.

- Carry out parametric reforms according to the results of the actuarial assessments to ensure the sustainability of the National Social Security Fund.
- Objective 2.2: Social security covers an increasing number of workers in the informal sector.
  - Activity 6: Adapt the current scheme design to the characteristics of workers in non-standard forms of employment.

It also seeks to build in-country capacity for sustainable competencies in these areas.

In terms of responses to shocks, the widespread informality in the workforce and its primarily rural nature not only means a lack of access to SP but also leads to a lack of comprehensive and detailed data on people's circumstances. Such data is necessary to design appropriate and effective policies to reach the workers. With the situation further exacerbated by the COVID-19 crisis, especially for migrant workers and women, the need to design tailored policies to tackle the persistent disparities based on gender, geography, socioeconomic status, and other factors has become stronger. The project's assistance in generating an evidence base and conducting an actuarial review of the NSSF will lead to strengthened capacities to design and implement shock-responsive SP policies and strategies. More generally, The UN Country Team's briefing note, "Developing a Shock-Responsive National Social Protection System to respond to the COVID-19 Crisis in Lao PDR", to which ILO contributed, suggests using the crisis response as an opportunity to reinforce existing systems, instead of using the limited resources in ad hoc and emergency measures.

The project addresses the priority cross-cutting themes of formalising the economy and contributing to gender equity in access to SP. It has less impact on the very most vulnerable populations, for example those who are not in any form of employment.

## 2.2 Coherence, coordination and complementarity

<b>EQ2</b>	<b>To what extent have the EU Action's components and activities been consistent with each others and contributed to reinforce the overall coherence of all EU's and its implementing partners' interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors' interventions in the SP and PFM sectors?</b>	
<b>JC 2.1</b>	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP	
<b>JC 2.2</b>	SP-PFM project has benefited from cross-country activities	
<b>JC 2.3</b>	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level	
<b>JC 2.4</b>	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors' intervention	

### Main findings :

The project was designed on the basis of consultation with all of ILO's tripartite partners, including MoLSW, LSSO, LFTU and LNCCI. It responds to clear needs in-country and will deliver two important products that will feed into the planned 2024 revision of the Social Security Law: a study on the extension of social insurance coverage to the informal sector (which itself represents a valuable consultation of final beneficiaries) and an actuarial assessment of the NSSF.

There is no evidence that the project has benefited from cross-country activities, apart from the technical support and expertise derived from ILO headquarters and regional office. This is felt to be a significant weakness, and there are considered to be a number of areas where Lao PDR could benefit from better exposure to good practice, especially in neighbouring countries such as Thailand, Vietnam or Cambodia (the latter also a beneficiary of relevant SP&PFM support) or from related initiatives in the region such as the SP&PFM actions in Bangladesh and Sri Lanka. There is perhaps an opportunity to capitalise here on the fact that Lao PDR will in November be hosting the ten countries of the ASEAN Social Security Association.

SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP. Given the current lack of fiscal space for non-contributory social welfare, the EUD has taken a pragmatic decision to prioritise its support to social security. The project contributes directly to this by providing greater knowledge and understanding to inform the revision of the Social Security Law in 2024. There is perhaps less coordination with the EUD's engagement in PFM in Laos: the EUD works closely with the Bank of Laos and the Ministry of Finance, and is a significant donor to the World Bank's PFM programme in Lao PDR.

On the SP front, the project is complementary to another EU programme, implemented by ILO with Oxfam: "Reducing vulnerability in Lao PDR: Advancing social protection and labour rights and entitlements in the coffee and tea sectors of Lao PDR (SOLAR)" under the European Instrument for Democracy and Human Rights. The project aims to improve access to SP and occupational safety and health measures for coffee and tea sectors workers, especially women workers, in three southern districts of Lao PDR. It is also complementary with the ILO's regional South Korea-funded project, with BMZ's regional engagement to support workers in the garment sector impacted by COVID-19 and with the UN Joint Programme on "Leaving No-one Behind: Establishing the basis for social protection floors in Lao PDR" (which has allowed ILO to engage in the area of SP with other UN agencies and has resulted in some joint SP reports from the broader UN Country Team). There is less evidence of engagement in broader PFM reforms led by the World Bank and ADB, although there are potential complementarities that could be expanded. There is a feeling that the ILO project could do more to build synergies with these initiatives, which would allow it to play a more prominent role supporting role to the EUD in coordination and policy dialogue.

## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

EQ3	To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?	Assessment
JC 3.1	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
JC 3.2	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems	
JC 3.3	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP	
JC 3.4	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability and oversight	

**Main findings :**

The project is only six months in to its intended 12-month duration, so it is too early to judge the full value and impact of its final outputs and still less its contribution to the achievement of intermediary outcomes. However, the indications are positive. The project has a realistic ambition for its limited duration and resources, and is well on the way to delivering the two primary outputs: it has completed the quantitative analysis component of its study on the expansion of coverage and is commencing the qualitative work that will enrich the findings; and it has begun the actuarial analysis of the NSSF and has already trained a number of LSSO staff in conducting such analysis. Even if these two outputs are not completely finalized by the end of the SP&PFM project, they will already be valuable contributions to the debate and will provide a basis for further refinement, through other ongoing ILO support, in the run-up to the revision of the Social Security Law in 2024.

The project is building local capacity. A Working Group from the government was set up, with 12 mandatory members from LSSO, MoLSW and NHIB. Two training workshops and an on-the-job data collection training session for the Working Group have already been organised. A team of consultants has been recruited and onboarded for the data modelling process. Over the remainder of the project, it is planned to conduct data collection, cleaning and assessment; organise further trainings for the Working Group; and prepare a draft report with recommendations for NSSF's financial sustainability for consultation in tripartite dialogue workshops and review by the government. This has the potential to contribute to improved robustness and performance of national social security systems. To date, the materials used for the training are only available as PPTs derived from ILO's standard training material on actuarial analysis: the project hopes to produce a Laos-language version as Guidelines.

EUD capacity in SP was already relatively high, because of previous and ongoing actions in the sector. It is not felt that the current project has necessarily enhanced this capacity. Indeed it is felt that greater interaction between ILO as the IP and the EUD could potentially improve the synergies between the two: this should be strongly encouraged over the remainder of the project to try to leverage shared expertise in the sector.

The project has promoted a degree of national dialogue around its specific focus areas of extension to the informal sector and actuarial analysis of the NSSF. At design phase, it did include social partners participation in the dialogue; it is expected that this will be further expanded and deepened towards the end of the project as the draft study on the extension of coverage and the preliminary actuarial valuation become available for discussion. It is unlikely, because of its scope to make substantial contributions to greater transparency, accountability and oversight, although the actuarial valuation will provide a valuable insight into the workings of the NSSF and the impacts on the Fund as a result of COVID-19.

EQ4	To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made ?	
JC 4.1	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems	
JC 4.2	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability	
JC 4.3	More financed and operating shock sensitive, responsive and adaptive SP programmes	



<b>JC 4.4</b>	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers	
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Again, it is perhaps too early to judge the project's contribution to intended outcomes and to be definitive about the sustainability of progress made. And these need to be judged in any case on the basis of the (sensibly) restricted scope of the intervention: it is realistic in its ambition of what can be achieved within the space of 12 months and in an environment as challenging as Lao PDR's SP sector which is starting from a relatively low base. Even so, it can be confidently expected that the project will generate valuable information that will be helpful in informing the 2024 revision of the Social Security Law: if this is the case, it is a strong manifestation of sustainability. Training of LSSO staff and technical engagement with the National Assembly are other important indicators of potential sustainability.

Extending social insurance coverage to the informal sector has the potential to “deliver adequate, diversified and more sustainable financing of national SP systems”. In a fiscal environment as constrained as Lao PDR's is at present, the expansion of contributory mechanisms and assuring the robustness of the NSSF are two significant contributions to future sustainability and Government ownership.

In accordance with its scope, the project will also contribute in the longer term to greater shock-responsiveness of the SP system. As more informal sector workers are drawn into contributory social insurance, so more data will be available that can be used for adaptation of the SP system to future shocks. COVID-19 demonstrated the importance of this: the BMZ project "Keeping livelihoods in time of COVID-19: Income Support for Garments Factory Workers in Lao PDR" provided a one-time cash transfer (partial unemployment subsidy) equal to USD 100 (or one month of minimum wage) to garment sector workers. The cash benefit was able to be rolled out relatively quickly, because the workers' details were already registered with LSSO or the Lao Garment Association.

It cannot realistically be expected that a project with the ambitions and deliverables of this one could directly “increase coverage of universal SP systems, in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers”. However, it is to be expected that the work that the project has achieved will feed into a process of extending robust contributory mechanisms of social insurance that ultimately result in an expansion of coverage of at least some of these identified vulnerable groups (directly in the case of informal sector workers and some unemployed; indirectly in the case of the other vulnerable groups mentioned).

## 2.4 Efficiency

<b>EQ5</b>	<b>To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?</b>	
<b>JC 5.1</b>	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives	
<b>JC 5.2</b>	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies	



<b>JC 5.3</b>	The implementing partners have set up coordination with domestic partners and development partners	
<b>JC 5.4</b>	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution	
<b>JC 5.5</b>	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project	

### Main findings :

The methodologies and instruments selected by the project were suitable for achieving its objectives. It seems likely that the outcomes will be successfully delivered within the timeframe. The quantitative research on the informal economy has already been completed and a draft report submitted for review and validation in consultation with national stakeholders; the qualitative field study to strengthen the recommendations in the report will begin in select sectors and geographical areas. And the actuarial analysis of the NSSF is already progressing well: the project will certainly deliver at least a draft report for discussion before the project closes.

The technical and human resources deployed in the Action were appropriate and were felt to be of high calibre. LSSO has been fully satisfied with the quality of technical assistance provided by the project. There was apparent good backstopping from technical support facility in ILO HQ, including the SP&PFM Programme Management Unit, and from technical experts in the ILO regional office. The project has apparently exploited complementarities with other projects (specifically SOLAR and the regional support from South Korea); although there was a suggestion that more could be done to explain and leverage these complementarities in future.

The IP, ILO, has worked closely with LSSO in all aspects of the work and has built a strong and trusted relationship. There is little in the way of formal coordination mechanisms, either pre-existing or created by the project: indeed, it was felt by some stakeholders interviewed that there was a potential role for ILO, with its contacts with multiple DPs, to establish a stronger structure for coordination and information exchange across the SP&PFM spectrum. The project has engaged traditional tripartite partners during the design phase and expects to re-engage as the outputs of the project are delivered and opened up for consultation and debate.

Administrative requirements from the project were felt by the IP to be “heavy, but manageable”. Project staff were appreciative of the support and guidance provided by ILO HQ. They also recognized the involvement of EUD staff in local facilitation.

The EUD reported that there was “no additional administrative overhead” as a result of the project; but they felt that it was necessary to have more regular informal reporting, updates, notifications, invitations to events, etc., since the official reporting and feedback loops were too lengthy to allow it to keep tabs on implementation.

**Annex 1: List of Institutions met**

<b>Institution type</b>	<b>Institution / Minister</b>	<b>Service</b>
<b>Implementing partners</b>	ILO	
<b>EU</b>	EU Delegation	
<b>National authorities and institutions</b>	Lao Social Security Organisation (LSSO)	
<b>Other donors</b>	UNICEF	

# Peru

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## List of acronyms

BS	Budget Support
CTS	Compensation for Time of Service
DP	Development Partner
EC	European Commission
EQ	Evaluation Question
EU	European Union
EUD	European Union Delegation
IADB	Inter-American Development Bank
ILO	International Labour Organisation
IP	Implementing Partners
JC	Judgement Criteria
MoF	Ministry of Finance
MIP	Multiannual Indicative Programme
MTPE	Ministry of Labour and Employment Promotion
NPDE	National Policy for Decent Employment
PFM	Public Finance Management
RG	Reference Group
SC	Steering Committee
SDG	Sustainable Development Goals
SNPE	National Public Employment Services
SP	Social Protection
SPF	Social Protection Floors
TA	Technical Assistance
TORs	Terms of Reference

## 1. Country context and Intervention logic of the project

### 1.1 Country context: State of SP, policy and institutional framework

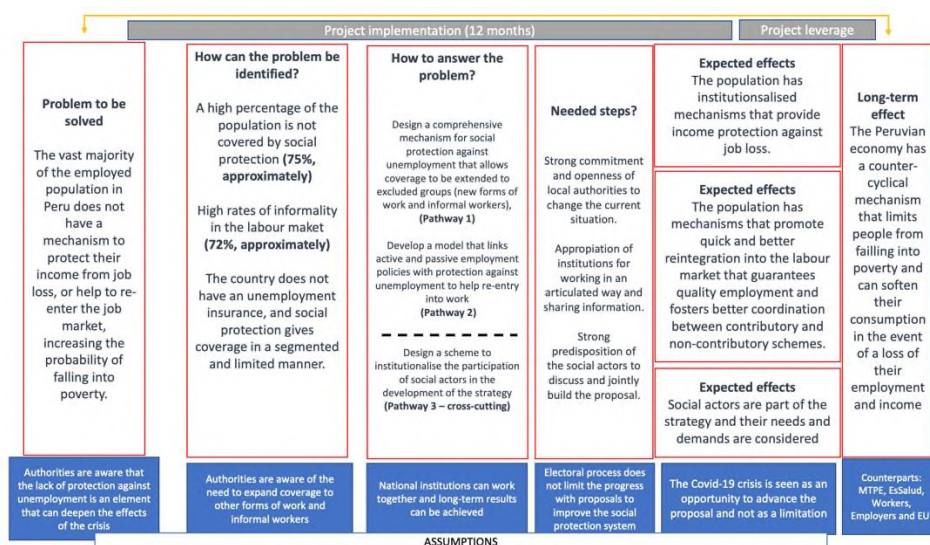
The main national development policy of Peru is the National Growth Strategy that lays the foundation for reaching the Millennium Development Goals and channels focus for relevant policy including national plans for poverty, food security, rural development. The growth strategy aims to 1) promote human capacity and respect for rights; 2) promote economic opportunity and 3) to establish a social safety net. The mechanism in case of unemployment of an active worker is the “Compensation for Time of Service” (CTS), which is a social benefit paid by the employer, granted to workers, with the purpose of building forced savings, through individual savings account. The CTS consists of two annual deposits made by the employer that, together, add up to approximately one salary. However, the scope of the CTS is very limited as it covers only approximately 26% of the working population. A lot of workers do not fill the conditions to be able to benefit from the CTS.

In June 2021, the government has adopted a National Policy for Decent Employment (NPDE), which aims to promote the institutional, economic and social conditions necessary to ensure that all working women and men have access to decent work under equal conditions and without any discrimination, i.e., a legal employment contract, an income above the subsistence minimum, access to social protection and social security systems and a 48-hour working week.

In response to the COVID-19 crisis, the Peruvian Government has put in place a significant programme to protect the vulnerable population and to support businesses, as part of part of a major \$26 billion recovery plan. Regarding the measures related to employment and workers, formal sector employees were authorised to freely dispose of the Compensation for Time of Services (CTS) funds, and those who are in a current suspension of work, to use these for up to one month of gross monthly compensation, for each month that the suspension lasts. An “Economic Benefit of Emergency Social Protection in the face of the COVID-19 Pandemic” has also been granted to workers suspended because of COVID-19.

### 1.2 Main objectives and activities of the SP-PFM project 2019-2021

Table 5: Logic of intervention of the project



In the context of lack of unemployment insurance and other stabilisation mechanisms in front of macroeconomic crises, the severe impact of the COVID-19 pandemic in Peru has highlighted the high vulnerability of Peruvian workers, especially for those employed in the informal sector, in the face of a lack of income and the fragility of the SP system to counteract the consequences of job loss or suspension. Against this framework, the EU funded project, implemented by ILO in collaboration with the Peruvian Ministry of Labour and Employment Promotion, has developed a proposal for a comprehensive scheme of SP against unemployment, which responds in solidarity to the cost of unemployment coverage, considering the challenges for its financial sustainability.

## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a colour according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks?</b>	
<b>JC 1.1</b>	<b>The SP&amp;PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks</b>	
<b>JC1.2</b>	<b>Country project address the key priorities and needs including PFM factors determining country capacities to implement sustainable SP systems</b>	
<b>JC1.3</b>	<b>The responses provided to COVID-19 and other shocks were relevant according the immediate needs and the long-term objectives of the Action</b>	
<b>JC1.4</b>	<b>The project address priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy</b>	

**The Action was fully consistent with the provisions of ILO Conventions n°102 and n°168 as well as with the Employment Policy Convention n°122 and the Recommendation n°202 on the Social Protection Floors.** It has also been aligned with the Decent Work Country Programme for 2019 – 2022 and EU policies regarding SP. (JC 1.1).

With the objective of developing and institutionalising a mechanism for protection against unemployment in Peru, **the project was aligned with the approach promoted by the ILO's 1952 Convention n°102 on the social security minimum standards which defines nine branches of social security, including unemployment**, and establishes minimum parameters for each of the contingencies covered. These minimum standards refer especially to the protected population, the adequacy of benefits and the conditions and time limits for entitlement to the benefits established. All these issues have been addressed by the proposed social security unemployment scheme. **The project has also considered the principles and guidelines of the 1998 ILO Convention n° 168 on coordination between employment policy and protection against unemployment** (article 2) by articulating the proposed social insurance scheme for unemployment in conjunction with a component aiming at improving the institutional design and streamlining of active labour market policies to promote better labour insertion and guarantee the sustainability of the insurance scheme. In that regard, the Action is fully aligned with the 1964 Convention on Employment Policy, ratified by Peru that states the need to promote active employment policies.

The project has also provided incentives to the administrative process, launched at the initiative of the trade unions, for the ratification by Peru of the Branch IV of the ILO Convention n°102<sup>20</sup>. More broadly, the project has contributed to a better understanding and ownership of the ILO Conventions and to a debate and clarification related to assumptions and interpretations of unemployment social insurance schemes in the context of a sensitive, unstable and very polarised political and social environment.

The vast majority of the Peruvian labour force face high-risk of losing their jobs and income and falling into poverty. This is due to the prevalence of fixed-term employment contracts, high levels of informality, low levels of social security coverage (almost 75% of Peruvian workers are not covered by any social security schemes), and non-existence of unemployment insurance despite the presence of constitutional and conventional obligations to have social security for unemployment and active employment policy. The devastating effects of the pandemic in Peru<sup>21</sup> have resulted, among other causes, from the loss of workers' income due to unemployment and have aggravated the panorama of unprotection. The absence of proper shock absorption mechanisms has forced the government to increase fiscal spending for emergency measures and commit to other funds such as pensions to address the loss of income of workers.

Against this framework of increased precarity in the labour market, shrinking of fiscal space for financing SP and deterioration of the social security, **the project's proposal has been highly relevant to address the national economic and social context generated by the COVID-19 pandemic (JC 1.2)**. The project has notably raised awareness to consider the need to develop unemployment insurance not in isolation but in articulation with national employment promotion policies, contributing to efficiencies and financial sustainability gains. It has also contributed to clarify essential concepts related to international standards, including ILO conventions, on the distinction between voluntary or involuntary unemployment and between individual saving severance account (known as CTS in the country) and real mechanisms of protection against unemployment.

**The project has provided the country with financially sustainable tools to address future crisis and contribute over the medium term to countercyclical stabilisation**, especially on the labour market, of the permanent evolution of the economic cycle such as the loss of jobs and/or productive activities **(JC 1.3)**.

**The PFM dimension of the project consisted first in developing a financial feasibility study based on actuarial methods** of the proposed social insurance scheme for unemployment, defining a contribution rate to a publicly owned collective social fund with tripartite governance. It has also proposed technical reforms to **streamline institutional architecture and budget framework of national and regional employment services and policies, promoting more efficient budget allocation system for their financing schemes, and the adoption of guidelines for performance and result-based budgeting related to active labour market policies**.

**The Action has promoted the design of specific institutional features for national and regional employment services in order to ensure particular attention to vulnerable, informal or self-employed segments of the labour force in the active labour market policies (JC 1.4)**. The project has notably made recommendations to incorporate gender and disability perspectives into the National Public Employment Services (SNPE), in order to combating various pre-existing asymmetries in the labour market structure and to ensuring better access of these vulnerable population, including informal workers, to promote their employability and bring them into the formal sector, providing opportunities to access the future unemployment social insurance scheme

<sup>20</sup> Peru ratified the Conventions n° 44 and partially the Convention n° 102 excluding the branch IV (on unemployment benefits) while the Convention n°168 is not yet ratified.

<sup>21</sup> In 2020, the active population felt by almost - 10% and the employment by -13%

(JC 1.4). In this context, the project has made proposals for a more adequate interconnection between the information sources of the various specialised public entities and for mechanisms of inter-institutional coordination of services and capacity development to better identify each specific vulnerable group as well as the systematic incorporation of gender and disability inclusiveness indicators in the strategic plans of the entities involved in the National Public Employment Service.

## 2.2 Coherence, coordination and complementarity

<b>EQ2</b>	<b>To what extent have the EU Action's components and activities been consistent with each other's and contributed to reinforce the overall coherence of all EU's and its implementing partners' interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors' interventions in the SP and PFM sectors?</b>	
<b>JC 2.1</b>	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP	
<b>JC 2.2</b>	SP-PFM project has benefited from cross-country activities	
<b>JC 2.3</b>	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level	
<b>JC 2.4</b>	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors' interventions	

The project has promoted national **consultation and collaboration process between the government, the employers' and the workers' organizations despite a complex national context characterized by political instability and highly polarised social dialogue (JC 2.1)**. A tripartite organization was used to manage the activities of the project and construct the proposal for a comprehensive unemployment protection system: on the one hand, the project has helped the creation of a multi-stakeholder working group (WG) composed of senior's officials from the Ministry of Labour and Employment Promotion (MTPE), Ministry of Finance (MoF) and ILO officials. The WG met regularly and collectively outlined the project's proposal. On the other hand, social dialogue has also been engaged with trade unions and employers for constructing the proposal. This has ensured a high involvement of MTPE officials in the project and stakeholders of the labour market in the project activities.

**The project has also intended as much as possible to involve the National Council for Labour and Employment Promotion (CNTPE)<sup>22</sup> which is the mechanism for social dialogue and labour coordination of the MTPE**, and which aims to coordinate policies on labour, employment promotion and job training, and SP for national and regional development as well as contributing permanently to the generation and maintenance of stable policies in these areas. It has been de facto identified by the project as a key partner. However, instability in the presence of social actors in the CNTPE has forced the project to be proactive in order to promote other canal and mechanism to maintain a comprehensive consultation process and social dialogue with all relevant representatives' bodies (trade unions, employers' organizations....). The project has also ensured a permanent coordination and relation with the Parliament and the Congressional Committee responsible for SP affairs.

<sup>22</sup> The CNTPE is made up of the most representative trade union organisations and business associations in the country, as well as officials of the Ministry of Labour and Employment Promotion and representatives of social organisations linked to the labour sector.



**The project's consultative approach has been instrumental to establish a favourable climate for the acceptance of the proposal and to keep it high on the political agenda of the government.** During the course of the project, workshop and focus groups have been used to ensure permanent consultation, exchange and collect of information to gather opinions and concerns as well as identification of challenges related to the establishment of a comprehensive unemployment protection system.

**The project has strongly benefited from the support of the ILO Office for the Andean countries and the ILO HQ Offices, including the Actuarial Service Unit of the ILO Social Protection Department** which has established close relations with the Directorate of Economic and Labour Research of the MTPE (for the collect of all necessary information for the actuarial and econometric study). **The project has also intended to promote regional peer exchange and synergies with a similar project in Ecuador** (common characteristic in terms of high rate of informality and social inequality with a similar project's component on active employment policy) but the planned webinar of relevant officials and social actors of the two countries was finally not organized. **Except these collaborations, there was no evidence of strong cross-country activities to the benefit of the project (JC 2.2).**

The project has presented potential synergies with previous EU SOCIEUX + interventions in Peru related to the extension of social security coverage to SME, independent and self-employed workers or the insertion of women into the labour market development for microinsurance for self-employed workers. **But generally, there are few evidence of active synergies promoted either by the EUD or the Project on PFM or SP cooperation. However, regular exchanges of information were ensured between the ILO and the EU on the implementation of the different stages of the projects and the EUD was invited to specific events and steering committees of the project. Exchange of information and discussions on potential synergies have also occurred, especially in the context of the EU interest in the project's implication on the social policy agenda and related internalization process by the Peruvian government of ILO and other international social and labour standards in view of the signed EU Free Trade Agreement that includes social and human right clauses as well as references to labour protection standards. (JC 2.3).**

No particular capitalization or collaboration have been developed between the EU budget support operations and the project. This could be explained by the difficult political environment that has not been always conducive to a smooth EU policy dialogue with the national authorities or by the fact that the social and PFM focus of the EU BS was not related to unemployment social insurance or labor market policy, but rather on the health sector and, more specially, the development of the national policy on universal health insurance. However, the MIP 2021-2027 clearly identified SP and formalisation of the economy as key priorities for future EU cooperation portfolio in Peru which should provide further opportunities of collaboration between ILO and the EU in the future, though conditions may not be gathered for further use of budget support modality.

More obvious area of synergies and capitalization on the present project and the EU BS on the national policy on universal health insurance could be shaped in view of the ILO involvement in technical assistance project on the financial sustainability and expansion of the social security health system. Indeed, the SP&PFM project was considering the capacity of the public institution, in charge of regulating health benefits for workers in the formal sector, as a potential actor in the governance of the future unemployment benefits, in the context of a global reflection on the articulation of the SP systems in the country and the need to define efficient and comprehensive governance modalities.

**At the initiative of the MTPE, the IADB has been included in the multi-stakeholder working group in order to ensure coordination of donor's support and interventions in the area of SP (JC 2.4). The project has also promoted synergies with exiting ILO actions on national social security system, including on pensions, extension of health insurance system and its overall long-term sustainability.** Coordination between ILO and IADB has been sensitive as each organization does not fundamentally share the same visions regarding the institutionalization of unemployment insurance schemes, the international labour and SP standards as well as on the importance, implementation modalities and balance between passive and active labour market policies and their financing from the State Budget. The IADB has been recently involved in developing a labour exchange with an algorithm system of research to regulate supply and demand on the labour market with few emphases on active labour market policy, unlike the present SP&PFM project. The IADB was also part of a previous expert committee set up by the government in 2017 that was at the origin of a feasibility study that concluded on the non-viability of a national unemployment insurance scheme that the present EU project succeeded to put back on track on the government political agenda. The ILO approach has promoted a more comprehensive and sustainable approach integrating unemployment social security with active labour market policy, bringing specific assessment modality through actuarial studies and clarifying the case on the irrelevance of assimilating the existing national individual saving account (CTS) to a comprehensive mechanism of protection against unemployment<sup>23</sup>.

## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

EQ3	To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?	Assessment
JC 3.1	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
JC 3.2	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems	
JC 3.3	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP	
JC 3.4	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability and oversight	

**The project has been instrumental in promoting a comprehensive approach to SP against unemployment, ensuring a stronger articulation with employment policies, and has provided capacity development, advisory services and analytical tool to the relevant national authorities to inform strategic decisions in these domains (JC 3.1).**

The project has notably assisted the multi-stakeholders working group in reviewing international experience on different options for SP system for formal and informal workers. It has contributed to several key studies: (1) a regulatory gap analysis of the Peruvian regulation in view of the ratification process of the branch IV of the ILO Conventions n° 102 and n°168 to promote unemployment protection as constitutional right, (2) a legal analysis study of the institution that complies with the

<sup>23</sup> In accordance with the ILO Unemployment Provision Convention n° 44 of 1934, signed in 1962 and still in force in Peru.

requirement established in the ILO conventions and in the Peruvian regulations for the administration of the unemployment insurance scheme and its expected tripartite governance.

**The project activities have ensured a comprehensive review of the active labour market policies and the institutional and territorial organisation of the national employment services** including spending review on trainings and labour skills certification programmes. It has also developed fiscal space analysis to assess the feasibility to extend the unemployment SP to the informal sector. **A landmark contribution consisted into the comprehensive actuarial study**, based on the national statistics from the government on macroeconomic indicators and labour market performances, that have informed the design of the project's proposal on the unemployment SP scheme and all its parameters in terms of coverage, duration of benefits, number of monthly contributions required to be eligible to the benefits as well as the contribution rate according to different hypotheses. **This analysis provided the government with an informative tool to assessing the financial impacts of the reform's options and assisting the design of main parameters (benefit and financing arrangements) of the future unemployment SP insurance scheme.**

**Trainings and workshops were provided by the project to strengthen capacities of the relevant officials from the Ministry of Labour and Promotion of Employment and Ministry of Finances to develop a non-segmented approach to unemployment SP system. The staff's capacities have been especially enhanced (i) to master the actuarial model to inform future decisions on the operationalisation and management of the unemployment SP scheme and; (ii) to design new institutional architecture and employment policies for more efficient and inclusive active labour insertion programmes (JC 3.2)**

**The project has also strengthened the consultations and dialogue process between the government's officials and the social partners (representatives of employers and workers) (JC 3.4)** especially through the working group involving the two vice-ministries of Labour and Employment Promotion and the involvement of the National Council for Labour and Employment Promotion (CNTPE) to promote socialisation and ownership of the project's objectives. The project has ensured regular bilateral contacts with various trade union organisations and organised seminars and workshops for dialogue and exchange of information. The constant consultation process with social partners has been all the more important than activities were developed under a transitional government and during a new process of legislative and presidential elections. This complex and unstable political and social environment (changes of government and /or ministries, presidential vacancy and elections, tensed social dialogue between some workers and employer's organisations and the government, ...) has been particularly challenging especially for promoting legislative initiatives requiring the approval of an Unemployment Protection Insurance, a key objective for the sustainability of the project's achievement. In that regard, collaboration and exchange of information have been developed between the multi-stakeholder working group and the Labour and Social Security Commission of the Congress of the Republic, in order to maintain a favourable environment for the proposed unemployment insurance scheme and increase its visibility in the public agenda.

The supported socialisation process has led in October 2021 to the request from social partners, especially the Central Autónoma de Trabajadores of Peru addressed to the MTPE, to ratify the Branch IV of Convention No. 102 and the Convention No. 168. The project has also strongly supported the institutionalisation of a participatory tripartite management of the Committee of Unemployment Insurance Beneficiaries.

There were no evidence from the interviews or documentation analysis of a specific impact of the project on the EUD's capacities to contribute to policy dialogue and to ensure the improved effectiveness of on-going EU budget support (JC 3.3).

<b>EQ4</b>	<b>To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made?</b>	
<b>JC 4.1</b>	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems	
<b>JC 4.2</b>	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability	
<b>JC 4.3</b>	More financed and operating shock sensitive, responsive and adaptive SP programmes	
<b>JC 4.4</b>	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers	

**The project has reached its goal of finalizing a proposal for a comprehensive, financially sustainable and potentially more inclusive system of SP for unemployment, targeted as a first step to the workers from the formal private sector.** It should provide incentives for a progressive formalisation of the labour market leading to potential increase of future beneficiaries and comfort the financial sustainability of the entire SP system. The outcome of the project can contribute to overcome coverage gaps in SP in Peru through guaranteed financial viability of a monetary benefit for income protection against unemployment. This financial support should avoid formal workers from falling into informality or inactivity, and support their reintegration into the labour market. This can be considered as an important step towards the goal of universalising SP, in line with the ILO recommendations 202 on SP floors.

The proposal, in its non-contributory and active labour market component, promotes a gender responsive and vulnerable inclusive approach to improve the labour insertion of specific categories of vulnerable population, including workers from the informal sector (JC 4.1, JC 4.4).

The project has managed to put the need of such SP system back on the institutional agenda, and contributed to include this dimension in the recently adopted National Policy for Decent Employment<sup>24</sup>. The project has also facilitated the dissemination and debate on unemployment SP within the framework of the national social dialogue and has closely involved the Congress. This overall consultative and participatory approach has supported the reactivation initiated by the MTPE of the ratification process of the ILO Conventions n° 102 (Branch IV), and n° 168 by the Ministry of Labour under the initiative of the trade unions (JC4.2).

The actuarial study carried out with the support of the project has guaranteed the financial adequacy of the SP model for an 8-year economic cycle with monthly benefits (above the minimum living wage) for the unemployed person during a period of maximum five months, providing decent economic security. During this period, the unemployed will conduct a better job research as its benefits scheme will be articulated with a personalised labour insertion project ("an employability route") that will aim at supporting the reincorporation, into a job suited to each person's interest and need. This should be facilitated with the proposal of a streamlined institutional design of the national public employment

<sup>24</sup> Whereas the demand for the establishment of an unemployment social protection scheme was apparently not so high on the government's agenda, due to uncomplete previous feasibility study that concluded on the unsustainability of such social security unemployment insurance scheme, the Action has been instrumental to put again on the national policy agenda this unemployment SP issue through the development of an actuarial study and the promotion of a more comprehensive system integrating a contributory and non-contributory components to guarantee the sustainability of the system.

service (SNPE) that will establish a single gateway to a comprehensive set of active labour market policies. Improved budget management of employment programmes should at the same time provide more fiscal space for further active labour market policies and increase the current range of services of job orientation, training programmes, skills certification to enhance employability, including for those not yet eligible to the insurance scheme (JC 4.2 & JC 4.3).

**However, the proposed insurance scheme and streamlined national public employment services still need to be adopted<sup>25</sup>, institutionalized and implemented. It is then difficult to assess yet the expected outcomes and sustainability of the proposed new system.**

Continuation of the dissemination and discussion on the content of the project's proposal within the framework of an inclusive social dialogue is required (state entities, social partners' representatives, specialised institutions, academia and any other relevant social actors). Key aspects of the future system still have to be finalised: who will pay the contributions? (workers, employer, the State or a mix contribution), who should administer the overall insurance scheme (establishment of the governance body, type of organisation, tripartite? modalities for decision-making and/or consultative capacity, election modalities of its participants ...)?

Sustained political and social dialogue and progress in the ratification process of the ILO Convention n°102 Branch IV (on unemployment benefits) and n°168 will remain instrumental to ensure the future operationalisation of the proposed social security unemployment scheme. Similarly, capacity development and training to accompany the Government and social partners will be required to assist them in defining and specifying the above mentioned institutional, administrative and organisational technicalities for the implementation of the unemployment SP scheme, the corresponding constitution of an Unemployment Social Fund, its governance and management modalities...

New institutional framework and technicalities for an integrated SNPE with a single-entry point for active labour market services will also need strong sectoral coordination at national and regional level as well as the establishment of information systems.

## 2.4 Efficiency

EQ5	To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?	
JC 5.1	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives	
JC 5.2	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies	
JC 5.3	The implementing partners have set up coordination with domestic partners and development partners	
JC 5.4	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution	

<sup>25</sup> The MTPE presented early 2022 the proposal for unemployment insurance scheme for Peru to the Labour and Social Security Commission of the Congress of the Republic. The Bill creating unemployment social insurance is still awaited before drawing up the respective implementing regulation as well as the institutional adjustments in the MTPE to operationalise the new system.

<b>JC 5.5</b>	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project	
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The project has directly contributed to strengthen a national consultative and socialisation process on unemployment SP and active labour market policies among all the key institutional, professional and social stakeholders. The establishment of inter-institutional working relations between the Ministry of Finance and the Ministry of Labour and Employment Promotion as well as an active consultation process between trade unions and employers' organisations have been extremely relevant. Key donors involved in the social and employment policy sector such as IADB have been included in the project's consultation and implementation monitoring process.

The IP (ILO) has contributed to develop a balanced approach of social dialogue and capacity development process through an increased capacitation of all stakeholders on international norms, standards and experiences, as well as on institutional, legal, financial and other technical aspects surrounding unemployment insurance systems and employment policies.

Analytical and diagnostic tools have been provided by the project through timely preparation and management of studies and mobilisation of skilled national (for the majority) and international consultants and experts. The project has been reactive to the support requested by the Ministry of Labour while the technical backstopping from the ILO HQ and regional office has been a real added value to ensure that the project could deliver its expected output timely. In that regard, the support of the ILO HQ Actuarial Services Unit Services of the SP's Department has contributed to provide the necessary expertise to implement the project and finalise, using the ILO Unemployment Insurance Model, the necessary projections for the calculation of the economic macroeconomic, financial and administrative parameters of the proposed unemployment SP scheme. The project has also worked on improving data and statistics for monitoring and policy-decision making in the SP sector. Trainings were also delivered to the concerned government officials to ensure future ownership and mastering of the actuarial model that will condition the setting of up-to-date and relevant parameters at the time the unemployment insurance scheme will have to be operationalised.

Despite a complex and unstable political environment, most of the planned activities have been achieved and observed delays were outside the control of the project's management team.

Several batches of audio-visual and other visibility products (reports, videos, leaflets) were published, distributed or broadcasted especially during seminars or webinars while a project report in audio-visual format as well as a marketing plan were developed to promote the socialisation process of the project's objectives and achievements.

The EUD has been regularly informed on the implementation stages of the project and was invited to attend high level meetings, steering committees, webinars and any other important communication events. A project closing webinar was organised at the end of March 2022 with all the key stakeholders who participated in the project's implementation. The webinar was recorded and is available on internet.

**Annex 1: List of Institutions met**

<b>Institution type</b>	<b>Institution / Minister</b>	<b>Service</b>
<b>Implementing partners</b>	ILO	
<b>EU</b>	EU Delegation	
<b>National authorities and institutions</b>	Ministry of Labor and Promotion of Employment	
	Ministry of Economy and Finances	
<b>Civil society</b>	Employers' organisation	
	Workers' organisation	

# Togo

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## List of acronyms

AMU	Assurance Maladie Universelle
BS	Budget Support
CMU	Couverture Maladie Universelle
CNSS	Caisse Nationale de Sécurité Sociale
DG INTPA	Directorate-General for International Partnerships
DP	Development Partner
DRM	Domestic Revenue Mobilisation
EC	European Commission
EQ	Evaluation Question
EU	European Union
EUD	European Union Delegation
GCSPF	Global Coalition of Social Protection Floors
GDP	Gross Domestic Product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
IL	Intervention Logic
IMF	International Monetary Fund
INAM	Institut National d'Assurance Maladie
IP	Implementing Partners
JC	Judgement Criteria
MIP	Multiannual Indicative Programme
PER	Public Expenditure Review
PFM	Public Finance Management
RG	Reference Group
SC	Steering Committee
SDG	Sustainable Development Goals
SNPS	Stratégie Nationale de Protection Sociale
SP	Social Protection
SPF	Social Protection Floors
SRPC	Sector Reform Performance Contract
TA	Technical Assistance
TFP	Technical and Financial Partners
TORs	Terms of Reference
USP	Universal Social Protection
WAEMU	West African Economic and Monetary Union
WB	World Bank

## 1. Country context and Intervention logic of the project

### 1.1 Country context: State of SP, policy and institutional framework

Togo does not yet have an official national SP strategy, but its ambitions in this area are set out in the National Development Plan (2018-2022) which includes the willingness of the government to “reform and extend contributory social security and social insurance systems to the formal and informal sectors of the economy; improve social protection safety net mechanisms; or extend the Universal Health Coverage (CMU) to all Togolese households”.<sup>26</sup> These objectives have been reaffirmed in the government's Roadmap Togo 2025.

The country's SP system includes contributory schemes, namely the general social security scheme managed by the National Social Security Fund (CNSS), the compulsory health insurance scheme managed by the National Health Insurance Institute (INAM) and several non-contributory social transfer programmes in the areas of education, health, social assistance, and labour market programmes.

The non-contributory component of SP consists mainly of social safety net programmes that target the poor and shock-vulnerable, such as cash transfers, in-kind transfers including school feeding programmes, nutritional supplements, food aid, and fee exemptions for services, such as subsidies and free health or education services.

However, the SP coverage remains quite low, 8% of the population in 2019<sup>27</sup> due the lack of laws and SP systems to cover workers outside the formal economy law and SP system whereas workers in the informal economy represent 86.4% of the working population and contribute to more than 50% of the GDP.

During the COVID-19 crisis, Togolese authorities put in place the NOVISSI programme, a Universal Solidarity Income programme for informal workers, particularly affected by the pandemic and the loss of revenues. However, only 8.7% of informal workers actually benefited from this programme.

### 1.2 Main objectives and activities of the SP-PFM project 2019-2021

Result 1: Based on the results of the rapid socio-economic impact assessment on the informal sector, recommendations are made and national capacities are strengthened to improve and extend the social protection measures initiated as part of the response to the COVID-19.
<b>Output 1.1: Output 1.1: A report on the impact of COVID-19 through the social protection dimension is prepared.</b>
Activity.1.1.1: Analyse the results of the COVID-19 impact study on the informal economy from a social protection perspective, taking into account the following aspects: vulnerable people, geographical areas, sectors of the economy, type and level of benefits, roles of trade union organizations and other informal economy, actors and formulate response options through social protection measures
Activity.1.1.2: Develop recommendations to improve and expand social protection measures initiated to address the COVID-19 crisis-19 including the relevant actor's capacities building.
<b>Output 1.2: Technical services are provided to the government, social partners and informal economy actors for the extension of social protection measures initiated during the COVID-19 period.</b>
Activity 1.2.1: Organize consensus among tripartite constituents and other stakeholders on recommendations to improve and expand social protection measures, implemented as part of the response to COVID-19

<sup>26</sup> Plan National De Développement (PND) 2018 – 2022, République Togolaise, 3 août 2018

<sup>27</sup> Social Protection Platform – Togo, ILO

Activity 1.2.2: Provide technical support and build the capacity of the Government, social partners and informal economy actors for the implementation of the options adopted for the extension of social protection in response to the COVID-19
Result 2: Experiences, knowledge and evidence generated from the implementation of social protection measures benefiting actors in the informal economy as a response to COVID-19 are capitalized and recommendations are formulated to accelerate the sustainable extension of social coverage
<b>Output 2.1: The modalities of implementation of social protection measures as a response to COVID-19, including the opportunities, strengths and shortcomings of the programs are analysed (the criteria for selecting beneficiaries, registration mechanisms, database, beneficiary management system, payment mechanisms, complaint and satisfaction feedback mechanisms, total cost, including administrative costs, are taken into account).</b>
Activity 2.1.1: Organize workshops with the main actors of the NOVSSI program, the members of the National Committee for the Promotion of Social Protection and the group of TFPs working on social protection (possibly virtual by videoconference), to share ILO tools for analysing the implementation of the minimum income program
Activity 2.1.2: Examine the implementation modalities of the Universal Solidarity Income and analyze the forces and weaknesses of the program (beneficiary selection criteria, registration and selection mechanisms, database and beneficiary management system, payment mechanisms, complaint and satisfaction feedback mechanisms, total cost, including administrative costs).
<b>Output 2.2: A report containing the lessons learned from the social protection measures implemented in the response to COVID-19 and recommendations for the scaling up and sustainability of the social protection system based on existing social protection schemes, mechanisms and organizations (CNSS, INAM, professional organizations, mutual insurance companies, etc.) elaborated</b>
Activity 2.1.1: Organize sharing sessions (possibly virtual by videoconference) to discuss the results of the Universal Solidarity Income Program implementation evaluation.
Provide technical support to capitalize lessons learned from the Universal Solidarity Income experience and formulate recommendations for scaling up and sustaining the social protection system based on the results of the evaluation.
<b>Result 3: An information system, technical and financial parameters and an institutional coordination architecture for the extension of the general social security system managed by the National Social Security Fund (CNSS) and the compulsory health insurance managed by INAM, to the actors of the informal economy are adopted.</b>
<b>Output 3.1: CNSS and INAM information systems strengthened and adapted for the extension of the general social security scheme managed by the National Social Security Fund (CNSS) and the compulsory health insurance managed by INAM to informal economy actors</b>
Activity 3.1.1: Elaborate a technical evaluation report on the information systems of the CNSS and INAM in relation to the needs for extending social protection to the private sector, particularly the informal economy.
Activity 3.1.2: Based on the recommendations resulting from the technical evaluation, support CNSS and INAM to adopt a technical protocol and operational modalities for registering informal economy actors.
<b>Output 3.2: Technical report of the financial assessment of the sustainability and scaling up of the extension of benefits to the informal economy linked to existing and emerging social protection systems</b>
Activity 3.2.1: Reinforce capacities, share the ILO approach as well as international experiences on social insurance schemes for the self-employed and those in the informal economy.
Activity 3.2.2: Support decision making through an actuarial evaluation.
Activity 3.2.3: Based on the experience of the response to COVID-19, develop a financial estimate of the extension of benefits to the informal economy linked to existing and emerging social protection systems.
<b>Output 3.3: Technical report on the institutional architecture and operational modalities for extending benefits to the informal economy by linking to existing and emerging social protection systems.</b>
Activity 3.3.1: Conduct an assessment of the existing institutional and operational frameworks for social protection and identify opportunities and achievements for building the regime of extension to the informal economy
Activity 3.3.2: Prepare an institutional architecture document and terms of reference for the operational modalities of coverage extension schemes, based on the lessons learned from the Universal Solidarity Income and other social protection measures.
Activity 3.3.3: Provide technical support to CNSS, INAM and organizations representing the informal economy (mutual, cooperatives, federations, etc.) for the establishment and application of service delegation agreements, procedures and mechanisms for affiliation, payment of benefits, through the development of a standard operating procedure (SOP) manual etc.
Activity 3.3.4: Prepare a skills development plan for staff at management and operational levels for the implementation of future schemes to expand into the informal economy
Activity 3.3.5: Provide technical support to strengthen the technical capacities of organizations representing the informal economy (mutual, cooperatives, federations, etc.) in the various areas of the services delegated to them (awareness raising, identification, collection of social contributions, quality control of services, etc.).

<b>Output 3.4: Technical recommendations for developing the legal framework for extending benefits to the informal economy by linking to existing and emerging social protection systems, in line with international labour standards on social security.</b>
Activity 3.4.1: Conduct a legal and institutional analysis of existing and emerging social protection systems, in relation to the social protection needs of the informal economy.
Activity 3.4.2: Make recommendations for the development of the legal framework for the extension of benefits to the informal economy by linking to existing and emerging systems of social protection, in line with international labour standards on social security.
Activity 3.4.3: Provide technical support for the development of regulatory texts and technical architecture for the extension of social security and health insurance schemes to the informal economy: 45 days of international consultancy work
Activity 3.4.4: Organize training sessions for technical service managers, workers' and employers' organizations in the design, planning, implementation and monitoring-evaluation of social protection.

## 2. Main findings

This section presents the findings for each EQ based on documentary reviews and meetings with country teams and main beneficiaries. To give an initial assessment, we have assigned a color according to the degree of achievement of the judgement criteria: bright green (high achievement); light green (partial achievement); orange (not fulfilling all expectations); red (not at all achieved).

### 2.1 Relevance

<b>EQ1</b>	<b>To what extent has the SP&amp;PFM Action remained consistent with EU and implementing partner's policy and programme frameworks and has it addressed beneficiary countries' SP and PFM priorities and needs ? To what extent has the Action integrated priority issues and responses to COVID-19 crisis and other shocks ?</b>	
<b>JC 1.1</b>	The SP&PFM Action at country level remains consistent with and supportive of the EU and implementing partners' policy and programme frameworks	
<b>JC1.2</b>	Country project address the <b>key priorities and needs including PFM factors</b> determining country capacities to implement sustainable SP systems	
<b>JC1.3</b>	The responses provided to COVID-19 and other shocks were relevant according the immediate needs and the long-term objectives of the Action	
<b>JC1.4</b>	The project address priority issues such as inclusion of the most vulnerable population, gender equality and transition to formal economy	

The project is coherent with ILO's Convention n°102 on the social security minimum standards and Recommendation n°202 as well as with the Decent Work Country Programme for 2019 – 2022, and EU policies regarding SP. (JC1.1)

The project is fully coherent with the National Development Plan (2018-2022), one of whose objectives is to “put in place social protection systems and measures for all, adapted to the national to the national context and ensure that by 2022, more than 50,000 targeted people in the informal sector, especially women, will benefit from social coverage.” The project is also in line with the recently adopted national Strategic Road Map Togo 2025 and its axis n°1 on “ensuring health coverage and access to basic services for all” with its two prioritised projects: the “creation of a one-stop shop for all social benefits offered to vulnerable populations integrating digital solutions and based on targeting of beneficiaries” and the “Definition and implementation of Universal Health Coverage”. The project is demand-driven and thus addresses the priorities identified by the government in the area of extension of the SP to the informal sector. The proposal was formulated jointly by ILO and the Ministry of Labour. The formulation has capitalised on a previous analysis of the Togolese SP system that was conducted from 2016 to 2018 by the ILO with the support of the OECD and the

EU, using the SPPOT methodology, to identify its main shortcomings. The analysis highlighted as priorities the extension of health insurance and social security to workers in the informal economy, both addressed by the SP & PFM project. (JC1.2)

In terms of the project's contribution to the response to COVID-19, a study of the NOVISSI programme has been conducted, with a view to drawing lessons from it and communicating them to the relevant administrations. Similarly, the project has also built on the outcomes of an evaluation report from the ILO dated from November 2020 on the impact of the COVID-19 on the informal economy, financed by the African Development Bank. This analysis demonstrated that if close to 60 percent of informal workers suffered from loss of their revenues during the Pandemic, less than 11 percent benefited from SP schemes. Against this framework, the project as a whole sought to build a more resilient and inclusive SP system by extending it to non-covered populations, namely workers in the informal economy, rather than providing immediate responses to the COVID crisis (JC1.3).

The project focused on extending SP to workers in the informal economy, particularly affected by the loss of income during the COVID crisis, and not yet covered by SP systems. It has also ensured that the future social insurance systems for informal workers will be fully based on a pay-as-you-go basis but integrate a funded/solidarity dimension in order to consider the contribution capacity of each worker according to their situations, and include in the proposal an element of national solidarity (to be funded by the State budget) for workers who are not able to provide contribution in the initial stage of the social insurance scheme. The project has also promoted that the definition of vulnerability criteria for medical insurance will include gender and disability dimensions (JC1.4).

## 2.2 Coherence, coordination and complementarity

<b>EQ2</b>	<b>To what extent have the EU Action's components and activities been consistent with each others and contributed to reinforce the overall coherence of all EU's and its implementing partners' interventions in the SP and PFM areas at country level? To what extent have these EU-financed interventions promoted complementarity and coordination at country level with others donors' interventions in the SP and PFM sectors?</b>	
<b>JC 2.1</b>	SP-PFM Project has been coherent at country levels and has integrated the interests of different stakeholders at all levels and final beneficiaries of SP	
<b>JC 2.2</b>	SP-PFM project has benefited from cross-country activities	
<b>JC 2.3</b>	SP-PFM project has strengthened coherence and complementarity with other EU interventions/ policy dialogue related to SP and PFM policies and humanitarian aid at country level	
<b>JC 2.4</b>	SP&PFM project design and intervention at country level have been coherent and coordinated with other donors' intervention	

### Main findings :

The project being a response to a call for proposals, it responds well to demands from both the Ministry of Labour, and more specifically the General Directorate of Social Protection, and the SP institutions (CNSS and INAM), and is in line with their ongoing national reform priorities in the social insurance sector and related activities. The final beneficiaries and their representatives, i.e., self-employed and workers of the informal economy, professional organisations from the informal sector (trade unions, chambers of commerce & trade) have also been consulted and involved in the formulation of the proposal. (JC2.1)

The project has been implemented jointly with the HQ at Geneva, notably the Actuarial Unit for analyses on the implementation of the old age pension and AMU schemes, and the regional office in Dakar. The cross-country component has also supported the project in engaging with the IMF and set up a special partnership between the ILO and the IMF, on the financing of the proposed social insurance extension scheme to the informal sector, as due to weak contribution capacity of some informal workers, the insurance scheme will include a solidarity dimension together with the contributory/pay-as-you-go contributory scheme, to be funded by the state. Other than that, there were no other inputs from the global component. Experience sharing has taken place with the country team in Côte d'Ivoire, but at the initiative of the local actors and not of the global component. (JC2.2)

Following staff turnover and despite previous EU-ILO working collaboration on previous EU budget support operation, the EUD was not aware of the submission of the proposal in the first place, while they had ongoing budget support for the COVID-19 response (17M€), which the project could have coordinated with (JC2.3). Irregular contacts occurred between the ILO local office and the EUD early 2021 and the EUD was conveyed to the ceremony at the time of the launching of the project in October 2021. Later on, discussions were organised on the communication and visibility of the results of the project. At the end of the project, stronger synergies have been established in the framework of the formulation of a new EU BS operation (still ongoing in 2022) in order to capitalise on the project outcomes and identify a relevant performance indicator to support the extension process of SP in the country.

The project is coherent with previous work of ILO and the OECD as it was inspired by the results of the SPOT analysis (2016-2018). ILO teams have also had regular exchanges with the UNDP on their project of extension of the Health insurance to informal workers, as well as with the WB which is working with vulnerable groups. Technical discussions have taken place between the project, the regional office in Dakar and the IMF at the time the latter was negotiating a new Extended Credit Facility with the Togolese Government. The ILO was invited to participate to these negotiations in order to discuss the budgetary implications of the social insurance system (in its dual pay-as-you go and state-funded dimensions) supported by the EU SP&PFM and discuss its financial sustainability in view of the country Medium Term Fiscal Framework). The project has created synergies on the financing of the SP insurance scheme for the informal sector that led to a follow-up project implemented by ILO and GIZ (German international Cooperation Agency) on establishing scenario for the financing and sustainability of the extension of the SP insurance system. The project has therefore been able, in addition to coordinating with other ongoing projects, to advocate for other TFPs to invest in SP financing projects in the future (JC2.4).

## 2.3 Effectiveness – Analysis of outputs, intermediary outcomes and results

EQ3	To what extent is the Action achieving its outputs and is likely to contribute to expected intermediary outcomes ?	Assessment
JC 3.1	The Project has strengthened capacity of national administration and SP stakeholders to take informed decisions on SP strategies, financing, reforms and programmes and to develop a comprehensive SP policy wide-approach as well as to establish contingency plans and multi-year funding strategies.	
JC 3.2	The Project has improved institutional and technical capacity to support SP policy planning, financing, delivery and monitoring, including for responses to shocks (including COVID-19) and contributed to improve robustness and performance of national SP systems	
JC 3.3	The Project has strengthened the capacity of EU Delegations to contribute to policy dialogue and to ensure the improved effectiveness of budget support for SP	

<b>JC 3.4</b>	The Project has promoted national dialogue around SP, has increased civil society and social partners participation in such dialogue, and has contributed to greater transparency, accountability and oversight	
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The project mainly contributed to producing technical parameters, studies and assessment to support the formulation of SP extension mechanisms to informal sector workers in terms of pension and health insurance (JC 3.1). Technical support was also provided to CNSS for the design and development of technical parameters of an old-age insurance benefit for self-employed workers, notably through:

- the mapping of the contributory capacities of workers in the informal economy,
- the mapping of workers' organizations,
- the development of data on the income of informal sector workers.

Capacity building activities to representatives of local and central government, SP institutions (CNSS) were carried out on these technical elements (JC 3.1).

Workers and employers' professional organisations also benefitted from trainings on the importance to extend SP to informal workers. This capacity building has been very useful to feed the social dialogue, as the notion and importance of social security was not particularly well understood before by informal economy workers, many of whom still had a strong misconception about it.

On the PFM component, a review of the 2021 public budget was carried out and highlighted the financing gap for the application of a SP floor. On the financing of the extension of SP to informal workers, the main achievements of the project were the actuarial studies in the framework of the implementation of the AMU, and the analysis of the contributory capacities of workers in the informal economy, following which a mixed system based on principles of pay-as-you-go and national solidarity was proposed to include informal workers without immediate contributory capacity.

Finally, the project supported the adoption process of the Law on Universal Health Insurance. (JC3.2)

The involvement of the EU to the project has been very limited. The EUD could have benefited more from the project to strengthen its capacities in the dialogue around SP reforms and its financing, by being invited to the training sessions for example, which was not the case. There was very limited interaction with the Delegation during the project and they were not kept fully informed of the progress of activities.

Exchanges nevertheless took place at the end of the project, notably on the integration of an indicator relating to SP in the upcoming EU budget support, which led to the indicator on the Single Social Register. This process has steered discussions between the EU and the Government (involving the Ministry for Social Action) on the harmonisation of the vulnerability criteria in the framework of the establishment of a single social registry of persons and households. Such discussions have provided basis for capitalisation on the outcome of the project by the EU future BS operation to streamline SP information system, ensure a proper follow-up of future persons registered in SP regimes as well as better targeting of those receiving social assistance services. The project did not, however, influence the programming of the MIP 2021 – 2027 (JC3.3).

The project has well integrated employers and workers' professional organisations of the informal economy in the decision-making and, most of all, has increased their understanding of the SP mechanisms. Social dialogue was strengthened thanks to capacity-building activities for government representatives at central and communal level and informal workers' organizations that led to a better understanding of the challenges of SP extension. Workers and employer's organisations of the



informal economy were involved in dialogue sessions to discuss the old-age pension scheme and the adoption of the Law on Universal Health Insurance. (JC3.4)

<b>EQ4</b>	<b>To what extent is the Action likely to contribute to the intended outcomes and to ensure sustainability of progress made ?</b>	
<b>JC 4.1</b>	Strengthened, robust and more gender responsive and vulnerable inclusive national SP systems	
<b>JC 4.2</b>	Adequate, diversified and more sustainable financing of national SP systems and greater Government ownership and financing of SP, as a guarantee of future sustainability	
<b>JC 4.3</b>	More financed and operating shock sensitive, responsive and adaptive SP programmes	
<b>JC 4.4</b>	Coverage of universal SP systems has increased in beneficiary countries in particular for vulnerable groups such as women, children, older persons, persons with disabilities, unemployed and informal sector workers	

The project has prepared the ground for the extension of the old age pension (to be integrated in the general pension regime) and health insurance regimes to the informal sector, strengthening the capacity of the national SP system to be more vulnerable inclusive (JC 4.1).

The project has also promoted a specific partnership between the ILO and the IMF that materialised with the inclusion in the agenda of the negotiations between the IMF and the Togolese authorities of the need to identify sources of fiscal space and innovative financings to fund the SP extension to the informal sector and make it sustainable over the medium term (JC 4.2).

Regarding the extension of SP coverage, the Law on Universal Health Insurance was finally adopted in October 2021 by the National Assembly of Togo. This new law extends the legal coverage of social health protection to more than three million people, 52% of whom are women.<sup>28</sup> The old-age pension scheme was validated in March 2022 and will therefore allow workers in the informal economy to enroll in the CNSS (JC 4.4.).

## 2.4 Efficiency

<b>EQ5</b>	<b>To what extent have the choice of instruments, the management framework and the human and technical resources deployed by the partners facilitated the achievement of the intended outputs and intermediary outcomes on time and at reasonable cost ?</b>	
<b>JC 5.1</b>	The methodologies, instruments and the implementing partners selected by the Project were the most suitable for achieving its objectives	
<b>JC 5.2</b>	The implementing partners have deployed adequate technical and human resources to achieve the objectives set and have carried out concerted actions to benefit from existing complementarities and synergies	
<b>JC 5.3</b>	The implementing partners have set up coordination with domestic partners and development partners	
<b>JC 5.4</b>	The practical arrangements for managing the whole process have allowed for timely and appropriate monitoring and management decisions that assure effective implementation, problem identification and resolution	

<sup>28</sup> Social Protection Platform – Togo, ILO



<b>JC 5.5</b>	The information produced and the exchanges with the EC were sufficiently frequent, of sufficient quality and available in time to allow a flexible management of the Project	
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#### Main findings:

The project was a continuation of ILO's work in Togo, which had the experience and expertise required in this area. It has capitalised on existing analysis and evaluation related to the impact of the COVID-19 on the informal economy as well as an evaluation of the NOVISSI national programme on the actors of the informal economy. The project has also developed and promoted the use of key analytical tools. The mapping of workers organisations, the database on the income of informal sector workers, the detailed mapping of the contributory capacities of workers in the informal economy by sector and activities, and the survey strategies to better identify the different working situations in the informal economy have all been instrumental to accompany the Togolese institutions in the extension of SP schemes (JC5.1).

To formulate and implement the project, a successful collaboration was established between ILO Togo's country team, the SP specialist based in the Dakar office, and the project manager and heads of departments in charge actuarial studies at headquarters, regularly exchanging. The participation of these three levels allowed to benefit from the necessary technical expertise, and the optimization of the results with the Dakar office. (JC5.2)

On the coordination with the domestic partners, a tripartite technical committee, composed of representatives of the ministries in charge of labour, agriculture, commerce, transport, the informal sector, leaders of the informal sector workers' professional organisations and the of transport companies' union affiliated to the employers' organisations, as well as representatives of CNSS, was created at the beginning of the project, but they faced some difficulties to reunite. The project worked in close collaboration with the General Directorate of Social Protection and the Ministry of Labour.

Despite the relative inactivity of the technical working group on SP set up in 2012, the project has developed collaborative relations with several other donors' interventions such those from UNDP and the World Bank in the areas of access to health services and development of health insurance for indigent population, sharing information, assessment and statistics on the SP needs from the informal economy actors. The project has also contributed to set a strategic partnership between the ILO and the IMF on the financing of the extension of SP to the informal sector.

There has been a lack of consultation and information sharing with the EUD during the project (JC5.3).

**Annex 1: List of Institutions met**

<b>Institution type</b>	<b>Institution / Minister</b>	<b>Service</b>
Implementing partners	ILO	
EU	EU Delegation	
National authorities and institutions	Ministry of Labour	General Directorate of Social Protection