

# Designing and implementing a pilot to link unemployed persons in poor households to economic opportunities

Final Report

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Submitted by

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To

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# 1. Introduction

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## 1.1. Objectives

The Department of Social Development (DSD) appointed Lima Rural Development Foundation (Lima) to design and implement a pilot to link unemployed persons in poor households to economic opportunities. Through this pilot, DSD sought to explore the role of the South African Social Security Agency (SASSA) in providing this facilitated service of linking the poor to opportunities. The main objective of the pilot was to be achieved through the following two specific objectives:

- DSD through SASSA to serve as an entry point and or middle man between the unemployed and economic opportunities currently available; and
- DSD and SASSA will through this pilot play a facilitative role in linking unemployed able-bodied persons of working age to skills development, education, training or employment.

Following from the above, the expected deliverables from the pilot included:

- Review of international past and current approaches to addressing the above objectives;
- The design of pilot model/s to test; and
- The implementation and review of the model/s in the field.

In addition to the above, DSD expected from the design and implementation of the pilot, that:

- The results from the pilot are such that they can be showcased to decision-makers within DSD, National Treasury and SASSA as evidence of the **feasibility of linking** grant beneficiary household members to economic opportunities;
- SASSA is **empowered to be at the centre of implementation** for the pilot as well as being the on-going centre for implementation after exit of DSD and the Service Provider; and
- Pilot results can be utilised to **inform policy formulation** in DSD and the roll-out of the policy on a national scale.

## 1.2. Pilot study implementation and actual deliverables

The pilot project commenced on 1 June 2013 and has been running for 26 months (as at 31 July 2015).

The pilot implementation comprised three phases which are as follows:

- Phase 1 & Phase 2: June 2013-February 2014
  - Situational analysis
  - Model Design

- Monitoring & Evaluation Framework
- Phase 3: Implementation: March 2014 - July 2015
  - Five progress reports

As shown above, Phases 1 and 2, spanning a period of eight (8) months, resulted in a Situational Analysis, a proposed model designed for piloting, a stakeholder engagement plan as well as a Monitoring and Evaluation framework for implementation of the proposed Model. Phase 3 of the pilot, actual implementation of the Model, over sixteen (16) months, resulted in five (5) quarterly reports. Each of the five quarterly reports reported on and addressed different aspects of the implementation of the pilot model. These are summarised below, but it should be noted that the quarterly implementation progress reports had slight variances from the prescripts of the contract, and these are briefly described below:

- Implementation Report One ( March 2014 – May 2014) focused on the set up issues to get the Model operation in place in the six pilot sites and how the Monitoring and Evaluation framework based on a theory of change was employed in the system;
- Implementation Report Two (June 2014 – August 2014) focused on implementation progress of the Model, achievements and challenges;
- Implementation Report Three (September 2014 – November 2014), reported progress and performance against the pilot objectives. It also outlined possible policy alternatives that will enable the Model to roll out and function at scale;
- Implementation Report Four (December 2014 – February 2015), reported on the review of the pilot process model. The key processes of the pilot model are household targeting and evaluation for eligibility; case management of individual household members to support and link them with opportunities; identifying potential relevant opportunities; securing opportunities through partnering; matching, referrals and links; monitoring and evaluating progress and impact; exiting or revisiting individuals. This review resulted in the development of recommendations as well as spelling out preliminary policy implications of the recommendations; and
- Implementation report 5 (March – May 2015) further reported on the current state of affairs as well as presenting preliminary policy recommendations to enable the scaling of the pilot. The report also served as a draft final report of the pilot over its entire lifespan. It is worth noting that the report makes an attempt to locate the key findings and policy recommendations within the DSD's strategic objectives and mandate.

This final report covers the entire lifespan of the project, presenting the key findings, results of the linking model, challenges, key lessons learnt, recommendations and the approach to be followed when rolling out on a national scale, based on the experiences from the six pilot sites. As such the report consolidates and summarises the eight deliverables (from the situational analysis through to the fifth implementation report). Most importantly, the final report encompasses the following aspects:

- Pilot Design Blueprint with all process forms used at pilot sites as well as the estimated cost of running this project;
- Key findings, challenges, recommendations and policy options and recommendations of the pilot
- Database of pilot participants (with names and location);
- Database of all economic opportunities engaged, length of time it took it to secure the opportunity, successful and unsuccessful links; and
- SASSA institutional model options and approaches to be followed for rolling out the pilot on a national scale.

### **1.3. Structure of the report**

The rest of the final report is structured as follows:

- Background to the pilot (summary of the situational report);
- Pilot model design (blueprint) adapted at the six pilot sites;
- Key findings and recommendations from the implementation;
- SASSA institutional model options; and
- Conclusions and recommendations.

## 2. Situational analysis

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### 2.1. Objectives

The purpose of the situational analysis was to review the context within which the pilot will take place, and to explore the experience with various types of interventions in other countries. It reviewed DSD commissioned research done in preparation for the pilot, national and international research reports, government policies and initiatives that are of a similar nature and interviews with relevant stakeholders.

### 2.2. Previous research commissioned by DSD

DSD pursued the concept of expanding the social security system by commissioning research on possible ways of developing a complementary system of services linking able-bodied unemployed members of grant-receiving and other poor households to economic opportunities. The aim was to “(1) build a gateway or off-ramp, (2) generate employment opportunities and (3) develop a process model for diversion” (DSD 2006). It is noteworthy that the original concept discussion document produced in 2006 was premised within the discourse of welfare as dependency, as it emphasised the aim of reducing welfare “caseload” through increased government expenditure on improving stable employment opportunities. Between 2006 and 2012 the DSD commissioned five pieces of research to inform their planning for a potential policy intervention.

- Policy Options to leverage the system of social grants – HSRC (*Altman & Boyce 2008, paper 1 & 2*);
- Review of a questionnaire to identify gaps creating barriers to economic participation of grant households (*DSD, 2009b, PMTechnologies*);
- Investigation of using the wage subsidy as a policy instrument to stimulate employment (*Burns, Edwards and Paauw, 2010*);
- Analysis of key institutions in the linking of social grants (*DSD, 2009a JBF Consulting*); and
- Labour trends (*SALDRU, 2009*).

Based on various research findings and increasing concerns about extremely low labour absorption rates, the final Terms of Reference acknowledged that no social protection support was available for able-bodied South Africans of working age, unless they had already made contributions through previous formal employment to the Unemployment Insurance Fund. In fact the types of social assistance benefits available to South Africans are only for vulnerable citizens who are either disabled, or too old or young to work.

This required a shift in emphasis on the target group away from the grant beneficiaries to able-bodied working age unemployed adults in grant and non-grant beneficiary households. This shift included moving from an employment-centred focus (including active “labour market measures”), to one that encompassed a view of economic opportunities: “the practice of providing the disadvantaged with tools to help them out of poverty through mentorship, low interest loans for small businesses, co-operatives, grants, training and or financial and life skills education” (DSD, 2012).

## **2.3. International trends in tackling unemployment, social protection, poverty and inequality**

Sustained increased income into households is most commonly achieved through employment, where either there is a wage growth or more people are employed (Inchauste, 2013). However, achieving improved returns to labour is hindered by poor endowments. Research has shown that “improved education, reduced household size, improved employment opportunities” are the critical elements to improving wage income.

In economies that offer few employment opportunities, international organisations like the World Bank have advocated for strategies that strengthen the resilience of households through building skills, education and human capital (UNRISD, 2013). However, while this strategy is appealing and seems to complement the multidimensional theories of poverty, it could be argued that such approaches serve to decouple employment from social policy (UNRISD, 2013).

This has led to a variety of approaches utilised by governments to address poverty, ranging from tying social assistance benefits to the provision of employment assistance, through to complex integrated graduation programmes supporting poor households to deal with the multiple social and economic obstacles they face and move or migrate out of poverty.

## **2.4. South African socio-economic context**

### **2.4.1 Basic statistics and trends in poverty, inequality**

Despite uncertainty regarding post-1994 poverty trends, most data sources reveal that poverty rates have been declining since around 2000. There are two main reasons for the decline; namely the roll-out of social grants on a larger scale and rising employment levels. However of the two, seemingly the roll-out of social grants has been the more important.



In spite of the above, there is broad consensus that inequality has increased since 1994. The main reason for this relates to the labour market, which over time has tended to offer larger increases in rewards to higher skilled workers relative to lesser skilled workers.

Despite the high levels of inequality, targeting poor households, in relation to basic service delivery has been mixed e.g. 70% of government expenditure on old-age pensions is received by the poorest 40% of the population, which suggests a fairly efficient level of targeting; but by comparison, only 24% of expenditure on housing goes to the poorest 40% of the population.

Van der Berg and Moses make the point that the ‘expenditure incidence’, which in some cases is well directed at poor households, only tells part of the story; an equal if not more important part is the *effectiveness* of expenditure:

*“The overwhelming message conveyed by the data on social service delivery is that social spending has often not produced the desired social outcomes, both in social delivery programmes, where there now appears to be an urgent need to use resources more efficiently, and in households, particularly the most vulnerable, which differ in their propensity to convert social grant spending into improved living standards.” (van der Berg and Moses, 2012, pp.137-138)*

There are, however, some concrete signs of improvement since 1994. Significantly, the share of households in which children and adults experience hunger has shown improvements and provides compelling evidence of progress in one important area that could reasonably be interpreted as extreme deprivation/poverty.

The following points can be inferred from the research:

- The experience of hunger is concentrated among those households which have no participation in the economy;
- However, of households in which no adult is employed or self-employed, only a minority experience extreme poverty as signalled by the experience of hunger;
- A high proportion of households residing in informal urban settlements experience hunger. It therefore stands to reason that one could make significant in-roads into extreme deprivation by focusing on such areas, although this should not be an exclusive approach due to the extent of rural poverty; and
- Households with no-one employed are generally more deprived, but do significantly better if they have access to a grant.

Regarding the inter-generational transmission of poverty, recent research by Zoch (2013) suggests that in present-day South Africa, parents who have a low economic standing tend to have children characterised

by low educational achievement, bleak employment prospects, and seemingly an under-development of skills that can be parlayed into remunerative self-employment. The implication is that even if South Africa does not wish to ‘conditionalise’ its grants, serious thought needs to be given as to how to attenuate the tendency for poor parents to beget children who end up as poor adults.

### **2.4.2 Spatial marginalisation**

The report reflects on the particular socio-economic history of South Africa, which continues to underpin and exacerbate poverty levels and inequalities. Undoing or transforming the spatial economy into one that supports socio-economic development is critical but also is a slow process.

The key challenges that arise in a programme that works to link people to economic opportunities include:

- Absence of economic development investment at scale in previously marginalised areas, including absence of land for economic development and limited facilities for economic activities;
- The long distances people travel to access jobs and economic opportunities;
- The high costs of accessing affordable housing or accommodation in urban centres, where employment opportunities, and access to education and skills training might exist; and
- Underdeveloped information and communication technology capacity affecting effective communication and information sharing strategies.

### **2.4.3 Vulnerable groups**

Many government programmes and services are designed with the aim of targeting support to individuals belonging to ‘vulnerable groups’. There appear to be no formal, definitive statements as to who are these ‘vulnerable groups’; rather they are defined relative to a particular intervention. Social grants aim to support members of vulnerable groups; these are mainly identified as children, the elderly, and people with disabilities.

## **2.5. Approaches to Comprehensive Social Security**

The South African Constitution of 1996 guaranteed social security as a right stating that “*Everyone has the right to have access to ...social security, including, if they are unable to support themselves and their dependents, appropriate social assistance*” (SA Constitution, 1996). The view was that South Africa would have a ‘Comprehensive Social Protection System’ which would provide a combination of cash grants, safety net programmes, subsidised basic services as well as a voluntary social security system.

A DSD report by an appointed Committee of Inquiry in 2002, entitled *Transforming the Present — Protecting the Future* paved the way for the passing of legislation (South African Social Security Agency Act, No. 9 of 2004 and the Social Assistance Act, No. 13 of 2004) which heralded the establishment of the South African Social Security Agency (SASSA) in 2006. The vision of SASSA is to achieve “a comprehensive social security service that assists people in being self-sufficient and supporting those in need” ([www.sassa.gov.za](http://www.sassa.gov.za)).

To date, SASSA has taken over the administration and disbursement of all non-contributory social assistance grants. In June 2015 16.87 million people were registered to receive grants. SASSA now has about 570 local offices and continues to expand and improve on its scope and quality of service.

SASSA’s current primary focus has understandably been the development of its service delivery of the social assistance grants both in terms of quality and scope/reach. SASSA’s responsibility for the complementary services within a comprehensive social security system as proposed by both the Committee of Inquiry report and the National Development Plan is not as clear.

In 2004, the team tasked with the development of the Comprehensive Social Security Framework (CSSF) advocated a social security package incorporating five main ‘areas of need’, each of which in itself requires a number of initiatives. These five areas of need were identified as: income poverty, service poverty, asset poverty, special needs, and social insurance.

The National Development Plan also spells out in some detail what a broader social protection agenda should entail. The full scope of such a “social floor” lies far beyond the current scope of SASSA and DSD (NPC 2011, p. 363), and requires careful and consistent co-ordination and co-operation across sector departments and spheres of government.

The National Development Plan has now set the tone and direction of the Social Protection agenda outlining a vision that will provide “support that reduces vulnerability, alleviates and ultimately prevents poverty, and empowers individuals, families and communities” (NPC, 2011). Of critical concern in the roll-out of such a vision is the ability of the state to fund it in a context of slow economic growth, with poor labour absorption.

## **2.6. Poverty reduction approaches**

South Africa does not have an explicit, structured poverty reduction/eradication strategy, at least not in an overt sense as is the case with many other countries that, for example, have ‘Poverty Reduction Strategy Papers’ (PRSPs). While there have been attempts in the past to establish such a strategy for South Africa,

they have foundered. On two occasions, for instance, work on a draft anti-poverty strategy was undertaken (Presidency, 2008; Deputy Presidency, 2009), but in both instances the work was abandoned.

This is not to say the South African government is not committed to addressing poverty. However, the overarching ‘strategy’ has to be more or less inferred, or distilled from statements made by political leaders. There is general agreement that increasing employment is the single most important factor in reducing poverty. Employment creation is the singular emphasis of the New Growth Path (Economic Development Department, 2010) and of the Outcome 4 ‘delivery agreement’.

As for inferring the poverty reduction strategy by observing what is actually happening, we cite the example of a Public Service Commission report from 2007, which determined that, apart from formal sector employment creation and social protection, South Africa’s effective ‘poverty reduction programme’ consisted of four main, distinct types of activities: public works projects; land redistribution; income generating projects; and a somewhat more miscellaneous category labelled ‘individual services and social development’ (Public Service Commission, 2007).

One other initiative bears mentioning, namely the ‘War on Poverty’, sometimes also known as the ‘War on Poverty Campaign’. The War on Poverty was conceptualised as an engagement of government with the people that was simultaneously meant to be massive in scale and intimate in terms of the nature of the actual interactions. Moreover, the development rationale was very much the same as what are now generally known as ‘graduation models’. The idea was to reach more than half of all local municipalities within four years, encompassing 2.8 million households. However, roll-out has fallen short of the initial plan and has largely been driven by the provincial Social Development departments.

## 2.7. Economic Opportunities in South Africa

The analysis considers economic opportunities to be those activities that decrease household poverty, vulnerability and marginalisation in society. *Three categories* are considered – Employment, Enterprise Development (including agriculture and asset building), and Capability support (focusing on education and skills training).

### 2.7.1 Employment trends

#### 2.7.1.1. *Descriptive trends*

Widespread unemployment is recognised to be South Africa's key socio-economic problem, in that it is the main cause of both poverty and inequality. Although employment has generally been increasing over the past decade, on the whole the labour force has been growing as fast or faster, resulting in stubbornly high unemployment rates. Interesting points to consider include that unemployment is especially rife among those entering the labour force for the first time and that 66% of all employment generation in post-apartheid South Africa can be located within the Financial and Business Services, and Wholesale and Retail Trade sectors due to increases related to labour broking and employment increase in security services.

#### 2.7.1.2. *Policy perspectives and debates*

There are various ways of conceptualising the relationship of labour market interventions in conjunction with other areas of policy and programme development. One simple schema was recently presented by the Department of Labour, whereby there is a fourfold mutually supportive relationship (see below):

- *Labour market reforms.* Since 1994, the South Africa government has indeed introduced an ambitious legislative programme to reform labour markets, in particular by seeking to improve working conditions and promote fair labour practices by means of legislation such as the Labour Relations Act and the Basic Conditions of Employment Act;
- *Effective social protection.* A robust social protection system complements labour market reforms in a number of ways, including by offering support systems for vulnerable households that might otherwise be compelled to submit to exploitative or otherwise unsatisfactory terms of employment with employers;
- *Activating unemployed and inactive.* So-called 'active labour programmes', or 'labour activation', either helps those who are unemployed or under-employed improve their ability or inclination to actively seek employment or self-employment; and

- *Investment in human capital.* Finally, to the extent unemployment is often understood as the result of a mismatch between the type of skills sought by employers and those job seekers can offer, education and training are seen as vital areas of activity to promote higher employment levels.

The term ‘public employment services’ (PES) encompasses aspects of these various components; especially the three other than labour market reform. In 2012/13, the Department of Labour’s PES programmes, branded as ‘Employment Services South Africa’ (ESSA), managed to place approximately 120 000 job seekers in jobs.

A few NGOs have undertaken Employment Intermediation Services, and initiatives such as Men on the Side of the Road and Work Now are included in the case studies. South Africa also has a well-developed Private Employment Intermediation Service sector, although there remains some debate over the aspect of increased labour brokering.

## **Enterprise Development and Building Assets**

### ***General overview***

The literature on enterprise development in poor communities concludes that strategies *that assume that poor people can ‘self-employ’ their way out of poverty are misplaced*. Philip (2011) identifies a number of challenges to small business growth – lack of skills, limited access to credit, regulatory constraints and the lack of a culture of entrepreneurship (in manufacturing industries in particular entrepreneurs have difficulty in accessing the formal economy). Local markets generally provide the only access point for entrepreneurs.

### ***Types of micro enterprises***

Research confirms that enterprise development is taking place with limited external support, specifically in urban grant beneficiary communities. These enterprises can be divided into three broad groups, viz. retail /services related enterprises, production related enterprises and agricultural enterprises.

### ***South African government support strategies***

The promotion of the small business sector has been a key feature of micro-economic policy in South Africa since 1994 and this focus was first documented in the 1995 **White Paper on the National Strategy for the Development and Promotion of Small Business in South Africa**. The major change in government support for small enterprise development over the past decade was the consolidation of a number of uncoordinated business support initiatives under the umbrella of the Small Business Development Agency (SEDA) in 2005.

### ***Local economic development***

Enterprise development should be a core focus of local economic development (LED) in South Africa, yet following substantial investment in LED programmes over the past two decades, the impact on enterprise development has been limited.

### ***Non-governmental and donor funded programmes***

These programmes range from relatively focused area-based projects to programmes with a national impact such as the FinMark initiative. As a general observation it is, however, noted that there are few programmes in existence with a regional and national footprint.

## **Agriculture as enterprise development and asset building**

### ***Trends***

Despite the challenges and limitations faced by the agricultural sector, specifically in the development and support of the smallholder and subsistence producers, agriculture still plays an important role in South Africa's economy, a reality which is echoed in most economic policy documents

Meanwhile, the smallholder sector appears to be increasing; in 2009 there were about 105 000 smallholder households, and this had increased to over 190 000 by 2011. However, the reason for this increase is not clear; on the one hand it could be related to improved support, on the other hand it could be a response to the slump in the economy and a lack of formal job opportunities (Aliber, 2013).

### ***Government strategies***

The sector is confronted by a number of challenges for which the government has developed various measures and policies. However, there seems to have been minimal success with the different initiatives and measures, which can be attributed to a myriad of factors including but not limited to poorly conceptualised and implemented policies and initiatives, top-down approach to agricultural development, introduction of 'imported' inappropriate and poorly-tested technologies, poor marketing and information services, and a lack of understanding of the political, social, economic, cultural and gender relations that affect the functioning of poor rural farming households.

## **Building Capabilities: Education and skills support**

### ***The challenge***

According to the "Assessment of Ten Years of Education and Training in South Africa", (Department of Education, 2004) quality learning is not, in general, accessible to poor South Africans. The poor also suffer the greatest disadvantages in terms of social and economic opportunities while at school. After school they

battle in terms of general living conditions and finding work. Many drop out or fail to obtain the National Senior Certificate. Lack of funds for post-school training is an issue in poor communities.

Various failings in the system, specifically related to skills development for South Africa's economic strategic plans, prompted the DHET to draft the Green Paper for Post-school Education and Training (January 2012). The Green Paper identified one of the key challenges facing the post-school system as "inadequate quality, quantity and diversity of provision". Currently, approximately three times as many students enter universities each year as enter colleges, creating an 'inverted pyramid' of skills resulting in a workforce with serious shortages of artisanal and other mid-level skills.

The aim of the Green Paper is to "align the education and training system with South Africa's overall development agenda" and it recommends that this will be best done through a "truly integrated education system" (DHET, 2012).

### ***Skills policy framework***

The National Skills Development Strategy III (NSDS III) defines the landscape for skills development in South Africa until 2015 and is the overarching strategic instrument for skills development and guides sector planning in South Africa. It is derived from government policy and strategy related to overall development planning, such as the National Development Plan, the New Growth Path, the Medium-Term Strategic Framework, and the Industrial Policy Action Plan (IPAP2).

### ***Skills required in the South African economy***

The NSDS III identifies priorities for skills development for the period, as well as setting success indicators against which progress can be measured. The skills development priorities are based on the Medium Term Strategic Framework's strategic priority list. NSDS III is intended to chart the way for the Department of Higher Education and Training, for the SETAs and training providers and for other role players in the skills development arena. The DSD research, however, questions the reliability of the South African skills development planning process, highlighting the fact that the planning techniques disregarded labour market dynamics, ignored important indicators and were prone to large errors (DSD, 2009).

## **2.8. Interventions to link poor to economic opportunities**

### **International and South African approaches**

The focus of the literature review was on three categories of programmes – Employment, Enterprise Development (including agriculture and asset building), and Capability Support (focusing on education and skills training). A range of both local and international programmes was reviewed to inform this section.



## Employment approaches

### *Public employment services*

In requesting poor households be linked to ‘economic opportunities’, where ‘economic opportunities’ are understood to include employment, the ToRs in effect request the pilot to participate in what are generically referred to ‘public employment services’. Internationally this approach has been adopted by a number of countries and is premised on linking benefits to work and incentivising work seekers and employers. Cases of these included here are the UK Job Centre Plus and the Australian Centrelink amongst others. The DoL ESSA system was also reviewed as were the NGO initiatives Work Now and Men on the Side of the Road.

Two main questions must be explored in determining how this aspect of the pilot should best be approached in South Africa:

- What are the meaning and prospects of PES in South Africa’s current labour market environment?
- To the extent other government entities are already involved in PES – not least DoL with ESSA – how does that affect how the PES aspects of the DSD pilots are conceptualised?

While definitions differ somewhat, traditionally the core elements of PES have been understood to be the following: ‘job-broking’ (not to be confused with ‘labour broking’ as discussed above), ‘labour market information,’ ‘labour market adjustment programmes’, and ‘administering unemployment benefits’ (ILO, 2001).

PESs have been around for a long time and these services have historically been provided by both the private and public sector. Mazza (2003), for example, identifies six distinct models:

Model A: Public service monopoly

Model B: National employment service with *de facto* competition from private providers

Model C: Public-private partnerships

Model D: Autonomous service with tripartite/key social actors’ participation

Model E: Competition-based network with public funding

Model F: Private sector-based services. (Mazza, 2003)

Through the introduction of ESSA, it would appear that South Africa is in the process of shifting from Model F to Model B, possibly allowing for some blending with Model C. Whether or not labour law amendments will end up seeking to eliminate labour brokers, there is no intention to exclude private sector recruitment/employment agencies as well, but rather to: i) ensure such agencies abide by certain tenets of fair practice, ii) provide a credible and effective service so as to establish an all-around good standard for

employment services, and iii) ensure that there is adequate attention to certain types of people who are especially unlikely to be well served by private agencies, such as people with disabilities.

Although a 2005 OECD publication lists various benefits of such an approach it is commonly questioned whether PES can be useful in an environment characterised by high unemployment rates where there are limited fillable positions. However, improved ICT and data management systems have enabled PES approaches to integrate with other systems and thus can be viewed as a complementary intervention in such circumstances. That said, these systems should be complemented with skilled face-to-face support.

## **Building Assets through Enterprise Development Approaches**

On an international level, major donor and economic development agencies support enterprise development as a means to address poverty and from this a number of programmatic approaches have developed. Much of this is premised on the idea that building household level assets and supporting households to accumulate resources builds their resilience and decreases their vulnerabilities, although it may not be enough to graduate them completely out of poverty.

Programmes supporting enterprise development that may provide guidance for this current initiative of the Department of Social Development include:

**Graduation programmes** which present an alternative response to addressing extreme poverty and have a much wider focus than traditional enterprise development interventions. Enterprise development may, however, be a culmination of a graduation programme. Huda (2012) describes graduation programmes as follows: *“Graduation programmes are based on the premise that the poorest have a latent potential for entrepreneurship that should be harnessed and nurtured, not through loans but through the free provision of productive assets. This – when combined with intensive, one-on-one training, a time-bound cash transfer, and a safe place to save and borrow in times of crisis – is expected to provide families with the means to gradually move out of extreme poverty.”*

A reviewed case study example is the **Consultative Group to Assist the Poor (CGAP)** pilots which are built on the understanding that poor households need access to a full range of financial services to build assets, smooth consumption, and manage risks. The financial services that a household needs access to include savings, insurance, loans and payments (Hashemi and de Montesquiou, 2011). The model acknowledges that a single provider of financial services will not be able “to overcome the very different business model challenges of specific products”. The CGAP solution to this is “a variety of financial services providers that come together for a local-market ecosystem that works for the poor at the base of the economic pyramid” (Hashemi and de Montesquiou, 2011).

### ***The Making Markets Work for the Poor (M4P)***

This is a framework that enables a more informed approach to markets that is different from and avoids the pitfalls of previous extreme approaches of either state control or liberalisation. M4P interventions seek to follow Amartya Sen's suggestion that equitable growth 'be dealt with not by suppressing markets, but by allowing them to function better and with greater fairness, and with adequate supplementation' (Emerging Market Economics, 2008). The M4P framework aims to make markets function better for the poor and assumes that government has an important role to fulfil in achieving this.

### ***The Market Systems Development Approach***

This approach was developed by the International Labour Organisation (ILO) promoting a pro-poor market development approach to enterprise development, supported by an increasing number of donors and agencies. This approach “focuses on strengthening market systems so that they function more effectively, sustainably and beneficially for poor people”. Central to the approach is an analysis of and interventions in underlying causes of market underperformance, striving for systemic change, facilitating and funding what others cannot do, no direct services support etc.

The situational analysis also reviewed other enterprise development methodologies including **Save Act**, **SAB Miller Value Chain approach**, **Asset Based Approach** and **Participatory Economic Action Planning Approach**.

From an assessment of programmes aimed at supporting enterprise development it is evident that a range of approaches are supported and promoted. The approaches followed are also generally dependent on the context within which the agency operates.

## **Agriculture as Enterprise Development and Asset Building**

Agricultural growth is vulnerable to shocks and stresses because of weather, health, financial and other problems, to which small farmers and farm workers are the most vulnerable. Therefore, social protection is important in assisting poor and vulnerable people in the agricultural sector by reducing the risk and vulnerability to shocks and stresses which may cause severe asset loss and further impoverishment.

The situational analysis reviewed **Ghana's Livelihoods Empowerment Against Poverty (LEAP)**, **Malawi's Agricultural Input Subsidy Programme (AISP)**, and **Uganda's National Development Plan (NDP)** as examples of where agriculture was used to anchor and/or contribute towards assisting poor farming households graduate out of poverty.

## **Building capability and assets approaches**

This approach advocates placing assets, entitlements and livelihoods systems into the core of the poverty analysis. Key in this livelihood dynamic approach to understanding poverty is the idea of vulnerability which incorporates a person's or household's ability to manage risk and their capacity to respond and cope. The capacity to respond and cope depends in turn on the availability, access and control they have over levels of resources. Here resources (sometimes referred to as assets or capital) include human, natural, physical, financial and social elements.

Programmes working from this framework are varied and this is in part due to the various interpretations of the concept of vulnerability which is often not viewed as a cause of a broad range of circumstances. There has been a shift in approach which has resulted in a change in the systems including:

- Moving towards a more integrated social protection system including economic support, social services welfare services, legal and policy protection against exclusions;
- The development of a single registry to support this integrated approach;
- Multi-sector government co-ordination and sometimes integration and consolidation of some services;
- Strengthening of referral mechanisms through more formal agreements and the use of agencies;
- Improving and formalising co-ordination with supply services including building formal relations with the private and NGO sectors; and
- Ensuring the technical and policy teams include more than economists  
(Morgan and Yablonski, 2011; Jones and Shakroh, 2013).

## **2.9. Lessons learnt and potential options**

### **Objective of programme**

#### ***Approaches***

The literature review of the various approaches clearly points to a need for clarity of purpose in the adopted programme. Regardless of whether the focus has been primarily on social protection extension or employment, many of the more successful programmes have moved towards linking social assistance benefits (grants, cash transfers etc.) to economic opportunities. The trend has been towards developing a systems approach to the support rather than a set of separate and parallel programmes. Three concepts underpin this thinking:

- *firstly* government services need to be made more accessible and efficient to the public, thus government needs to assist by streamlining the required support needed for the individuals and households rather than expecting the public to understand and work their way through the government programmes;
- *secondly* the type of support required will be multi-dimensional and should change over time requiring integrated co-ordination over a period of time; and
- *thirdly* is the idea that the impact of programmes is higher and more measurable if a baseline is established which analyses people-specific problems

South Africa suffers from a range of obstinate socio-economic problems including low levels of labour absorption as well as high levels of poverty and inequality. Under these circumstances a range of possible support services or linkages should be made to link the poor to economic opportunities. The South African government has already initiated a wide range of programmes either to stimulate the uptake of economic opportunities or to expand the protection of the poor. Despite this, these programmes have not had the intended impact in tackling inequality and poverty due in part to a lack of adequate or co-ordinated targeting of poor households, a lack of co-ordinated and integrated delivery of support services and no clear authority driving the programmes.

The National Development Plan should become the pivot around which programmes begin to coalesce. The questions here are what role the Department of Social Development and / or SASSA takes on within this planned social protection system and how this proposed pilot of linking the poor to economic opportunities develops and refines this role.

### ***Proposed Strategies***

The analysis identified seven (7) potential approaches for this pilot and the programme (listed below). They range from a loose range of support services with limited formal relationships with other departments, to more comprehensive services which can be linked together into a graduation type programme of support.

The seven approaches identified for the pilot are:

1. Provide a loose information, communication and referral service to all economic opportunities and poverty reduction programmes;
2. Provide a comprehensive system of targeting poor households and linking them to the correct service;
3. Focus on a primary linkage for the poor to education and skills training;
4. Focus on intergenerational poverty interventions;
5. System of public intermediation employment support targeted at the poor;

6. A graduation system focused on building assets, capabilities and financial inclusion in the economy; and
7. Comprehensive graduation system of support services.

Each has its own implications for profiling, targeting, policy, costs and institutional arrangements. These implications are not delved into in this report but will form part of the next phase once it is clearer which strategies are identified as being the most suitable in the South African context.

## Services and interventions

### *Approaches*

As indicated in the section above the nature of services offered depend on the objective of the programme and the socio-economic challenges that the target group of the support system faces. Whether the array of support services are seen as a linked graduation system or simply a set of options for people to choose from also depends on the preferred approach and underlying theory of change.

The scope of services offered to **Employment Support Services** includes:

- Databases for workers and vacancies;
- Job brokerage services;
- Work experience facilitation;
- Training of labour advice officers;
- Labour relations information;
- Benefit administration; and
- Monitoring and evaluation

The range of services and approaches with regards to **Enterprise development** were far more targeted at the extremely poor with the objective of building resilience through building assets. **Graduation** in these interventions is often time based as it expected that within a certain period, through the various steps of mentorship and asset transfers, participants would improve their household resilience sufficiently to cope without further support. The range of possible services include amongst others: skills assessment and planning, coaching, mentorship and referrals to advisors

**Agriculture** enterprise development services have in addition to the services above included improvement of agricultural technologies, supporting rural finance services and infrastructure.

The approaches around supporting or **building capabilities and assets** are incorporated in the approaches under employment and enterprise development approaches but also include:

- Assessment of education and training needs;
- Harnessing training, skills and education opportunities through partnership agreements;
- Facilitating access to training and education opportunities – ring fencing, subsidisation of costs, inter-institutional agreements;
- Monitoring and support;
- Facilitating linking of training to work experience;
- Facilitating access to safety net programmes;
- Facilitating access to free basic services; and
- Subsidisation of transport costs

## Targeting and entrance criteria

### *Approaches*

The concept of targeting a support programme at certain groups of people raises a number of issues, namely:

- Inclusion and exclusion criteria and measures;
- Voluntary or obligatory participation; and
- Proactive or passive targeting.

Approaches globally and within South Africa vary widely. The trend in the more comprehensive **graduation type** programmes seems to be towards improved targeting of the poor. In many cases though, the improvement of targeting of the poorer families or people with specific challenges tends to be at a national level down to villages to ensure that the programmes are rolled out systematically and in many cases targeting household level interventions tends to be conditional. Should participants not wish to meet the required obligations they can opt out of the programme and forfeit the grants.

**Employment intermediation** support programmes tend to have fewer or no exclusion criteria and they simply focus on grading or streaming people so that they are directed to the correct service. On the other hand, poverty-related interventions require additional budget and so have exclusion criteria to ensure that the more vulnerable actually receive social support.

Entry into **poverty graduation support programmes** seems voluntary once one becomes eligible. Despite this the demand to be in the programmes in many of the developing countries far outstrips the availability.

### ***Possible strategies***

- Inclusion and exclusion criteria and measures - There is strong argument from the reviews to improve targeting of programmes to ensure that the poor do actually benefit and to ensure that there is a more systematic roll-out of programmes and targeting of budgets. Due to the scale of the challenges and the limited budgets, targeting will be necessary even if it is not to exclude but to simply give priority to certain households over others and would be relevant to all potential strategies identified apart from the first in section 4.1B.
- Voluntary or obligatory participation - should a comprehensive system be adopted then it would be prudent to include some level of obligation on the participant once they are eligible and agree to receive support from the programme.
- Proactive or passive targeting - South Africa currently has a variety of approaches in this regard but mostly has relied on passive targeting. The War on Poverty programme was an attempt to shift into a more proactive approach where all households are surveyed covering standard agreed areas of information. It is suggested that targeting to address poverty becomes more useful when it is rolled out proactively, avoiding the randomness of 'walk-ins' and overcoming obstacles of lack of information and access. Finally, the inclusion of local government and community level structures in the process of targeting will be important to the integrity of the initiative, buy-in and support. It will also assist with aligning with spatial planning and budgeting correctly with this level of government.

### **Profiling tools**

The use of a profiling assists with two issues:

- Household vulnerability and needs assessments for targeting correctly, geographical areas in a country and the households with correct interventions; and
- More accurate budgeting and targeting budgets to the correct areas and people.

From the situational analysis, it was concluded that the usefulness of the War on Poverty profiling tool in assisting with geographical targeting and budgeting, as well as the potential for NISIS to become such a centralised registry, be assessed for potential use. The National Development Plan also makes a strong case for co-ordinating and integrating such registries to improve targeting, planning and impact of programmes.

### **Organisational roles and institutional arrangements**



A critical aspect of building, designing and piloting comprehensive models will be the support, buy in and relationships with other organisations. The cases reviewed, being rolled out by governments, revealed a number of issues, which are as follows:

- Comprehensive type programmes working towards comprehensive social protection require co-ordination within government and often with the private sector;
- Some level of politically agreed centralised administration was required to ensure that the required co-ordination across services and roles of different departments and levels of government was achieved;
- Achieving some form of co-ordination seemed to require more formal partnerships across government or with government agencies;
- These partnerships or agreements often included some form of remuneration for performing a service of another department;
- In a number of cases governments moved towards amalgamating departments or consolidating certain services;
- For effective monitoring and evaluation to take place the tools and capacity need to be built in from the outset and split between monitoring progress and operations; and
- Allowing for continuous programme design and refinement as it is scaled up and rolled out is critical to avoid failure.

## 3. Pilot Model Blueprint

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### 3.1. Background

Research shows that improved income flow into the households is critical to sustainably decreasing poverty levels. However, in many countries affected by high levels of poverty, inequality and unemployment, this cannot always be achieved primarily or immediately through sustainable employment opportunities.

Various international governments have different interventions depending on each government's specific socio-economic development rationale. More developed countries have tended to focus on the link between benefits and employment, whereas countries with high levels of poverty and inequality and low levels of employment opportunities have tended to concentrate on asset and capability building programmes (enterprise support, savings, education and health) along with some grant or safety net programmes. There is also strong argument and growing consensus on the critical need to link economic and social policy so that the various programmes serve to complement and bolster the respective interventions rather than being seen as stark options e.g. employment vs grants.

South Africa suffers from a range of obstinate socio- economic problems including low levels of labour absorption due to inadequate economic growth, and high levels of poverty and inequality exacerbated by unemployment but with its roots in apartheid history. The South African government has already initiated a wide range of programmes either to stimulate the uptake of economic opportunities or to expand the protection of the poor.

South African social grants are directed primarily at the vulnerable who are not expected to work, namely pensioners, disabled and children in poor households, and serve to reduce the poverty gap. Equally, South African government poverty reduction programmes often also include grant components, in recognition of the need to actively address and overcome the severe inequality which resulted from dispossession and which exacerbates levels of persistent poverty.

While there is strong evidence to show that between 1995 and 2005, the poorest deciles became more reliant on income from grants relative to income from other sources, there is also growing consensus that in socio-economic circumstances of high poverty and inequality, social grants for the vulnerable remain critically important in building a “social floor” beneath which no citizen should fall (NPC 2011).

Criticisms persist that roll-out of the programmes is still often inadequate in targeting the poorest, insufficient in quality and quantity, with inequality persisting and real attributable impact in tackling poverty

being unclear. Some of the underlying reasons for these problems have been attributed to a persistent lack of adequate or co-ordinated targeting of poor households from national programmes through to local level initiatives, a lack of co-ordinated and integrated delivery of support services from national through to local level interventions, lack of a centre of authority driving attempts at improving co-ordinated targeting and integrated delivery of services.

The National Development Plan (NDP) should now become the pivot around which programmes begin to coalesce. The NDP acknowledges the structural unemployment problem in South Africa and talks of a broader Social Protection agenda with a “social floor” which clearly argues for a stronger linkage between social assistance (protection, insurance and welfare), basic services, building capabilities and assets which break levels and cycles of poverty, and employment and job creation. It also emphasises the need for co-ordination for a successful social protection system.

The range of possible interventions drawn from various international and national practices, as outlined in the Situational Analysis report for the pilot, are outlined in the table below.

**Table 1: Range of possible interventions and systems used drawn from international and regional case studies**

	<b>Systems</b>	<b>Examples</b>
1	<b>Provide a loose information , communication and referral service to all economic opportunities and poverty reduction programmes</b>	Similar to War on Poverty Approach in South Africa
2	<b>Provide a comprehensive system of targeting poor households and linking them to the correct service</b>	Similar to Australian Centrelink service
3	<b>Focus on a primary linkage for the poor to education and skills training</b>	Similar to the conditional cash transfer programmes in Latin America
4	<b>Focus on intergenerational poverty interventions</b>	Similar to many Latin American approaches – Peru, Mexico, Brazil
5	<b>System of Public Intermediation employment support targeted at the poor</b>	Similar to UK Job Centre Plus, Australia Job Services , US Welfare to Work, Department of Labour
6	<b>A graduation system focused on building assets, capabilities and financial inclusion in the economy</b>	Similar to the CGAP Ford Foundation models, Ghana, Ethiopia, Peru, Bangladesh
7	<b>Comprehensive graduation system of support services</b>	Similar but not same as Australian Centrelink service

Following from the above, the key question underpinning the design of the pilot model was thus framed as follows:

*What role can the Department of Social Development, through SASSA, take on within a planned social protection system, as envisaged by the National Development Plan and how can this pilot develop and refine this role?*

### 3.2. Department of Social Development (DSD) and the South African Social Security Agency (SASSA)

The establishment of SASSA emerged from recommendations made by the Committee of Inquiry into a Comprehensive System of Social Security for South Africa in 2002. SASSA, under the umbrella of DSD, was given a mandate to “to ensure the provision of comprehensive social security services against vulnerability and poverty within the constitutional and legislative framework” ([www.sassa.gov.za](http://www.sassa.gov.za)).

The vision of SASSA aims to provide a comprehensive social security service. However, its primary and initial focus was necessarily on consolidating an extremely racially fragmented social security system. By June 2015, SASSA had extended its income support to over 16 million beneficiaries through an organisation of over 570 local offices and contact points across the country.

### 3.3. The design and implementation of the pilot

#### Goal

In recognition of the important relationship between economic and social policies and strategies, and in recognition of the multiple causes of deprivation that result in poverty, **the pilot design aimed to provide a comprehensive system of targeting absolutely poor households and linking them to the correct economic opportunity.**

Therefore the pilot design was geared at providing this comprehensive system through testing the South African Social Security Agency (SASSA), as an entry point and / or facilitator between the unemployed and economic opportunities currently available. This, according to the design, was to be achieved through the use of **a case management approach to tailor-make links between very poor households and existing and appropriate economic opportunities.**

#### Objectives of the pilot model

The SASSA service provides, through the pilot model:

- Improved and effective targeting of economic support programmes for the poorest households;
- Households with working age adults are supported to access the maximum comprehensive set of economic opportunities available;

- Working age adults in targeted households are linked to economic opportunities that sustainably improve income flows into the household; and
- Improved and effective access for working age adults in poor households to economic opportunities.

## Expected Outcomes of the plot model

- **TARGETING TOOLS** :Members of very poor households are targeted and linked to economic opportunities;
- **ECONOMIC OPPORTUNITIES**: Existing economic opportunities in each site are identified;
- **PARTNERSHIPS**: A network of partners from the public, private, and NGO sectors are willing and able to enable the opportunities;
- **STAFF SKILLS** : Pilot staff have good household case management skills; that is, they offer a support programme rather than a service; and
- **CLIENT BEHAVIOUR**: Clients are willing and able to take up economic opportunities.

## Framework guidelines

The principles underpinning the design of the pilot model thus guiding the implementation/deployment of the model are summarised as follows:

- **Access to a comprehensive set of services** - A targeted comprehensive system implies a one stop service where households access all available and necessary socio-economic support services to build pathways out of poverty and into employment. A comprehensive system implies providing the range of support social and economic services and opportunities available;
- **Creating linkages rather than referrals** - Facilitated access to the full scope of programmes (comprehensive) will improve the household's access to the opportunities;
- **Targeting** - Improved targeting of all economic and social support programmes towards poor households will improve their access to and benefits from the programmes;
- **Target households** - Households combine their efforts , capabilities and assets to improve income flow into the household and so should be supported ( assessed and monitored) at a household level;

- **Priority groups**- The **absolutely poor households** should be prioritised by the DSD and SASSA as these households are the primary concern of DSD and SASSA relative to other departments;
- **Household case management and facilitated access** - Providing household case management support through a one-stop support service into the variety of programmes will increase households' chances of graduating out of absolute poverty; and
- **Building household resilience & reducing vulnerability** -The absolutely poor households need to be supported to build up their resilience and coping mechanisms through improving their capabilities and assets. A targeted comprehensive system of support will assist the absolutely poor households to systematically graduate out of absolute poverty and build their resilience.

### ***Comprehensive linkage service to Economic Opportunities***

There are strong arguments, internationally and nationally, for viewing social policies as complementary to industrial and economic policies. This coupling of social and economic policies serves to guide investment into sectors that create jobs and offer sustainable options of improved earnings while social policy instruments work to improve endowments and enable households to take up this employment (UNRISD, 2013).

For the purposes of piloting this comprehensive approach, the range of economic opportunities that will be engaged with to test the system will attempt to include those listed in the table below, combining social and economic types of support programmes. It should be noted that these did not represent the full array of possible opportunities that currently exist through the South African government programmes around employment and poverty, which are highlighted to a large extent in the Situational Analysis report done for the pilot study in September 2013. While it is assumed, based on a review of research done, that by facilitating access to this array of social and economic opportunities households will benefit more than they would if only one type of support programme was offered, the pilot is focused, primarily, on evaluating the mechanism of facilitation and referral to economic opportunities.

This is largely due to the short duration of the pilot implementation phase which is less than 18 months. This is insufficient time within which to evaluate the impact that accessing each economic opportunity will have on household income flows and poverty levels.

A further consideration for ensuring the success of the pilot objective, of testing the system and mechanism of linkage, is that the pilot focuses on current government strategic priorities and objectives rather than on creating new economic opportunities. The assumption here is that DSD and SASSA are not intending to

expand their mandate to overlap with other departments, but attempting to align and engage with those existing economic opportunities available from other departments, the private sector and non-profit sector initiatives.

Each of these opportunities requires partnerships and collaboration with various government and private sector organisations so that the pilot can facilitate access, as providing this comprehensive set of opportunities is beyond the mandate of DSD and SASSA.

The content of these opportunities, the nature of the potential partnerships, and the nature of the access linkage will vary from partner to partner. In the six pilot sites the following economic opportunities were selected for pursuing, as they were deemed to have the greatest potential for the targeted households and individuals:

Labour activation	EO	Prioritised Economic Opportunity to develop for pilot
	1	Work placement
	2	Career Development
Building assets and capabilities	3	Work experience
	4	Safety net employment – Public Employment Programmes
	5	Education and training
	6	Savings, credit, financial inclusion and asset building through micro enterprises
Social assistance	7	e- inclusion
	8	Literacy, numeracy, financial skills training, e-literacy, driver's license
Policy review / M&E	9	Early Childhood Development
	10	Social floor support – e.g. Grants, ID, welfare, food sec
	11	The pilot will be used as evidence for policy recommendations

### *Targeting the poorest*

The design of the system would in its scaled-up version accommodate two routes to enter the programme:

- The **first** is through a proactive identification of households using existing surveys and / or local leadership and structures to identify potentially eligible households. These households would then be contacted by the staff and have their information verified to confirm whether the household is eligible for the programme's support;
- The **second** route is through a responsive approach where people walking into SASSA offices are offered this programme's support. If interested they would then be interviewed briefly to assess their household's eligibility before confirming whether the programme can support them.

For the purpose of piloting, it was envisaged that the only route that will be tested is the first one where households are identified by the pilot team proactively using the agreed entrance criteria. This was based

on the assumption that the first route will allow for an assessment of the actual time required and staffing required to case manage households. The second route which responds to the public would have too many variables to enable a fair assessment of the actual system and processes needing to be piloted and would not add substantial value at this stage. However, the second route was ultimately deployed in two of the six pilot sites with varying levels of success. Nonetheless, the first route allowed for a more managed communication process ensuring that the pilot is not given unnecessary publicity before the system and process have been sufficiently tested.

### ***Profiling***

The **War on Poverty (WoP) profiling instrument**, along with the associated NISIS (National Integrated Social Information System), has been adopted as the primary profiling tool to determine eligibility for the programme as well as to facilitate some of the ‘streaming’ within it.

This was informed in part by the idea that it is worthwhile for South Africa to gravitate towards one common assessment tool for poverty-related interventions, and through the NISIS, the WoP instrument has emerged as an excellent starting point for such an intention. The fact that the WoP profiling instrument is household-based (though allowing for a great deal of information specific to individual household members) also makes it appropriate (in contrast to the SOCPEN database, which treats grant recipients as individuals rather than as members of households), plus it is a well-structured instrument that has already been tested.

Where the WoP data is found to be inadequate or where insufficient households have been profiled in a pilot site then the pilot team engaged with local leadership and institutions to jointly identify additional potential households for the pilot team to approach. Such a process has been used relatively successfully by the Community Work Programme.

The pilot developed a mini database which replicated some of the War on Poverty fields for use in each pilot office. This database was designed so that it can upload extracted information from the NISIS. This enabled the pilot team to have some flexibility in undertaking a variety of household assessments necessary for testing within the pilot to stream and link people to the identified economic opportunities. Going forward, this has shown that it requires a working relationship to be developed with the NISIS and WoP management team.

### ***Entrance criteria – eligibility***

The design of the targeting process and eligibility criteria is premised on the design of a comprehensive system **targeting the poorest households**.



This system seeks to **assess a household's case** on an active basis and determine what it can do to comprehensively support that household's working age members, in accessing economic opportunities. It is not in itself a commitment that the household members will be linked to economic opportunities, but that there will be an attempt to do so, as well as to maintain contact with and track the household's progress and challenges. This implies that the intervention will work with all interested working age adults in the household. Eligibility for the programme will, however, be assessed at household level.

The eligibility is based on **extreme poverty/vulnerability**. The poverty line indicated by the NDP is R419 per person per month (in 2009 Rand), and to ensure we target the poorest households the pilot will use half the NDP poverty line as **R208 per person per month** as common practice in South Africa is that those below half the poverty line are regarded as the 'ultra-poor'. While poverty is multi-dimensional, the pilot will rely on this simplified single measure to assist with initial targeting and assessment of eligibility.

Regarding who **qualifies as an 'adult'**, this is defined as individuals between the ages of 16 and 60. Households have to demonstrate that they have working age adults and that these adults are unemployed. This implies that households with working age adults will be prioritised in this programme over those who simply have pensioners and / or children.

These excluded households are considered as a secondary group to the prioritised households if their household income is below R209 a month per person, and they are involved in some form of micro enterprise for their livelihoods. This is possible in pilot sites where there are a number of social floor programmes in which poor households should benefit generally e.g. literacy, savings groups, enterprise support etc.

The **issue of disability** are dealt with through the employability and work ability assessments during the individual career development interviews, and do not form part of the eligibility criteria.

All households being assessed for eligibility also simultaneously undergo a basic **vulnerability assessment**. This implies that even if the household is assessed to be ineligible the pilot system will still support households requiring basic vulnerability support by referring their assessment to the relevant partner departments or organisations.

In summary then the entrance criteria are:

1. Households whose members each earn less than R209 per month. (this is half the NDP poverty line which is currently R419 per person);
2. Able-bodied members in the household between the ages of 16-60
3. Households involved in and wanting support for micro-enterprises.

Those eligible are processed into **two streams** in order of priority:

Priority group	Criteria	Economic Opportunities streaming
1	1 and 2	Link to all available and relevant opportunities
2	1 and 3	Link to financial literacy, savings and enterprise opportunities and vulnerability referrals

### ***Household case management approach***

A case management approach was used in the pilot to address and achieve the following:

- The pilot assumes that individuals from poor households whose income flow increases will share this increased income with their households. This assumption could be tested within the scope of this pilot. However, based on evidence from research, this is not a problematic assumption to make and it is important to establish a system that allows for this type of evaluation to take place post the pilot. The pilot therefore works with households and the individuals from these households to enable impact on households over time;
- International practice is moving towards a case management approach on the basis that it enables a more holistic understanding of the challenges an individual faces in their employability and their ability to stay in work over time;
- Engaging with the public in this manner is understood to show a more caring government; and
- Case management allows engagement with the whole household enabling a number of possible tailor made and therefore more sustainable interventions.

In order to achieve this all households assessed to be eligible have the opportunity to decide if they wish to receive this programme's support and if agreeable the household will identify which household members will participate in the various opportunities being offered. A household case file is opened and all participating household members' reports / documents are tracked through the same household case file as long as they remain members of that household.

## **3.4. Pilot Sites selected**

The Terms of reference required that there be six pilot sites. DSD presented a list of potential sites to the service provider. Following a number of discussions, during the situational analysis phase of the pilot, the sites were selected using the following criteria:

- 3 provinces – KwaZulu-Natal, Eastern Cape, Gauteng;
- 2 sites per province – 1 urban and 1 rural;
- Each site should be near or serviced by a SASSA office;
- Each site should have already been profiled using the War on Poverty survey tool and should be uploaded onto the NISIS.

**Table 2: Selected sites and local SASSA offices for the pilot**

Site	District	Local Municipality	Setting	SASSA office
EC				
Queenstown	Chris Hani	Lukhanji	Urban	Queenstown
Keiskammahoek	Amatole	Amahlathi	Rural	Keiskammahoek
KZN				
Msunduzi	Umgungundlovu	Msunduzi	Urban	Pietermaritzberg
Richmond	Umgungundlovu	Richmond	Rural	Richmond
Gauteng				
Mamelodi	Metro	City of Tshwane	Urban	Mamelodi
Ward 105 (Sokhulum)	Metro	City of Tshwane	Rural	Bronkhorstpruit

The pilot was expected to engage and enrol 1000 households across the six sites, which translated into an estimated average of 170 households per site. Each household would have varying numbers of working age adults who, through the service process, would decide whether or not to engage with the pilot. To allow for possible dropouts the pilot identified 200 households per site initially, or 1200 in total.

The sample of households was drawn randomly. The War on Poverty surveys for the areas were sampled using the given criteria and the tables on the following page show the guide of proposed sample groups and the actual make-up of the final sample group. The final sample drawn from the War on Poverty survey population is **879 households** due to very low numbers being surveyed in the two Eastern Cape sites. Because of this, the Eastern Cape sites were used to test alternative surveys and proactive selection processes.

**Table 3: The initial proposed sample guide and actual results after sampling from War on Poverty surveyed households.**

Group	Minimum percentage within the 1000 households total sample	Minimum households per site	Actual Starting sample size	Mamelodi	CoT ward 105	Richmond	Msunduzi	Amahlathi	Lukhanji
Samples size per site	100%	200	879	205	200	200	200	44	30
Households with youth (16-35 year-olds)	30%	40		90.24%	90%	80.5%	85.5%	65.91%	66.67%
Women-headed households	30%	40		52.2%	49.5%	58%	34.5%	50%	33.33%
Households with grant recipients	40%	60		46.83%	38.5%	n/a	n/a	68.8%	43.33%
Households without grant recipients	30%	40		53.17%	61.5%	n/a	n/a	31.82%	56.67%

This information was drawn from the data collected through the War on Poverty surveys. During the model design stage, this information was not yet verified as there were problems with identity numbers affecting independent verification with SASSA regarding grants. The issue of grants and grant types was verified with each individual and with SASSA as part of the implementation process.

### 3.5. Risks and mitigations

Risks were identified to anticipate obstacles that might arise in the roll out of the pilot and to try to prevent these from occurring through mitigation activities or failing this to develop alternative actions in the event of the risk materialising.

Outcome	Risk	Level	Mitigation plan	Alternative response
Targeting	Insufficient data about poor households in pilot area to enable identification of sufficient numbers	Low	Process allows for verification and entrance criteria have been kept simple	Establishment or use of existing local stakeholder forum to assist in identifying poorest/ vulnerable households
	Local stakeholders advertise the pilot publically raising community level expectations and leading to mass application at SASSA office	Medium	Work closely with local stakeholder forum to help manage the process and expectations	Have adopted a proactive approach rather than walk ins, allowing pilot staff and SASSA to explain that this is a research process so that people can legitimately be turned away
	Households are unwilling to share their household incomes or expenses making entrance assessment difficult	Medium	Screening questionnaire has a few approaches to gauge or estimate income levels allowing for some flexibility in assessment	Develop new criteria linked to food security questions and rely more on grant recipient information where available
	Household are unwilling to be screened over the phone	Medium	Pilot process allows potential households to meet face to face	If majority are wanting this then will review pilot process

Outcome	Risk	Level	Mitigation plan	Alternative response
	and prefer face to face options		and undertake phase 1 and 2 interviews in one step where required	and its effect on capacity to achieve roll out plan
Economic Opportunities (EO)	DSD and SASSA disagree with Lima on scope of economic opportunities that should be available in the programme	Low	Agree on definition and pilot design	Revise the scope
	EOs planned in design are available but not available at each site	Medium	Anticipate which can be available and prioritised per site in accordance with site analysis	Identify which can be introduced to area with support funding. Secure such support funding
	EO available in area but relevant stakeholders unwilling to partner with pilot	Medium	Identify through stakeholder meetings how the pilot can complement and support the potential partner achieve their objectives through partnering with pilot.	Assess the necessity of the EO and reprioritise if not critical. If critical elevate the discussion to higher, more influential authorities.
	EOs available but required partnership requires cumbersome lengthy processes to put in place within pilot period	Medium	Engage potential partner in agreement on principle of working with pilot over the long term. Identify short to medium term interim partnership options while longer term partnerships are resolved.	Assess the necessity of the EO and reprioritise if not critical. If critical elevate the discussion to higher, more influential authorities.
Staff skills	Staff are unresponsive or insufficiently courteous to clients	Low	Staff receive correct training, induction, management oversight and support	Replace identified staff member
	Staff cannot cope with case management of households due to intensity of household issues and demands	Medium	Establish a regular monitoring and support system. Focus service on issue identification and linkage to correct support system rather than on addressing issues themselves directly	Review the design to limit the support service to priority areas.
	Staff cannot cope with case management of households due to high case load	Medium	Establish a regular monitoring support system. Introduce admin support system below current ELF through SASSA or collaboration with PEP programmes	Review the case load and introduce extra staff
	Staff have insufficient capacity to secure adequate number of opportunities	Medium	Provide training and mentor support. Prioritise EO's for each area for staff to concentrate on.	Provide additional staff capacity
Client behaviour	Clients not interested in support programmes offered	Low	Pilot process includes M&E on those declining programme from the outset allowing for review and adjustment to address reasons for disinterest.	
	Clients require life skills support to enable them to take up programmes	Medium	Pilot will test group workshop support around life skills, job searching methods and work place skills. Partnerships will explore how this support can be best provided.	
	Clients cannot afford to take up an EO	Medium	Focus on finding EOs as close to clients as possible. Agree with partners on how to mitigate this in each instance. Source support funds for people to take up opportunities	Source support funds for people to take up opportunities.

## 3.6. Pilot Model Blueprint: specifics

### Simple process flow of the linkage services per household

The process is centred on identifying, verifying and engaging with working age adults from eligible poor households. Three phases are:

1. TARGETTING : Entrance process – engaging households and identifying individuals;
2. ASSESSMENTS : Work and Employability assessment processes – working with individuals from households; and
3. LINKAGES : Facilitated linkages processes – working with individuals.

Phase 1 and part of Phase 2 starts with an initial household engagement which identifies identify any key social floor (protection or assistance) that the household should be accessing and that might inhibit the working age adults from engaging effectively with the linkage programme. It should be noted that, in the model, monitoring and evaluation is seen as an integrated and iterative process throughout the pilot as opposed to being a step.

### Detailed System Description

#### *Process flow*

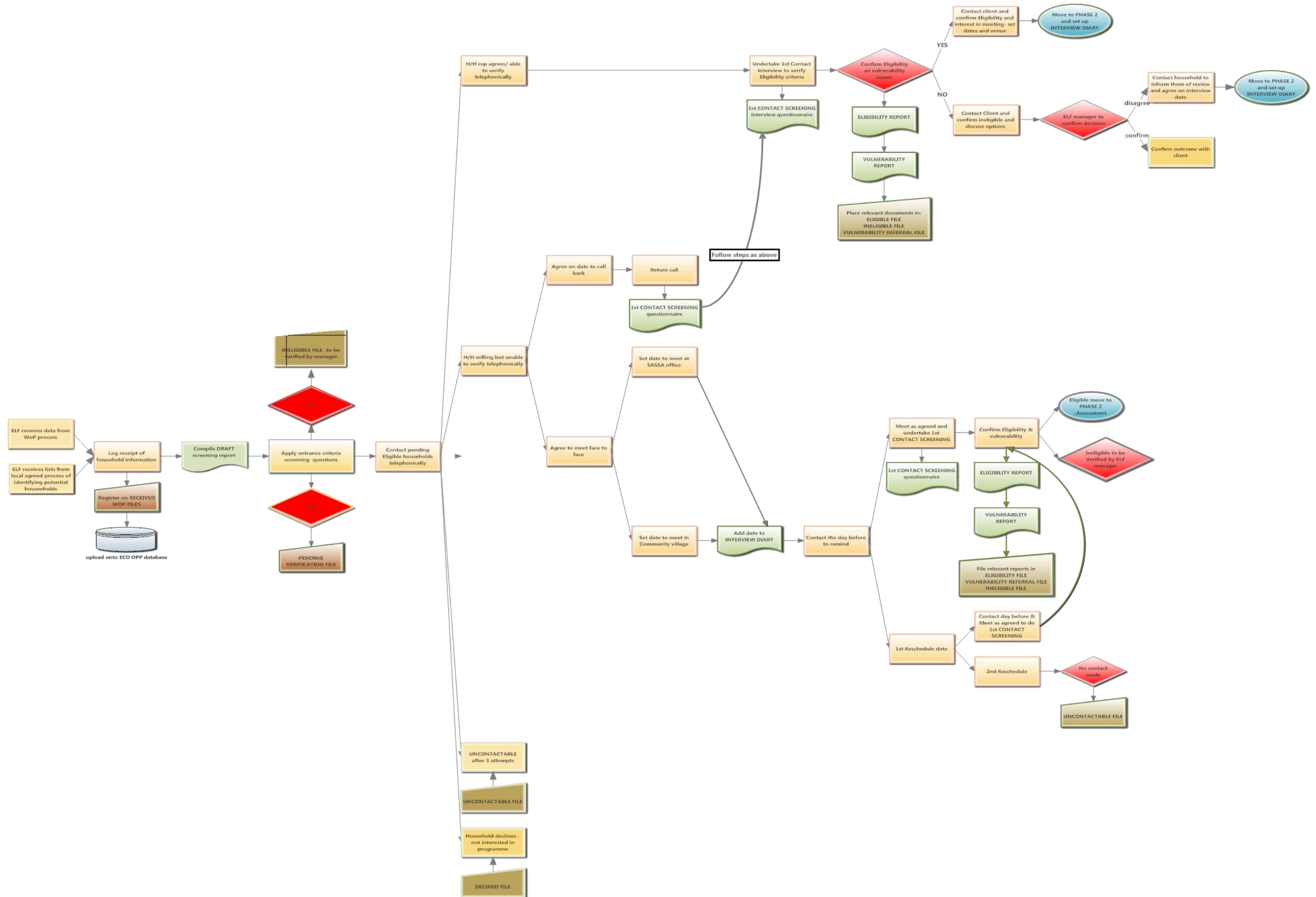
The following section outlines a detailed step by step process that guides the pilot staff based in each SASSA pilot office in servicing the targeted client sample group.

The system has also been designed to try to align with SASSA's current work flow through the local offices which has three steps – Screening, Verification, and Issuing of Cards.

Although an electronic database and information system would be essential to support the system in the long run, the pilot relied primarily on a paper based system supported by a simple electronic database. This avoided the expense of developing a new electronic system and focuses on how the paper based system can be incorporated into existing systems once the pilot system has been accepted as replicable and scalable. The steps outlined in the diagram for each phase are matched in a detailed narrative flow diagram found after the table below.

***Phase 1 A : Targeting through War on Poverty profiling processes***

Phases	Steps
1 TARGETING	<ul style="list-style-type: none"> <li>i. ELF based in SASSA local office receives electronic household data from WoP structure OR a local agreed household identification process</li> <li>ii. Log households received onto HOUSEHOLDS RECEIVED FILE ( hard copy and electronic)</li> <li>iii. Apply entrance criteria to each household file received and produce DRAFT 1<sup>st</sup> CONTACT SCREENING REPORT <ul style="list-style-type: none"> <li>a. NO = not eligible so place in INELIGIBLE FILE</li> <li>b. YES = Eligible so Place all household reports that qualify in APPROVED PENDING VERIFICATION (APV) files <ul style="list-style-type: none"> <li>i. Contact each household on APV file telephonically <ul style="list-style-type: none"> <li>1. YES agrees to interview over phone - confirm and collect information as per screening sheet <ul style="list-style-type: none"> <li>a. End interview and produce ELIGIBILITY REPORT and VULNERABILITY reports <ul style="list-style-type: none"> <li>i. YES = Eligible place in ELIGIBLE FILE and contact client to confirm and set up face to face interview/s with working age adults in household – note in DIARY</li> <li>ii. NO= place in INELIGIBLE file – inform client that pending managers review <ul style="list-style-type: none"> <li>1. CONFIRM= manager confirms ineligibility and client informed</li> <li>2. DISAGREE = ELF reviews clients information and places in ELIGIBLE file and informs client and sets up date for face to face interviews- DIARY</li> </ul> </li> </ul> </li> <li>2. NO = does not want to speak over phone but rather face to face – then set meeting DIARY <ul style="list-style-type: none"> <li>a. Meet and undertake 1<sup>st</sup> contact screening and produce ELIGIBILITY and VULNERABILITY reports – inform client of outcome . <ul style="list-style-type: none"> <li>i. NO = pending manager review</li> <li>ii. Yes = proceed to phase 2 interview or set another date in DIARY for interview</li> </ul> </li> </ul> </li> <li>3. NO = not interested – place in DECLINED FILE</li> </ul> </li> </ul> </li> </ul> </li> </ul> </li> <li>iv. Manager to sign off weekly on ELIGIBLE and INELIGIBLE files approved and associate documentation</li> <li>v. Any households manager feels are incorrectly assessed to be sent to APV file pending the setting up or a date to meet face to face- DIARY</li> <li>vi. Produce VULNERABILITY REPORTS for all households <ul style="list-style-type: none"> <li>a. Refer copies of these reports back to agreed provincial structure ( WoP or other)</li> </ul> </li> <li>vii. Contact people daily the day before set meeting dates to remind them of agreed interviews the following day and reschedule where client request a change of date using DIARY</li> </ul>





## ***Phase 2 ASSESSMENTS***

<b>Phases</b>		<b>STEPS</b>
Phase 2 ASSESSMENT	2 – CASE file	<ul style="list-style-type: none"> <li>i. Meet household representative or members as per agreed date set in Phase 1</li> <li>ii. Explain the objective of the support programme , possible outcomes, and obligations of the client, as well as what they can expect.</li> <li>iii. Confirm with household that they want to proceed to Phase 2 and how many working age adults want to be interviewed in phase 2</li> <li>iv. Sign off Eligibility and Vulnerability reports</li> <li>v. Open a Household CASE FILE – not file number on file register and file – place all reports and documents collected from household in this file</li> <li>vi. Proceed to assessment questionnaire process</li> </ul>
	2A – SOCIAL FLOOR	<ul style="list-style-type: none"> <li>i. Outline each support programme offered and criteria for participation</li> <li>ii. Identify who in household meets basic criteria</li> <li>iii. Agree on proposed allocation of Working Age Adults (WAA) to each programme</li> <li>iv. Note proposed WAA name , Identify number and contact details against each SOCIAL FLOOR SUPPORT PROGRAMME REGISTER and date of agreement</li> <li>v. Place SOCIAL REGISTRATION FORM on CASE FILE</li> <li>vi. Place signed and dated copy of proposed household Social Floor in CASE FILE</li> <li>vii. Copy and give Social Registration form to relevant contact for each programme and note date of handover on CASE FILE</li> </ul>
	2B CAREER DEVELOPMENT	<ul style="list-style-type: none"> <li>i. Complete CAREER DEVELOPMENT INFORMATION FORM (CDIF) with individual</li> <li>ii. Allocate number of household Case file for reference</li> <li>iii. Copy any relevant documents of skills, references, qualifications for CASE file and note on CDIF</li> <li>iv. Assess employability and workability and stream into education, training, work experience, work placement</li> <li>v. Develop and Print out copy of individual CV and discuss use</li> <li>vi. Provide basic advice to individuals on techniques and basics of job seeking – presentation, CV etc.</li> <li>vii. Demonstrate to individual how to self-help on the internet systems available office</li> </ul>
	2 C - GROUP INFORMATION SESSIONS	Where relevant and available organise open information sessions for clients and interested household members to receive information on relevant topics in parallel sessions to interviews taking place

### *Phase 3 LINKAGES*

3 FACILITATED LINKING	3 A - WORK EXPERIENCE	<ul style="list-style-type: none"> <li>i. Identify all available learnerships nationally and in relevant province and local area</li> <li>ii. Establish entrance criteria and application processes an through meeting/ discussion with host of learnership</li> <li>iii. Reach partnership agreements/ understanding for client access to programmes</li> <li>iv. Identify clients who match each available opportunity</li> <li>v. Contact and discuss clients interest and availability</li> <li>vi. Complete relevant documentation and forms for client to access programmes</li> <li>vii. Confirm start dates and support client to take up the opportunity</li> <li>viii. Monitor client progress over period of work experience</li> <li>ix. Follow up any drop outs with households</li> </ul> <p>AND/OR</p> <ul style="list-style-type: none"> <li>i. Identify potential useful learnerships for the clients in the local area</li> <li>ii. Identify potential organisations who are willing to participate</li> <li>iii. Identify potential training companies able to provide relevant training</li> <li>iv. Access/ apply/ secure for funds to establish leaderships or work experiences</li> <li>v. Match clients to available learnerships</li> <li>vi. Complete all relevant documentation required to confirm learnership/ work experience and register where required with relevant authority</li> <li>vii. Monitor monthly uptake and roll out</li> <li>viii. Monitor quality of training and work place experiences</li> <li>ix. Complete monthly reporting as required for accessing funds</li> <li>x. Disburse required funding to learners and to training organisations as required</li> <li>xi. Distribute required documentation around any accreditation</li> <li>xii. Update clients information on CASE FILE</li> </ul>
	3 B - WORK PLACEMENTS	<ul style="list-style-type: none"> <li>i. Identify, meet and agree on opportunities and partnership relationships with stakeholders</li> <li>ii. Undertake assessment and verification of work place opportunities</li> <li>iii. Complete and upload as per partner agreements relevant CV's onto employment agents and private business databases</li> <li>iv. Assess against entrance criteria of those opportunities available</li> <li>v. Undertake reference and criminal checking</li> <li>vi. Undertake 2<sup>nd</sup> interviews where more detail is required by work opportunity</li> <li>vii. Confirm identified clients interest and availability for identified work placements</li> <li>viii. Organise clients introduction to opportunity and induction</li> <li>ix. Monitor clients uptake over 6-12 months through proactive telephonic contact</li> <li>x. Receive quarterly reports from partners</li> <li>xi. Follow up dropouts with households</li> </ul>

	3 C – EDUCATION & TRAINING	<ul style="list-style-type: none"> <li>i. Assess area of interest and potential – counselling assessments</li> <li>ii. Assess against entrance criteria</li> <li>iii. Identify institutions and funding options</li> <li>iv. Assist to apply for each and where possible facilitate access</li> <li>v. Receive regular reports/ monitor progress – receive copies of reports for file</li> </ul>
	3D – SOCIAL FLOOR	<ul style="list-style-type: none"> <li>i. Support interested clients to register and take up identified social floor programmes</li> <li>ii. Monitor uptake</li> <li>iii. Monitor and follow up dropouts</li> </ul>



## Pilot organisational System

Based on the objectives and process design the primary responsibilities of the service included:

- Targeting
- Case management administration
- Career development information, basic assessment and advice
- Linking skills, and training to work experience and work opportunities
- Establishing work experience opportunities
- Establishing training and education opportunities
- Developing and maintaining partnerships for linking to economic opportunities
- Developing and maintaining stakeholder relations to support the pilot outcomes

These responsibilities have been split into two areas of work, namely:-

- Case management assessment, advice, support and linkage
- Stakeholder and partnership opportunity brokering and liaison.

The benchmark used for determining staffing on case management is based on international norms of not more than 150 -200 cases per person. Given the possible variations in job descriptions and approaches to case management this norm has been applied loosely and compared with the Department of Labour's targets of meeting over 400 people a month per staff member. The pilot will work on the basis of one case manager per pilot office per 170-200 households.

This case management work is done primarily at each local SASSA office closest to the pilot communities and the design of the case management process flow complements the SASSA three step service of Screening, Verification and Card Issue. In this regard the pilot will rely on a joint management oversight and support from the local SASSA management structure of the daily work of case management.

Additional administration and information dissemination support will be explored through the use of:

- the SASSA Customer Care Officer,
- trained Public Employment Participants; and
- innovative technologies for sharing information.

The benchmark for stakeholder and partnership relations is less clear; however the Department of Labour, private employment agencies and other similar programmes and services tend to employ people specifically tasked to develop and build such relations, due to their on-going partner maintenance requirements. This area of work cannot be done by the same person dealing with daily case management functions due to time

constraints and because it requires such a different skill set. This area of work should also benefit from the existing stakeholder and partnership relationships forged by SASSA and DSD in each area and will seek and need to work closely with those staff responsible for this.

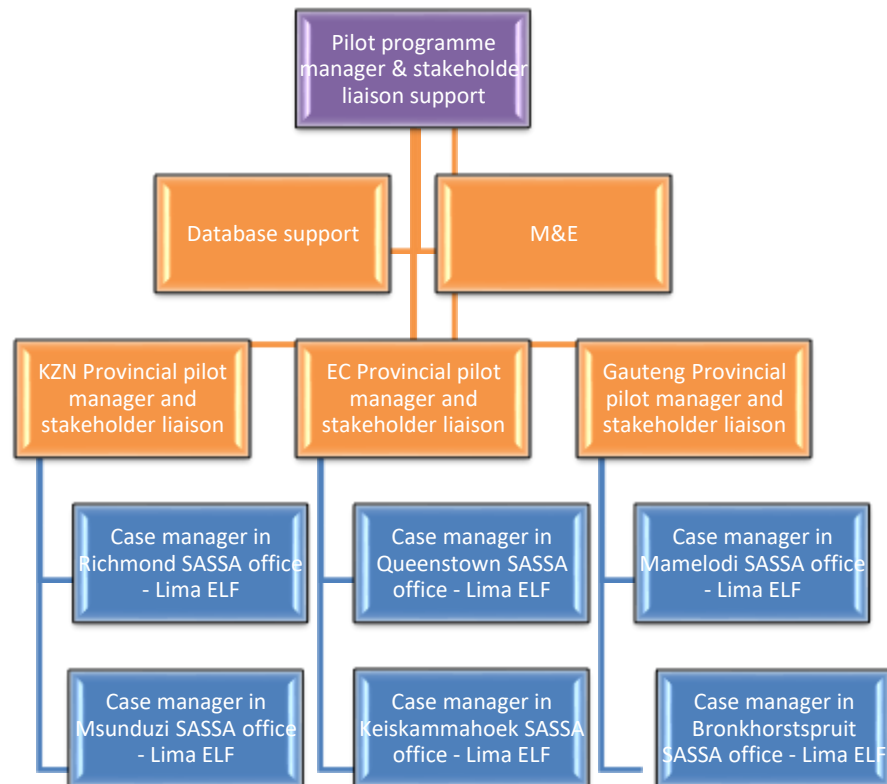
The two levels therefore need to work closely with one another, with the partnership area of work requiring mobility while the case management tends to be more office based. Even in situations where the case management service must be done in remote communities rather than at the SASSA office this is done on an organised appointment date basis. In addition to the staff in each province providing the outlined service the pilot requires a support team to:

- Manage national partnerships and stakeholder relations;
- Identify additional potential partnership funding;
- Monitoring and evaluate processes and reporting;
- Provide overall staff management and support;
- Provide overall information management including database development;
- Ensure ongoing development and review of the design.

## **Resource requirements**

### ***Pilot Staffing***

The Pilot established the following organisational set up, using Lima staff to ensure that 1000 households are engaged and adequate partnerships are established:



The staff members located in the two SASSA offices in each province have been supported by one provincial manager. The responsibilities of the SASSA based staff member, an Economic Linkage Facilitator (ELF), are primarily:

- Case management – Identify, locate, screen, verify and link eligible household's and household members;
- Interviewing, informing and advising household members in primarily office based interviews/ meetings;
- Providing career advice through office based interviews and some workshops;
- Linking clients through agreed methods to agreed opportunities; and
- Supporting monitoring and evaluation processes within the pilot.

The responsibilities of the provincial manager are primarily:

- Local economic development assessments;
- Stakeholder identification, engagement and management to ensure economic opportunities are made available to which the SASSA based person can link people;
- Partnership development through agreement and through drafting and submission of proposals etc. for funding where required;
- Assess companies offering work experience opportunities;
- Managing provincial M&E processes and reports;
- Monthly site progress reports for Lima;

- Liaising with local SASSA office manager to support management of Lima staff; and
- Supporting, guiding, advising and training Lima staff member in pilot implementation.

The provincial managers and office based staff will be supported by

- Programme manager – national stakeholder relationships, system design, M&E, reporting;
- M&E specialist – part time – monthly evaluation and reporting; and
- Database specialist- support and design of documentation.

### ***Logistical support required from SASSA***

To enable this work to be done well it was expected that the office based pilot staff member will have access to the following:

- Space in office
- Desk
- Chairs \*3
- Computer and software
- Internet connectivity
- Phone
- Printer
- Photocopier
- Paper for printing and photocopying
- Filing cabinet
- Fax
- Stationery
- IT support
- Extension cords and plugs
- Two Tablets per office for support by two trained information officers (where agreed).

SASSA provided office space in each of the local SASSA offices at the pilot sites for one Lima staff member and a desk and chairs while Lima provided the remaining resources required.

Based on the design, the provincial manager is required to travel extensively to give support to each office and to meet with and maintain, monitor and develop stakeholder and partner relationships. Lima provided each provincial manager with transport and the provincial manager supports the ELFs to attend to interviews in local villages where required.



### ***Databases and information collection***

The pilot design required that households are targeted and that they are supported through a case management approach. Targeting required an efficient and effective method to identify and assess potential pilot participants' eligibility while case management required a system that could document characteristics and information about households to assist with monitoring their progress over time.

The pilot team evaluated the Social Pension System (SOCPEN) owned and run by SASSA and the National Integrated Social Information System (NISIS) owned and run by DSD and used by a few other departments and provincial governments. Both are living systems in that they have information on them and they are actively being used, and some cases being updated regularly. Given that both systems are live and owned by the client, evaluating other organisations' systems or developing a new system was not cost effective for the pilot and would not be for any scaled up version.

The shortcomings, for the purposes of the pilot design, on the SOCPEN database were:

- stringent and necessary controls on the information contained there making live access and any required modification difficult;
- focus of the data collected, which was not on households but on individuals.

This meant the SOCPEN would not have been useful for case management without the pilot system including further surveying and data collection from identified households.

The NISIS, on the other hand, is complemented by the War on Poverty household survey tool which provides far more detailed information about households and their constituent members' education, skills and employment situations. As discussed earlier, the pilot made use of the existing War on Poverty profiling tool.

The NISIS was specifically designed to be a single trusted database of households living in poverty and despite some setbacks remains the most comprehensive approach to surveying and documenting the situation of households.

Ideally the pilot should have had live access to the database so that it could download relevant families' information, check and verify if households are recorded on the database and add to the database with updated information of households benefitting from the pilot. Through the walk in processes it could also have assisted in uploading new information about new households onto the database.

Due to confidentiality issues this live interaction was not possible but an agreement was reached with DSD and DRDLR (who are both using the system) to provide the pilot team with the information they had for the pilot sites in an excel format.

The pilot designed a simple database system for the purposes of monitoring and evaluating using the same fields as the NISIS as far as possible. The paper based system was underpinned by this evaluation of the suitability of the WoP and the NISIS during the course of implementation. Where new fields or query reports are found to be useful in the pilot these are recommended as adaptations to the existing WoP and NISIS. To this end Lima has developed the base line documents required for the pilot to operate and these are complemented with a simple database system.

## **4. Key findings from the implementation of the pilot model**

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### **4.1. Findings and recommendations on the pilot model processes**

It is important to note that a detailed review of the model processes as outlined above was undertaken with a view to modify and adapt the processes based on the experiences gained from the implementing the pilot model. The review formed a significant part of the 4<sup>th</sup> quarterly implementation report.

#### **Key processes of the pilot model**

As pointed out in the model design blueprint, the pilot implementation model comprises the following key processes:

- Household targeting and evaluation for eligibility;
- Case management of Individuals to support and link them with opportunities;
- Identifying potential relevant opportunities;
- Securing opportunities through partnering;
- Matching, referrals and links;
- Monitoring and evaluating progress and impact; and
- Exiting or revisiting individuals.

Each of these aspects were discussed in detail in the fourth progress report, with the objectives, methodology, evidence results as well as the implications for scaling presented. The key findings and policy implications from the review of the model are summarised in the sections that follow, with each aspect/process of the model being discussed.

### ***Targeting and eligibility of poorest households in a community***

It is important to note that a lot of the proposals herein are still to be clarified with key informants for validation and/or adjustment as part of the next phase of the pilot and/or preparations for scaling. The key proposals are as follows:

#### **1. Use of War on Poverty for targeting and rolling out a scaled-up service or adopting provincial specific approaches**

- The future and current use of the War on Poverty tool and the NISIS needs to be ascertained. This is in view of the pilot's recommendation about the potential of the NISIS acting as a central registry and an interface system for other systems e.g. SOCPEN, Home Affairs, NSFAS, etc. A business case was developed for this which does not appear to have materialised yet. In addition the role of the DSD national office in such a central registry system needs to be clarified.
- Provincial DSDs to evaluate, discuss and possibly agree on the use of WoP tools in their provinces and/or to understand alternative poverty targeting systems provinces might be using that can be further tested / integrated with the pilot model.

#### **2. Use of income levels and employment status as simple entry criteria –**

- Link the monthly income per person in a household to the StatsSA income measure<sup>1</sup> as this measure is applied loosely to verify household information already obtained from NISIS data or would be applied to loosely verify poverty level households referred to the programme through agreed channels. The actual calculation of the measure is not as important as the agreement amongst stakeholders in the pilot model over the source of this measure and the way it is applied.

#### **3. Two targeting processes are employed – proactive and responsive (walk in)**

- There is a need to refine the tools currently used, such that they exclude social floor questions and revisit the walk in process :

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<sup>1</sup> In 2007, Stats SA was officially tasked by government to conceptualise, consult widely and develop a national poverty line for the statistical reporting of poverty in South Africa. In developing the national poverty line, Stats SA used an internationally recognised approach, namely the cost-of-basic-needs approach, which links welfare to the consumption of goods and services. The line was constructed as a combination of two parts, which are the food and non-food components.- *Poverty Trends in South Africa An examination of absolute poverty between 2006 and 2011, Statistics South Africa, 2014, Pali Lehohla, Statistician-General, Report No. 03-10-06*

- ...1. Relevant SASSA officials are be placed to aid in reviewing the pilot questionnaire and process alignment with SASSA processes. The focus should remain on the household and on household income issues.
- ...2. Revise the eligibility questionnaire to its bare necessities i.e. exclude social floor questions.
- ...3. Identify relevant pilot offices to test the walk-in process again.
- ...4. Inform local SASSA staff of the purpose of the pilot and the proposed process and ensure that it is embraced.
- ...5. Implement a further walk-in process and jointly monitor with the SASSA management team.

#### **4. Develop a database of poorest households that can:**

- ❖ Act as a baseline for monitoring and evaluating the impact of government poverty programmes on poor households;
- ❖ Support and streamline the pilot matching and linking processes of the service; and
- ❖ Interface with the central registry system of NISIS, as well as with other relevant systems e.g. SOCPEN, ESSA, NSFAS, Home Affairs etc.

#### ***Case management of individuals to facilitate links to opportunities***

The primary focus of the overall pilot model is to evaluate and understand the profile and challenges that individual clients have to access relevant opportunities and to build pathways with relevant partners to support the clients to overcome these challenges. Therefore, case managers' primary focus is to support individuals from eligible poor households to identify and access relevant pathways to opportunities and support programmes that will increase income flow into their household over time.

The review of the process resulted in the following proposals:

- Evaluating the level of psychosocial support required must be informed by the experience of case managers' interviews, streaming levels, interviewing clients and evaluating linkage successes and failures.
- The caseload of case managers remains a critical area for further analysis. The current ratio is slightly lower than the suggested ratio of 150 clients per case manager. It is only lower because not all eligible household members have been assessed by the case manager. Case load benchmarking depends on a range of variables that can impact on case load complexity and size. Identifying the variables in this pilot model is necessary for a more accurate measurement of a realistic case load. These can include :

- the context,
  - how comprehensive the needs assessments should be,
  - the levels and types of interventions, and
  - the anticipated outcomes/ exit points.
- Finding private sector partners and designing a sustainable work readiness programme that links unemployed to work in such a partnership has been proposed to the Chambers of Commerce in Msunduzi and Queenstown. It was intended to explore with the Chambers, other relevant local stakeholders and DSD in April 2015 with a view to further piloting, but unfortunately essential stakeholders were not able to make themselves available.
  - Evidence from the tested behaviour change interviews and support methods, streaming and categorising clients, use of the career guidance instruments, and case managers' ability to build relationships over time requires more focused evaluation.
  - It has become clear that the model cannot just provide a basic assessment of employability.
    - The method of collecting clients' information must include face to face discussions about social and economic factors affecting their options. It must also include a method that encourages positive behaviour change and motivates the client to become an active opportunity seeker.
    - It should also include an on-going active support process, which includes keeping in touch with clients, and proactively identifying specific support required to access an available opportunity e.g. opening bank accounts, registering at SARS, transport to interviews.
    - While accessing some form of general basic employability skills is necessary e.g. job interview skills, clients would benefit enormously from specific opportunity induction or readiness programmes to ensure they succeed in the opportunity.

### ***Identifying and securing relevant opportunities***

The process of identifying and securing opportunities is not linear or finite and has to be engaged with constantly and consistently across all identified opportunity fields. This aspect of the model requires dedicated, knowledgeable and skilled team members who are focused on building and maintaining a network of relevant relationships that support the pilot objectives and case managers can then draw on for their clients. While a numbers of meetings have been held with a wide range of stakeholders and potential partners, few agreements have been secured to date and the number of links is generally far lower than the number of referrals (the KwaZulu-Natal sites being an exception).

Generally, agreements have resulted in more referrals than links while others have yielded neither. The main observation from pilot experience is that reaching agreements to secure links requires time and adequate staff capacity to build relationships of trust. While most stakeholders engaged have been interested, few have been willing to reach actual agreements, which really tests how to reduce challenges faced by the unemployed poor person to access the opportunity provided.

A critical challenge faced by many partners and clients is the cost of providing and of accessing opportunities. These costs arise in transport, registration fees, course fees, induction costs e.g. attending induction at own cost etc. Numerous opportunities were not taken up due to the clients' inability to afford the costs and the pilots' inability to subsidise the client in accessing those identified opportunities.

These challenges could be addressed and the opportunities harnessed through exploring ways to undertake the following:

**Provide the right incentives to potential partners**

Securing links, or agreements to enable links, requires that this pilot model provide a service to each partner that addresses some of the opportunity providers' specific challenges and interests. Evaluating what these are and whether the pilot model can feasibly meet these still needs further testing.

**Explore the establishment of an Opportunity pathway subsidy fund**

Establishing a regulated fund, that can reimburse secured partners for qualified costs for eligible clients, i.e. clients that have been referred to partners through the pilot model process as well as providing financial support to the clients in accessing the opportunities. This could take the form of conditional grants and the mechanism for dispensing that could vary from direct cash payments to vouchers, part payment could also be considered.

**Create three specialist areas for identifying and securing opportunities**

It is not feasible to have the same person (s) chasing partners and opportunities across the comprehensive set of social and economic opportunities. Work on the three areas of Social floor, Education and Training and Work Placements require different sets of knowledge and skills to understand, identify and secure. In addition, relevant opportunities and services in the areas of social floor and education and training are provided mostly by the public sector while work opportunities outside of government itself are provided by the private sector. Whether public sector opportunities are better secured by public sector officials needs to be considered. Private sector work place dynamics are also better understood by private sector than public officials. A mix of public and private sector systems for securing opportunities needs to be developed and tested.

### **Social Floor and Public employment Programme**

The scope and inclusion of social floor opportunities requires further discussion in the Social cluster. The pilot model is premised on case managers understanding both the social and economic challenges faced by the unemployed client and how accessing support programmes across social and economic sectors can enable them to succeed. However, some challenges faced by the pilot clients are the actual processes they are required to follow which could result in relevant Social cluster partners seeing the pilot in a policing or monitoring role rather than as a collaborative social partnership. In addition agreement needs to be reached on how to collaboratively evaluate and report on successful outcomes.

### **Work readiness, literacy and numeracy**

A major challenge faced by pilot clients is poor levels of literacy and numeracy. If the pilot model includes career guidance, skills assessments, and work readiness literacy and numeracy assessments as part of its service, there is good argument to be made for creating a foundational training / learning programme for the targeted clients in all the pilot model centres. The cost of providing this will be explored in the remainder of the pilot.

### **Learnerships**

Learnerships offer the most valuable opportunity to the pilot clients as they combine work experience with accredited training plus they are supported by a basic stipend to cover travel and other costs. Given the difficulties of find work placements for most clients in the current economic environment, finding ways to include this opportunity as a critical part of the model is essential. It is envisaged that it would either require a full time Learnership expert in the model to build on-going relationships, monitor available opportunities and forge partnerships where possible, or / and it requires national agreements to be forged between DHET and DSD on a funding model to enable the pilot model to create new learnerships, or directives to SETAs or TVETs on creating and ring-fencing relevant opportunities. All avenues require further deliberations and agreements between the relevant departments. Another alternative is to broker relationships with provincial education and training forums where they exist e.g. ECSECC in the Eastern Cape, where the possibility of accessing development agencies or large businesses who could create relevant learnerships is discussed.

### **Work readiness support programmes**

An alternative or complementary programme to learnerships is the possibility of building up a work readiness support programme, linked to secured demand, into which assessed and streamed clients can be channelled. This should be further explored and designed in co-operation with the Msunduzi and Queenstown Chambers of Commerce.

## **Work placements**

Assessed and referenced clients are seen as valuable to companies but this should be complemented with further engagements around the value of providing clients with work-readiness support. This means offering companies more value through the pilot model they receive through their usual recruitment avenues and helps the pilot model develop a brand companies do not easily forget.

## ***Matching, referring and linking to opportunities identified***

The pilot has made use of three methods to perform the matching, referring and linking to opportunities:

- A hard copy manual system;
- A temporary (throwaway) electronic database system focused on streamlining the case management processes; and
- An Excel spread sheet system summarising client profiles and opportunities to record and streamline matching.

The review of the process proposes the following:

- The pilot model requires a centralised system which both stores information about clients and opportunities and also enables an efficient monitoring and matching process. This system must optimise the case managers' relationship with their clients, i.e. it should not replace the need for the case managers contact time with clients but should work to enhance this time.
- It is envisaged that an MIS system should streamline the case managers' work and the work of those identifying and securing opportunities, and monitor and enable evaluation of progress and impact.

## ***Monitoring and evaluation impact and exiting support programme***

The M&E framework employed in the pilot was developed as a result of a proposed Theory of Change for the pilot. In the framing the M&E, the vision of the pilot was: *The pilot uses a case management approach to tailor-make links between members of very poor households and existing and appropriate economic opportunities.* Therefore the four expected and specific outcomes of the pilot were:

1. *Members of very poor households are targeted and linked to EOs:* TARGETING TOOLS
2. *Sustainable EOs are secured through active partnerships:* EOs & PARTNERS IDENTIFIED
3. *Pilot staff have good household case management skills, i.e. they offer a support programme rather than a service:* STAFF SKILLS
4. *Clients are willing and able to take up EOs:* CLIENT BEHAVIOUR



The pilot model was also designed to enable basic and preliminary assessments/measurements of changes in household income poverty levels should the pilot be extended. This was motivated by the need to offer other stakeholders this support service to their programmes when they open up opportunities to the pilot clients i.e. an incentive to go into partnership with the DSD. Furthermore, this would allow the development of a potential monitoring and evaluation system that is linked to the WoP and NISIS central registry system. Should the above succeed, it would enable the DSD to further contribute to research on changes in levels of household poverty.

A review of the M&E proposes the following to be explored:

- A programme exit proposal needs to be developed that is linked to the entry requirements. While there are preliminary proposals for such an exit strategy, these could not be tested and would require the pilot model to be tested for a longer period.
- A further review of the M&E framework and tools employed in the pilot is required as the framework mainly centred on the monitoring and evaluation of the model processes but did not include monitoring and evaluation of the individuals and households that were referred and linked.

## **4.2. Results of the pilot implementation**

This section of the report presents the outcomes of the implementation of the pilot model. More specifically, the section reports on the clients and stakeholder engagements, the economic opportunities identified and results of the referrals and links during the entire implementation period.

### **Identifying and securing opportunities: stakeholder engagements**

Over the entire implementation period, the pilot placed emphasis on the identification of relevant economic opportunities as well as building and strengthening relations with economic opportunity providers, principally employers as well as training and educational institutions, and on improving the profiling of clients. The economic opportunities identified and partnerships forged with economic opportunity providers by the pilot are presented in Annexure 2. In order to better facilitate and “sell” the pilot clients to opportunity providers, all clients were ‘streamed’.

The streaming shows that the vast majority of the pilot clients fall into the category of unskilled, entry level worker. In addition, literacy and numeracy tests were administered on volunteers from among the cohort that have Matric certificates with a view to testing the correlation of the qualification with the client’s actual

literacy and numeracy levels. The results showed that most matriculants, in the target households, are below NQF4 in numeracy and the literacy abilities, thus are below the expected standard.

Furthermore, workshops were held with clients in all six sites which had two main objectives; firstly stakeholders and opportunity holders were invited to present their organisations to the clients, and secondly clients were invited to reflect on their experience with the project, and its impact on them. This section that follows draws from and summarises the key issues identified from these workshops, which are discussed below.

### ***Review of existing opportunities and opportunity providers***

A number of existing stakeholders were engaged with, again with a view to strengthening the relationship and ensuring that opportunities are not being missed. The exercise of fine-tuning clients' profiles was generally well received as it assisted in determining what kind of opportunity is likely to have the best outcome for each client.

As the programme has progressed it has become increasingly clearer that building of relations, which include building an understanding of the needs of each stakeholder, is key to clients being identified by stakeholders from the vast pool of potential candidates that exists for every opportunity. Initially, and in many cases, stakeholders did not or could not easily/quickly see how they would benefit from partnering with the pilot.

New stakeholders continued to be identified, using various methodologies, these included among others, getting lists of local constructions firms and checking if their current needs match any client profiles, driving around the local area to a site and approaching potential stakeholders and continuing to trawl the internet. There tends to be a feeling among clients that there is too much competition chasing opportunities found on-line, which probably indicates how they became 'discouraged work seekers'.

There has been a particularly strong focus on building relations with the SETAs and other skills development and training institutions, especially those funded by the SETAs. Although blockages have been experienced, it is envisaged that over the longer-term this avenue will be the most fruitful for clients, but assistance from the relevant government departments is needed to realise good results.

### ***Achievements***

1. The client evaluation workshops demonstrated that the programme is held in high regard. In particular, many clients have been re-energised by just being in the programme, being given targeted support and having an interest taken in them. Clients have been seeking opportunities

themselves, and approaching the ELF's for assistance applications, CVs and interview preparedness. Even those for whom no links have been made express a high level of appreciation for the programme, and for the government that has not forgotten them.

2. The stakeholder evaluation workshops showed which organisations are interested in and value the programme, and it is notable, that apart from government bodies, these are largely training institutions, and that many of them are NGOs/NPOs. The programme has identified that there is a lot of energy and experience available to it, and a proper audit of such organisations would be of benefit.
3. The majority of successful links that have been made are to training and education opportunities, reflecting the programme's improved understanding of where the clients are placed in relation to the labour market.

### ***Challenges and how they are addressed***

1. The principal challenge is the very low work readiness levels of many of the pilot clients. Streaming has assisted the case and provincial managers to identify those who are easiest to link and also those who need to be assisted by social services and with very basic education before they can become work-seekers with any hope of success. Many clients who manage to get interviews fall at that hurdle, or if they get a job, find they cannot cope with being in a workplace. The local managers assist as far as they can with interview and attitude preparedness but what is really needed is an intense and structured programme, such as Harambee's, that builds on soft skills in particular. The streaming process could be used to identify the right programme for each level.
2. The general scepticism of employers towards entry level workers with Matric certificates is affirmed by the low literacy and particularly low numeracy levels of matriculant clients assessed. All new clients coming into the programme should be offered literacy and numeracy assessment, regardless of their paper qualifications, and the resulting gaps addressed before clients are placed on the job market. The final assessments would be a valuable support to CVs.
3. Although there are, theoretically, many training and education opportunities available, most clients are challenged by the financial costs involved in accessing them. Where possible, the programme has been arranging for transport, especially when a group of clients is going to training or interviews, but this is not a sustainable solution, and transport and subsistence is not the only financial challenge, in particular when accessing diploma and degree courses.
4. Some opportunities, for example, training providers holding SETA grants, are not easily accessed at local level. The programme has been attempting to facilitate these processes with the national offices, but the results so far have been poor.

### ***Feed-back from pilot clients***

1. Initially, many clients were concerned about how Pilot staff obtained their contact details, but were reassured when the process was explained. This was especially the case where clients were identified through WoP, as they remembered that engagement and were impressed that there was a follow-up.
2. Clients appreciate the personal attention, the advice given regarding e.g. how to complete SASSA forms, the follow-ups made by case management, even when there were no opportunities resulting, and the fact that the programme included other household members. They appreciate that the case managers are professional, respectful and approachable.
3. The programme is very strongly identified as a government one, and many expressed gratitude that government had 'not forgotten' them.
4. The programme re-ignites hope for the future; younger clients are motivated to become job-seekers and parents are extremely grateful when children are assisted into work or education/training opportunities.

***Feed back from opportunity providers: current and potential***

1. Partnerships should be well planned and structured, and the work of one partner should not be duplicated by that of the other.
2. There is space for public / private partnering on placement of low-skilled candidates.
3. The programme needs functioning partnerships with the higher and further education sector, especially for bursaries and learnerships.
4. Information and communication technology is a challenge in rural areas; in urban areas there is scope for innovative use of low-cost smart phones for clients to access information on opportunities.
5. There is a serious need for functional centralised information points on all social services, such as those envisaged by the plan to roll out Thusong / multi-purpose centres to all local municipalities. Would SASSA offices be able to take on this function?
6. Social floor issues need to be well understood for each client within each project household; assistance should be appropriately targeted.
7. DSD should be aware of local economic trends; skills audits would inform the labour pool's skills needs and help prepare it for coming opportunities.
8. It is important to invest hope in the young.
9. Grant income is important in helping people access labour market opportunities.

### **4.3. Matching, referring and linking to economic opportunities**

As indicated, the pilot continued to identify and secure opportunities. Case managers and provincial managers concentrated on the households and individuals that have already been assessed and no new assessments/enrolments were made, since end of February 2015. Therefore, the number of households contacted and assessed remains as reported in Progress Report 4, and is presented in the table that follows.

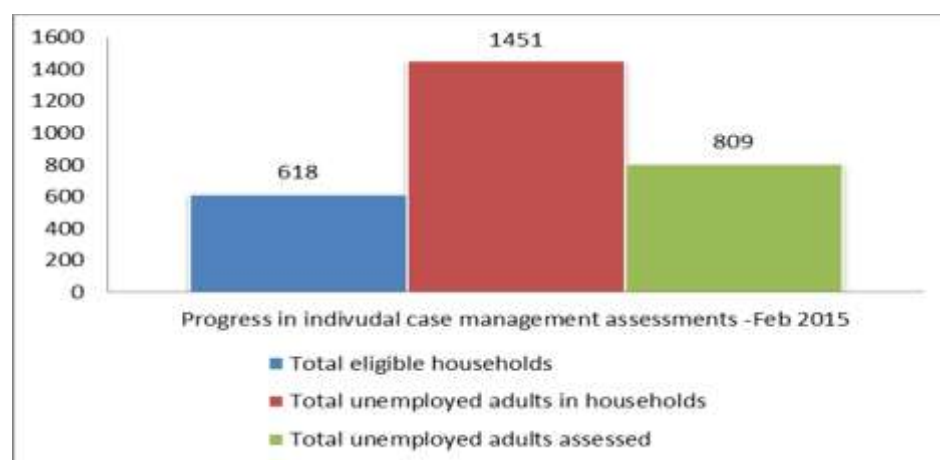
**Table : Contactable and eligible household numbers**

End Feb 2015						
Pilot site	Sample size	contacted	uncontactable	eligible	ineligible	Declined
Mamelodi	202	118	83	110	83	28
Bronkhorstspuit	183	95	88	77	18	7
Richmond	250	140	111	113	26	3
Msunduzi	259	140	125	81	45	8
Queenstown	136	108	28	85	23	
Keiskammahoek	306	213	93	152	61	2
<b>TOTAL</b>	<b>1336</b>	<b>814</b>	<b>528</b>	<b>618</b>	<b>256</b>	<b>48</b>

As at the end of February 2015 to the end of the pilot implementation period, case managers had contacted and met with 809 (56%) unemployed individuals, from the 618 eligible poorest households in the six pilot sites.

Evidence from case managers of the high level of psychosocial challenges can be found in the interview experiences, levels of initial support required to access an opportunity and in the early dropouts of clients from work opportunities. Monitoring, evaluating and documenting these challenges is in progress and will be used in developing better and more effective and targeted support for the different clients groups/streams.

The pilot team focused on contacting and meeting the remaining 44% of unemployed household members in February 2015. Despite these efforts the response from the remaining unemployed adult members of the household to the programme has only increased slightly.

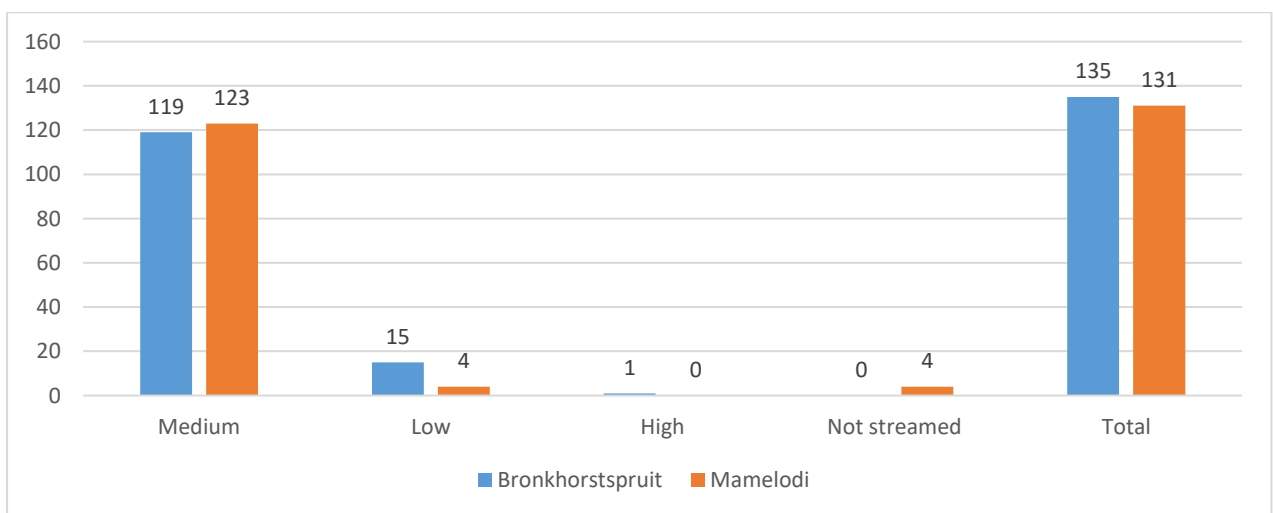


**Figure 1: Progress in individual case management assessments**

### ***Client assessments and streaming***

The client assessment summaries are provided as Annexure 2, which categorises the working age adults assessed according to age, gender, education levels as well as skills level.

In order to facilitate better matching for referrals and linking, the assessed unemployed working age adults were streamed into three categories being low, medium and high according to skills level, gender and age. The results of the streaming assessment for Gauteng sites are presented in the figure that follows. The figure presents the results of the streaming according to skill level. The majority of the clients in Gauteng fall within the medium skill level, and a similar pattern emerged in Eastern Cape and KwaZulu-Natal.

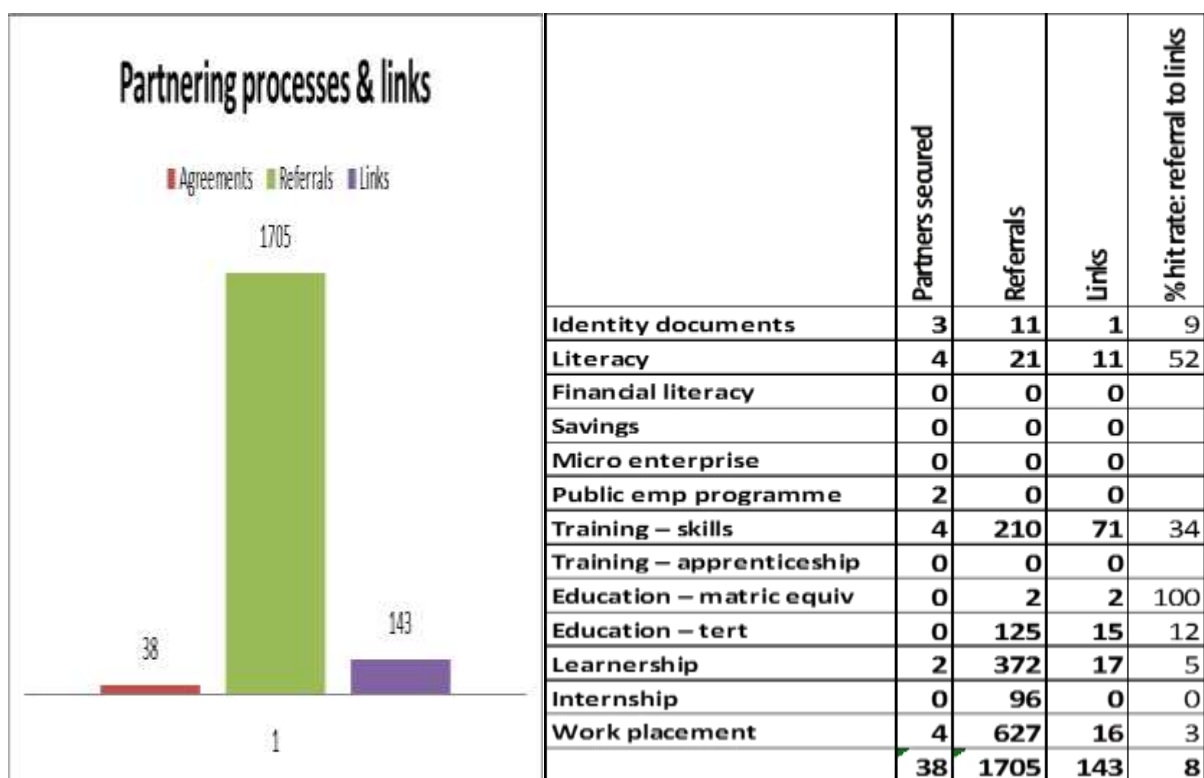


**Figure 2: Streaming of UWAA in the eligible households in the Gauteng pilot sites**

The above results show that the majority of the clients in Gauteng sites require intensive work readiness support. Only a few of the clients are easy candidates for job matching or work placements. The rest of the clients are fall within the low skill category wherein they require social floor assistance. This trend seems to be common amongst all the pilot sites. As per the recommendations from the fourth quarter report, the this programme has a great potential in concentrating on improving the employability of the assessed clients therefore skills training and work readiness economic opportunities hold the highest potential and thus efforts should be concentrated on these types of EOs.

### ***Linking and referrals results***

During the period March to May 2015, as pointed out earlier, the case managers and provincial managers concentrated on identifying opportunities and facilitating access to those links. The table below presents the results of the links and referrals made.



**Figure 1: Pilot progress at the end of February 2015**

The above graph and table illustrate the relationship between agreements for the period March 2014 to February 2015, referrals and links. Some agreements have resulted in referrals and links while others have not. The pilot ability to secure agreements has been limited by time. Reaching agreements to secure links requires time and adequate staff capacity to build relationships of trust. While most stakeholders engaged have been interested few have been willing to reach actual agreements, which really test how to reduce challenges faced by the unemployed poor person to access the opportunity they provide.

For the period March 2015 to May 2015, as is shown in the results below, across the three provinces 426 referrals were made during the fifth quarter and 85 links were made. This translates into a success rate (links as a proportion of referrals) of 20%, which means that the pilot had a ratio (links: referrals) of 1:5. This implies that for every five referrals made there was one successful actual link.

This is a significant improvement from the Fourth Progress report which had a ratio of 1:11 or a success rate of 8% over the period March 2014-February 2015.

**Table 3: Pilot performance at a provincial and across sites, March to May 2015**

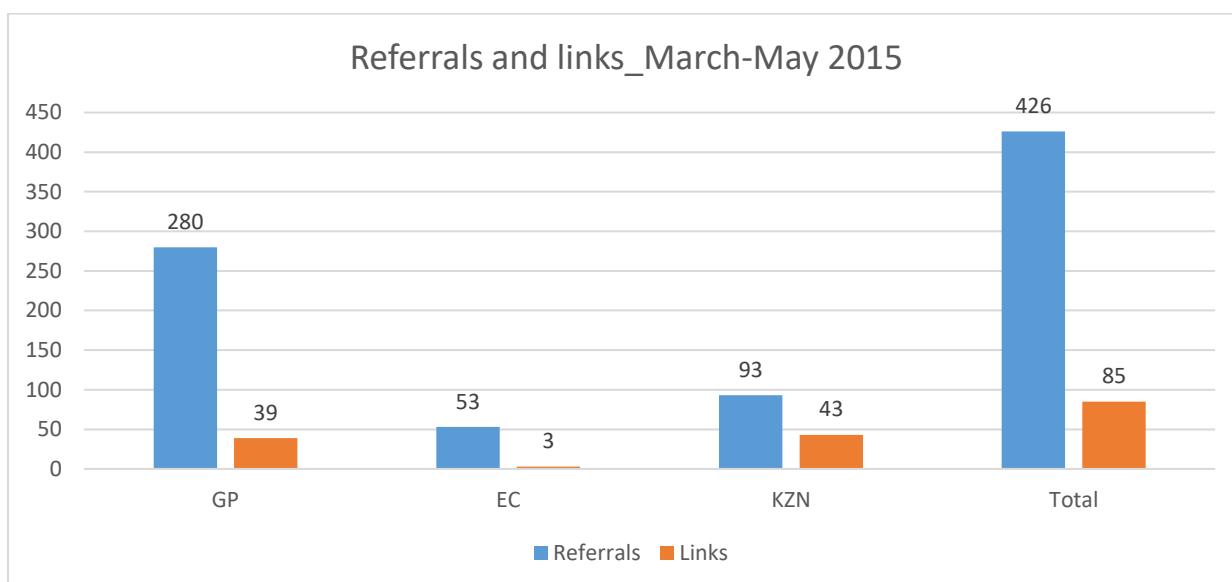
Pilot outcome	GP	EC	KZN	Total
Referrals	280	53	93	426



Links	39	3	43	85
Ratio (Links:Referrals)	7	18	2	5
Success rate (as a proportion of referrals)	14%	6%	46%	20%

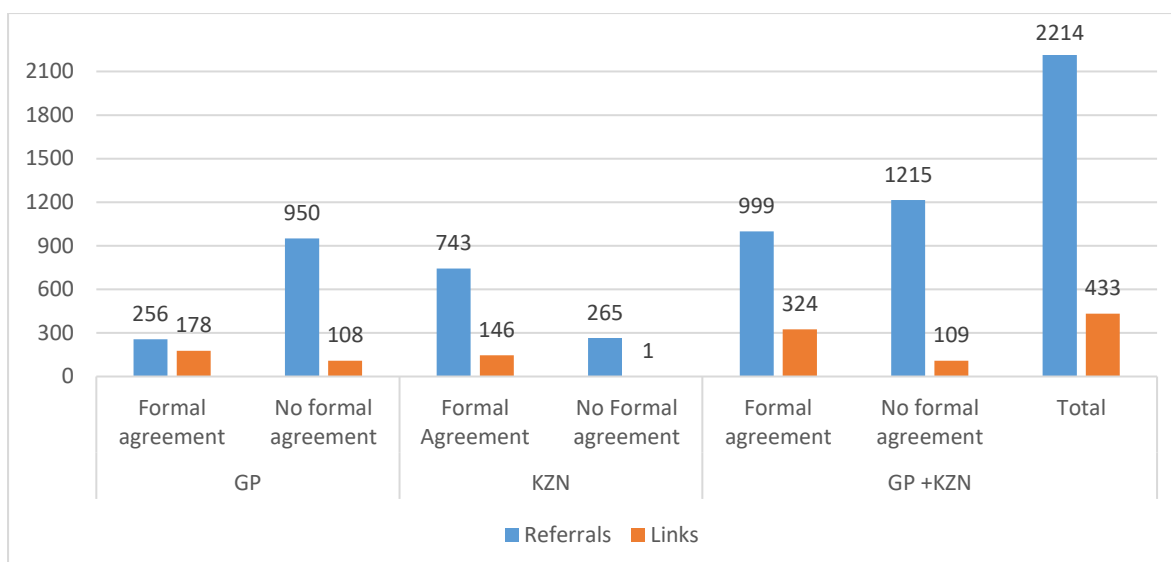
While the success rate of the pilot has increased significantly, there are marked differences across provinces as well as across the sites. At the provincial level, KZN had the highest success rate at 46%, wherein every second referral resulted into a link. This followed by Gauteng at 14% or a ratio of 1:7, even though it accounted for the highest number of referrals, and by extension potential opportunities for the clients.

The Eastern Cape sites had the least number of referrals as well as links and thus the worst performer at a success rate of 6% which translates into a ratio of 1:18.



**Figure 3: Pilot performance across provinces**

As noted earlier, the continued engagement with opportunity providers resulted in both referrals and links throughout the life of the project. The figure below presents the results on the referrals and links between opportunity providers that the pilot had formal agreements with as well as those that the pilot did not have a formal partnership agreements with. It is important to note that, as discussed earlier, agreements are important as they have in many cases resulted in actual links. This mainly due to the fact where there is an agreement, the team was able to assess and identify and some cases prepare the pilot clients for the opportunities that they were referred to.



**Figure 4: Comparison of referrals and links among opportunities providers with and without formal agreements with the pilot**

From the graph, in Gauteng and Kwazulu Natal<sup>2</sup>, 2214 referrals were made to opportunity providers, and of these 433 resulted in actual links. From these, 999 referrals were made to opportunity providers that had a formal agreement with the pilot, but 324 links were made, in contrast, 1215 referrals were made to opportunity providers that had no formal agreements with pilot and this resulted in 109 links. The table that follows presents an analysis of the pilot success. The details of the referrals are presented in annexure 4 (Electronic copy)

**Table: Assessment of pilot success in KZN and Gauteng<sup>3</sup>**

	GP		KZN		GP +KZN		
	FA	NFA	FA	NFA	FA	NFA	Total
Referrals	256	950	743	265	999	1215	2214
Links	178	108	146	1	324	109	433
Links: Referrals	1.4	8.8	5.1	265.0	3.1	11.1	5.1
Success rate (%)	69.5	11.4	19.7	0.4	32.4	9.0	19.6

FA-formal agreement exists, NFA-no formal agreement exists

From the above table, the ratio of links to referrals for the pilot was 1:3 where a formal agreement exists and 1:11 where no formal agreement existed. This translates into a success rate of 32% and 9% respectively.

<sup>2</sup> The results are only for Gauteng and KZN as the EC results are still be verified, but will be inserted in the final report to be presented

This underscores the importance of securing the relevant opportunity and getting into formal partnerships with the opportunity providers so as to aid the successful linking to those opportunities. However, the overall success rate of the pilot shows that every 5 referrals resulted in a link, which brings the success rate to approximately 20%.

## **5. Pilot findings and policy recommendations within the DSD Strategic plan**

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The sections that follow draw out the key lessons learnt and the challenges identified from the implementation of the pilot model and how these could be addressed or incorporated in the scaling of the pilot.

### **5.1. Key lessons learnt and recommendations**

#### **5.1.1. Targeting**

Given the problems with the unevenness of WoP implementation across the country and the lack also of indigent lists in all local municipalities, and lack of uniformity in their compilation, it is recommended that the ‘walk-in’ approach coupled with information dissemination via DSD’s Project Mikondzo and other public communication and media channels be explored.

Household heads/members who think their household might qualify would call a central number for a simple eligibility assessment (focusing on income and unemployment, excluding social floor questions) and if eligible be invited to SASSA office for registration, assessment, including of social floor issues, streaming and development of personal action plans (bearing in mind that primary focus of SASSA case management is support to individuals to identify and access relevant pathways to opportunities and support programme that will increase income flow in their households over time). Electronic file would be opened for each call, and updated as household members(s) come to the office. Hard copy case file would be opened for individuals at offices at their first visit and electronic household files updated confirming what information is captured (copies IDs, certificates, etc.) with case notes.

At SASSA offices the grant eligibility / RDF forms should include a section related to EO Linking, to be offered to clients as an option to complete. When a client is found to be eligible for EO Linking, they should be referred immediately to the relevant colleague who will, if time permits, register the client that day or make an appointment for a return visit. SASSA officials responsible for taking EO Linking referrals

should be able to efficiently refer clients with psycho-social issues to a DSD social worker that they linked to for this purpose, if such a system is not already in place.

NISIS should act as central registry.

### **5.1.2. Identifying and securing relevant opportunities**

Most tasks could be assumed by DSD/SASSA EO Linking senior management. SASSA local case management should be kept informed of opportunities identified that clients can pursue themselves and where opportunities are confirmed they should ensure they are taken up, and the outcomes should be monitored.

Tasks such as daily internet searching and scanning of other sources where jobs are advertised should be devolved to clients; the client's SASSA case manager should discuss with each client what those sources might be and how to access them. Not all clients will have public internet access available but most will have access to local/community radio, free sheets and to notice boards at municipalities and shops.

### **5.1.3. Streaming**

One of the main findings of the programme is that the majority of clients are not work ready. All clients were streamed in the final two quarters of the current implementation, in categories of 'Red', 'Yellow' and 'Green', with 'Reds' being the least opportunity-ready and 'Greens' being the most opportunity-ready. The vast majority of clients fell into the Yellow category. In addition, because of concerns around the meaningfulness of matriculation certificates with regards to opportunity-readiness, samples of clients who have matriculated were tested for literacy and numeracy levels. The tests showed that the majority of matriculants in the programme were not sufficiently literate for employment other than as manual workers, and the vast majority were seriously lacking in numeracy abilities.

It is recommended that for the next phase of the Pilot, all clients are offered literacy and numeracy testing and the streaming methodology be refined, so that there is better understanding of what each client needs in order to be assisted to be opportunity-ready. It is envisaged that this will be particularly effective for assisting those clients in the current Yellow category, and a refined streaming should include each client's level of work readiness and access to the financial resources that might be necessary to take up an opportunity.

Clients in the Red category are generally those who are in greatest need of social floor protection, and the recommendation is that these clients should be diverted to social assistance rather than be retained in the programme, and be encouraged to return to the programme if and when social floor issues are successfully addressed.

Clients in the Green category are those who are work-ready, or who qualify for entry to further or higher education. Once relevant opportunities have been identified for this group, for most the only remaining constraint to their successfully exiting the programme is funding to access those opportunities. These are 'low-hanging fruit' who should be fast-tracked by the programme and who would most benefit from the existence of an Opportunity Fund.

#### **5.1.4. Exit strategy**

Although the Pilot continues to be well-received by the clients it will be important to develop and implement a clear exit strategy before 'programme fatigue' and disillusionment set in. This can potentially affect both the clients and their case managers. There are three main factors to consider when developing an exit strategy - the extent to which it should be time bound, the extent to which it should be activity bound and whether it should be compulsory.

Case management experience has shown that identifying potential exit points (successfully linking) takes time and in most cases considerable activity on the part of the case manager and the client, and it would be unwise to exit clients before they themselves feel that that the programme has done as much as it can for them. The recommendation is that a number of strategies are developed and tested in the various offices in the coming phase.

Caps could be put on the number of links made, the number of referrals, the number of times a case manager checks in with each client, etc. If more than two links have been made and all have failed this suggests there is something wrong with the approach – to date, the lack of financial resources and the lack of work-readiness have been the main causes of failure, and going forward, these constraints should be flagged at the streaming stage.

The approach to setting time limits for remaining on the programme should be by pro-active agreement with each client, which is periodically revisited. The aim should be to ensure that if not successfully linked by the end of the agreed-on period, then at least the client should be in possession of a C.V. that includes their experience within the programme, and the knowledge of what the basic expectations of an employer are, how to conduct themselves in an interview and how to access information about work opportunities.

This approach would also address the issue that is becoming a growing concern of dependency among the clients on the Pilot and in particular on the case managers.

It is recommended that a number of different exit strategies, testing various ‘capping’ scenarios’ and time limits be trialled across the six sites in the coming period.

### **5.1.5. The Management Information System (MIS)**

The monitoring and evaluation tools that were developed for the Pilot have worked well. The MIS fell into disuse due to continuous problems with connectivity and the inability to work off-line. Due to these problems the contract with the service supplier was allowed to lapse. If the programme is going to be rolled out nationally then an MIS that is integrated with DSD’s own systems is essential, and within that capabilities should exist so that all aspects of file management and reporting should be present, and the system should be available off-line.

For the coming phase, discussions should be held with the relevant IT officials within DSD/SASSA as to what is affordable and practical, bearing in mind the basic requirements.

### **5.1.6. Identified Constraints and Policy Implications**

The constraints that have been identified during the implementation phase are tabulated below, with the recommended policy change(s) necessary to unblock them.

	<b>Constraint</b>	<b>Policy Change</b>
1	Majority of clients are not work ready	Programme should include work readiness assessment and ability to offer or refer to basic work readiness training
2	Majority (+/- 85%) of work opportunities are not advertised	Programme need an employment specialist who is familiar with the labour market and can unlock opportunities
3	Clients lack financial resources to access identified opportunities	An Opportunity Fund should be established; corporate sponsorship could be leveraged

	Constraint	Policy Change
4	Clients are locked out from PEPs and SETA	Dedicated access points should be negotiated with EPWP, CoGTA and DHET
5	Pilot is not accessing opportunities held by employment agencies	A clear guideline of what is a labour broker and what is an agency that is not a labour broker should be developed
6	Clients not accessing entrepreneurial opportunities	Existing opportunities within government programmes, especially within DSD, should be explored. The establishment of co-ops based on the client households should be explored

## 6. Pilot findings and policy recommendations' fit within the DSD strategic plan: 2012-2015

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### 6.1. Introduction

In this section, the Department's 'Strategic Plan: 2012-2015' is used to guide the policy implications that are emerging from the programme. The situation analysis (Section 3.4.4) refers to boosting 'youth development by means of youth leadership programmes; skills development, via its bursary programme; ... (A)ll these measures are aimed at improving the access of young people to social and economic opportunities', and in the sections that follow the Plan goes on to detail strategic objectives and key outcomes.

A number of DSD specific outcomes that are relevant to the Pilot have been identified, and are listed in the table below together with the relevant Pilot findings and policy implications. It is noted that the Plan is now three years old, and that therefore some objectives may be out of date; hence the table is provided for discussion purposes prior to closure of the programme

#### 6.1.1. Emerging policy implications

Outcome 4: Decent employment through inclusive economic growth (page 15)				
Specific DSD outcomes	Performance indicators	Functional area	Pilot Finding	Policy implication

A profile of CSG primary caregivers for linkages to economic opportunities	Comprehensive profile of CSG primary caregivers	Social Insurance	Anecdotal but unconfirmed evidence of CSG primary caregivers in a linking programme	Bring CSG primary caregivers into Programme; align profiling methodology
Increased work opportunities, skills, and income levels in the social sector	750 000 work opportunities created	Special Projects and Innovation	Widespread lack of work-readiness among clients, coupled with low educational levels and lack of appropriate skills development	EPWP and CWP should be used as labour market entry points. Both provide valuable work experience and some training.
	CWP extended to 163 additional sites			
	Kwanda rolled out across all nine provinces			
	Basket of social services provided to military veterans			

**Social Security Policy and Administration, sub-programme outcomes and outputs;**  
**Social Insurance** (page 32)

<b>Governm ent outcome</b>	<b>DSD specific outcom e</b>	<b>Strategic objective s</b>	<b>High level inputs</b>	<b>Performan ce indicator</b>	<b>Baseline</b>	<b>Pilot finding</b>	<b>Policy implication</b>
Decent employment through inclusive growth	Introduction of a mandatory pension system	Ensure uniformity in social security provisioning by 2015	Legislation for mandatory retirement, death and disability benefits	Existence of approved legislation	No legislative framework in place	SASSA is a trusted government agency with a wide footprint. DSD social security clients comment that Pilot case managers can give	On-the-ground delivery of Pilot services rolled out through SASSA offices; strategic management and oversight located in the unified Social Security Department
			Establishment of a Social Security Policy Department	Existence of a Social Security Department	Absence of a unified Social Security Department		



			by April 2013			them more attention than social workers	
	Linking grant beneficiary households to economic opportunities	Link grant beneficiaries to economic opportunities	CSG primary caregivers profiled and about 6 000 linked to economic opportunities by 2015	Number of CSG primary caregivers profiled for economic opportunities	–	Not possible to link clients quickly to economic opportunities. Profiling methodologies tested, improvements recommended	Alignment of profiling methodologies; setting of realistic targets, e.g. no.s successfully completing work readiness training

**Sub-programme outcomes and outputs, Social Policy Research and Development: Special Projects (page 44)**

<b>Governm ent outcome</b>	<b>DSD specific outcome</b>	<b>Strategic objective s</b>	<b>High level inputs</b>	<b>Performan ce indicator</b>	<b>Baseline</b>	<b>Pilot finding</b>	<b>Policy implication</b>
An efficient, effective and development-oriented public service and an empowered, fair and inclusive citizenship	Deepening of social policy discourse and evidence based policy making	Build research, evidence based policy-making and social policy capacity and expertise in the Department and the Social Sector	Build research and social policy capacity in the Department and the social development sector	Number of policy makers trained in social policy and social policy analysis	Number of policy makers trained in social policy and social policy analysis 300 officials trained since 2005	Pilot implementation began with poor understanding of gap between ultra-poor households & labour market	Pilot findings to be integrated into DSD planning; pilot should continue into a further phase to test work readiness programmes, entrepreneurial potential within households, relationship building with opportunity holders, dedicated access points for ultra-poor
			Number of Departmental policies developed and reviewed with	Number of policies developed / reviewed	Five policies have been developed / reviewed		

			Directorates				to SETAs & PEPs, access to corporate sector CSI spend, etc.
			Research Coordination and Management (RCM) Strategy	Existence of the Research Coordination and Management Strategy	DSD-wide research audit		
			Develop Social Development policy briefs	Number of policy briefs developed	–		
<b>Government outcome</b>	<b>DSD specific outcome</b>	<b>Strategic objectives</b>	<b>High level inputs</b>	<b>Performance indicator</b>	<b>Baseline</b>	<b>Pilot finding</b>	<b>Policy implication</b>
Decent employment through inclusive economic growth	Increased work opportunities, skills and income levels in the social sector	Increased work opportunities, skills and income levels in the social sector	Coordinate the implementation of the Social Sector Cluster Public Employment Programmes	Number of work opportunities created	112 937 job opportunities created as at 30 September 2011	2 sites partnered successfully with CWP. Greater demand for PEPS among poor households than is catered for.	Expand existing PEPs to all ultra-poor households, raising their income & skills levels. Bring household members in target group into
		Promote community-driven development	Community-driven development	Number of sites in municipalities implementing the Community Work Programme (CWP)	71 sites currently established and implementing the CWP	Individuals respond well to targeted support – feelings of isolation & hopelessness alleviated (similar findings with CWP); clients & households	community-driven development through e.g. CWP, to build confidence of clients/households/ community members in their ability to self-organise for own development. Integrate
				Number of sites implementing Kwanda	Kwanda is currently implemented in five provinces		

				programme per province		motivated to self-help	lessons from Kwanda into Programme
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## 8. Appendices

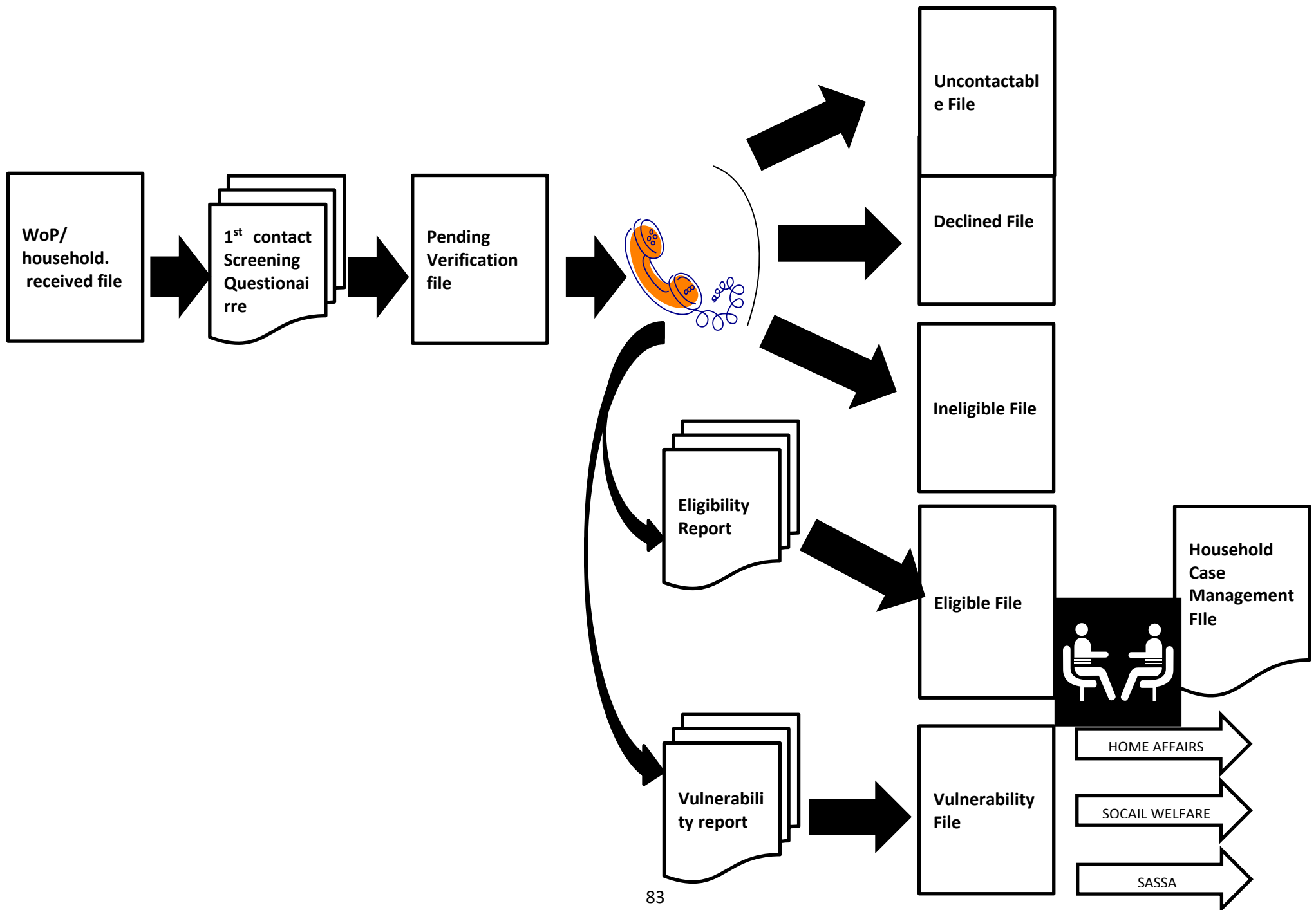
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### 8.1. Appendix 1: Pilot Model Forms, Reports, Files

<b>Guide</b>	
Phase 1	A
<b>Reports</b>	
1 <sup>st</sup> contact discussion guideline	B
1 <sup>st</sup> contact interview ( telephonic) and information collection	C
Eligibility report	D
Vulnerability report	E
<b>Files</b>	
Received Household Log file	F
Approved pending verification file	G
Eligible file	H
Vulnerability referral file	I
Uncontactable file	J
Ineligible file	K
Programme declined file	L
Household case file	M
<b>Registers</b>	
Daily Interview register	N
Social floor register	O

**Appendix 1A: GUIDE : Step by step guide for set up and Phase 1 – use this to check that you have completed all steps**

STEP	CHECK
1. Photocopy or print all file summary sheets , questionnaires, reports, and registers.	
2. Create files –Label neatly on outside, place summary sheets on inside cover; punch the file and insert clip;	
3. Open <b>WOP OR HOUSEHOLD INFORMATION RECEIVED FILE</b> – list all households records received, with dates received – start/ received date for WoP files already received should be the date you open the file.	
4. Select first 10 households from the list – these are the ones you will phone for testing system;	
5. Note the date on the WoP file that you have selected these households to be removed from the WoP file for assessment;	
6. Complete a <b>1<sup>ST</sup> CONTACT SCREENING QUESTIONNAIRE</b> for each of the 10 households in pencil from the WoP date or any data you have;	
7. Place the 10 draft screening questionnaires in the <b>PENDING VERIFICATION FILE</b> – and complete the summary sheet on the inside of the file with the relevant information – date , name of household etc;	
8. Phone each household in the pending verification file using <b>1<sup>ST</sup> CONTACT GUIDELINE</b> to introduce yourself and verify information on the screening questionnaire in the pending verification file;	
9. If you cannot trace the person then put the screening questionnaire into the <b>UNCONTACTABLE FILE</b> – noting dates you tried to contact the person on the summary sheet;	
10. If the person declines or is not interested in going through with the process then note the reasons and put the Screening questionnaire in the <b>DECLINED FILE</b> ;	
11. If the person is not sure and wants you to phone back another time then leave the screening questionnaire in the pending file;	
12. If the person is willing to answer your questions then complete the screening questionnaire over the phone- then tell client that you need to go over the information to confirm if they are eligible and you will phone them back later that day;	
13. Using the information on the screening questionnaire you must now complete the <b>ELIGIBILITY REPORT</b> and the <b>VULNERABILITY REPORT</b> ;	
14. Once the Eligibility report is completed make a final decision on whether they are eligible or not;	
15. If they are not eligible then put the report with the screening questionnaire into the <b>INELIGIBLE FILE</b> – to be checked by your manager;	
16. If they are eligible then put the Eligible report with the screening questionnaire into the <b>ELIGIBLE FILE</b> ;	
17. Phone the client back and inform them of the result;	
18. If the person is eligible then ask them if they are willing and able to have a face to face meeting with you to discuss their issues in more detail – agree on a date and venue to meet and note the date your <b>DIARY REGISTER FILE</b> ;	
19. Ask the person if they want to set dates for the other working age adults in their house or if you should phone them back to confirm who else is willing to meet with you – each person should get their own time slot with you;	
20. Complete steps 8 – 19 for each of the 10 households you selected – if any household declines or is uncontactable then select another name from the WoP file and follow steps from point 5.	



## Appendix 1B: Introductory Information sheet

( to be used when making 1<sup>st</sup> contact)

Step 1	y/n	Step 2	y/n	Step 3	y/n	Step 4	y/n	Step 5
Good day, I am wanting to speak with/ looking for ..... ..... Is this you?	Yes	Can I speak with you briefly and what language would you prefer me to use?	Yes	My name is ..... I am phoning from a company that is working for government. I am working in the SASSA office in ..... <i>( If the person is a bit sceptical or wary of who you are then) - Would you like the address and phone number of this office ? (If yes then provide this)</i> I got your name from government <ul style="list-style-type: none"> <li>• who did a survey with your household in ..... (date)</li> <li>• OR</li> <li>• who have identified your h/h thro ??? programme.</li> </ul> Do you remember this survey?	Yes	<p>Government provided us with this information because they would like our company to help government develop a new government support service. Before they can offer this service to everyone they want us to test this with some people who they think might benefit from this service? Your household has been selected from the government surveys as one of the households who might be willing to help us test this new support service.</p> <p>Government wants to see if they can assist people who are struggling with issues of unemployment. They want to see if they can do anything to help link people to opportunities that will help increase income into their households.</p> <p>Because this is still being tested this support is not available to everyone so your information will be kept confidential and we ask that you do not tell people that this service is available as they will not be able to access this service unless we contact them first.</p> <p>This programme is only for those households who are struggling most with unemployment so we need to check if the information we have about your household is correct to be sure you are the right household to test this programme with. Are you willing to answer a few questions over the phone so I can see if your household is eligible for the programme?</p>	Yes	Proceed to draft survey questionnaire
							No	Responses Either:

							<ol style="list-style-type: none"> <li>1. End of contact and close file – ask reasons – SECTION D</li> <li>2. Phone back another time</li> <li>3. Prefer face to face interview – so set a date</li> </ol>
					No	Remind them a little of what the survey was about and ask if you can proceed.. then if yes proceed as above..	
			No	Establish what reasons and note on sheet SECTION D – either no call back or call back another time ( If the person is a bit sceptical or wary of who you are then) - Would you like the address and phone number of this office ? (If yes then provide this)			
	No	Can you assist me with contacting this person or someone from that persons household please? (try to get an alternative number)	Yes	Get new number and try to contact and start conversation again			
			No	Note on file as uncontactable for tracing through local committees			

### Appendix 1C: 1<sup>st</sup> Contact Screening questionnaire

Please capture the dates on which any of these processes were followed and if possible which official did this.

	Date	Name
War on Poverty		
Phone call 1 <sup>st</sup> contact		
Call back 1 <sup>st</sup> contact		
Call back 1 <sup>st</sup> contact		
OR		
1 <sup>st</sup> contact Appointment date		
THEN		
Eligibility confirmation with customer		
Phase 2 interview date		

#### SECTIONS

Section A: Information and Interest (Phone and/ or face to face)

1. Follow 1<sup>st</sup> Contact introduction guide
2. If yes then Go to section B
3. If no then go to section D

B: Collect personal details of interviewee

C: Eligibility

D: Reasons for declining

#### SECTION B: PERSONAL DETAILS

Identification Type	ID book	Temp ID book	Permit	Refugee ID	Gender	M	F					
Identity number				Title	Mr	Ms	Miss					
Permit number												
Surname												
Full names												
Initials				Date of Birth	C	C	Y	Y	M	M	D	D
Cell number				Relation								
2 <sup>nd</sup> number				Relation								
3 <sup>rd</sup> number				Relation								

( confirm if they are still resident at this address)

Correspondence Language	
Local Municipality No.	
Ward No.	
Village/ Farm name	
Nearest town	
Residential address	
Postal address	

**SECTION C: ELIGIBILITY**

No.	Questions	Response	Action required																										
1	Would like support with: 1=seeking employment 2= starting own business 4= education/ training 5= work experience		<i>Tick the relevant box/es that the person indicates that their household would like help with next to the question. More than one box can be ticked</i>  <i>If the answer is no then proceed to Section D.</i>																										
2	Are there Working Age adults in your household (ages 16-60 years)?		If yes then write YES and proceed to question 3. If no then write NO and proceed to question 5																										
3	How many working age adults are in this household?		Capture the total number between 16-60																										
4	How many of those adults are unemployed?		Total WAA unemployed																										
5	What is the total number of people living in your household?		Total number of household members living in this household:																										
6	How many of your household are over 60 years?		Total household members over 60?																										
7	How many of those receive government pensions?		Total household members over 60 receiving pensions?																										
8	How many of your household are 18 years or younger?		Total 18 and below?																										
9	How many of those receive child support grants?		Total receiving child grants?																										
10	How many adults (16-60 years) are disabled?		Total working age adults with disability?																										
11	How many of those receive disability grants?		Total receiving disability grants?																										
12	Can you estimate your total income for the household per month? Monthly household income (sum of all working age employed adults contribution to household expenses)  <table border="1"> <thead> <tr> <th>Category</th><th>Tick (✓)</th></tr> </thead> <tbody> <tr><td>01= R0</td><td></td></tr> <tr><td>02 = R1- R199</td><td></td></tr> <tr><td>03= R200-R399</td><td></td></tr> <tr><td>04= R400-R799</td><td></td></tr> <tr><td>05= R800-R1199</td><td></td></tr> <tr><td>06= R1200-RR1799</td><td></td></tr> <tr><td>07= R1800- R2499</td><td></td></tr> <tr><td>08= R2500-R4999</td><td></td></tr> <tr><td>09= R5000- R9999</td><td></td></tr> <tr><td>10= R10000 or more</td><td></td></tr> <tr><td>11= don't know</td><td></td></tr> <tr><td>12= refused</td><td></td></tr> </tbody> </table>	Category	Tick (✓)	01= R0		02 = R1- R199		03= R200-R399		04= R400-R799		05= R800-R1199		06= R1200-RR1799		07= R1800- R2499		08= R2500-R4999		09= R5000- R9999		10= R10000 or more		11= don't know		12= refused			Ask this first but if they refuse or cannot give a clear answer then proceed to 13 to assist them to estimate income or to 14 to estimate household expenses.  These are WoP 9.11 categories of total amounts – <i>tick the relevant box</i>
Category	Tick (✓)																												
01= R0																													
02 = R1- R199																													
03= R200-R399																													
04= R400-R799																													
05= R800-R1199																													
06= R1200-RR1799																													
07= R1800- R2499																													
08= R2500-R4999																													
09= R5000- R9999																													
10= R10000 or more																													
11= don't know																													
12= refused																													
13	Do you or your spouse/partner and/or dependent child have any source of income and can you estimate how much this is per month?  <table border="1"> <thead> <tr> <th>Income Source</th><th>Mark (tick)</th><th>Amount received per month (R)</th></tr> </thead> <tbody> <tr><td>EPWP or CWP programmes</td><td></td><td></td></tr> <tr><td>Profits from a business and/or farm which is owned</td><td></td><td></td></tr> <tr><td>Payments from a trust and/or inheritance</td><td></td><td></td></tr> <tr><td>Payments from property rights</td><td></td><td></td></tr> <tr><td>Pension or annuity</td><td></td><td></td></tr> <tr><td>Ex-Gratia amounts</td><td></td><td></td></tr> </tbody> </table>	Income Source	Mark (tick)	Amount received per month (R)	EPWP or CWP programmes			Profits from a business and/or farm which is owned			Payments from a trust and/or inheritance			Payments from property rights			Pension or annuity			Ex-Gratia amounts				If yes, I, Now determine the sources of the households income.  <i>Tick the relevant box and put estimated amounts where possible.</i>					
Income Source	Mark (tick)	Amount received per month (R)																											
EPWP or CWP programmes																													
Profits from a business and/or farm which is owned																													
Payments from a trust and/or inheritance																													
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Pension or annuity																													
Ex-Gratia amounts																													



	<table border="1"> <tr><td>Rental income</td><td></td><td></td></tr> <tr><td>Maintenance</td><td></td><td></td></tr> <tr><td>Profits from farming where the farm is rented</td><td></td><td></td></tr> <tr><td>Any other income, including interest &amp; dividends</td><td></td><td></td></tr> <tr><td>Any income from any RSA or an international organization (Excluding the child)</td><td></td><td></td></tr> </table>	Rental income			Maintenance			Profits from farming where the farm is rented			Any other income, including interest & dividends			Any income from any RSA or an international organization (Excluding the child)																																													
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14	<p>Can you estimate and share with us what your monthly household expenses are?</p> <table border="1"> <thead> <tr> <th>Expense item</th><th>Amount (R)</th></tr> </thead> <tbody> <tr><td>Food</td><td></td></tr> <tr><td>School</td><td></td></tr> <tr><td>Travel/ transport</td><td></td></tr> <tr><td>Household maintenance</td><td></td></tr> <tr><td>Electricity/ firewood</td><td></td></tr> <tr><td>Water</td><td></td></tr> <tr><td>Stokvel/ saving etc.</td><td></td></tr> <tr><td>Other</td><td></td></tr> <tr><td></td><td></td></tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Answering Q12</th><th>YES</th><th>NO</th></tr> </thead> <tbody> <tr><td>Refused</td><td></td><td></td></tr> <tr><td>Do not know</td><td></td><td></td></tr> </tbody> </table>	Expense item	Amount (R)	Food		School		Travel/ transport		Household maintenance		Electricity/ firewood		Water		Stokvel/ saving etc.		Other				Answering Q12	YES	NO	Refused			Do not know			<p>Capture Estimated amounts for monthly household expenses:</p>																												
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None	Rank (1,2...)	Amount																																																									
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19	<p>Level of food security in the household – ask the following questions</p> <table border="1"> <thead> <tr> <th></th> <th>Yes</th> <th>No</th> </tr> </thead> <tbody> <tr> <td>Did you cut the size of meals during the past year because there was not enough food in the house?</td> <td></td> <td></td> </tr> <tr> <td>Has it happened 5 or more days in the past 30 days?</td> <td></td> <td></td> </tr> <tr> <td>Did you skip any meals during the past year because there was not enough food in the house?</td> <td></td> <td></td> </tr> <tr> <td>Has it happened 5 or more days in the past 30 days?</td> <td></td> <td></td> </tr> <tr> <td>In the past 12 months, did any child (17 years or younger) in this household go hungry because there wasn't enough food? (Always, often, sometimes, seldom, never)</td> <td></td> <td></td> </tr> </tbody> </table>			Yes	No	Did you cut the size of meals during the past year because there was not enough food in the house?			Has it happened 5 or more days in the past 30 days?			Did you skip any meals during the past year because there was not enough food in the house?			Has it happened 5 or more days in the past 30 days?			In the past 12 months, did any child (17 years or younger) in this household go hungry because there wasn't enough food? (Always, often, sometimes, seldom, never)										
	Yes	No																										
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In the past 12 months, did any child (17 years or younger) in this household go hungry because there wasn't enough food? (Always, often, sometimes, seldom, never)																												

#### SECTION D: DECLINED SUPPORT

Not interested	
Need to discuss with family first – contact me later	
Need to discuss with family – I will contact you	
Not sure. Need to think about it –I will contact you	
Not sure – need to think about it – Please contact me later	
Other ( briefly capture the reason given)	


---

*End of interview process*

- *Thanks the person for their patience, assistance and time.*
  - *If this is a telephone interview then inform the person that you will need to complete the assessment and you will call them back the same day to confirm whether they are eligible for the support and discuss the next steps.*
- OR*
- *If this is a face to face interview, ask the client to wait while you immediately complete the Eligibility and Vulnerability reports. Discuss the outcome of these reports with them and if time is available and the person is willing proceed to the 2<sup>nd</sup> Phase interview guide.*
-

### Appendix 1D: HOUSEHOLD ELIGIBILITY REPORT

[illegible]

Eligibility approved		Eligibility declined	
Support stream number			

Left thumb

Right thumb

### Instructions on filling this form:

1. This form must be completed by official in first draft if already in possession of War on Poverty household profile
2. The draft must be verified using the screening 1<sup>st</sup> contact questionnaire – by phone or face to face
3. If no War On Poverty profile exists then form is only completed after screening questionnaire completed
4. Complete in **CAPITAL letters** and Write **inside the boxes** where applicable.
5. **Y** means **Yes**; and **N** means **No**.

### FOR OFFICE USE ONLY

	FORM COMPLETION	FORM ASSESSED	QUALITY CONTROL
	Form Completed by:	Form Assessed by:	Assessment verified by:
Name			
Surname			
User ID			
Signature			
Date	C C Y Y M M D D	C C Y Y M M D D	C C Y Y M M D D

### SECTION A: PERSONAL DETAILS

Identification Type	ID Book	Temporary ID	Alternative ID	Refugee ID	Gender	Male	Female
Refugee Expiry Date	C C Y Y M M D D	Temporary ID Expiry Date			C C Y Y M M D D		
Identity Number					Title	Mr.	Ms.
Alternative ID No.	7 7 7 7						
Surname							
Full Names							
Initials		Date of Birth			C C Y Y M M D D		
Applicant's Cell Number					Relation		
2 <sup>nd</sup> Alt number					Relation		
3 <sup>rd</sup> Alt number					Relation		

Correspondence Language	
Local Municipality No.	
Ward No.	
Village/ Farm name	
Nearest town	

Residential address
Postal address

*Information collection process*

*Office use*

	Date	Name
War on Poverty		
Phone call		
Walk in screening		
ELF Interview		

## **SECTION B: ELIGIBILITY**

### **B.1 Type of Support Requested**

Would like support with:

1=seek employment	
2= start own business	
3= either 1 or 2	
4= education/ training	
5= work experience	

### **B.2 Total potential clients : Working age adults**

A	No of working age adults in the household	
B	Number of unemployed working age adults	
<b>C</b>	<b>Total size of household</b>	
D	Total number of disabled working age adults	

### **B.3 Grant income support for household**

A	No. of Pension grants received	
B	No. of child support grants received	
C	No of disability grants received	
<b>D</b>	<b>Total possible grant income</b>	

### **B.4 Household monthly income ( aside from grants)**

A	Monthly household expenses	
B	Monthly household income estimated	
C	Household income estimate ( select the higher of A or B)	

### **B.5 Assessment of income eligibility**

Option 1 : if Section B2, B3 and B4 completed

A	Add B.3.D to B.4.C	
B	Divide B5.A in option 1 by B.2.C	
C	Above or below R209 per household member per month: Yes = below	

Option 2: If Section B2. and B3 completed only

A	Add B.3.D	
B	Divide B5.A in option 2 by B.2.C	
C	Above or below R209 per household member per month : Yes = below	

Option 3 : if section B2 and B4 completed only

A	Add B.3.D	
B	Divide B5.A in option 2 by B.2.C	
C	Above or below R209 per household member per month: Yes = below	

## B.6 Overall eligibility assessment

	Criteria	Yes	No
1	Unemployed working age adults in household		
2	Household income below R209 per person per month		
3	Household runs a micro enterprise		

- If yes to 1 and 2 then priority stream 1
- If yes to 1 but above 2 then priority stream 2
- If yes to 2 and 3 but no to 1 then declined and referred to stream 3
- If no to 1 and 2 then declined

Eligibility support Stream	
----------------------------	--

## DECLARATION BY APPLICANT (AFFIDAVIT)

I, the undersigned, declare that:

- Particulars furnished on this form including financial details/ annexures are to the best of my knowledge and believe true and correct;
- the purpose of the pilot has been explained to me and I understand it;
- my household is willing to engage in the pilot process;
- my household members and I understand that there is no guarantee that the pilot will be able to link any or all of us to an economic opportunity.

*\*delete that which is not applicable*

<b>Signature or Thumbprint of Applicant</b>

Date	C	C	Y	Y	M	M	D	D
------	---	---	---	---	---	---	---	---

Attach screening questionnaire

## Linking to Economic Opportunities

### Appendix 1E: Household Vulnerability report

#### Applicants

Surname																Application date	C	C	Y	Y	M	M	D	D
Name(s)																								
ID No.																Gender	Male		Female					
ID type																								
Nationality																								
Permit type																								
Contact details																Name								
2nd contact																Name								
3rd contact																Name								
Alternative form of contact																								
War on Poverty survey Identity number																								

		C	C	Y	Y	M	M	D	D
Signature : Applicant	Date								

Left thumb
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Right thumb
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		C	C	Y	Y	M	M	D	D
Signature : ELF	Date								

		C	C	Y	Y	M	M	D	D	
Signature : ELF Manager	Date									Name and Surname

#### Instructions on filling this form:

- This form must be completed by official in first draft if already in possession of War on Poverty household profile
- The draft must be verified using the screening 1<sup>st</sup> contact questionnaire – by phone or face to face
- If no War On Poverty profile exists then form is only completed after screening questionnaire completed
- Complete in **CAPITAL letters** and Write **inside the boxes** where applicable.
- Y** means **Yes**; and **N** means **No**.



## SECTION A: PERSONAL DETAILS

Identification Type	ID Book		Temporary ID		Alternative ID		Refugee ID		Gender		Male	Female										
Refugee Expiry Date	C	C	Y	Y	M	M	D	D	Temporary ID Expiry Date		C	C	Y	Y	M	M	D	D				
Identity Number													Title	Mr.	Ms.	Miss						
Alternative ID Number	7	7	7	7																		
Surname																						
Full Names																						
Initials													Date of Birth		C	C	Y	Y	M	M	D	D
Applicant's Cell Number													Relation									
2 <sup>nd</sup> Alt number													Relation									
3 <sup>rd</sup> Alt number													Relation									

Correspondence Language	
Local Municipality No.	
Ward No.	
Village/ Farm name	
Nearest town	
Residential address	
Postal address	

Information collection process

Office use

	Date	Name
War on Poverty		
Phone call		
Walk in screening		
ELF Interview		

**SECTION B: VULNERABILITY****B.1 Type of Social Welfare Support Requested**

01 = Child at conflict with the law	
02 = Temporary shelter	
03 = Foster care services	
04 = Child maintenance	
05 = Orphaned, abandoned, neglected, abused children	
06 = Behaviour problems/challenges with children	
07 = Domestic violence	
08 = Substance abuse	
09 = Services to older persons	
10 = Victim empowerment programme	
11 = Counselling and support services	
12 = Reintegration of adult offenders back into society	
13 = Reintegration of child offenders back into society	
14 = Other	
15 = Don't know	
16 = None	

**B2. Type of Social Grant Support Requested**

01 = Child support	
02 = Old age pension	
03 = Temporary disability	
04 = Permanent disability	
05 = Foster care	
06 = Care dependency	
07 = Grant-in-aid	
08 = War veterans grant	
09 = Social relief	
10 = Other	
11 = Don't know	
12 = None	

**B3 Type of Citizenship Support needed**

A = Identity Document (ID)	
B = Birth Certificate	
C = Marriage certificate	
D = Death certificate	
E = Passport	
F = Resident permit	
G= Indigent registration with local municipality	

**B4 Food Security**

	Yes	No
Did you cut the size of meals during the past year because there was not enough food in the house?		
Has it happened 5 or more days in the past 30 days?		
Did you skip any meals during the past year because there was not enough food in the house?		
Has it happened 5 or more days in the past 30 days?		

In the past 12 months, did any child (17 years or younger) in this household go hungry because there wasn't enough food? (Always, often, sometimes, seldom, never)						
	A	O	S	S	N	
				L		
No income coming into the household						

DECLARATION BY APPLICANT (AFFIDAVIT)	
<p>I, the undersigned, declare that:</p> <p>e) particulars furnished on this form including financial details/ annexures are to the best of my knowledge and believe true and correct.</p> <p><i>*delete that which is not applicable</i></p>	
<div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<div style="border: 1px solid black; padding: 2px;"> Date   C   C   Y   Y   M   M   D   D </div>
Signature or Thumbprint of Applicant	

**Attach screening questionnaire**

F

(to be stapled to inside front folder of the file)

[illegible]

**Appendix 1G: APPROVED PENDING VERIFICATION FILE**

**Sheet no.**

*(to be stapled to inside front folder of the file)*

[illegible]

### Appendix 1H: ELIGIBLE FILE

Sheet no.

(to be stapled to inside front folder of the file)

[illegible]

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***Appendix 1I: VULNERABILITY REFERRAL FILE***

I

**Sheet no.**

*(to be stapled to inside front folder of the file)*

Date assessed	Household head name	Contact number/s	Date referred ( do not remove from this file)	Dates checked on progress	Date closed



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**Appendix 1J: UNCONTACTABLE FILE**

**J**

**Sheet no.**

*(to be stapled to inside front folder of the file)*

Date assessed	Household head name	Contact number/s	Dates contacted referred ( do not remove from this file)	Date closed

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### Appendix 1K: INELIGIBLE FILE

Sheet no.

*(to be stapled to inside front folder of the file)*

[illegible]

*Appendix 1L: PROGRAMME DECLINED FILE*

Sheet no.

*(to be stapled to inside front folder of the file)*

[illegible]

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**Appendix 1M: HOUSEHOLD CASE FILE**  
(to be stapled to front of file)

Case file number	
------------------	--

To be created using province/village/  
sequential numbering

**Applicants**

Surname																			Application date	C	C	Y	Y	M	M	D	D
Name(s)																											
ID No.																			Gender	Male					Female		
ID type																											
Nationality																											
Permit type																											
Contact details																			Name								
2nd contact																			Name								
3rd contact																			Name								
Alternative form of contact																											
War on Poverty survey Identity number																											

**Eligibility**

Eligibility approved		Eligibility declined	
Support stream number			

**Contact register**

Date	Method	Follow up date

***Appendix 1N: ECONOMIC OPPORTUNITIES LINKAGES DAILY INTERVIEW REGISTER***

**DATE:** \_\_\_\_\_

**VENUE:** \_\_\_\_\_

Time slot	Name	Identify number	Contact number	Processed

***Assumption to be tested:***

- Average of 5 hours per day contact and 3 hours Administration/ follow up
- 20 minutes for 1<sup>st</sup> contact interview
- 1 hour for Career Development/ social floor interview



## Appendix 10: SOCIAL FLOOR REGISTER

( mark with cross which programmes household is interested in engaging with)

**SHEET no.**

[illegible]

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## 8.2. Appendix 2: Phase 2 Forms

<b>Guide</b>	
Phase 2	2A
<b>Form name</b>	<b>Form number</b>
Phase 2 guide introduction discussions	2B
Eligibility attachment form	2C
Basic assessment information	2D
Assessment report and plan	2E
PACE career assessment	2F
Basic CV format	2G
<b>Files names</b>	<b>Files numbers</b>
Low skill work file – 2H	2H
Medium skill work file -2I	2I
High skill work file- 2J	2J
Learnership – 2K	2K
Volunteer – 2L	2L
Internship -2M	2M
Education tertiary -2N	2N
Education matric -2O	2O
Training short skill -2P	2P
Training apprenticeships – 2Q	2Q

*Appendix 2A: Phase 2 forms and files*

<b>Form name</b>	<b>Form number</b>
Phase 2 guide introduction discussions	2A
Eligibility attachment form	2B
Basic assessment information	2C
Assessment report and plan	2D
PACE career assessment	2E
Basic CV format	2F
<b>Files names</b>	<b>Files numbers</b>
Low skill work file – 2H	2H
Medium skill work file -2I	2I
High skill work file- 2J	2J
Learnership – 2K	2K
Volunteer – 2L	2L
Internship -2M	2M
Education tertiary -2N	2N
Education matric -2O	2O
Training short skill -2P	2P
Training apprenticeships – 2Q	2Q

## *Appendix 2B: Phase 2 Process guide*

### Before the meeting preparations:

1. Open Eligibility and Vulnerability reports of the person to be interviewed
2. Identify other household members registered in the War on Poverty from that persons household and note the names and ID's of these other adults in pencil on the **2B** attachment of the Eligibility report (You will confirm these people with the person you interview).
3. Undertake a draft **2C** report in pencil of the person you are about to interview, from information provided on War on poverty survey if this survey information is available.

### In the meeting interview ( individual or group session- this step can be done with the group of people you are interviewing that day if they all arrive at the same time):

4. Provide outline of the purpose of the interview and assessment using Phase 2 guide document – **2A**
5. Check if the person/s can read and write in English and if they are able and willing to sit and do the Career assessment form while you start the individual interviews. If any of the group are able then give them the Pace career assessment form (**2E**) and a pencil and briefly explain how they complete the form. For those that are not confident to do this by themselves you must explain that you will do this with them in the one on one interview session . *Please ensure that you don't make anyone who cannot read English feel uncomfortable about not being able to complete the assessment form by themselves!!*

### In the meeting ( individual session):

6. Sign off the Eligibility report by going over the information and declaration to ensure they understand, and confirm and collect details of households working age adults interested,– **2B** add/ attach to Eligibility report
7. Sign off the Vulnerability report ( one for household case file and also one for Vulnerability file)
8. Collect basic information through discussions – **2C**
9. Discuss objectives of each EO, using this **Phase 2 guide** indicating where the interviewee meets entrance requirements
10. Undertake PACE career assessment process if interviewee is interested in doing this once you explain what it is about – **2E**
11. Using the **2C** information, the outcome of the PACE career assessment (**2E**) and this **Phase 2** guide you must then complete assessment form based on information collected – **2D**
12. Once agreed to EO's identified and information on form 2D are correct and once career assessment is done ( if required),then discuss an action plan and note this plan on 2 D form
13. Write up any contact information onto the 2D form that the interviewee would like i.e of bursaries, websites, education facilities etc. and sign off with interviewee – **2D**
14. Go over the declaration in the 2D form and confirm yes or no for each declaration. Revise all information on 2D with interviewee and both sign off.- **2D**
15. Make copy of 2D signed form for interviewee, any other available information about EO's, and thank them for their time noting when you will contact them again
16. Note next proposed meeting date or phone date in **Daily DIARY** register

17. If they request a follow up assessment interview or to follow up on career assessment discussions etc. then set next date in DIARY register

After meeting:

**18.** Draw up interviewee brief CV – **2F**

19. note each confirmed EO in relevant EO file opened – to be used to plan follow ups

*Open the following files and place the provided register in each – Phase 3 files*

- Low skill work file – 2H
- Medium skill work file -2I
- High skill work file- 2J
- Learnership – 2K
- Volunteer – 2L
- Internship -2M
- Education tertiary -2N
- Education matric -2O
- Training short skill -2P
- Training apprenticeships – 2Q
- Social floor register – Phase 1 register T

20. Open a **household case file** and place signed Eligibility report and Vulnerability report in this file and make copies for relevant other files – **Phase 1 file R**

21. Place all **forms 2B, 2C, 2 D, 2 E, 2 F** in household case file ( use file dividers if more than one adult per household)

22. Place copy of Eligibility attachment form 2B in Eligibility file for follow up with other adults in the household.

**Appendix 2C: Phase 2 assessment table**

EO	Objective of opportunity	Entry requirements	Priority groups	Support / sustainability issues	Link
Identity documents	➤ Must have ID -To ensure people enabled to seek work and access support programmes by assisting to apply	➤ No ID	➤ Any person in family with no ID, birth certificate	SA resident?	Home affairs official
Grants	➤ To ensure poor families get access to governments social assistance support	➤ Follow SASSA guide	➤ Pensioners, children, disabled,	SA resident	SASSA contact
Food security	➤ To identify vulnerable families requiring immediate intervention with food parcels etc. and link them to support system	➤ Follow guide questions agreed to with DSD	➤ Food insecure families as agreed		DSD contact
Social welfare	➤ To link families with social problems into government or NGO support system	➤ Guided by family request through questions asked	➤ Self selected families	Observed behaviours requiring further assessment: ➤ Inability to communicate well ➤ Multiple short term employment ➤ Unusual dress – torn, ill fitting etc ➤ Very poor personal hygiene ➤ Personal behaviour – shaking, fiddling, twitching, aggressive, unresponsive, withdrawn etc.	DSD contact
ECD/ health	➤ Reduce vulnerability of children between 0 and 5 years ➤ Improve social and health floor of children between 0-5	➤ Adults with children between 0-5 ➤ AND/OR ➤ Interested in ECD support	➤ Adults with children between 0-5 ➤ Interested in ECD as career	??? Single parent support availability? . Is child care needed for the young children of your household if	NGO DSD Dept Health

EO	Objective of opportunity	Entry requirements	Priority groups	Support / sustainability issues	Link
	<ul style="list-style-type: none"> <li>➤ Support young adult parents in caring for and improving childrens basic health and education needs</li> <li>➤ Improve opportunities in ECD by building skill in poor households to provide this service</li> </ul>	<ul style="list-style-type: none"> <li>➤ Interested in ECD as career</li> </ul>		<p>the adults are out looking for work or involved in economic activities?</p>	
Literacy	<ul style="list-style-type: none"> <li>➤ Enable illiterate adults to become functionally literate to improve childrens school support and to improve micro enterprises</li> <li>➤ Enable job seekers to better access opportunities</li> </ul>	<ul style="list-style-type: none"> <li>➤ illiterate</li> </ul>	<ul style="list-style-type: none"> <li>➤ Illiterate adults with school kids</li> <li>➤ Illiterate adults with micro enterprises</li> <li>➤ Illiterate &amp; Semi literate low skill job seekers</li> <li>➤ Semi literate adults (16-30) seeking access to work experience or tertiary education or jobs ( medium to high skilled)</li> </ul>	<p>Ability to travel/ commute to place of lessons? Cost factors? Child care?</p>	<p>Kharigude - illiterate NGO's/ ABET – semi literate</p>
E-literacy	<ul style="list-style-type: none"> <li>➤ Improve adults capacity to seek opportunities / information through use of ICT</li> <li>➤ Improve adults skills in ICT soft skills for accessing opportunities</li> </ul>	<ul style="list-style-type: none"> <li>➤ Self selected adults ( 16- 60)</li> </ul>	<ul style="list-style-type: none"> <li>➤ 16-30</li> </ul>	<p>Ability to travel/ commute to place of lessons? Cost factors? Child care?</p>	<p>DoC NGO Private businesses</p>
Financial literacy	<ul style="list-style-type: none"> <li>➤ Improve financial inclusion through encouraging savings, and entry into formal financial services</li> </ul>	<ul style="list-style-type: none"> <li>➤ Self selected adults (16-60)</li> </ul>	<ul style="list-style-type: none"> <li>➤ adults</li> </ul>	<p>Ability to travel/ commute to place of lessons? Cost factors? Child care?</p>	<p>NGO Banking sector</p>
Savings	<ul style="list-style-type: none"> <li>➤ Improve household assets/ wealth</li> <li>➤ Reduce vulnerability</li> </ul>	<ul style="list-style-type: none"> <li>➤ Household is not already in a savings group</li> </ul>	<ul style="list-style-type: none"> <li>➤ Any adult that is not saving but receiving</li> </ul>	<p>Ability to travel/ commute to place of lessons? Cost factors?</p>	<p>NGO</p>



EO	Objective of opportunity	Entry requirements	Priority groups	Support / sustainability issues	Link
	<ul style="list-style-type: none"> <li>➤ Encourage financial inclusion</li> <li>➤ Encourage micro enterprise</li> </ul>	<ul style="list-style-type: none"> <li>➤ Have some income coming ( eg grant, CWP, micro business) to enable saving</li> <li>➤ Have a micro enterprise but no savings group but want support</li> </ul>	grant or in PEP or in micro enterprise	Child care?	
Micro enterprise	<ul style="list-style-type: none"> <li>➤ Strengthen income flow from enterprise into household</li> <li>➤ Reduce vulnerability of enterprise</li> <li>➤ Reduce vulnerability of household</li> </ul>	<ul style="list-style-type: none"> <li>➤ Must be in savings group</li> </ul>	<ul style="list-style-type: none"> <li>➤ Those in the Savings groups model</li> </ul>	Ability to travel/ commute to place of lessons? Cost factors? Child care?	NGO
Public Employment programme	<ul style="list-style-type: none"> <li>➤ Reduce household vulnerability thro increased income</li> <li>➤ Access to work experience</li> </ul>	<ul style="list-style-type: none"> <li>➤ One adult per Poorest household with no grants</li> <li>➤ One adult per Poorest household with no one in a PEP programme</li> </ul>	<ul style="list-style-type: none"> <li>➤ Households with no grant income but are in our poorest household category</li> </ul>	Ability to travel/ commute to place of lessons? Cost factors? Child care?	DPW / NGO DCOG / NGO
Career Development	<ul style="list-style-type: none"> <li>➤ Assist adults to refine their interests and build the appropriate path and guide on information required, and steps to follow on doing this</li> </ul>	<ul style="list-style-type: none"> <li>➤ Age limits to be reviewed after testing</li> <li>➤ Literacy level to be reviewed after testing</li> </ul>	<ul style="list-style-type: none"> <li>➤ 16-25</li> </ul>		None
Training - - skills	<ul style="list-style-type: none"> <li>➤ Provide specific skill training to enable adults to better seek work or to provide a service in their community</li> </ul>	<ul style="list-style-type: none"> <li>➤ Those adults with low to medium skill levels</li> <li>➤ AND/OR</li> <li>➤ Those adults who are already running a micro enterprise that</li> </ul>	<ul style="list-style-type: none"> <li>➤ Those without matric</li> <li>➤ Adults over 25 years old</li> <li>➤ Those who have some experience with the skill training on offer</li> </ul>	Ability to travel/ commute to place of lessons? Cost factors? Child care?	FET NGO Training institutes

EO	Objective of opportunity	Entry requirements	Priority groups	Support / sustainability issues	Link
		need accredited skill training or RPL ➤ Those with up to matric level	➤ Furtherest from opportunity – remote location		
Training – apprenticeship	➤ Provide qualification and work experience to those adults to improve employability and/ or own business	➤ Adults with matric ➤ Literate – abet level 4 ➤ Time	➤ Those with matric ➤ 16-30 year olds ➤ Work experience skills in similar area ➤ Furtherest from opportunity – remote location	Ability to travel/ commute to place of lessons? Cost factors? Child care?	FET Training institutes Companies
Education – matric equivalent	➤ Increase number of young adults with matric level to enable access to work experience, medium skill level training, and career paths	➤ 16-30 year olds without matric ➤ Time	➤ 16-20 year olds ➤ Disabled ➤ Women ➤ Furtherest from opportunity – remote location	Ability to travel/ commute to place of lessons? Cost factors? Child care?	FETs
Education – tertiary - career	➤ Improve skills and qualifications of young adults to enable career pathing	➤ 16-30 year olds ➤ Matric pass ➤ Literate ➤ English/ Afrikaans ➤ Career assessment done ➤ time	➤ 16-30 year olds ➤ Disabled ➤ Women ➤ Furtherest from opportunity – remote location	Ability to travel/ commute to place of lessons? Cost factors? Child care?	FET Technikons Universities
Learnership	➤ Improve skill and qualification levels of young adults to improve employability	➤ Matric ➤ 16-30 yr olds ➤ time	➤ 16-30 year olds ➤ Disabled ➤ Women ➤ Furtherest from opportunity – remote location	Ability to travel/ commute to place of lessons? Cost factors? Child care?	Companies NGO Government
Internship	➤ Improve skill and qualification levels of young adults to improve employability	➤ Matric ➤ 16-30 yr olds ➤ time	➤ 16-30 year olds ➤ Disabled ➤ Women	Ability to travel/ commute to place of lessons? Cost factors? Child care?	Companies NGO Government

EO	Objective of opportunity	Entry requirements	Priority groups	Support / sustainability issues	Link
			➤ Furtherest from opportunity – remote location		
Volunteer	➤ Improve skill and qualification levels of young adults to improve employability	➤ Matric ➤ 16-30 yr olds ➤ time	➤ 16-30 year olds ➤ Disabled ➤ Women ➤ Furtherest from opportunity – remote location	Ability to travel/ commute to place of lessons? Cost factors? Child care?	Companies NGO Government
Work placement – low skill – manual labour	➤ Access to regular secure employment	➤ Unemployed ➤ Under employed ➤ Less than matric ➤ Willingness to do any work	➤ 25-60 yr olds ➤ Unemployed ➤ Disabled ➤ Women ➤ Furtherest from opportunity – remote location	Ability to travel/ commute to place of lessons? Cost factors? Child care?	Companies NGO Government
Work placement – medium	➤ Access to regular secure employment with prospects of advancement through skill training and tertiary qualifications and work experience	➤ Matric ➤ Literate	➤ 16-40 year olds ➤ Disabled ➤ Women ➤ Furtherest from opportunity – remote location	Ability to travel/ commute to place of lessons? Cost factors? Child care?	Companies NGO Government
Work placement - high	➤ Access to secure work in preferred career path	➤ Tertiary qualification 9incl apprenticeships)	➤ 16-30 year olds ➤ Disabled ➤ Women ➤ Furtherest from opportunity – remote location	Ability to travel/ commute to place of lessons? Cost factors? Child care?	Companies NGO Government

### Support ratings

- **Ability to travel to opportunity**

- Poor – disabled and need assistance 5
- Poor – no transport available 5
- Medium – have money but transport irregular 3

- High – no constraints

1

- **Need support with Access costs (yes/ no)**

- Travel
- Accommodation
- Is child care needed for the young children of your household if the adults are out looking for work or involved in economic activities?

### **Priority rating**

- **Remoteness**

- City ( incl informal settlements) 1
- Township near city 2
- Small town 2
- Township near town 3
- Farms 5
- Traditional authority areas 4

*Appendix 2D: Categorising skill levels*

Low	1	Less than matric No work experience
	2	Less than matric Work experience in manual labour
	3	Less than matric Work experience in skill specific area ( incl. self employment )
Medium	1	Matric No work experience
	2	Matric Work experience in manual / general type low skilled work
	3	Matric Work experience in skill specific work
High	1	Tertiary qualification/ apprenticeships No work experience
	2	Tertiary qualification/ apprenticeships Work experience outside of area of qualification
	3	Tertiary qualification/ apprenticeships Work experience inside area of qualification/ career path but less than 1 year
	4	Tertiary qualification/ apprenticeships Work experience inside area of qualification/ career path over 1 year

## What are my qualifications worth?

South Africa's National Qualifications Framework (NQF) recognises three broad bands of education: General Education and Training, Further Education and Training, and Higher Education and Training. General Education and Training also includes Adult Basic Education and Training (ABET). All education and training in South Africa fits within this framework. A person who has completed and passed year 12 of school or college is on level 4.

BAND	NQF LEVEL	GRADE	QUALIFICATION	PROVIDER
General		Gr. R-3	Children from birth – 3 years	Schools / ABET
Education & Training			Children from 3-6 years	Schools / ABET
			Reception year and foundation phase	Schools / ABET
		Gr. 4-6	Intermediate phase	Schools / ABET
	1	Gr. 7-9	Senior phase	Schools / ABET / Workplace
Further Education & Training	2	Gr. 10	National Senior Certificate	High schools Colleges Workplace
	3	Gr. 11	National Certificates (Vocational)	
	4	Gr. 12	Trade Certificates	
Higher Education & Training	5		Higher Certificates Advanced National Certificates (Vocational)	FET Colleges Private institutions Universities/ Universities of Technology Centres for Continuing Education
	6		Diplomas Advanced Certificates	FET Colleges Private institutions Universities/ Universities of Technology Centres of continuing education Business schools
	7		Bachelor Degrees	Universities/ Universities of Technology Business schools
	8		Post Graduate Degrees Post Graduate Diplomas	Universities/ Universities of Technology
	9		Masters Degrees	Universities/ Universities of Technology
	10		Doctoral Degrees	Universities/ Universities of Technology

**Appendix 2E: Career sectors**  
( Note number in EO files)

	<b>Tick your preferred Career Field</b>
01	<b>Language and Communication</b> <i>This field involves communicating through writing, reading, translating and editing</i>
02	<b>Visual Arts</b> - <i>This field involves drawing, designing, or sculpting</i>
03	<b>Performing Arts</b> - <i>This field involves, dancing, singing, acting or performing in front of people</i>
04	<b>Marketing and Sales</b> - <i>This field involves researching, developing, packaging and face-to-face selling of products and services</i>
05	<b>Management and Planning</b> - <i>This field involves organising and planning the day-to-day activities of other people at work</i>
06	<b>Financial Management</b> - <i>This field involves exercising control over finances</i>
07	<b>Clerical and Secretarial</b> - <i>This field involves working in an office environment using office equipment and tools such as computers, telephones, data-bases and filing systems</i>
08	<b>Plants and Animals</b> - <i>This field involves working outdoors with plants and animals.</i>
09	<b>Sport</b> - <i>This field involves doing sport and managing sports activities</i>
10	<b>Trades</b> - <i>This field involves the use of tools, machinery and equipment</i>
11	<b>Engineering</b> - <i>This field involves the use of scientific methods to design, develop and construct</i>
12	<b>Sciences</b> - <i>This field involves the systematic understanding the natural world</i>
13	<b>Computers - Information Technology</b> - <i>This field involves the design, installation, programming, upgrading and support of hardware and software relating to computers</i>
14	<b>Health Sciences</b> - <i>This field involves the examination, research, diagnosis, and treatment of people (and animals) for various ailments, diseases and injuries</i>
15	<b>Health Support Services</b> - <i>This field involves taking care of people's health</i>
16	<b>Social Sciences</b> - <i>This field involves a scientific understanding of people and society</i>
17	<b>Law</b> - <i>This field involves advising, researching, debating, interpreting, and making judgments on issues relating to the law</i>
18	<b>Education and Support Services</b> - <i>This field involves helping or assisting other people in some way</i>
19	<b>Creative Services</b> - <i>This field involves services for people that involve working with your hands</i>
20	<b>General Services</b> - <i>This field involves all types of small business services</i>
21	<b>Law Enforcement and Protection Services</b> <i>This field involves working in the police, defence and protection services</i>

## *Appendix 2F: Phase 2 guide to introduction discussions*

### **Reintroduce the programme**

We spoke on the phone about this being a pilot project of the DSD and SASSA. This means that government is still doing a test to see if this kind of support service will be useful to people. The test is just being done with a small group of people in this area and your family was referred to us by another government department for this test. On the phone we asked you questions to check if your family qualified for this type of support and we confirmed with you that you did qualify and that is why we invited you to this interview.

The testing will continue for the next year or so and if it looks like it is helping people then government will try to offer this service to more people. If we are able to help link you to any opportunities over the next few months you will not lose them when the test ends. You will stay in any opportunity we link you to for as long as you want to and for as long as the opportunity is offered.

It is also very important that you do not advise anyone outside of your family to come to get assistance from myself at this office. Because the service is still being tested we cannot assist anybody who calls us or walks into the office and we will have to send them away and they will probably be disappointed and frustrated which is not fair on them or on us. Is this clearly understood?

### **The purpose of this interview**

This programme is about supporting people like yourself to access economic opportunities. An economic opportunity is anything that might help improve income for yourself and your family. This is not just about supporting you to find sustainable work but it is also about helping see if we can make you more employable. Your employability is affected by whether there are jobs available but it is also affected by your skills eg. What training, education and work experience you might have had already. It is also affected by whether you have access to information about what jobs are available and whether people looking for suitable employees know about you and will give you a chance.

When we say we want to support you to access we are going to try to ensure that you do get access by supporting you to complete whatever forms or applications or tests required to access the opportunity. We want to help reduce the cost of looking for work or other opportunities.

So we would like to try help you

- improve your skills where you need to through skills training or further education or work experiences;
- improve your information about what work is available;
- improve your network and ways in which you can look for work;
- improve your understanding about what work to look for , how to look for it and how to prepare yourself to be employed in such work ( career guidance).

It is very important to remember that we cannot guarantee that we will succeed in helping you find work but we hope that this will eventually happen and we hope that this service will help improve your job searching. We also expect that you will continue to look for work and not sit back and wait for us to solve your problems because we have to work together to find solutions.

### **The process of the interview explained**

For us to be able to do this we need to have a discussion with you about yourself, your interests, skills, and challenges.

We will do this by collecting a range of information from you about yourself so we get a clear picture about what possible linkages we can try to help make for you or with you.

By the time we have finished today we will have

- identified where we think we can try to help you



- agree with you which ones you would want help with and what the action plan will be ( what you can expect from us and by when)
- drawn up a CV (and where relevant done a basic career assessment).

### **Agreement**

1. Do you have any questions?
2. Do you still agree to be part of this test programme?
3. *If yes then* Can we sign off on the agreement ? ( read the declaration on the Eligibility report and ask them to sign it)
4. *If yes then* Can you confirm other adults in your household that might be interested in this support that we should contact (*and note this on the 2B attachment to the Eligibility report for follow up.*)
5. We also did a vulnerability assessment of some challenges you might be facing when we spoke on the phone. Can we confirm what was said and agree if you want us to help refer these issues to the correct people to assist your family? *If yes then get them to sign off*
6. *Proceed to Basic Information collection and confirmation*

War on Poverty survey ID number	
Household case file number	
Household head name	
Main contact number	

Additional household members interested in support from programme

Name	Surname	Identity number	Contact number/s

*Appendix 2H: Basic Assessment Information collection sheet*

WoP survey ID number ( to be completed before interview)		
Household case file number ( to be completed at end of interview when case file is opened)		
Type of support required	Employment	
	Education	
	Skills training	
	Enterprise	
	Work experience	
	Other (name)	
Name/s		
Surname		
Identity number (get copy of ID)		
Residential address		
Postal address		
Contact numbers (2-3 options)	1	
	2	
	3	
Gender	Male	
	Female	
Age ( from ID)		
Marital status ( married, single, divorced, widowed, life partner)	Married	
	Single	
	Divorced	
	Widowed	
	Life partner	
Equity group (African, Indian, white, coloured, not applicable)	African	
	White	
	Indian	
	Coloured	
	N/A	

Criminal status	offender														
	none														
	rehabilitated														
Parole/ release date															
Language/s E=excellent G= good A= average	language					speak			read			write			
Drivers licence code	none	A	A1	B	C	C1	D	D1	EB	EC	EC1	ED1	M	W	
Pubic Drivers Permit	Yes			No			Hazardous substances permit						Yes		No
Highest Level of education completed (See guide)	Gr 0			Gr 1		Gr2	Gr3/Std1		Gr4/st2		Gr5/st3		Gr6/st4		Gr7/st5/ NQF 1
	Gr8/st6/ NQF1			Gr9/st7/ NQF 1		Gr10/st8/ NTC1/ NQF 2			Gr11/st9/ NTC2/ NQF 3			Gr12/st10/ NTC3/ NQF4			
Name of school										Year completed					
Still at school?					Yes	No	Level?								
Reason not at school?															
Education support required?															
Abet level	Abet 1 =grade 1-3				Abet 2 =Gr 4-5		Abet3= Gr6-7				Abet4=8-9				
School subjects	Subjects					Symbol			Grade						
									HG	SG	LG	OG			
									HG	SG	LG	OG			
									HG	SG	LG	OG			
									HG	SG	LG	OG			
									HG	SG	LG	OG			
									HG	SG	LG	OG			
									HG	SG	LG	OG			
									HG	SG	LG	OG			
FET	Qualification				NQF level			Provider			Year obtained				
Unit standards	Name of Unit std				NQF level			Provider			credits		Year obtained		

Short courses	Course name	Provider		Year	
Skills and experience	Name of skill	Skills level	Name of skill	Skill level	
Employment history (reasons for leaving: A=dismissal B=resign C=promotion D=retrenchd E=Medical F=maternity G=end of contract)	Organisation	Title	Dates	Reason for leaving	
	1.				
	Duties (list 2-5)				
	2.				
	Duties				
	3.				
	Duties				
4.					
Duties					
Professional affiliations	Body	Rank		dates	
References	Name	Organisation & Title		Contact number	

Awards etc				
Workability	Visual impairment	hearing	Speech	Physical
	Mental condition	Chronic condition	Other?	
Support required				

*Appendix 2I: Assessment report and plan*

<b>Interviewee Name</b>			<b>ID number</b>													
<b>Household case number</b>																
<b>ELF name</b>			<b>Contact number</b>													
	<b>Entrance compliance</b>		<b>Priority group</b>		<b>Support required</b>											
<b>EO</b>	<b>Yes</b>	<b>No</b>	<b>Yes + rate</b>	<b>No</b>	<b>Yes</b>	<b>No</b>										
Identity documents																
Grants																
Food security																
Social welfare					<table border="1"> <tr><td>A</td><td></td></tr> <tr><td>B</td><td></td></tr> <tr><td>C</td><td></td></tr> <tr><td>D</td><td></td></tr> <tr><td>E</td><td></td></tr> </table>	A		B		C		D		E		
A																
B																
C																
D																
E																
ECD/ health																
Literacy																
E-literacy																
Financial literacy																
Savings																
Micro enterprise																
Public Employment programme																
Career Development																
Training - - skills																
Training – apprenticeship																
Education – matric equivalent																
Education – tertiary - career																
Learnership																
Internship																
Volunteer																
Work placement – low skill – manual labour																
Work placement – medium																

Interviewee Name			ID number			
Household case number						
ELF name			Contact number			
	Entrance compliance		Priority group		Support required	
EO	Yes	No	Yes + rate	No	Yes	No
Work placement - high						

### *Appendix 2J: Action plan*

Tasks for Interviewee to follow up	Due Date	Tasks for ELF to follow up	Due Date

### *Appendix 2K: Contacts information to follow up*

Organisation	Address	Contact number	Website	Opportunity



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## Declaration

Each Economic opportunity has been explained to me and I understand the entry requirements		YES	NO
I understand which opportunities I have been prioritised for assistance through this project		YES	NO
I understand that I will only be linked to an opportunity when it arises and if I am informed about it and agree to the linkage		YES	NO
I understand that the project will contact my supplied references		YES	NO
I give the project permission to verify my qualifications		YES	NO
I give permission to the project to do a criminal check if required by the opportunity		YES	NO
I understand and agree to the plan of action outlined with me and captured in this report		YES	NO
Signed:		Signed	
Name (Interviewee)		Name (ELF)	
Date		Date	

## Appendix 2L: Low skill work

Sheet no.

*(to be stapled to inside of the file)*

[illegible]

### Appendix 2M: Medium skill work

Sheet no.

21

*(to be stapled to inside of the file)*

[illegible]

## Appendix 2N: High skill work

Sheet no.

*(to be stapled to inside of the file)*

2J

[illegible]

## Appendix 20: Learnership

Sheet no.

*(to be stapled to inside of the file)*

[illegible]

*Appendix 2P: Volunteer file*

Sheet no.

(to be stapled to inside of the file)

[illegible]

## Appendix 2Q: Internship file

Sheet no.

*(to be stapled to inside of the file)*

2M

[illegible]

*Appendix 2R: Education tertiary file*

Sheet no.

*(to be stapled to inside of the file)*

**2N**

[illegible]



Sheet no.

(to be stapled to inside of the file)

Date assessed	Name	Surname	ID number	Contact number/s	Household case file number	Sector preference	Priority rating	Support level			Date linked
								Travel	Accom	course	

*Appendix 2T: Training short skills file*

Sheet no.

*(to be stapled to inside of the file)*

[illegible]

## Appendix 2U: Training apprenticeships file

**Sheet no.**

*(to be stapled to inside of the file)*

[illegible]

### 8.3. Appendix 3:

*Appendix 3A: Details of referrals and links per client (Soft copy-excel file)*

*Appendix 3B: Details of opportunities identified and types of agreements with the opportunity providers (electronic copy-excel file)*