



planning, monitoring  
& evaluation

Department:  
Planning, Monitoring and Evaluation  
REPUBLIC OF SOUTH AFRICA



# ANNUAL REPORT ON NATIONAL EVALUATION SYSTEM



2015/16

FINANCIAL YEAR



# FOREWORD



The Department of Planning, Monitoring and Evaluation (DPME) in the Presidency was established by government in 2010 as part of its drive to improve service delivery.

As a knowledge organisation, both research and evaluation help the DPME and partner departments to understand what is, or is not, working, and why and how policy and implementation can be improved. This is important for government, which must not only use research to understand the nature of problems and how they can be solved, but also evaluate whether it is doing the right things, and whether it is doing them right.

This is the third annual report on the National Evaluation System (NES) and the first to include DPME's emerging research work. It provides a picture of the evaluations which have been completed or underway as at March 2016, as well as the systems established to support the evaluations. The report also outlines important findings emerging from the evaluations and some of the impacts on policies and programmes we are already seeing, for example, the work being done to implement the National Development Plan (NDP), and the exciting new model of an evidence map around human settlements, to see what evidence exists and where the gaps are.

My thanks go out to the national departments and provincial offices of the premier and their departments for continuing to champion the evaluation system and for their commitment to undertake evaluations that inform policy and decision-making. Without these government partners the national evaluation system would be ineffective and possibly dysfunctional.

I would also like to thank our development partners who have been assisting us over the last year to make this possible, including the Programme to Support Pro-Poor Policy Development (PSPPD), a partnership between the DPME and the EU, which funded editing of the annual report; South African Monitoring and Evaluation Association (SAMEA), UK Department for International Development (DFID), International Initiative for Impact Evaluation (3ie), Centre for Learning on Evaluation and Results Anglophone Africa (CLEAR-AA), UNICEF, and the World Bank. In addition, I would like to thank the peer reviewers, steering committee members, evaluators at the design clinic, and the people who have taken the trouble to comment on our documents, who have devoted their valuable time to support this endeavour to bring learning into government.

As the evaluation system evolves, I would like to see a sustained culture of use of evidence to inform critical and meaningful policy decisions. I would like to see our government build the requisite capacity to undertake evaluations quickly and cost-efficiently. More importantly, I would like to see evaluations used to make proactive and responsive decisions that build on our future planning and implementation.

**Mr Jeff Radebe, MP**

Minister in the Presidency: Planning, Monitoring and Evaluation  
September 2016

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# ACRONYMS

3ie	International Initiative for Impact Evaluation	DRDLR	Department of Rural Development and Land Reform
AfrEA	African Evaluation Association	DSD	Department of Social Development
AFU	Asset Forfeiture Unit	DST	Department of Science and Technology
AMTS	Advanced Manufacturing Technology Strategy	diti	Department of Trade and Industry
APP	Annual Performance Plan	DWA	Department of Water Affairs
AVAWC	Audit for Violence against Women and Children	DWCPD	Department of Women, Children and People with Disabilities
BNG	Breaking New Ground	ECD	Early Childhood Development
BPS	Business Process Services incentive scheme	EEGM	Effectiveness of Environmental Governance in the Mining Sector
CAPS	Curriculum and Assessment Policy Statement	EGRA	Early eading Assessment
CASP	Comprehensive Agricultural Support Programme	EIA	Environmental Impact Assessment
CBM	Citizen-based monitoring	ESEID	Economic Sectors, Employment and Infrastructure Development
CBO	Community-based organisation	EMIA	Export Marketing Investment Assistance
CETC	Community Education and Training College	EMIS	Evaluation Management Information System
CLEAR-AA	Centre for Learning on Evaluation and Results Anglophone Africa	EPWP	Expanded Public Works Programme
CRDP	Comprehensive Rural Development Programme	ERP	Extension Recovery Plan
CSIR	Council for Scientific and Industrial Research	ERU	Evaluation and Research Unit
CSO	Civil society organisation	ETWG	Evaluation Technical Working Group
CWP	Community Works Programme	FBO	Faith-based organisation
DAC	Development Assistance Committee of the OECD	FLBP	Funza Lushaka Bursary Programme
DAFF	Department of Agriculture, Forestry and Fisheries	FDI	Foreign direct investment
DBE	Department of Basic Education	FOSAD	Forum of South African Directors-General
DCOG	Department of Co-operative Governance	FSAPPs	Framework for Strategic and Annual Performance Plans
DDG	Deputy-Director General	FSDM	Frontline Service Delivery Monitoring
DEP	Departmental evaluation plan	GCIS	Government Communication and Information System
DFI	Development Finance Institution	GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
DFID	UK Department for International Development	HEI	Higher education institution
DG	Director General	HEQC	Higher Education Quality Committee
DHET	Department of Higher Education and Training	HSDG	Human Settlements Development Grant
DOH	Department of Health	HSRC	Human Sciences Research Council
DPME	Department of Planning, Monitoring and Evaluation	IDC	Industrial Development Corporation
DHS	Department of Human Settlements	IKSP	Indigenous Knowledge Systems Policy
DMV	Department of Military Veterans	IRDP	Integrated Residential Development Programme
DoH	Department of Health	LAIS	Learner Attainment Improvement Strategy
DoL	Department of Labour		

M&E	Monitoring and evaluation	POCA	Prevention of Organised Crime Act
MAFISA	Micro Agricultural Financial Institutions of South Africa	PSC	Public Service Commission
MEC	Member of the Executive Council	PSPPD	Programme to Support Pro-Poor Policy Development
MEP	Metro evaluation plan	QCTO	Quality Council for Trades and Occupations
MIS	Management Information System	RADP	Recapitalisation and Development Programme
MinMEC	Ministers and Members of the Executive Council	RCG	Reconstruction Capital Grant
MP	Member of Parliament	RDP	Reconstruction and Development Programme
MPAT	Management Performance Assessment Tool	RIU	Rapid Implementation Unit
MTEF	Medium-Term Expenditure Framework	SALGA	South African Local Government Association
MTSF	Medium-Term Strategic Framework	SAMEA	South African Monitoring and Evaluation Association
NDMP	National Drug Master Plan	SAPS	South African Police Service
NDP	National Development Plan	SAQA	South African Qualifications Authority
NEET	Not in education or training	SASSETA	Safety and Security Sector Education and Training Authority
NEP	National Evaluation Plan	SDIP	Service Delivery Improvement Plan
NEPF	National Evaluation Policy Framework	SHI	Social housing institution
NES	National Evaluation System	SHP	Social Housing Programme
NGO	Non-governmental organisations	SMMEs	Small, micro and medium sized enterprises
NGP	New Growth Path	SPII	Support Programme for Industrial Innovation
NHBRC	National Home Builders Registration Council	SPME	Strengthening Performance M&E Project
NHFC	National Housing Finance Corporation	TER	Township Economy Revitalisation
NHI	National Health Insurance	THRIP	Technology and Human Resources for Industry Programme
NPA	National Prosecuting Authority of South Africa	TMR	Transformation, Modernisation and Reindustrialisation
NPO	Non-profit organisation	ToC	Theory of change
NQFA	National Qualifications Framework Act	ToR	Terms of reference
NRDS	National Research and Development Strategy	TVET	Technical and vocational education and training
NRF	National Research Foundation	UCT	University of Cape Town
NSFAS	National Student Financial Aid Scheme	UISP	Upgrading of Informal Settlements Programme
NSNP	National School Nutrition Programme	UNICEF	United Nations Children's Fund
NSI	National System of Innovation	USDG	Urban Settlements Development Grant
OECD	Organisation for Economic Co-operation and Development	VAC	Violence against children
OTP	Office of the Premier	VAW	Violence against women
PALC	Public Adult Learning Centre	VAWC	Violence against Women and Children
PCC	Policy on Community Colleges	WCG	Western Cape Government
PCETS	Policy on Community Education and Training Colleges	YWDP	Young Women's Development Programme
PDI	Previously disadvantaged individuals		
PEP	Provincial evaluation plan		
PHC	Primary health care		

# EXECUTIVE SUMMARY

## 1 INTRODUCTION

- 1.1 The Department of Performance, Monitoring and Evaluation (DPME) was established in January 2010, and began operating in April of that year. In 2014, the Department was merged with the planning function and consequently became known as the Department of Planning, Monitoring and Evaluation.

In 2011, the need for an evaluation system was agreed on, following which the National Evaluation Policy Framework (NEPF) was approved by Cabinet on 23 November 2011. This set out the approach for establishing a National Evaluation System (NES) for South Africa and led to the development of annual National Evaluation Plans (NEPs) in 2012.

- 1.2 The first NEP for 2012/13 was approved by Cabinet in June 2012, with the first evaluations starting in October 2012. Since then, some 54 evaluations have been completed or are underway and more departments are becoming involved in the evaluation system; in fact, as many as 36 provincial and national departments now have departmental evaluation plans and have adopted the NES. This annual report has been timed to be able to report on the emerging lessons and findings from these evaluations. It must be noted, however, that while there have been some gains in institutionalising monitoring and evaluation (M&E) in government, the prevailing culture is still one of compliance, rather than learning how to improve performance,

and evaluation capacity is limited. Much work has therefore been put into setting up enabling conditions for a system that supports evaluations and the use of evaluation results. This includes training and establishing guidelines, evaluation standards, evaluation quality assessments, and evaluation competency levels for programme managers, M&E staff and evaluators.

- 1.3 The NEPF focuses on different government interventions including policies, plans, programmes, and projects. It envisages evaluation as a process carried out throughout the intervention lifecycle. The anticipated results from evaluations are improved policy or programme performance, accountability, and decision-making, as well as increased knowledge about what works and what does not in the public sector. To address the key challenge where evaluations are done but often not used, great efforts have been made to encourage departmental ownership of evaluations to maximise the likelihood that they are used to improve performance, and to ensure the credibility of evaluations, through promoting the independence of evaluations and applying minimum quality standards.
- 1.4 Departments must propose which evaluations will be included in the NEP the year prior to implementation. Therefore, they need to select, include in the budget, and develop terms of reference (ToR) for the evaluations in the previous year, ideally commencing the evaluations just before the start of the financial year to which they are allocated.





- 1.5 The DPME plays the role of evaluation custodian at national level, and supports all evaluations that are approved for inclusion in the NEP, while at provincial level, this role is played by the Office of the Premier. The DPME also part-funds the evaluations or, where evaluations are large, seeks external funding to support them. To ensure that departments are the main owners of evaluations and that findings are implemented, they part-fund the evaluations and departmental programme managers chair the steering committees which manage the evaluations. The DPME provides the secretariat, thereby assuring process and product quality.

## 2 ESTABLISHING THE BASICS OF THE NATIONAL EVALUATION SYSTEM

- 2.1 As at March 2016, the DPME has developed 24 practical and user-friendly guidelines and templates for various components of the evaluation process to support departments undertaking evaluations.
- 2.2 It is widely acknowledged and understood that in general, the public sector has significant capacity constraints. So while evaluations, when used, are now recognised for their potential to address weaknesses in policy and programme delivery, capacity in government departments to manage and/or undertake evaluations is also quite limited. As such, the DPME has developed a range of capacity

development tools to build government technical capacity and increase demand by senior managers and Members of Parliament (MPs). To date, the DPME's training has focused on staff directly involved in NEP evaluations, whether they are M&E staff or programme managers. In partnership with the University of Cape Town (UCT), the Department has also run four courses for directors general (DGs) and deputy-directors general (DDGs) so that they realise the importance of rigorous evidence from evaluations and research, and act as champions in their departments. Wider training is planned through appropriate training courses that will be provided by the National School of Government, universities, and the private sector to build evaluation capacity in the country.

- 2.3 Core to the DPME's approach is ensuring quality. In 2012, with the support of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), the Department developed a set of evaluation standards which were used to develop a quality assessment tool. The tool is applied to all evaluations once complete, as well as some other non-NEP evaluations. Other tools to improve quality are the use of peer reviewers, theory of change (ToC)/design clinics on evaluation methodology, and sessions with stakeholders to reflect on how to improve the system. In addition, a review on how to improve the peer review system started in December 2014 and was concluded in November 2015. Recommendations from the review's findings have been included and

updated in the current peer review guideline. All evaluations (historic and current) are quality assessed and stored in an Evaluation Repository. In 2015/16, an evaluation standard was piloted in the Management Performance Assessment Tool (MPAT) system (see Annex 9). The results from these scores will be used to help drive evaluation practice.

- 2.4 Communication around the evaluation system and evaluation results has evolved in the past year, including the establishment of a Twitter account, an electronic Evaluation Update newsletter, and improved engagement with the media. The communication strategy for evaluations, which was developed and implemented in 2014, will also be reviewed to make sure it incorporates lessons learnt and there are continued efforts to document and share lessons from implementing the NES through written publications such as books and journal articles, and presentations at conferences and other strategic platforms.
- 2.5 The Evaluation Repository has been revamped and integrated into the overall Evaluation Management Information System (EMIS), and has been deployed onto the DPME servers and website.
- 2.6 For evaluation evidence to inform programme management, budget decisions, and so forth, it is important that senior managers are interested in using evidence to improve their performance, and oversight bodies to strengthen accountability. With the support of the Programme to Support Pro-Poor Policy Development (PSPPD), two courses were run in May and October 2015 for DGs and DDGs on the use of evidence to improve policy-making and implementation. These were successful and in total over 140 DGs, DDGs, and other senior managers have been trained.

Two more courses will be run again in 2016/17.

- 2.7 A major constraint to evaluations is the availability of strong evaluators. The evaluation and research panels of service providers were therefore updated following an open tender, and there are now 26 organisations on the evaluation panel and 36 on the research panel. These include universities, science councils, institutes, and consultants. In the four years since the inception of the NES, it has become evident that a cohort of emerging evaluators needs to have access to opportunities for evaluation learning and application. The DPME has slowly increased the representation of previously disadvantaged individuals (PDIs) within service provider teams to 30% in 2015/16, and the plan is to increase this to 40% in 2016/17.
- 2.8 A significant problem which is beginning to surface is the poor quality of programme plans, which makes evaluation more difficult. Some policies and many of the programmes being evaluated show the need for substantial redesign. This means that these government implementation programmes are not achieving what they intended (see table 2) and that government is not getting the potential value for money from some programmes, nor achieving the intended policy outcomes. A guideline on Planning Implementation Programmes was developed with National Treasury (available on the DPME website) which was approved by Cabinet, and a training course has been piloted and revised in 2015/16. A Capacity to Support Programme Planning training course is also being established, and implementation programmes will be included in the revised strategic planning framework DPME is developing.

2.9 To maximise the likelihood of success with evaluations, the DPME is seeking to build a coalition across government to promote evaluation. A key role is played by the national Evaluation Technical Working Group, which brings together national departments and provinces to select the evaluations for the NEP and to discuss the development of the NES.

### 3 PROGRESS WITH IMPLEMENTATION OF NATIONAL EVALUATIONS

As seen in Table 1, which summarises the number of evaluations completed and underway, 25 evaluations now have approved reports, of which 13 have been to Cabinet and are public. This section highlights the status and emerging findings and recommendations from the NEP evaluations to March 2016.

**TABLE 1: STAGES OF EVALUATIONS AS AT 31 MARCH 2016**

STAGE	NUMBER
Approved reports	25
Improvement plans being implemented	16
Served at Cabinet	13
Research process underway	16
Preparation stage	12
Stuck	1
Dropped	5



### 4 WIDENING THE EVALUATION SYSTEM TO PROVINCES AND DEPARTMENTS

- 4.1 To date, seven out of nine provinces have completed the provincial evaluation plans (PEPs): Western Cape and Gauteng were the first provinces to implement evaluation plans; Mpumalanga and Northern Cape approved their PEPs in 2014; the Free State and Limpopo in 2015; and the Eastern Cape in April 2016. North West and KwaZulu-Natal have produced draft concept notes for their PEPs, but have not yet approved them. All PEPs will be quality assessed and published on the Evaluation Repository.
- 4.2 Departmental evaluation plans (DEPs) are essential if most policies and programmes in government are eventually to be evaluated. The 2015 MPAT results for the pilot evaluation standard show that 29 departments were at level 3 (they had staff with evaluation roles, had adopted the DPME guidelines, and had a departmental evaluation plan), and a further seven had achieved level 4 (evaluations were implemented). In 2015/16, an evaluation standard will be piloted in the MPAT, which includes DEPs and will drive behaviour.
- 4.3 In 2016/17, DPME will also work with metros to see if they would like to develop metro evaluation plans (MEPs). A demand from state-owned companies for support on evaluation has been indicated as well.



## 5 RESEARCH

- 5.1 Two diagnostic studies – one focusing on the DPME and the other conducted among a sample of national departments and provinces – were undertaken to determine the capacity of government officials to effectively generate and use evidence. The studies also investigated whether the public sector environment enables and encourages a culture of evidence-informed decision-making, especially for those officials working in research, policy and M&E units. The results from the studies show several gaps in the system, in particular, limited access to credible sources of evidence. The DPME therefore secured a three-year subscription to the Web of Science as a first step, which now has users from the DPME and other departments.
- 5.2 In addition, a research repository to store DPME-generated evidence, including commissioned research reports, was introduced in 2015/16, together with an online evidence map, where policy relevant sources of evidence have been stored. The tools allow the integration of various data and information pertaining to government's 14 Outcomes.
- 5.3 Using web-based platforms is crucial to fulfilling the DPME's mandate to assess, monitor and evaluate the performance of government across various sectors.

## 6 INTERNATIONAL LINKAGES

- 6.1/2 From the first time the need to develop an evaluation system became clear, the DPME has made efforts to learn from the experience of other countries, and likewise, to share South Africa's experience. In 2011, study tours were undertaken to Mexico, Colombia, the US, and Australia to learn from their experience in evaluation. The DPME has established strong linkages with other African countries as well, particularly Benin and Uganda, which are the only other countries in Africa that also have national evaluation systems. This has involved participating in each other's events and sharing training and examples of work. During 2015/16, the plans were laid for an African M&E partnership with Uganda and Benin, as well as the Centre for Learning on Evaluation and Results Anglophone Africa (CLEAR-AA). The new programme is called Twende Mbebe (Swahili for "let's move forward together"), and will be funded by the UK Department for International Development (DFID). Due to delays, DFID funded a foundation phase from January to May 2016, and approval has been received for an August 2016 start for the main project.
- 6.3/4 In addition, close links are maintained with Mexico, Colombia and, to a lesser extent, the US and Canada. The DPME also has good relationships with the International Initiative for Impact Evaluation (3ie), which has provided much support, DFID which has funded some of the DPME's work, UNICEF, and the World Bank.

## 7 EMERGING EXAMPLES OF INFLUENCING POLICY AND IMPLEMENTATION

7.1 Key to the effectiveness of the evaluation system are the improvement plans which are produced after each evaluation is completed, followed by progress reports. A total of 17 evaluations now have improvement plans. Despite being in the early stages, some examples of policy influence can already be seen, including symbolic, conceptual and instrumental use:

- A new Early Childhood Development (ECD) policy has been drafted in response to the ECD Diagnostic Review, including the need to target children from as early as conception.
- There has been a renewed focus on nutrition in children, resulting from the evaluation of nutrition interventions for children under five, and a stunting target in the Medium-Term Strategic Framework (MTSF). The improvement plan will take this further.
- The Business Process Services scheme, which supports the outsourcing of business operations, has been revised and relaunched, and is already operating.
- There has been a renewed focus on the quality of Grade R, rather than just rollout, as a result of the Grade R evaluation.
- Changes were made to the Urban Settlements Development Grant templates before the evaluation was completed.

7.2 Cross-cutting findings are also emerging from across the range of evaluations, including problems around coordination across departments, poor planning, scaling-up often not being well thought through, poor management of implementation, and poor administrative data and data management.

## 8 MANAGING THE EVALUATION SYSTEM

8.1 The core to developing and managing the evaluation system has been building a coalition to support evaluation as a whole, as well as partnerships on each evaluation. An Evaluation and Research Unit (ERU) in the DPME is driving the evaluations, with four teams each consisting of a Director and Evaluation Officer to support NEP evaluations, as well as provinces. The DPME has had a substantial budget with which to support the Unit and part-fund evaluations. The creation of a research unit in 2014/15 has resulted in the development of a dynamic programme of support to the different outcomes.

8.2 In addition, a number of donors have supported part of the DPME's evaluation work. These include:

- The PSPPD, a partnership between the Presidency and the EU, which funded many of the start-up activities which led to the establishment of the evaluation system in 2011.

- DFID, which has been supporting DPME since 2012, with around R10 million for evaluation, including the annual training programme, development of a quality assessment system, a course in evidence-based policy-making for DGs and DDGs, and support to some evaluations. Although this support came to an end in September 2015, DFID is still providing donor support to the Twende Mbele programme, which is managed by CLEAR-AA.
- GIZ, which has funded the development of evaluation standards, competencies, and a first evaluation course.

8.3 Another key management function of the DPME has been the development of an EMIS, which includes quality assessment, evaluation tracking, an improvement plan tracking system, and a repository. The use of the system has a huge impact on the automation of reports, which is used not only for reporting purposes, but also for analysing data so that management can make informed decisions regarding evaluations and budgets, and quality assessments can be done, allowing directors to gauge where problematic areas are that need to be mitigated or improved. In addition, MS Project software has proved to be useful for financial management and tracking of activities, allowing financial reports to be easily generated for donor funding projects, which are usually complex to report on as these reports are normally tracked in at least two currencies (Rand and Pounds).

## 9 ISSUES AND LESSONS EMERGING

9.1 It is clear by the 54 evaluations which are being undertaken in many sectors (e.g. education, rural development, employment, and human settlements), as well as by an increasing number of national departments and provinces, that the NES is working well. Most significantly, the adoption of the learning approach means that departments are, on the whole, champions for evaluations and are implementing the recommendations from the evaluation results (or, more accurately, the improvement plans).

A minimum standards system has been developed and includes 24 guidelines, standards, competencies, etc, as well as training of over 1200 staff. Additionally, evaluation results are feeding into action in some of the first evaluations completed.

9.2 Areas that need to be addressed include management problems in departments, reflected in how they handle evaluations. Some sectors still have few evaluations (e.g. health, energy, infrastructure, local government, international, and social cohesion). Programme planning needs to be strengthened as this affects evaluations and implementation more widely. Another challenge is departments not planning impact evaluations when programmes were designed. From a supply side, there are inadequate skilled evaluators to meet the increasing demand for evaluations, which can delay evaluations, requiring significant work to be done with service providers and higher education institutions to address this challenge. Evaluation is an emerging discipline in government, one which has to be advocated for and advanced through a sensitive process of showcasing the benefits of learning and improving.

## 10 WAY FORWARD

Evaluation reports are now being completed and coming through regularly to Cabinet and being made public (a total of 13 have now served before cabinet). Significant evidence of impacts on programmes and policies is beginning to be seen, but, as the system gears up, so too are challenges around the system which need to be addressed in order to maximise its efficiency and effectiveness in improving government's performance. Key issues to take forward include:

- Widening the system to support provinces and departments to undertake evaluations;
- Completion of the assignment on professionalisation of evaluation to identify how to strengthen evaluation capacity;
- Increasing funding for complex evaluations, which may include collaborating with National Treasury to identify funding. Departments need to budget for evaluation in all programmes and for impact evaluations for all large new programmes, e.g. over R500 million;
- Finalising and piloting an evaluability assessment tool;
- Strengthening communication of evaluation findings;
- Building additional capacity in the DPME from 2016/17 to support the wider system, as well as increasing funds to quality assess provincial and departmental evaluations.

**TABLE 2: SUMMARY OF STATUS OF EVALUATIONS**

OUTCOME	DEPT	FOCUS OF EVALUATION	STATUS
EDUCATION	DBE	Grade R	Imp Plan
	DBE	National School Nutrition Programme (NSNP)	Draft report
	DBE	Funza-Lushaka Bursary Scheme	Approved report
	DBE	Curriculum and Assessment Policy Statement (CAPS)	Starting
	DBE	Early Grade Reading in SA	Underway
HEALTH	Health	Nutrition Programmes addressing Children Under 5	Imp Plan
	DSD	Violence against Women and Children (VAWC)	Draft report
	SAPS	Investment into the SAPS Forensic Services	Underway
	NPA	Asset Forfeiture Unit Sub-programme	Stuck
	Justice	Integrated Justice System / Programme	Starting
SAFETY	DSD	Violence against Women and Children (VAWC)	Draft report
	SAPS	Investment into the SAPS Forensic Services	Underway
	NPA	Asset Forfeiture Unit Sub-programme	Stuck
	Justice	Integrated Justice System / Programme	Starting
ECONOMIC AND EMPLOYMENT	dti	Business Process Services Programme	Imp Plan
	dti	Export Marketing Assistance Incentive Programme (EMIA)	Imp Plan
	dti	Technology and Human Resources for Industry Programme (THRIP)	Imp Plan
	dti	Support Programme for Industrial Innovation (SPII)	Imp Plan
	DST	National Advanced Manufacturing Technology Strategy	Partial completion
	SARS	Tax Compliance Cost of small businesses	Draft report
	COGTA	Community Works Programme (CWP)	Final report
	DEA	Effectiveness of Environmental Governance in the Mining Sector (EEGM)	Imp Plan
	DST	Knowledge Systems Policy (IKSP)	Draft report
	DSD	Social Sector Expanded Public Works Programme	Final report
	DEA	Environmental Impact Assessment (EIA) Regime of Sustainable development	Starting
	dti, NT, DAFF etc	Incentive systems for industry	Starting
	SKILLS	Military Veterans	Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme.
DHET		Policy on Community Education and Training Colleges (PCC)	Final report
DHET		National Qualifications Framework Act (NQFA)	Underway
DHET		Technical and Vocational Education and Training (TVET) Colleges Expansion and Capacity Development Programme	Starting



OUTCOME	DEPT	FOCUS OF EVALUATION	STATUS
RURAL	DRDLR	Land Reform Recapitalisation and Development Programme	Imp Plan
	DRDLR	Comprehensive Rural Development Programme	Imp Plan
	DAFF	Comprehensive Agricultural Support Programme	Final report
	DAFF	Microfinance for Agriculture	Final report
	DRDLR	Restitution Programme	Imp Plan
	DAFF/ DRDLR	Policy Evaluation of Small Farmer Support	Draft report
	DAFF	Agricultural Extension Recovery Plan implementation eval	Underway
	DRDLR	Impact evaluation of Restitution Programme	Starting
	DAFF	Agricultural Extension Recovery impact Programme	Call out
HUMAN SETTLEMENTS	DHS	Urban Settlements Development Grant	Final report
	DHS	Integrated Residential Development Programme	Draft report
	DHS	Baseline for informal settlements targeted for upgrading	Draft report
	DHS	Evaluating interventions by DHS to facilitate access to the city.	Underway
	DHS	Diagnostic of whether the provision of state-subsidised housing has addressed asset poverty for households and local municipalities	Final report
	DHS	Social Housing Programme (SHP)	Final report
	NT	City Support Programme	Starting
ENVIRONMENT	DEA	Effectiveness of Environmental Governance in the Mining Sector (EEGM)	Imp Plan
	DEA	Environmental Impact Assessment (EIA) Regime of Sustainable development	Starting
PUBLIC SERVICE	Presidency	Government's Coordination Systems	Imp Plan
	DPME	MPAT System	Imp Plan
	DPME	Departmental strategic planning and APP system	Underway
	DPSA	Service Delivery Improvement Planning System	Starting
	DPME	Citizen-based Monitoring (CBM)	Final report
	DHA	Birth Registration Programme	Starting
	DPME	Evaluation of Evaluations System	Starting
SOCIAL PROTECTION	DSD	Violence Against Women and Children (VAWC)	Final report
	DSD	Social Sector Expanded Public Works Programme	Final report
	DSD	Non-Profit Organisations Regulatory Framework and Legislation	Draft report
	DSD	National Drug Master Plan (NDMP)	Draft report
	DSD	Older Persons Act	Starting





# 01

## INTRODUCTION

# 01

## INTRODUCTION

### 1.1 INTRODUCTION TO THE SECOND ANNUAL REPORT ON THE NATIONAL EVALUATION SYSTEM

The Department of Planning, Monitoring and Evaluation (DPME) was established in January 2010, and began operating in April of that year. The initial purpose for the Department was the establishment of government's 12 priority strategic outcomes, and the development and monitoring of plans against them. In 2011, the need for an evaluation system was agreed on, and consequently a National Evaluation Policy Framework (NEPF) was approved by Cabinet on 23 November 2011. The rationale behind this was that government must evaluate whether it is doing the right things, and whether it is doing them right.

The NEPF included focusing on a limited number of strategic priorities through a National Evaluation Plan (NEP). As at March 2016, some 54 evaluations have been completed or are underway. Emerging lessons and findings from these evaluations will be discussed in this annual report.

### 1.2 EVOLUTION OF THE EVALUATION SYSTEM

When implementation of the national evaluation system (NES) commenced in 2011, very little evaluation was taking place in government. Not many people had formal training in evaluation, even in existing monitoring and evaluation (M&E)

units, and the prevailing culture at the time was one where M&E was undertaken purely as a compliance exercise, not for learning how to improve performance. For example, in a survey undertaken by DPME in 2012, 56% of departments said that problems were not treated as opportunities to learn how to improve performance. With the main reason for evaluation being to learn, this meant that the evaluation system was being introduced into a very challenging environment, one which was not conducive to learning.

The development of the NES was built on the lessons learnt from a study tour to Mexico and Colombia in June-July 2011, which included the DPME Deputy Minister and Director General. Immediately after the trip, the draft NEPF was developed. It was approved by Cabinet on 23 November 2011 (DPME, 2011a).

The first NEP for 2012/13 was adopted by Cabinet in June 2012 (DPME, 2012b), and evaluations began in June 2013. In the 2015/16 financial year, 25 evaluations had approved final reports, compared to 13 in the previous year.

The lack of a culture of evaluation and learning in government has meant that great efforts needed to be made to establish the conditions which would help enable such a system, including the development of:

- Guidelines to establish the basis for minimum standards. The first guideline on developing terms of reference (ToR) was developed in February 2012 and formally approved in June 2012. As at March 2016, 24 guidelines and templates have been approved;



- Evaluation standards and the competences required by government staff and evaluators in August 2012;
- The first evaluation short course using these competences in September 2012. Since then, a suite of courses has been developed, with the main target group being the departments involved in evaluating particular programmes, thereby helping to build capacity to manage the evaluations. The focus is now on having the National School of Government (NSG) deliver these courses.

In 2015/16, a Management Performance Assessment Tool (MPAT) evaluation standard was piloted to help drive involvement of government departments in evaluation. This revealed that 36 departments have adopted the DPME guidelines on the NES, have a departmental evaluation plan, and have staff with an evaluation role. This indicates that the evaluation system is widening.

### 1.3 APPROACH UNDERLYING THE EVALUATION SYSTEM

The NEPF focuses on different government interventions including policies, plans, programmes, and systems. It envisages evaluation as a process carried out throughout the intervention lifecycle, including prior to development of an intervention (diagnostic evaluation), to confirm the robustness of the design (design evaluation), to assess progress and how implementation can be improved (implementation evaluation), to assess impact (impact evaluation), and to see the relationship between costs and benefits (economic evaluation).

The underlying purpose foreseen for evaluations is:

- Improving policy or programme performance - providing feedback to managers;
- Improving accountability for where public spending is going and the difference it is making;
- Improving decision-making e.g. on what is working or not working;
- Increasing knowledge about what works and what does not with regards to a public policy, plan, programme, or project.

The NEP is updated annually, including the key interventions across government which are seen as a national priority. These comprise of those that are large (in budget or footprint), link closely to the priority outcomes, are strategic or innovative, or address topics which are of considerable public interest. Selection in the NEP, which is undertaken by a cross-government Evaluation Technical Working Group (ETWG), means that Cabinet will support that the topic is important, the DPME will support the department concerned to ensure that the findings are implemented, and the evaluation will be made public. It will require that the guidelines and minimum standards being developed for the NES must be used, for example, an Improvement Plan must be produced.

Even when evaluations are done, a key challenge internationally and historically in South Africa is that they are often not used. This is a waste of money and a waste of an opportunity to improve government's efficiency and effectiveness.

There are ways to make sure they get used, however, chiefly by promoting ownership and ensuring credibility of the evaluations.

## PROMOTING OWNERSHIP

Ownership of evaluations is important as it fosters accountability. Departments should also feel empowered to undertake the evaluation process, as opposed to feeling obligated to do so.

- The organisations whose programmes or policies are being implemented must support the evaluations and implement the findings. Hence departments must own the evaluation concept and the process. For this reason, the system was created in a way that departments request evaluations, rather than having them imposed on them.
- While departments should not feel like the system is punitive, the importance of learning from the evaluation on how to improve should be stressed.
- There must be a coalition to support the evaluation system so that there is broad government ownership. A cross-government ETWG of key departments involved in evaluations has been established to support the system. A demand-driven approach helps to create champions to support the system.

## PROMOTING CREDIBILITY

One of the main factors in safeguarding the credibility of evaluations is making sure they are independent so principals, including Cabinet, can believe the results. To ensure this:

- Independent external service providers undertake the evaluation, reporting to a steering committee. These service providers are on a pre-qualified panel and include universities, science councils, non-profit organisations (NPOs), and consultants;
- Evaluations are implemented as a partnership between the department(s) and the DPME or the Office of the Premier, if provincial, which brings a degree of independence;

- The steering committee, and not the department alone, also makes decisions on the evaluation (e.g. approving reports), which keeps some distance and objectivity in decisions.

Major efforts have gone in to ensuring quality of evaluations, including:

- Establishing minimum standards by providing guidelines and training;
- Having peer reviewers (normally two) per evaluation;
- A DPME evaluation director, who supports the whole process and provides the secretariat for the evaluation;
- The NES, which must be followed by using the evaluation panel, standards, guidelines, training, etc;
- A theory of change (ToC) workshop and design clinic, which are undertaken once the evaluations have been selected, using top national and international evaluators (unpaid) to assist in defining the evaluation purpose, questions and methodology;
- A quality assessment, which is undertaken once the evaluation is completed and must score over three out of a possible five. Currently, the DPME is scoring well above the minimum, with an average of 3.7.

Obviously the evaluation can have no impact unless there is follow-up. The NES therefore includes a system of improvement plans to respond to the findings and recommendations, which are then monitored for at least two years on a six-monthly basis.

For the accountability objectives to be achieved, an important factor is transparency. To ensure this, all evaluation reports go to Cabinet and are then made public, unless there are security concerns. They are put on the websites of the DPME and partner department(s), sent to relevant Parliamentary portfolio committees, and sometimes even published in journals, which is encouraged.

Other communication means are continuously sought to improve dissemination and transparency.

## 1.4 THE EVALUATION CYCLE

The evaluation cycle, illustrated in Figure 1, demonstrates that evaluations are proposed and selected the year before they are undertaken, then terms of reference are developed, and finally, the evaluation is started the following year. Once complete, there is a follow-up process. This shows that a lot of work is involved in getting the evaluation appropriately focused with the right methodology, and undertaking the evaluation with the right procurement.

## 1.5 ROLES OF THE DPME AND DEPARTMENTS

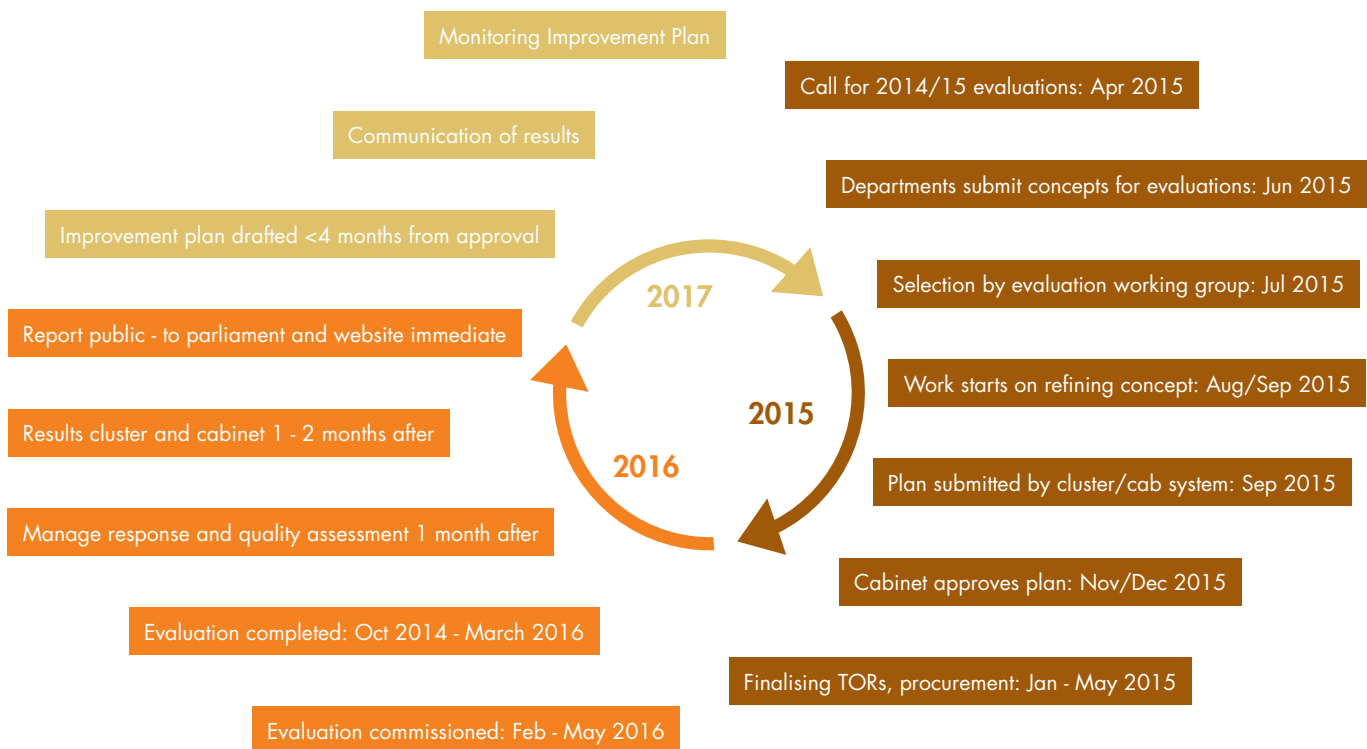
As the custodian of the national M&E system, the DPME develops the systems for evaluation and

supports their rollout across government. On a specific evaluation, the Department provides the secretariat, in this way assuring quality, and, as an additional incentive, it part-funds evaluations. Where evaluations are large, it also seeks external funding to support these e.g. from the International Initiative for Impact Evaluation (3ie), of which it is both a member and on the Board.

Nevertheless, departments are naturally the main owners of the evaluation, which address their programmes or policies, the findings of which they must implement. Departments also part-fund the evaluations. The programme managers within the departments normally chair the steering committees which manage the evaluations. Other departments that are involved may well be part of the steering committees, and may also have to implement the findings. National Treasury is invited to participate in all steering committees, and at least to comment on the terms of reference and final reports.

The next section of this report discusses the components of the NES and what has been achieved.

**FIGURE 1: EXAMPLE OF EVALUATION CYCLE FOR 2016/17**









# 02

## ESTABLISHING THE BASICS OF THE NATIONAL EVALUATION SYSTEM

# 02

## ESTABLISHING THE BASICS OF THE NATIONAL EVALUATION SYSTEM

### 2.1 GUIDELINES

Section 7.4 of the NEPF provides for the development of standard setting guidelines to complement the framework. The DPME has subsequently developed a set of practical and user-friendly guidelines and templates on various components of the evaluation process to support departments undertaking evaluations. As of the end of the 2015/16 financial year, 24 guidelines/ templates had been produced and posted on the DPME website (which can be found at <http://evaluations.dpme.gov.za/pages/guidelines-other-resources>). The guidelines provide direction on the functionality of the evaluation system from beginning to end, for example the ToR needed at the start of the process, to one on developing an improvement plan at the conclusion of the evaluation. In collaboration with selected national and provincial departments, the DPME developed the latest guideline, How to develop a Departmental Evaluation Plan, in response to the pilot MPAT standard on evaluation which requires departments to develop departmental evaluation plans (DEPs). A list of the approved policies, plans, guidelines, templates, and other standard setting documents can be found in Annex 1.

The guidelines are used by stakeholders and training service providers as important reference documents on various aspects of the evaluation system, and departments have been asked to adopt them as part of the MPAT evaluation standard. They are constantly revised to incorporate comments made by stakeholders and to reflect the latest developments on the NES. In total, eight guidelines were revised during the 2015/16 financial year.

### 2.2 LEARNING AND CAPACITY DEVELOPMENT

The capacity in government departments to undertake and manage credible evaluations remains a challenge. As such, the DPME constantly analyses the situation in order to identify suitable opportunities to respond appropriately with the various capacity development tools it continues to develop to build government capacity. These include:

- Awareness-raising through events such as the annual NEP briefing session, which was launched in 2015 to elicit responses to calls for concept notes for proposed evaluations to be submitted for the NEP. Thereafter, a training session was held on developing the concept notes. The DPME has also made presentations to national and provincial departments on the NES to encourage the development of departmental evaluation plans.
- Learning-by-doing support through direct experience of undertaking evaluations. The DPME evaluation directors provide the secretariat for evaluation steering committees and support the whole evaluation process. Each director supports two to four evaluations in a specific year, while also supporting implementation of the previous year's evaluations, and preparing for the following year's, and therefore may have up to eight evaluations to manage in one year.



- The release of the revised evaluation competencies document in July 2014, based on piloting the competences within national and provincial evaluation systems for the preceding year, which involved significant stakeholder consultation. The evaluation competencies continue to assist in developing job descriptions in recruitment, looking at career pathing, specifying competencies required in procurement of service providers, and in reflective programme management.
- Provision of just-in-time short courses which help staff working on evaluations to undertake each stage of the evaluation process. The DPME continues to roll out its suite of training courses developed in collaboration with the Centre for Learning on Evaluation and Results Anglophone Africa (CLEAR-AA), namely *Managing and Commissioning Evaluations*, *Deepening Evaluation*, and *Evaluation Methodology*. These are typically three-day courses which are provided at the point in the evaluation cycle where the specific skills are needed. In addition, courses have been run on logframes and ToC. During the 2014/15 financial year, 367 government officials attended the short training courses, exceeding the target of 300, as well as 40 staff from various service providers. Details of the courses can be found in Annex 8.
- Training of senior managers on evidence. A course for directors general (DGs) and deputy DGs (DDGs) on the importance of evidence was run for the second time in

2014 as a high level introductory course aimed at senior managers of the public sector. There was very high demand for the course, with over 90 people applying and 44 accepted.

- Peer support across and within the system. This is something which has not taken off yet, with the exception of the Western Cape, which has provided support to other provinces interested in developing a provincial evaluation plan (PEP).
- To date, the DPME's training has focused on staff directly involved in evaluations, whether M&E staff or programme managers. However, wider training to build evaluation capacity in the country is planned through appropriate training courses provided by the NSG, universities, and the private sector. The Department is developing relationships with these organisations to achieve this end, as well as seeking to work with universities to contribute to Masters courses in programme evaluation to ensure that they are effectively geared towards building the capacity for improved awareness and support of the NES. So far, the DPME has contributed to the MPhil in Development Policy and Practice at the University of Cape Town (UCT), teaching a four-day module on *Planning and M&E for Change*, which was well received.



## 2.3 QUALITY ASSURANCE

Core to DPME's approach is ensuring quality. In 2012, with the support of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), the Department developed a set of evaluation standards, building on international experience from the Organisation for Economic Co-operation and Development (OECD), Germany, the US, Canada, and, in particular, Switzerland, as well as the African Evaluation Standards developed by African Evaluation Association (AfrEA). In the end, the OECD Development Assistance Committee (DAC) standards were felt to be the most practical, and these were adapted for South Africa. The quality assessment standards have since been revised and reduced from 71 to 42. They are available on the DPME website (<http://www.dpme.gov.za/keyfocusareas/evaluationsSite/Pages/Quality-Assurance.aspx>), an overview of which can be found in Box 1.

The standards intend to support the use of evaluations conducted through the NES by setting benchmarks as a means to measure evaluation quality. Based on these, a quality assessment tool has been developed, which is applied to all evaluations once completed. This is used by independent assessors who, over the course of around four days, look at the ToR and evaluation products and speak to stakeholders in order to give a score out of five for the quality of the evaluation. This has been applied to all government-related evaluations that the Department has been able to obtain, including some going back as far as 2006. In addition, the DPME is supporting provinces by quality assessing their evaluations. It is intended to expand this role in future.

### BOX 1: SECTIONS OF SOUTH AFRICA'S EVALUATION STANDARDS

<b>1. OVERARCHING CONSIDERATIONS</b>
1.1 Partnership approach
1.2 Free and open evaluation process
1.3 Evaluation ethics
1.4 Coordination and alignment
1.5 Capacity development
1.6 Quality control
<b>2. PLANNING, DESIGN AND INCEPTION</b>
2.1 Clear terms of reference for the evaluation
2.2 Evaluability
2.3 Resources
2.4 Stakeholder involvement, governance
2.5 Selection of evaluation service provider
2.6 Inception phase
<b>3. IMPLEMENTATION</b>
3.1 Independence of evaluators, vis-à-vis stakeholders
3.2 Consultation of stakeholders
3.3 Protection of informants
3.4 Implementation of evaluation within allotted time and budget
<b>4. REPORTING</b>
4.1 Intermediate reports
4.2 Evaluation products
4.3 The 1/3/25 report format
4.4 Coverage of the report
4.5 Incorporation of stakeholders' comments
<b>5. FOLLOW-UP, USE AND LEARNING</b>
5.1 Timeliness, relevance and use of the evaluation
5.2 Systematic response to and follow-up on recommendations
5.3 Dissemination of evaluation results
5.4 Reflection on the evaluation process and product

A total of 142 evaluations had been quality assessed up to the 2015/16 financial year, with 6 still outstanding for 2016/17, bringing the number of evaluations to 148. Of the 142 evaluations that were quality assessed, 116 scored above 3, while 26 evaluations scored below 3, which is not considered as providing reliable results. The average scores for both national and provincial evaluations was 3.47. These assessments, including the executive summaries and ToR, are available on the Evaluation Repository on the DPME website at <http://evaluations.dpme.gov.za/evaluations.aspx>.

Other tools to improve quality are:

- A peer review system, which involves a methodology and content peer reviewer in each evaluation. A review of the system started in December 2014 and was completed in November 2015. Recommendations from the findings of the review have been included in the updated current peer review guideline.
- Theory of change/design clinics, using top national and international evaluators to support evaluation teams to develop ToC and robust evaluation purpose, questions, and methodology. This has been done for four years and is improving.

## 2.4 COMMUNICATION

The DPME takes communication very seriously and believes it is important to continuously inform its stakeholders and the broader public about the work being done on evaluations and the value they add. As the system matures and the number of completed evaluations grows, communication of evaluation results is imperative to influence policy and practice and keep government accountable to the wider public.

In 2014/15, a communication strategy was developed with funding from the UK Department for International Development (DFID). It will be reviewed in this financial year to incorporate key communication lessons and results from the previous year. Elements from the strategy that have already been implemented include:

- Five editions of the bi-monthly Evaluation Update electronic newsletter, which covers activities around evaluation and is circulated to around 2,500 key contacts nationally and internationally. It is also available on the DPME website.
- Strategic platforms such as National and provincial M&E Forums and 14 learning events to promote the use of evaluations and provide updates to national stakeholders and representatives from the Offices of the Premier.
- An Evaluation friends distribution list of over 300 people, including those who have attended the DG/DDG course on evidence, to whom relevant news and documents are circulated.
- Printed key evaluation documents, such as the NEPF and NEPs.
- The DPME website, which has considerable information on evaluation, including the Repository. The website was revised in 2015/16 to include a separate platform that allows for more flexibility, which will be taken live in the 2016/17.
- An Annual Report on Evaluation, which was done for the first time in 2014/15.
- Increased use of media and social media in communication of evaluation results, such as through the Twitter accounts of the Department (@evaluationSA), which now has around 300 followers, and the Head of Evaluations in the Department, which has close to 600 followers.

Other communication outputs on lessons learned have been published in various books, journals, and newspapers, including:

- The special edition of the African Evaluation Journal (AEJ) on South Africa's NES, in collaboration with the South African Monitoring and Evaluation Association (SAMEA). The journal has 12 papers (see Figure 2) and by the end of March 2016, had been downloaded over 19,000 times. The set of papers can be found on the AEJ website at <http://www.aejonline.org>.
- Two chapters of a book on Evaluation and Democracy have been drafted and will be published in the next financial year.
- Three newspaper articles about the Grade R evaluation appearing in the Mail and Guardian (<http://mg.co.za/article/2014-07-30-grade-r-offers-sas-poorest-children-no-discernible-benefit>), Business Day Live (<http://www.bdlive.co.za/national/education/2014/09/18/poor-grade-r-pupils-have-the-least-to-show>), and the Mercury.
- Two articles on Recapitalisation and Development Programme evaluation, which both appeared on Business Day Live (<http://www.bdlive.co.za/business/agriculture/2015/02/05/states-scheme-to-fix-land-projects-can-do-better> and <http://www.bdlive.co.za/national/2015/02/06/critics-want-land-scheme-review>).



In partnership with the Programme to Support Pro-Poor Policy Development (PSPPD), the DPME has also developed a series of five policy briefs which will be made available on its website and on those of partner departments.

Finally, following the launch in March 2015 of the International Year of Evaluation, a collaboration between the DPME, CLEAR-AA, SAMEA, and the Public Service Commission, a number of events were held. These included a SAMEA Business Breakfast, the Evaluation Capacity Development Conference in Thailand in October 2015, and the EvalPartners final event of the year in Nepal in November 2015.

## 2.5 EVALUATION REPOSITORY

Access to information from evaluations is critical for external stakeholders. The DPME has therefore created a centralised web-based repository of evaluation reports which have been quality assessed on its website. For older evaluations there may only be a final report, but for new evaluations a wide variety of documents are available, including ToR, intermediate reports, final reports, management responses, improvement plans, and progress reports on the improvement plans. Furthermore, the Evaluation Repository has recently been revamped and integrated into the DPME's overall Evaluation Management Information System (EMIS) to allow for greater flexibility with regard to its use and the managing of key documents. It will be deployed onto the DPME servers and website in May 2016.

In 2015/16, there were 4,989 visitors to the Repository. The majority were from South Africa, at 39%, however, there were also visitors from the UK, US, Australia, Switzerland, France, Germany, China, Kenya, Japan, Russia, and the Netherlands. The Repository can be accessed at <http://evaluations.dpme.gov.za/evaluations.aspx>.

## 2.6 BUILDING DEMAND FOR EVALUATION EVIDENCE

For evaluation evidence to inform programme management and budget decisions, it is important that senior managers are interested in using evidence to improve their performance. The aim of the DPME's capacity-building initiatives is therefore to inform and enthuse participants about evidence-based policy-making and implementation (EBPM&I), providing them with an overview of the language, concepts and tools used in this area, and introducing them to a range of national and international resources on the use of evidence.

Supported by the DG in the Presidency, the DPME, together with UCT and the PSPPD, organised a first course for DGs/DDGs in EBPM&I in November 2013. The course has proved very popular and was run again in October 2014, May 2015, October 2015, and May 2016. The course has now been attended by around 140 participants from a range of government departments and sectors, including Education, Health, Human Settlements, Environmental Affairs, Justice and Constitutional Development, Public Service and Administration, Science and Technology, and Public Works. Provincial officials from Mpumalanga, Gauteng, North West Province, the Northern Cape and the Western Cape were also represented, as were Statistics SA and the NSG.

In addition, evaluations are being tabled frequently at the Forum of South African Directors-General (FOSAD) and increasingly at

departmental clusters, which is helping to make DGs aware of the type of evidence emerging. However, there are cases where departments are reluctant for evidence to be made public, which is delaying publication of some evaluations.

The DPME has also been working with portfolio committees and Members of Parliament (MPs) to increase awareness of how M&E evidence can inform their oversight roles. In 2013/14, particular efforts were made with the Standing Committee on Appropriations, to which the DPME reported prior to the 2014 elections, including organising two study tours during this time to the US/Canada, and to Kenya/Uganda. This helped to build better understanding and trust with the committee. The DPME now reports to the Public Services Committee.

## 2.7 BUILDING SUPPLY CAPACITY

To simplify procurement processes, an evaluation panel of service providers was developed in January 2012, including universities, science councils, NPOs, and consultants. Service providers had to be registered within the DPME system as preferred suppliers, and needed to be security vetted. Unfortunately, not enough good proposals were received, and the quality of work of some service providers that won bids was less than expected, bearing in mind their track record of evaluations.

And so, in March 2014, an Annual Reflection Session was held, out of which many suggestions on how to strengthen and widen the panel emerged. A new call therefore went out in August 2014, which resulted in the selection of 24 service providers in January 2015. While this was fewer than previously, at 42, this panel has proved to be much more effective, with many more organisations bidding for evaluations, and several who were not strong enough dropping off.



## 2.8 IMPROVING PROGRAMME PLANNING

As at May 2016, of the 26 service providers on the panel, 18 had bid and 7 had been successful. This means that the active group is quite large, but the successful group is smaller. Nevertheless, they are experienced evaluators who have the skills needed to support evaluations in South Africa, and can be contracted speedily to undertake or support an evaluation.

The DPME has also been trying to strengthen the involvement of universities and science councils. Contact has been made with the five universities on the panel (Pretoria, Stellenbosch, UCT, Free State, and Wits) and presentations given highlighting the importance of them playing a more active part in evaluation bids, as well as discussing postgraduate training in evaluation. This has stimulated much more active engagement from the universities.

Lastly, to strengthen service provider capacity, training was run in ToC and service providers were briefed on the NES. A total of 40 staff from service providers participated.

**TABLE 3: NUMBER OF PROGRAMMES HAVING SPECIFIC DESIGN ELEMENTS**

TOTAL	NUMBERS OF PROGRAMMES WITH:		
	clear design document	clear indicators	clear budget
55	28	22	15
	51%	40%	43%

The 54 evaluations currently completed or underway cover programmes accounting for around R90 billion (approximately \$6 billion) of government expenditure across a three-year Medium-Term Expenditure Framework (MTEF) period. Improving the performance of these programmes therefore represents an opportunity for a major improvement in the effectiveness of the state, and improvements in its impacts on the lives of citizens.

The NES has revealed that many government implementation programmes are not achieving what they set out to, and need substantial redesign (see Table 5). This means that in many cases, government is not getting the potential value for money from programmes, nor achieving the intended policy outcomes. A major cause for this appears to be weak planning, with many programmes lacking proper plans or planning documents, and where they do they exist, they are often poorly thought through (see Table 4).

Another weakness is that proper diagnosis is not always undertaken, and so the design of the programme addresses the symptoms of the problem, rather than being founded on a good understanding of the root causes. A critical conclusion that has been reached based on this experience is that a support programme needs to be developed to strengthen programme planning, both for new and existing programmes. This provides an opportunity for significant improvement in service delivery using existing budgets.

Key advances towards this are:

- A guideline on planning implementation programmes has been developed together with National Treasury (available on the DPME website), and a training course has been piloted.



- A guideline on design evaluation has been developed (available on the DPME website) and a training course based on this will be developed in 2015/16. This will train departmental M&E units to check the designs of programmes and policies before they are implemented.

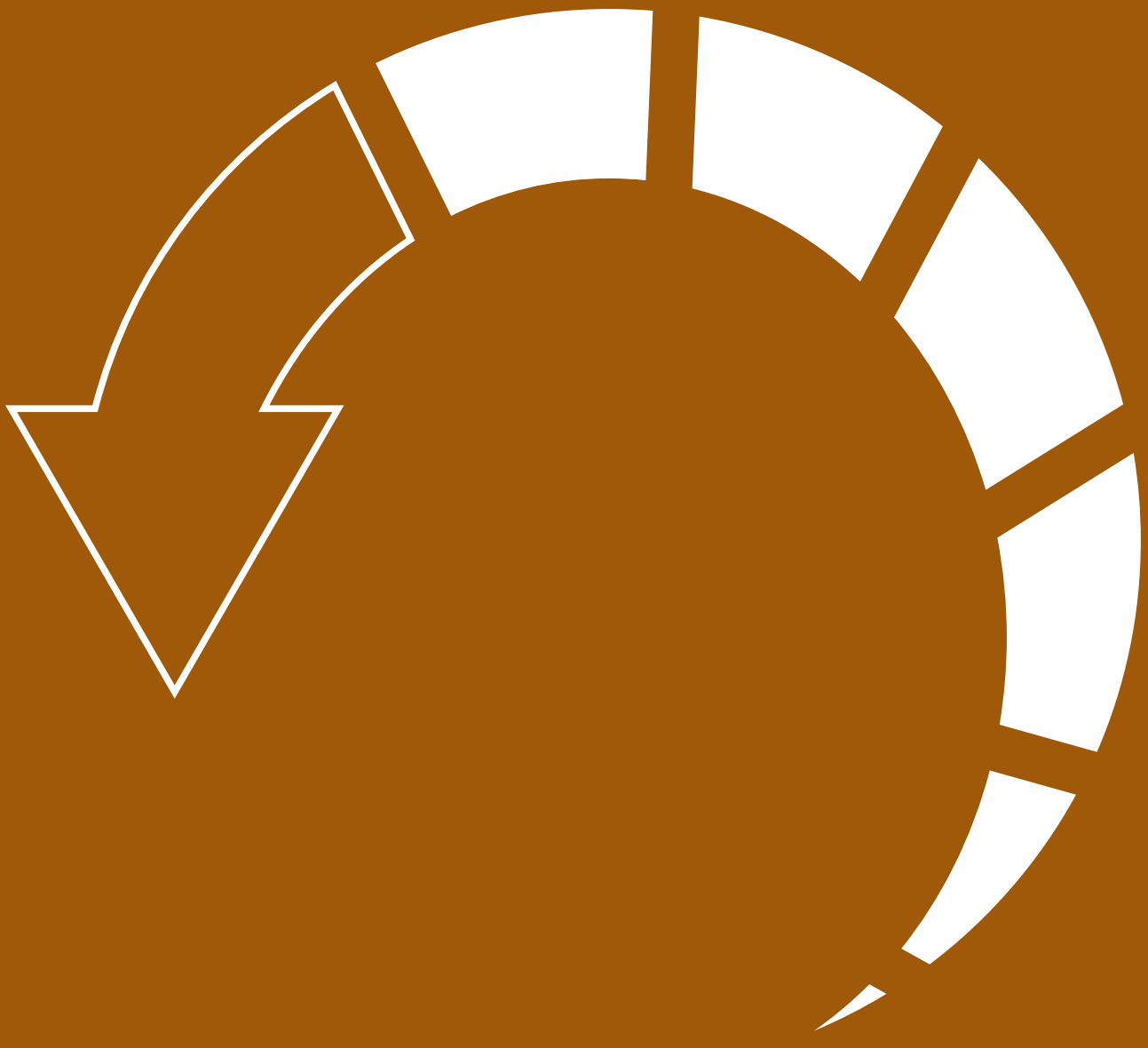
Later an intervention will be needed to build planning capacity-building programme across government. A further step that is needed is improving programme budgeting, building on the work being undertaken by National Treasury and the DPME on expenditure reviews.

Because of the need to link programme planning to departmental strategic and annual performance plans, the responsibility for programme planning has been given to another unit in the DPME.

**TABLE 4: PROPORTION OF EVALUATIONS SHOWING PROGRAMMES REQUIRING REDESIGN (FIRST EVALUATIONS TO HAVE REPORTS)**

PROGRAMME BEING EVALUATED	OUTCOME FROM EVALUATION RESULTS			
	Close	Major changes needed	Minor changes needed	No changes needed
<b>Pre NEP</b>				
Early Childhood Development (ECD)		X		
<b>NEP 2012/13</b>				
Business Process Services Programme			X	
Grade R		X		
Nutrition programmes addressing under-5s		X		
Land Recapitalisation and Development (RADP)		X		
Comprehensive Rural Development Programme (CRDP)		X		
<b>NEP 2013/14</b>				
Export Marketing Investment Assistance Incentive Programme (EMIA)		X		
Support Programme for Industrial Innovation (SPII)		X		
Military Veterans Economic Empowerment, Skills Transferability and Recognition Programme		X		
Restitution Programme		X		
Government Coordination System		X		
MAFISA		X		





03

PROGRESS WITH IMPLEMENTATION  
OF NATIONAL EVALUATIONS

# 03

## PROGRESS WITH IMPLEMENTATION OF NATIONAL EVALUATIONS

This section highlights the status and emerging findings and recommendations from NEP evaluations to March 2016. Other evaluations are listed in Annex 2.

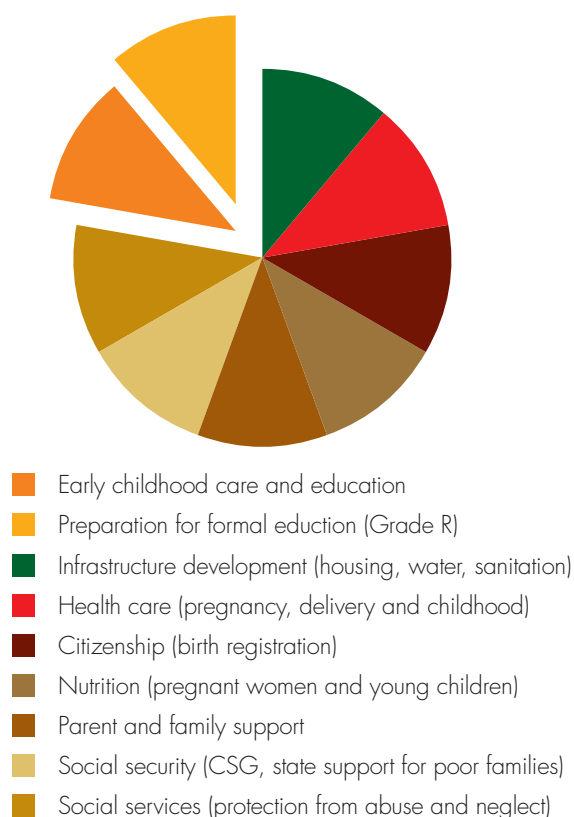
### 3.1 THE INITIAL PILOT - EARLY CHILDHOOD DEVELOPMENT (ECD)

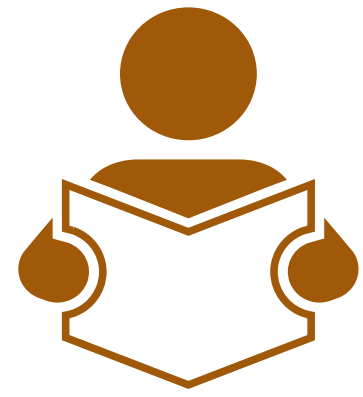
The ECD evaluation was the pilot evaluation for the NES. It started in October 2011 and was a Diagnostic Review, seeking to get an overview of the sector and to link with a review that was happening of the National Integrated Plan for ECD. Rather than primary research, it drew from 112 existing studies. A key finding was the need to expand ECD to include the first 1,000 days from conception, the need for a comprehensive set of services, and the need for more focus on ensuring access by poorer children. An important process outcome was an improved relationship between the three key departments involved, namely Social Development (DSD), Basic Education (DBE), and Health (DoH). The final report was approved in June 2012, and the results were combined with those of an ECD Conference organised by the Minister of Social Development. A National Action Plan for ECD was then developed to take the work forward. As a result, a new draft ECD Policy has been produced and gazetted addressing many elements of the findings.

Three progress reports on implementing the improvement plan have been received, the last of which highlighted that the DBE has developed an ECD curriculum for children from birth to school-going age, including stimulation material. As per Cabinet's recommendation, the integrated

infrastructure policy for ECD will be incorporated into the National ECD policy to avoid having two separate infrastructure policies on ECD. The analysis of the existing two costing models done by Cornerstone for the South African Programme of Action for ECD and the Human Sciences Research Council (HSRC) on the draft policy is currently under review by all affected departments with the support of National Treasury, following an instruction by Cabinet that there should be an alternative costing done by DSD and National Treasury. This includes a gap analysis of the previous costing.

**FIGURE 2: SERVICES THAT PROMOTE AND PROTECT THE DEVELOPMENT OF YOUNG CHILDREN**





## 3.2 2012/13 NATIONAL EVALUATION PLAN

### **EVALUATION OF THE BUSINESS PROCESS SERVICES (BPS) INCENTIVE SCHEME**

The Business Process Services (BPS) incentive scheme was launched by the Department of Trade and Industry (dti) in 2011 to enhance South Africa's position as a world class outsourcing destination for international investors and service providers. The purpose of the evaluation was to investigate the extent to which the scheme is achieving its main objectives of job creation and attracting foreign direct investment (FDI). This evaluation assessed the scheme's efficiency, effectiveness, impact, and sustainability of design and implementation.

It revealed that 3,807 jobs have been created since the start of the BPS incentive scheme, and the estimated investment to date is approximately R2.7 billion, primarily operational expenditure. As much as 50% of firms stated that their investment in the industry was strongly influenced by the presence of incentives. This implies that this scheme has catalysed significant additional activity and investment. A challenge the scheme faces, however, is the lack of communication from government regarding its future, resulting in increasing uncertainty. Key recommendations were that the dti should review the design of the scheme and address the skills pool in the South African BPS industry, firms must be encouraged to more accurately project the number of jobs they expect to create, and that a target for FDI and job creation must be provided.

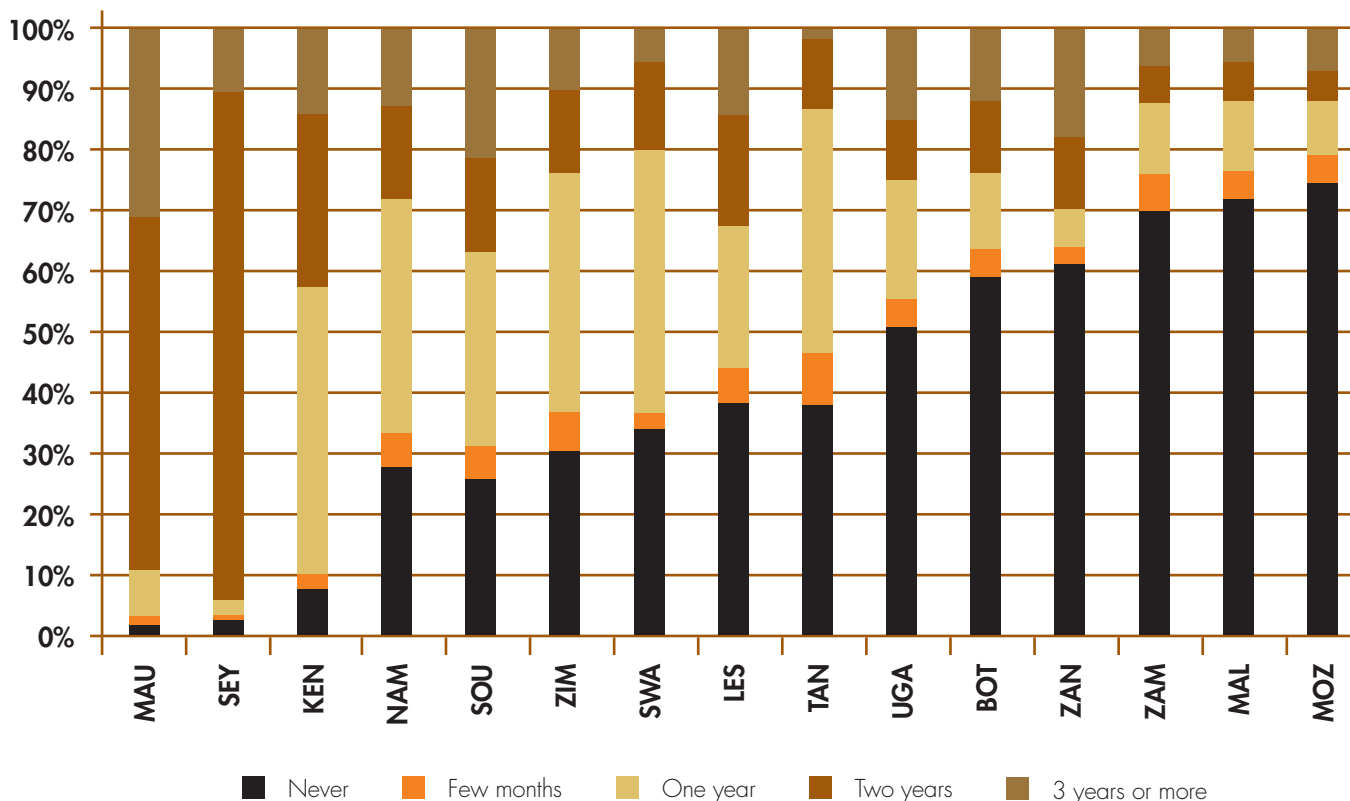
The evaluation report was approved by the evaluation steering committee in May 2013, and approved by Cabinet in February 2014. Based on evaluation recommendations, a revised BPS incentive scheme was launched in October 2014. The first progress report on the improvement plan was received in January 2015. The second progress report, which showed that 81% of the strategies have been implemented, was submitted in August 2015. The third progress report, received in March 2016, indicated significant change as 90% of the strategies have been completed.

### **IMPACT EVALUATION OF THE INTRODUCTION OF GRADE R ON LEARNING OUTCOMES**

The DBE defines Grade R as a "formal" education programme attended by children the year before Grade 1. The purpose of Grade R is to prepare learners for school, improve academic performance and retention, and decrease repetition among learners. Since 2001, there has been massive expansion of provision of Grade R, from 242,000 in that year to 768,000 in 2012. A further 55,000 children attended Grade R in ECD centres, pushing the total up to 804,000.

The evaluation used a very large dataset of 18,102 schools, which allowed precise measurement of the impact of Grade R on test performance in mathematics and home language for Grades 1 to 6. This indicates that the impact of Grade R is small, with virtually no measurable impact for the poorest three school quintiles, with some impacts for quintiles 4 and 5. Results are

**FIGURE 3: PRESCHOOL EXPOSURE IN REGIONAL COMPARISON**



better in higher quintiles, better performing schools, and educationally stronger provinces (Gauteng, Northern Cape and Western Cape). This reveals that Grade R is not having the impact that was hoped for in poorer schools. Despite massive expansion, poor quality of provision seems to be limiting impact. The evaluators recommend that DBE pursue the target of 100% Grade R coverage, while focusing on improving quality.

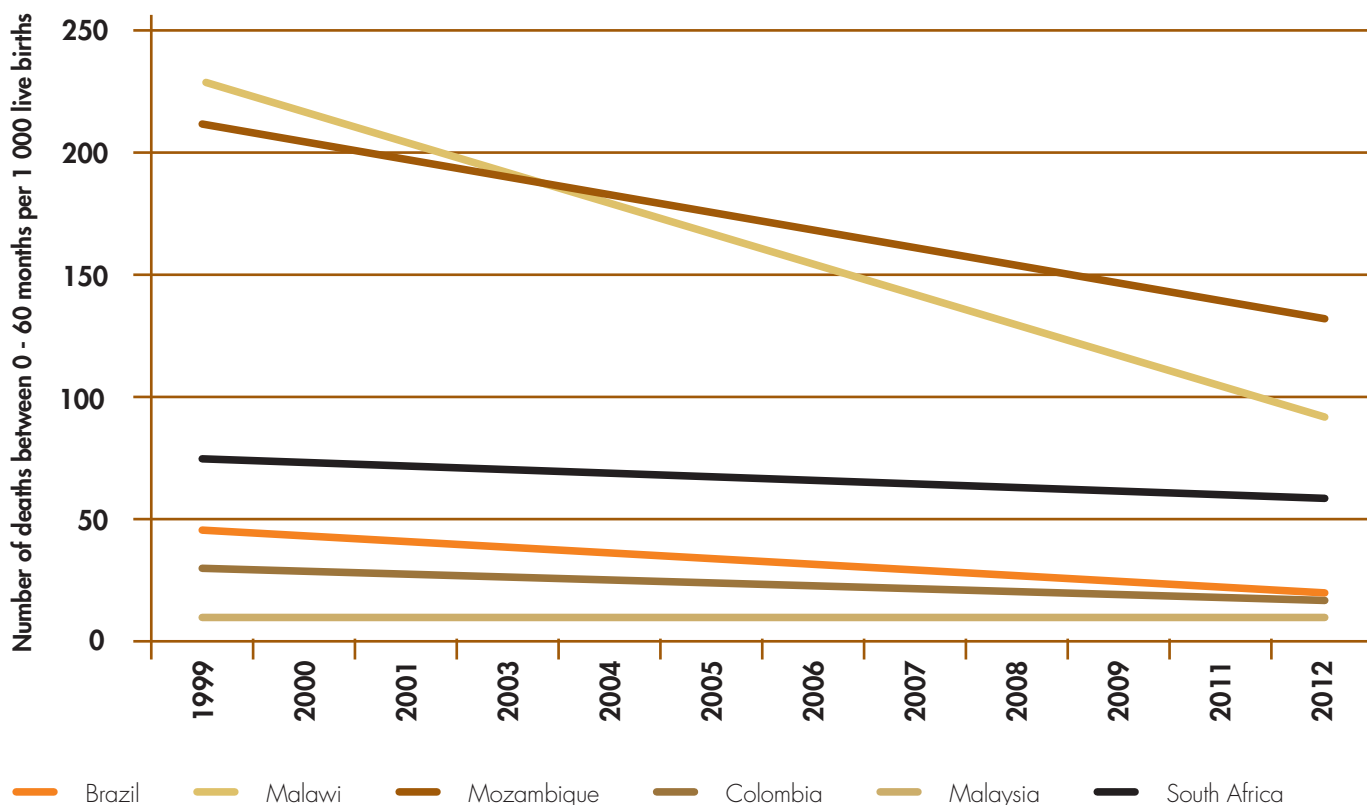
The evaluation report was approved by the evaluation steering committee in June 2013 and was presented to Cabinet in March 2014. A management response and improvement plan has been developed. The first progress report on the improvement plan, which was submitted in June 2015, indicated that no significant changes had occurred. The second progress report was submitted in April 2016 and had more positive news; steady progress is being made and 4 out of 15 strategies have been implemented so far.

**EVALUATION OF NUTRITION INTERVENTIONS FOR CHILDREN UNDER 5**

This evaluation arose from the Figure 2: Services that promote and protect the development of young children evaluation, with a realisation that the nutritional component of ECD was insufficiently developed. It focused on four high impact interventions and field work in four provinces, namely KwaZulu-Natal, Western Cape, Free State and Eastern Cape. Rather than just focusing on Health’s Integrated Nutrition Programme, it also looked at backyard food production initiatives by the Department of Agriculture, Forestry and Fisheries (DAFF) and the Department of Rural Development and Land Reform (DRDLR), as well as other food security initiatives. The evaluation was completed in March 2014.



**FIGURE 4: TRENDS IN UNDER-FIVE MORTALITY RATE ACROSS 6 COUNTRIES: 1999 - 2012**



A key finding was the importance of nutrition in contributing to child mortality, and that 21% of children under the age of five are stunted, which is much higher than in similar countries, like Brazil and Colombia. The stunting can never be recovered, and also affects the next generation of children, resulting in intergenerational transfer of poverty.

As a result, the Medium-Term Strategic Framework (MTSF) incorporates several targets on nutrition in outcomes 2, 7 and 13. Other recommendations were to have higher level champions in national and provincial departments, improve training of nurses and community health workers as is already happening in KwaZulu-Natal, and pursue the primary health care model in KwaZulu-Natal where a community worker is trained as a nutrition advisor. In addition, an overarching coordination mechanism is recommended with an overarching

nutrition plan. This requires greater emphasis for the DoH on health promotion rather than clinical interventions, as well as DAFF playing a proactive role in promoting household food production, e.g. through non-governmental organisations (NGOs). Cabinet approved the report and requested that action be linked with that on the National Food and Nutrition Security Strategy, with a joint plan to be developed in 2015/16. The DPME then proposed that since the evaluation improvement plan was not approved, this joint plan should serve as an improvement plan once it is developed. The DPME would then receive progress reports every six months to track progress against committed tasks. This evaluation is currently stuck and nothing has been agreed on for a way forward.

**TABLE 5: RECAP PROJECTS BY LAND REFORM TYPE AND PROVINCE**

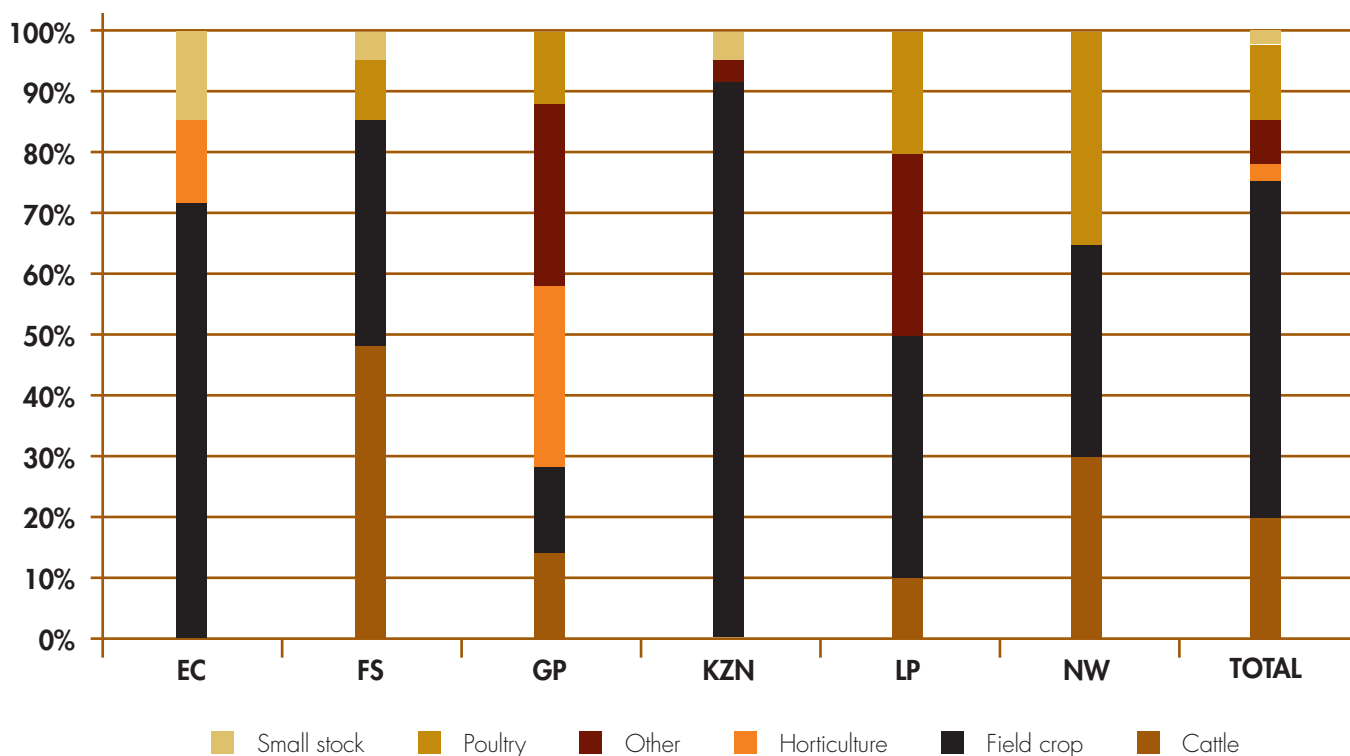
	EC	FS	GP	KZN	LP	MP	NC	NW	WC	TOTAL
SLAG	2	5	0	3	2	0	2	2	0	16
SPLAG	0	0	1	1	0	0	0	0	0	2
LRAD	5	30	2	54	40	2	13	43	1	190
IRRIG/LRAD	1	0	0	0	0	0	0	0	0	1
PLAS	4	77	106	47	24	52	19	34	11	374
Restitution	1	2	2	0	1	1	0	22	0	29
Communal	0	0	0	0	0	0	0	1	0	1
LRAD/SLAG	0	0	0	1	0	0	0	0	0	1
State	0	0	0	0	0	0	4	3	0	7
Other	0	1	0	0	1	0	0	0	0	2
Unknown	1	0	6	4	2	4	0	0	0	17
<b>Total</b>	<b>14</b>	<b>115</b>	<b>117</b>	<b>110</b>	<b>70</b>	<b>59</b>	<b>38</b>	<b>105</b>	<b>12</b>	<b>640</b>

EC=Eastern Cape, FS=Free State, GP=Gauteng, KZN=KwaZulu-Natal, LP=Limpopo, MP=Mpumalanga, NC=Northern Cape, NW=North West, WC=Western Cape, SLAG=Settlement Land Acquisition Grant, SPLAG= Settlement Production and Land Acquisition Grant; IRRIG=Irrigation, LRAD=Land Redistribution for Agricultural Development, PLAS=Proactive Land Acquisition Strategy

**TABLE 6: PROPORTION OF RECAP INVESTMENTS BY PROVINCE AND ENTERPRISE (PERCENTAGE) (N=98)**

	Eastern Cape	Free State	Gauteng	KwaZulu-Natal	Limpopo	North West	Total
Cattle	0,00	47,62	14,29	0,00	10,00	28,57	19,23
Field Crop	71,43	38,10	14,29	90,91	40,00	35,71	55,13
Horticulture	14,29	0,00	28,57	0,00	0,00	0,00	1,28
Other	0,00	0,00	28,57	4,55	30,00	0,00	8,97
Poultry	0,00	9,52	14,29	4,55	20,00	35,71	12,82
Small stock	14,29	4,76	0,00	0,00	0,00	0,00	2,56
Total	100	100	100	100	100	100	100

**FIGURE 5: PRESCHOOL EXPOSURE IN REGIONAL COMPARISON**







## **IMPLEMENTATION EVALUATION OF THE RECAPITALISATION AND DEVELOPMENT PROGRAMME (RADP)**

RADP was launched in 2010 to focus on struggling land reform farms acquired since 1994 that have received little or no support, but have the potential to become successful, if assisted. The main purpose of this evaluation was to establish whether RADP is on track to achieve its objectives and to advise on how to strengthen implementation of the programme. Findings indicate that RADP has made some progress towards achieving its intended objectives, but there is room for significant improvement. About 540 additional jobs were created on the 98 farms included in the evaluation after RADP was implemented, varying across provinces, with KwaZulu-Natal much more successful. However, the number of jobs created is too small to justify the amount of investment in RADP given the high levels of job losses in the agricultural sector. Most RADP stakeholders interviewed believe that food security has improved since the programme started, confirmed by the agricultural production happening on 70% of the projects included in the evaluation. An area in which RADP does not seem to have made much progress is facilitation of market access for farmers.

There are questions as to whether the grant funding approach in RADP is sustainable, given the limited resources available and the suggestion that it promotes dependency on state funding among beneficiaries. The evaluation recommends a redesign and overhaul of public agricultural support programmes and doing away with existing

silos of funding agricultural support services. The evaluation steering committee approved the report in October 2013. The management response and improvement plan were received from DRDLR in February 2014 and approved by Cabinet in November 2014, which requested integration with the results from the Comprehensive Rural Development Programme (CRDP) and Restitution Programme. This integration will happen through the evaluation of the other programmes targeting smallholder farmers, which is seeking to develop an overall model for support to them. The progress report was received in October 2015.

## **IMPLEMENTATION EVALUATION OF THE COMPREHENSIVE RURAL DEVELOPMENT PROGRAMME (CRDP)**

The CRDP was launched by the DRDLR in 2009 to improve access to basic services and promote enterprise development and village industrialisation. The purpose of this evaluation was to assess whether the CRDP is achieving its policy goals and how the programme can be strengthened and scaled up, as well as whether the institutional arrangements that were put in place to support the implementation of the CRDP are appropriate. The evaluation found that there has been mixed progress in achieving CRDP goals. It is a high cost intervention with investment per ward of up to R42 million which will be difficult to scale up as currently designed. The modalities for strengthening coordination across the spheres of government and developing capacity of local institutions, especially local municipalities and the Council of Stakeholders, so as to ensure comprehensive delivery on rural development, are weak.

The evaluators recommend ways of strengthening CRDP's institutional arrangements and improving its attainment of programme goals. The model needs to be reviewed with clear norms and standards on rural development. The evaluation report was

**TABLE 7: CRDP CASE STUDY SITES (IDENTIFIED BY LOCAL MUNICIPALITY AND WARD NUMBER(S))**

<b>PROVINCE</b>	<b>CRDP PILOT SITE</b>	<b>CRDP Additional Site</b>
<b>Gauteng</b>	Devon, Lesedi (ward 13)	Sokhulumi, City of Tshwane Metropolitan Municipality (ward 105)
<b>Western Cape</b>	Dysselsdorp, Oudtshoorn (ward 10 and 12)	Bella Vista & Nduli, Witzenberg (wards 1 and 6)
<b>Free State</b>	Diyatalawa and Makgolokweng, Maluti a Phofung(ward 1 and 4)	Jacobsdal, Letsemeng (ward 2)
<b>KwaZulu-Natal</b>	Msinga (wards 10,11,12,13 and15)	Vryheid, Abaqulusi (wards 5,6 and 7)
<b>Eastern Cape</b>	Mhlontlo (ward 2 and13)	Ingquza Hill (ward 1)
<b>Northern Cape</b>	Riemvasmaak, Kai Garib (ward 1)	Joe Morolong (ward 1 and 2)
<b>Mpumalanga</b>	Donkerhoek, Mkhondo (ward 2)	Pixley ka Seme (ward 6)
<b>North West</b>	Mokgalwaneng and Disake, Moses Kotane (ward 5 and 29)	Tshidilamolomo, Ratlou (ward 1)
<b>Limpopo</b>	Muyexe, Greater Giyani (ward18)	Makhado (ward 8)

approved by the steering committee in October 2013, and the DRDLR's finalised improvement plan and report were approved by Cabinet in November 2014. As with RADP, Cabinet requested integration with the results from the other programmes targeting smallholder farmers in order to develop a single overall model of support for them. The progress report on the improvement plan was sent to the DPME in October 2015.

### **EVALUATION OF THE INTEGRATED RESIDENTIAL DEVELOPMENT PROGRAMME (IRDP)**

The IRDP was introduced in the 2009 revised National Housing Code. Responding to some of the challenges facing housing in the country, the programme presented a shift from beneficiary-focused subsidy funding for housing, to settlement-wide developments that cater for mixed land uses and different income category housing in a single project. In addition, the evaluation of the IRDP is

the reformulated Reconstruction and Development Programme (RDP), or the project linked subsidy housing programme, which was reformulated to respond better to integration concerns raised in the 5- and 10-year review.

According to the Expenditure and Performance Review conducted by National Treasury and the DPME, the IRDP accounts for 26% of housing expenditure. The programme introduced fairly complex delivery processes that require a mix of private and public funding, different housing programmes, and collaboration between government (all three spheres and between different departments) and private sector.

A design and implementation evaluation of the IRDP was initiated in 2012, which aimed to evaluate the implementation of four priority projects to identify policy components that need to be revised, as well as to draw out lessons for the successful implementation of these complex integrated projects.

**TABLE 8: PERFORMANCE OF THE CASE STUDY PROJECTS IN RESPECT OF FUNCTIONING URBAN SPACES, SOCIAL INCLUSION AND SPATIAL INTEGRATION**

	<b>COSMO CITY</b>	<b>ZANEMVULA</b>	<b>PENNYVILLE</b>	<b>OLIEVENHOUT BOSCH</b>
<b>% of households who want to live forever in the area</b>	43	89	36	27
<b>% who rate the quality of their accommodation as good or very good</b>	68	33	49	47
<b>% who feel they know the people in their area well or very well</b>	65	90	78	82
<b>% who feel that they know the people in other house types well or very well</b>	47	73	33	46
<b>% who feel they get along well or very well with the people in their area</b>	80	98	91	92
<b>% who feel they get along well or very well with the people in other house types</b>	61	79	49	56

Preliminary findings from the evaluation show that firstly, if undertaken effectively, IRDP projects are able to deliver integrated accommodation for a mix of lower income households at scale, and can result in increasing private sector investment while creating integrated human settlements. Secondly, institutional aspects are key in promoting private sector investments into the delivery of housing for low income earning households. This needs to be done through formal contractual agreements where both parties in the public-private partnership share in funding, management, and risks. Finally, clearly defined roles and responsibilities and municipal commitment are needed to implement the IRDP projects.

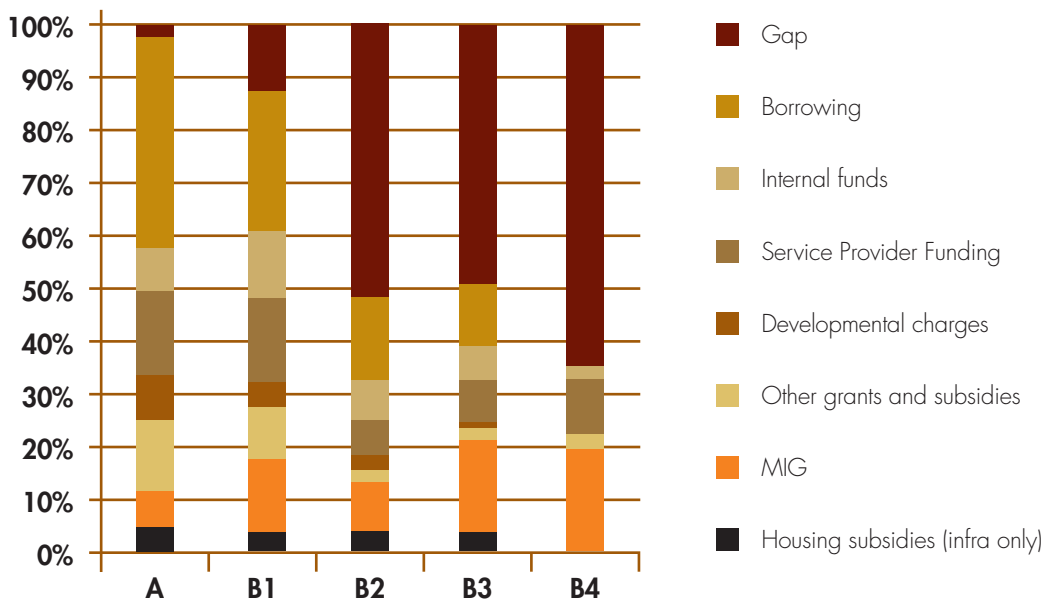


### **EVALUATION OF THE URBAN SETTLEMENTS DEVELOPMENT GRANT (USDG)**

The USDG is a supplementary conditional capital grant that provides about R10 billion per year to South Africa’s eight metropolitan municipalities. Government introduced the grant in 2011 to encourage municipalities to develop human settlements that allow its residents to access social and economic opportunities close to where they live. The USDG is the only tool that the National Department of Human Settlements (NDHS) uses to fund human settlements.

A design and implementation evaluation of the USDG was initiated in 2012/13. The purpose of the evaluation was to analyse the ToC, inner logic and consistency of the USDG, and to draw lessons from its implementation in a sample of four metropolitan municipalities. It also sought to analyse the institutional and funding frameworks and adopted monitoring system.

**FIGURE 6: CAPITAL FUNDING MIX BY MUNICIPAL CATEGORY (SOURCE: FFC, 2013 USING NATIONAL TREASURY LOCAL GOVERNMENT DATABASE, 2011/12 BUDGETS)**



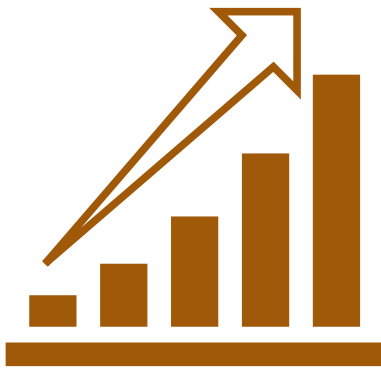
The evaluation confirmed the USDG’s value as a fund to support existing programmes, in particular the Human Settlements Development Grant (HSDG), to provide poor to middle-income households with residential settlements close to work opportunities, shopping and public facilities, social services (health and education), and entertainment.

The evaluation also revealed the challenges of implementing a new financial model without an agreed policy framework. The differences in interpretation between the national and provincial departments of human settlements, the National Treasury, and cities resulted in intergovernmental tension regarding which projects to finance and what results to achieve. The findings also highlighted a missed opportunity for the USDG and the HSDG to combine their plans. Metropolitan municipalities and provinces failed to coordinate planning and implementation, resulting in inconsistent and inefficient delivery and poor outcomes.

The evaluation has been approved by cabinet and the DPME is currently monitoring progress against the improvement plan.

### SETTING A BASELINE FOR FUTURE IMPACT EVALUATIONS FOR INFORMAL SETTLEMENTS TARGETED FOR UPGRADING

With more than 2 million households said to be inadequately housed in South Africa, of which 1.4 million reside in about 2,700 informal settlements in urban areas, the 5- and 10-year review questioned the RDP’s funding sustainability and pace of its response to the rapid growth of informal settlements, which were outpacing its ability to deliver. This led to the introduction of the Upgrading of Informal Settlement Programme (UISP). Upgrading of informal settlements is a complex process and has been subject to numerous international research studies, but limited systematic evaluations in South Africa. This evaluation therefore aimed to develop a baseline for future impact evaluations as part of the suite of evaluations intended to inform a new strategic direction for human settlements in the country. The current evaluation, which began in 2014, has two objectives, namely, to assess the design



### 3.3 2013/14 NATIONAL EVALUATION PLAN

#### **IMPLEMENTATION EVALUATION OF THE EXPORT MARKETING AND INVESTMENT ASSISTANCE (EMIA) PROGRAMME**

of the programme to make explicit the ToC and test its logic and appropriateness, and to develop a baseline for future evaluations based on a set of indicators. This will establish a medium- to short-term M&E framework for UISP, providing the Department of Human Settlements (DHS) with a defined set of indicators to collect performance and process data during the upgrading process. The plan is to do an implementation evaluation within two years of completing the baseline, and an impact evaluation in five years' time.

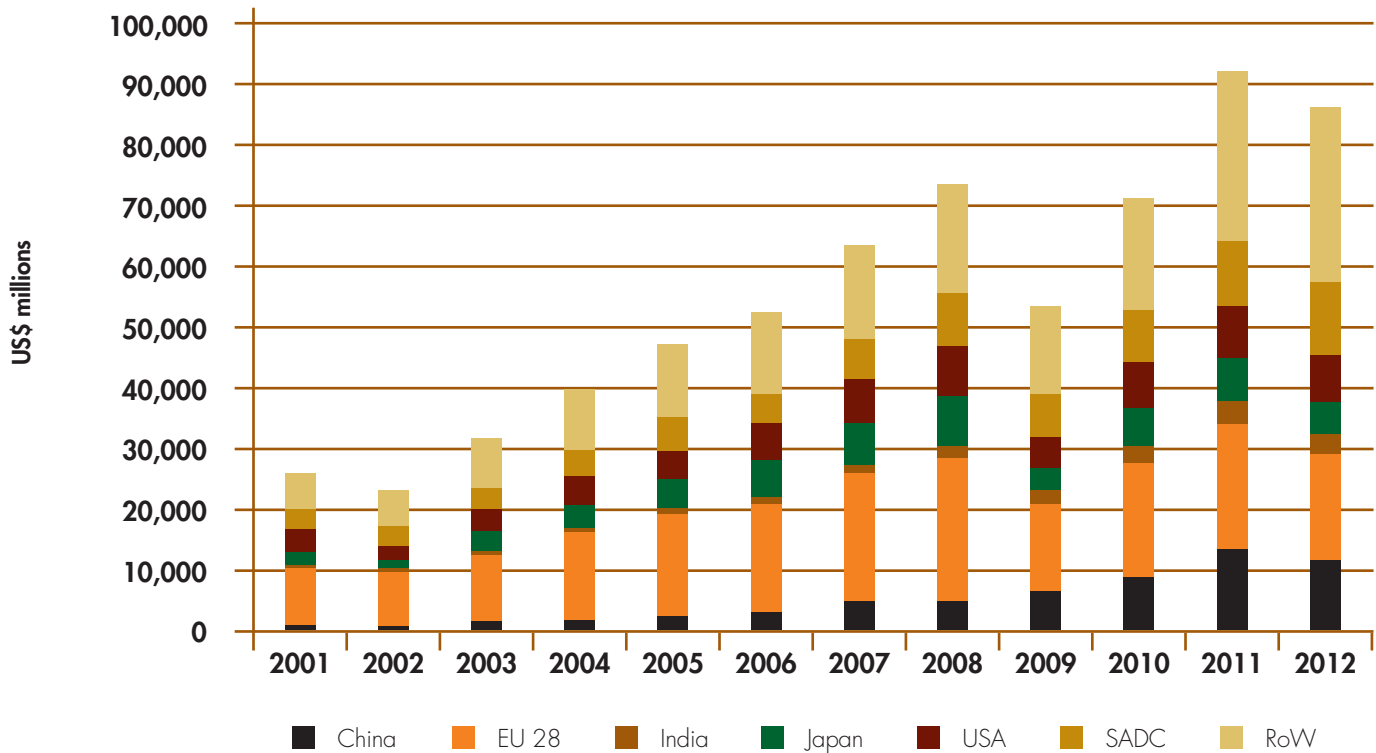
The evaluation recommendations indicate a need for security of tenure for informal settlement residents. This will require an incremental approach to tenure and documentation that legitimises security of tenure for informal settlement residents. Informal settlements represent high levels of deprivation and pockets of poverty with limited basic services on the borders of affluent urban areas. The upgrading process should therefore put greater emphasis on ensuring informal settlement residents have access to basic services such as water, sanitation and electricity, which will reduce their vulnerabilities to diseases and conditions of poverty. The provision of infrastructural services to informal settlement residents needs to take into account the densities and distances between the dwellings as this can make a difference in reducing gender-based violence targeted at women, and also help reduce illnesses related to poor or no sanitation. The underlying success factor in the upgrading process will be beneficiary participation, housing agencies, and the collaboration of the National Home Builders Registration Council (NHBRC), which regulates building norms and standards.

The South African EMIA Programme was established in 1997 and is administered by the dti. It is a key component of government's support to export and investment activity. This evaluation focused on the implementation of the programme through a review of the available documentation, interviews with programme staff and other stakeholders, and a comprehensive firm-level survey of EMIA beneficiaries and non-beneficiaries. In general, the results are encouraging. Users of the scheme are satisfied with its administration and implementation, and clear guidelines are in place for the application, selection and disbursement of funds. However, there are two main areas of improvement. Firstly, it would seem that the M&E of the scheme is not a current priority, with little attention given to the detailed measurement of outputs, outcomes and impact. Secondly, the available evidence suggests that the programme is not well-targeted as many of the firms that access EMIA incentives are not export ready and are therefore, in practice, not able to make use of the support that is provided.

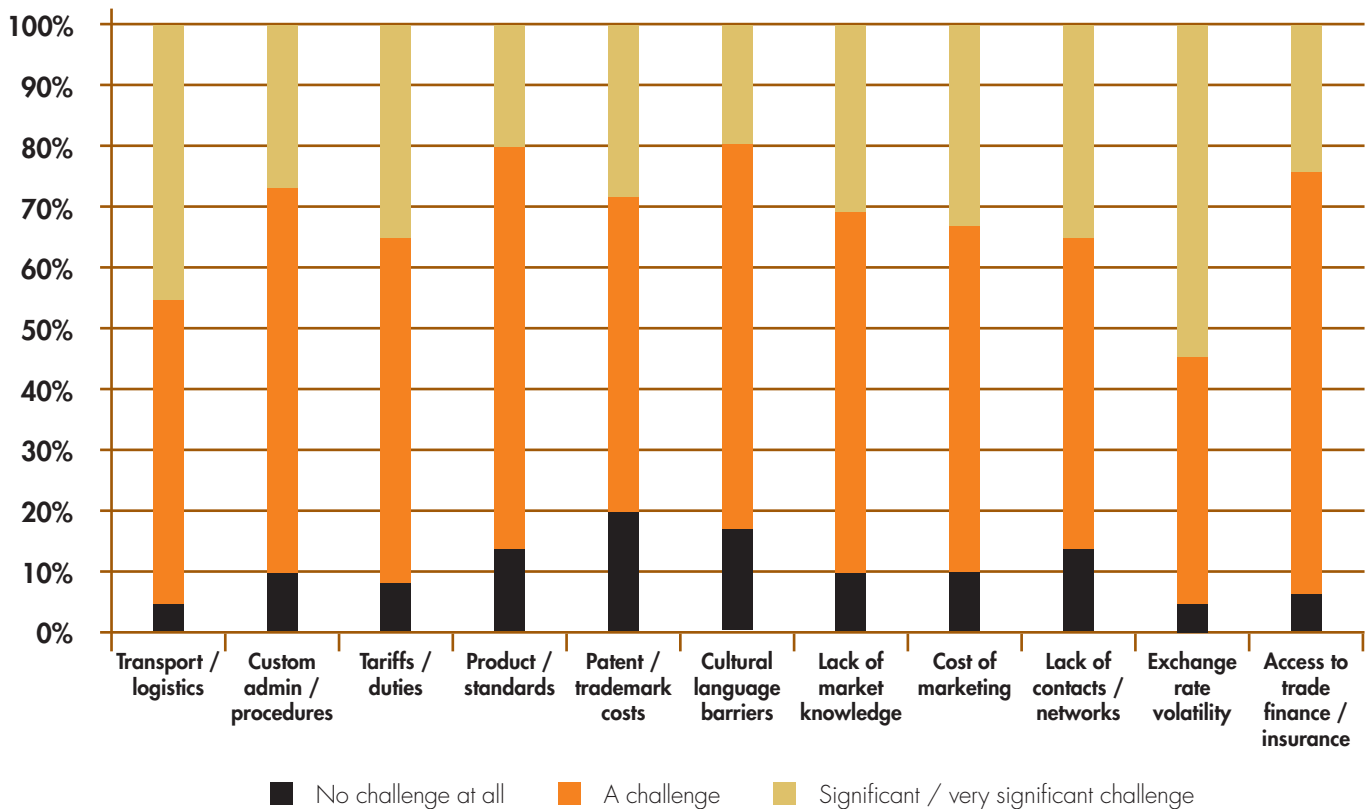
The final report was approved in May 2014, the key recommendations of which include the establishment of electronic monitoring systems and processes, improved adherence to procedural guidelines, focused selection of export-ready firms, moving programme administration into a single structure, and setting explicit targets for the EMIA programme.

The improvement plan was approved by the DG in January 2015 and the report and improvement

**FIGURE 7: SOUTH AFRICAN EXPORTS BY COUNTRY / REGION (US\$ MILLIONS)**



**FIGURE 8: CHALLENGES TO EXPORTING - NON-EMIA BENEFICIARIES**



plan approved by Cabinet in February 2015. The first progress report was received in August 2015 with minimal changes. The second progress report was submitted in March 2016 and highlighted that 25% of planned strategies had been implemented. The dti has finalised the revision of the EMIA Policy/Guidelines and ministerial approval is underway.

### IMPLEMENTATION/IMPACT EVALUATION OF THE SUPPORT PROGRAMME FOR INDUSTRIAL INNOVATION (SPII)

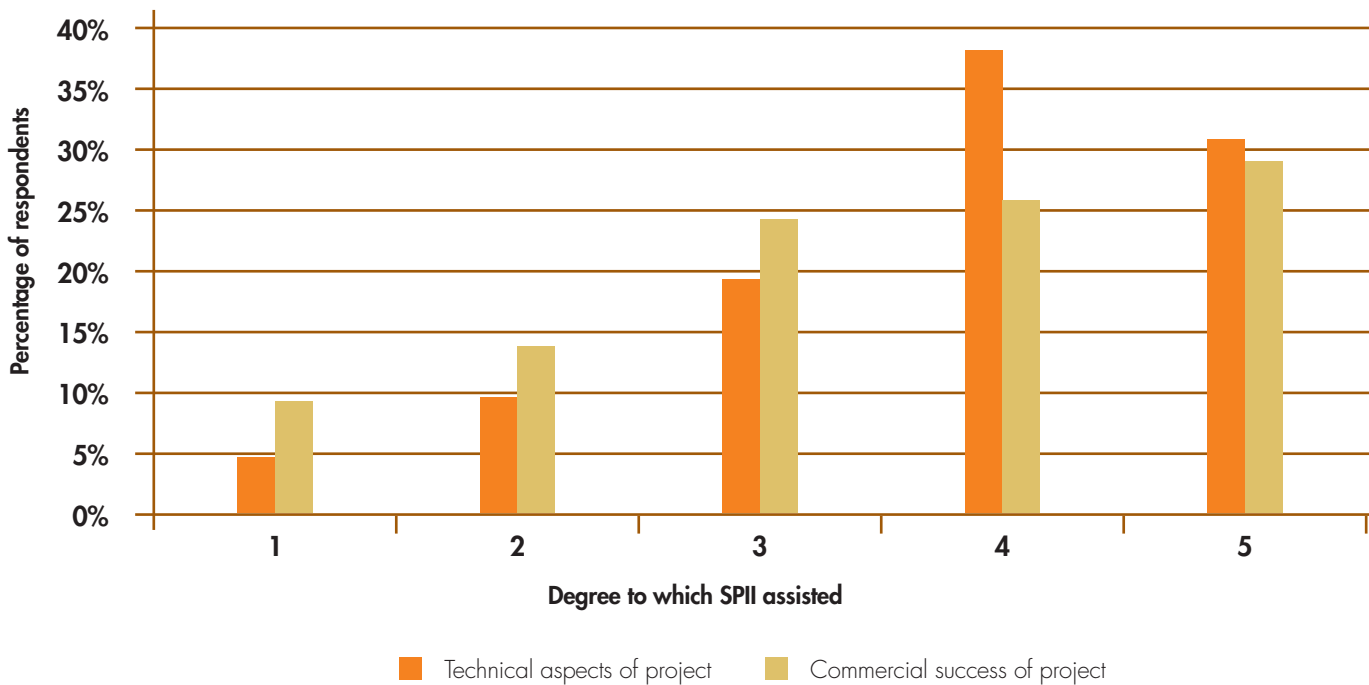
In April 1993, the dti introduced SPII to promote the development of commercially viable, innovative products and/or processes, and facilitate the commercialisation of such technologies through Corporation (IDC) was appointed by the dti to administer the programme on its behalf.

The purpose of this evaluation was to provide insight into the effectiveness and efficiency of SPII's current model of implementation, assess the programme's impact, and determine how the beneficial impacts can be strengthened.

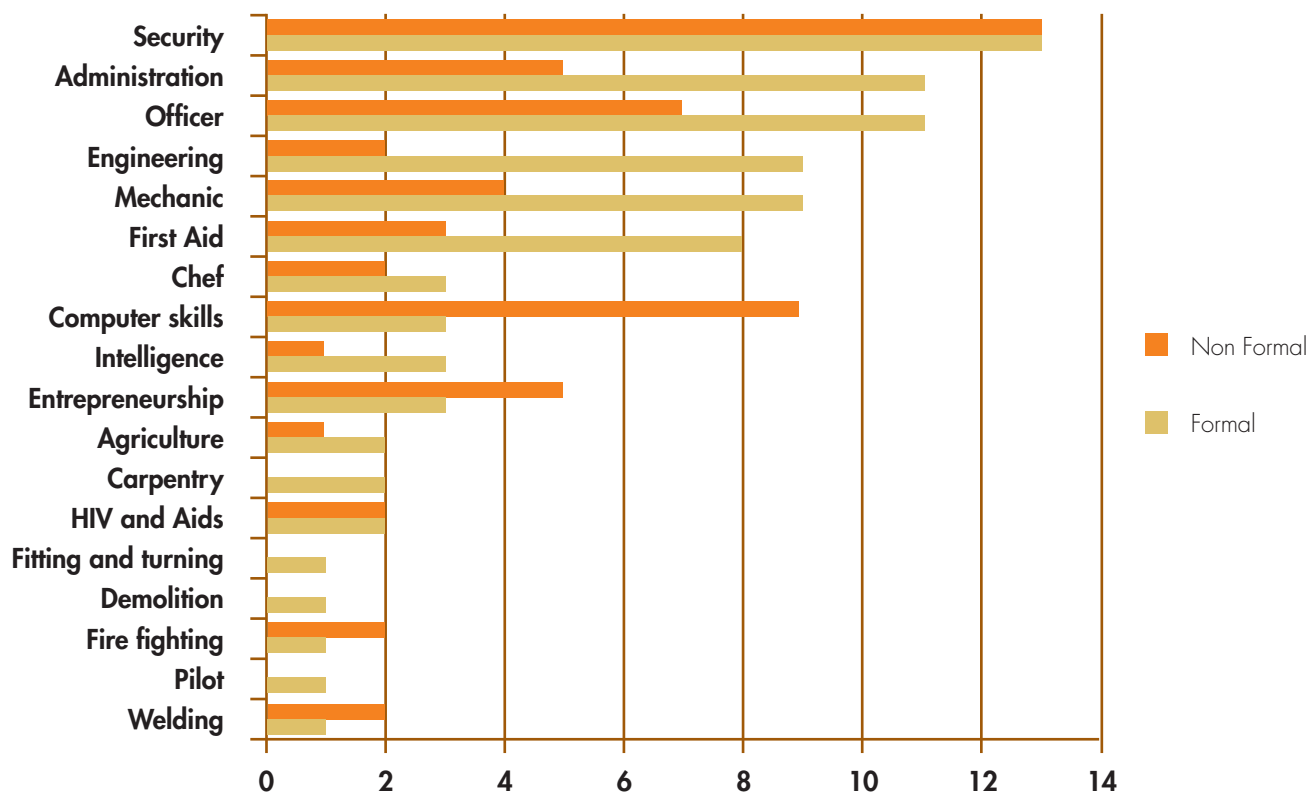
The evaluation found that SPII contributes to specific stages in the innovation cycle (the end of basic research to the development of a pre-commercialisation prototype) and it is estimated that SPII-funded projects have directly created or retained approximately 3,000 permanent jobs. SPII contributed R622.6 million to projects, which equates to approximately R207,560 per job. The majority of interview respondents believe that SPII's role is critical as traditional sources of funding are difficult to obtain at these stages.

Among others, the evaluation recommended that SPII should clearly define its objectives, with corresponding targets, and that its achievement of these should be measured annually. It also suggested that SPII's mandate to support and enhance innovation in business/industry should not be overwhelmed by a mandate to address direct job creation. The final report was approved in May 2014, and the improvement plan was approved by the DG in January 2015 and endorsed by Cabinet in July 2015. SPII was re-launched on 27 August 2015 in Cape Town during the SA Innovation Summit. The objectives of SPII were revised as per the evaluation recommendations.

FIGURE 9: SPII'S CONTRIBUTION TO SUCCESS



**FIGURE 10: FORMAL AND NON-FORMAL TRAINING RECEIVED BY SURVEY RESPONDENTS**



The workshop to revise the objectives of SPII was held in May 2015, during which the participants agreed to expand the mandate of SPII to include pre-commercialisation activities. The first progress report was submitted in December 2015. The second progress report was received in March 2016.

(DMV) objective to provide skills development, employment creation, and services to honour contributions made by military veterans, irrespective of their party political, and/or association affiliation. The draft final report was submitted in March 2014.

**DIAGNOSTIC EVALUATION OF THE MILITARY VETERANS ECONOMIC EMPOWERMENT AND SKILLS TRANSFERABILITY AND RECOGNITION PROGRAMME (MVEESTRP)**

This evaluation was a diagnostic assessment to determine how military veterans should be reintegrated into, and influence, civilian life, which would inform the development of an Economic Empowerment and Skills Transferability and Recognition Programme. The evaluation was based on the Department of Military Veterans’

The evaluation made a number of new discoveries about military veterans and their capacity-building priorities in South Africa, and a profile of the group was established. An international review showed that a key principle for successful reintegration strategies must include employment combined with training and development. Current government offerings include bursary programmes, support to small businesses, training opportunities linked to the Safety and Security Sector Education and Training Authority (SASSETA), and work opportunities, such as Working for Fisheries, and Working for Water. However very few military veterans were aware of these opportunities.





The evaluation strongly recommends a stratified approach in terms of an empowerment strategy, directed at specific groups within the broader group of military veterans, based on an understanding of vulnerability. It also strongly recommended an inter-departmental and coordinated set of interventions, spearheaded by the DMV. Other recommendations included reviewing the empowerment strategy; addressing issues around the priorities and processes of implementing the programme, for instance assistance with pensions, medical assistance, and bursaries or other support for their children or dependents; strengthening small business development and support; growing employment opportunities in the Expanded Public Works Programme (EPWP) and Community Works Programme (CWP) through engagement by the DMV; and making access to training more readily available.

The final evaluation report was approved in March 2015.

## **IMPLEMENTATION EVALUATION OF THE RESTITUTION PROGRAMME**

The Restitution of Land Rights Act of 1994 as amended enables all those who lost their land under the repressive land legislation of the past to lodge land claims before 31 December 1998. The Restitution Programme was the vehicle for implementing this. The evaluation is based on a process assessment of the programme's implementation (from the lodgement of claims through to their finalisation), and covers the period from January 1999 to 31 March 2013, i.e. since the completion of the first Ministerial Review.

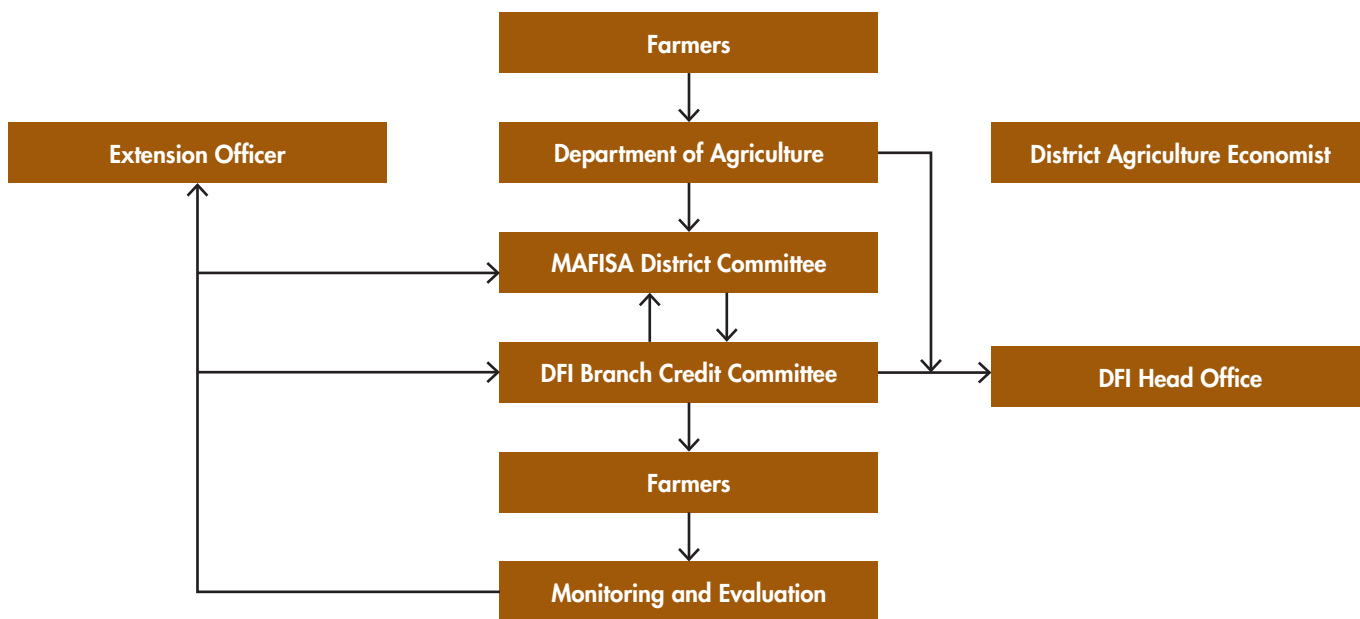
The purpose of the evaluation was to assess whether the Restitution Programme had been implemented efficiently and effectively, and to identify how it could be improved in time for the next phase of the restitution process. The programme has settled over 85% of the claims lodged since its inception. However, the findings of the evaluation reveal a range of systemic and operational weaknesses which compromise its efficiency and effectiveness, and undermine the achievement of its developmental purpose.

Recommendations include developing a clear definition of the function of the Commission on Restitution of Land Rights as an independent entity dedicated exclusively to the administration of the restitution process. The evaluation report was finalised in February 2014 and approved by Cabinet in October 2014. Some of the recommendations on the improvement plan have already been actioned. Again, Cabinet requested that action be integrated with the RADP and CRDP, and the Smallholder Evaluation is taking this forward.

## **EVALUATION OF GOVERNMENT COORDINATION SYSTEMS**

Commissioned by the Presidency, this evaluation sought to assess the performance of coordination systems in government, both technical and ministerial, and to see how to strengthen their effectiveness. The evaluation focused on clusters, Ministers and Members of Executive Councils (MinMECs), and outcome implementation forums. The evaluation pointed to significant problems in the performance of these structures, with too much time spent on reporting and process issues and not enough on problem solving, as well as insufficient attendance by DGs. Recommendations included reducing the number of meetings, strengthening secretariat capacity, strengthening the role of the Presidency, refining the ToR of the structures, and strengthening leadership. The final report

**FIGURE 11: MAFISA IMPLEMENTATION FRAMEWORK (DOA, UNDATED)**



was approved in January 2014 and approved by Cabinet in October 2014. The improvement plan was approved by the FOSAD management committee in June 2015, and the findings are being linked to work on the role of DGs. There has been no progress in the implementation of the recommendations of the improvement plan. This is partly due to internal processes between the Presidency and the DPME DG offices.

**IMPACT ASSESSMENT OF THE MICRO AGRICULTURAL FINANCIAL INSTITUTIONS OF SOUTH AFRICA (MAFISA)**

MAFISA was established by DAFF in 2005 to improve access to finance by smallholder farmers. R1 billion was made available for the project, which was planned as an independent financial institution underwritten by the state and implemented through financial intermediaries. The project was piloted from 2005-2007 as a production and small equipment loan, with a maximum loan of R100 000 per person and

an interest rate of 8% (below commercial). In 2009, the pilot was expanded and nine financial intermediaries were accredited, while the limit was increased to R500 000.

The purpose of this evaluation was to assess whether MAFISA was achieving its policy goals and to establish the effects of MAFISA on its beneficiaries. Over 400 recipients were surveyed and 15 case studies undertaken. MAFISA's loan book shows that 3,638 loans totalling R314 million were disbursed between January 2009 and December 2013. While demand and repayment ability are critical vetting criteria, MAFISA's reach is small considering that there are between 350,000 and 700,000 smallholder farmers who produce a surplus. A total of 16,080 job opportunities were created by 2,448 MAFISA loans. Larger loan sizes and labour-intensive farming activities positively influence the numbers of jobs created. However, DAFF does not have adequate capacity to monitor MAFISA and support its implementation. Financial intermediaries report that the 7% interest charged does not adequately cover the support that smallholder farmers require from them, making its sustainability unlikely. Nevertheless,



MAFISA loans from some of the intermediaries have helped beneficiary farmers. Production loans helped women to earn livelihoods, encouraged new entrants to farming, contributed to local food production, and stimulated entrepreneurial development. However, this impact is weakened by the broader challenges facing smallholder farmers, such as some financial intermediaries with limited experience of working with smallholder farmers adversely affecting MAFISA loan beneficiaries.

The evaluation recommended that the state continue to offer wholesale funding to diverse financial intermediaries to provide financial services tailored to the needs of the full spectrum of smallholder farmers. In addition, DAFF should review the current model of MAFISA, develop the capacity to enhance its support to its accredited financial intermediaries and M&E competencies, and improve its coordination with other pillars of Comprehensive Agricultural Support Programme (CASP) and other interventions to better address the challenges that smallholder farmers and financial intermediaries face. The final report was approved in July 2015.

## **IMPLEMENTATION AND OUTCOMES EVALUATION OF THE NATIONAL ADVANCED MANUFACTURING TECHNOLOGY STRATEGY (AMTS)**

The AMTS was initiated in 2002 after being identified as a priority technology mission in the Department of Science and Technology's (DST's) National Research and Development Strategy

(NRDS). The objective of the evaluation was to assess progress made with AMTS, and whether the intended outcomes have been achieved. The findings of the evaluation were to be used to improve the performance of the programme going forward. The service provider was appointed in November 2013, however, the evaluation experienced very long delays due to quality issues and ill health of key members of the team. In light of these challenges, along with lack of capacity, a decision was reached between the DST and DPME that the evaluation be closed in February 2015. Upon close-out, the following documents were all submitted: final public release versions of the literature review, data collection instruments, survey and case study protocols, and the data analysis plan; consolidated mid-term and close-out reports; and three case studies on Reconfigurable Manufacturing Systems, Greenpac, and Continuous Fibre Reinforced Thermoplastics.

## **EVALUATION OF THE COST OF TAX COMPLIANCE FOR SMALL BUSINESSES**

Governments globally are under pressure to rationalise administrative burdens and to create an enabling regulatory environment that fosters economic and social advancements at a time when businesses, individuals, and governments are forced to do more with limited resources.

The basic administrative goal of tax policy is that it should be easy to understand and to comply with; and that it should be administered in a competent and fair manner. The purpose of this evaluation is to assess the gross tax compliance costs incurred by small business to meet their tax obligations and the impact of reform measures on these costs, as well as to provide recommendations for changes to the tax reforms. A survey of small businesses has been undertaken to assess the cost of tax compliance and to compare results with a previous survey carried out in 2011. The evaluation is underway with a draft report submitted in March

2015 for input. There have been challenges with regard to the statistical analysis, which has taken some time to revise. The evaluation should be completed in 2016.

## IMPACT EVALUATION OF THE COMPREHENSIVE AGRICULTURAL SUPPORT PROGRAMME (CASP)

CASP was established by DAFF in 2004 to provide post-settlement support to targeted beneficiaries of land redistribution and reform and other previously disadvantaged producers who have acquired land. The purpose of the evaluation was to assess the extent to which CASP is achieving its policy goals and establishing its effects on its beneficiaries. The evaluation is intended to determine the impact of CASP on food production and livelihoods of rural communities, as well as inform how the programme can be strengthened.

From its inception in 2004/5 to 2012/13, CASP has supported 7,448 projects and 408,467 beneficiaries. CASP was found to have improved access to services such as extension and training, availability of both on-farm and social infrastructure, and access to agricultural information. Agricultural production, both crop and livestock, has also increased in certain products and parts of the country. However, there is little progress in terms of promoting commercialisation of the farms/projects. While the programme has made progress in certain areas, insufficient progress has been made in achieving the intended objectives of promoting commercialisation, market access, food security and employment.

Challenges CASP face include limited coordination within DAFF and the provincial departments of agriculture, and not being aligned to other government programmes (e.g. those of DRDLR, Water and Sanitation, etc.). Programme scope and coverage are also too wide, resulting in support being thinly spread. The overall recommendation

**TABLE 9: NUMBER AND PROPORTION OF FARMERS WHO RECEIVED INPUT ASSISTANCE FROM CASP**

		EC	FS	GP	KZN	LP	MP	NW	NC	WC	TOTAL
<b>Request for input support (n=277)</b>	n	28	29	34	37	19	2	12	11	33	205
	%	93.3	80.6	52.3	68.5	70.4	50.0	80.0	91.7	97.1	74.0
<b>Receipt of input support (N=451)</b>	n	30	36	65	54	27	4	15	12	34	277
	%	46.2	66.7	74.7	67.5	44.3	33.3	51.7	60.0	79.1	61.4
<b>Necessity of inputs (n=277)</b>	n	29	32	58	53	24	2	14	12	34	258
	%	96.7	88.9	89.2	98.1	88.9	50.0	93.3	100.0	100.0	93.1
<b>Sufficiency of inputs (n=277)</b>	n	22	16	42	29	9	1	7	7	26	159
	%	73.3	44.4	64.6	53.7	33.3	25.0	46.7	58.3	76.5	57.4
<b>Satisfaction with input quality (n=277)</b>	n	24	31	49	47	20	2	13	12	31	229
	%	80.0	86.1	75.4	87.0	74.1	50.0	86.7	100.0	91.2	82.7
<b>Timely availability of inputs (n=277)</b>	n	24	23	39	33	16	2	8	12	29	186
	%	80.0	63.9	60.0	61.1	59.3	50.0	53.3	100.0	85.3	67.1

EC=Eastern Cape Province, FS=Free State Province, GP=Gauteng Province, KZN=KwaZulu-Natal, LP=Limpopo Province, MP=Mpumalanga Province, NW=North West Province, NC=Northern Cape Province, WC=Western Cape Province



mirrors those of other rural programmes, that the most effective and efficient way to support farmers in South Africa is to overhaul and redesign all farmer support programmes and do away with existing silos of farmer support.

Significant challenges were encountered by the service provider in accessing data from provincial departments. The final report was approved in July 2015.

### **EVALUATING WHETHER INTERVENTIONS BY THE DEPARTMENT OF HUMAN SETTLEMENTS HAVE FACILITATED ACCESS TO THE CITY FOR THE POOR**

The housing White Paper committed government to the creation of viable, socially and economically integrated communities, situated in areas allowing convenient access to economic opportunities as well as health, educational and social amenities. Within these communities, all South Africa's people should have access on a progressive basis to: a permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements; potable water; adequate sanitary facilities, including waste disposal; and domestic electricity supply. And so, 20 years after democracy and 18 years since the establishment of the housing policy, the DHS aimed to evaluate the extent to which the different housing programmes have contributed to inclusive urban growth, development and management, where the poor are integrated in a broader urban environment with access to economic and livelihood opportunities, basic services, adequate housing, etc.

The evaluation has been procured by DHS but has been extensively delayed. The evaluation is currently stuck at inception phase.

### **DIAGNOSTIC REVIEW OF WHETHER THE PROVISION OF STATE SUBSIDISED HOUSING HAS ADDRESSED ASSET POVERTY FOR HOUSEHOLDS AND LOCAL MUNICIPALITIES**

Over the past 20 years, 2.8 million households are said to have benefitted from housing opportunities provided or facilitated by government. Most of these are offered through the capital subsidy programme that offers freestanding housing units on an ownership basis. The extent to which the provision of housing opportunities is catalytic to asset building and poverty alleviation has been a point of discussion for a number of years. The synthesis evaluation of housing policy in relation to asset creation both for households and municipalities was the first systematic assessment on this subject. The evaluation used realist review methodology, assessing the performance of housing through three theoretical lenses: Neo-liberalism, state welfarism, and asset-building development theory.

The evaluation findings show that despite emphasis on poverty alleviation, the housing policy logic is predominantly market-oriented. The policy has not sufficiently conceptualised housing within an asset-building frame. Market mechanisms have also not been successful for the majority of homeowners. Property values on RDP houses remain relatively low, only 6% of houses have traded within the formal property market, and there are low levels of collateralisation. However, what is clear from the evaluation is that housing has been contributing significantly to stabilising urban environments and expanding the built environment within municipalities, although with most housing investments defaulting to peripheral locations, there are risks of high long-term infrastructure maintenance and public transport provision costs to municipalities.

**TABLE 10: THRIP OUTPUTS**

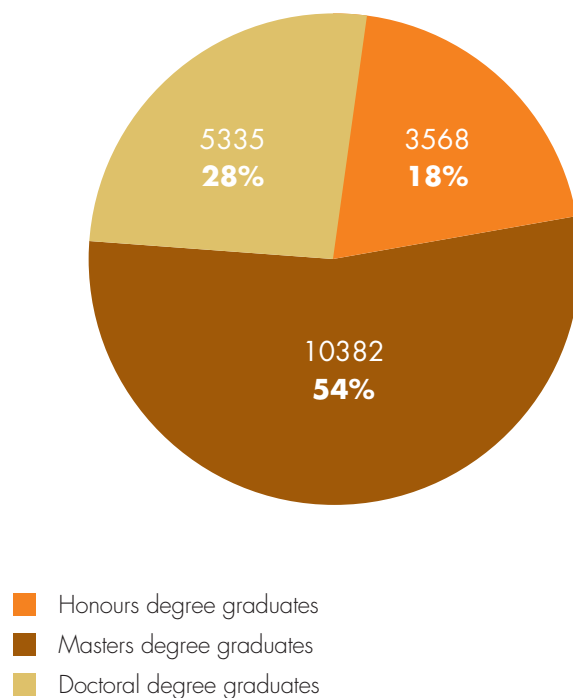
FINANCIAL YEAR	PATENTS (LOCAL AND INTERNATIONAL)	RESEARCH ARTICLES	HONOURS	LP	MP
2001/02	103	3 774	248	445	138
2002/03	128	3 916	193	427	158
2003/04	39	1 740	463	1 171	585
2004/05	39	1 151	169	1 126	564
2005/06	117	3 052	199	951	528
2006/07	30	1 780	487	1 427	665
2007/08	30	1 151	373	928	534
2008/09	19	993	303	888	548
2009/10	19	987	311	790	487
2010/11	22	1 081	268	774	381
2011/12	26	965	336	760	379
2012/13	32	1 282	218	695	368

This evaluation report has been approved, and the improvement plan developed and approved as well. The evaluation report is currently awaiting presentation to Cabinet.

**EVALUATION OF THE TECHNOLOGY AND HUMAN RESOURCES FOR INDUSTRY PROGRAMME (THRIP)**

The THRIP was introduced in 1992 to respond to the challenges of skills development in science, engineering and technology. It is funded by the dti and managed by the National Research Foundation (NRF). THRIP strives to improve the competitiveness of South African industry by supporting research and technology development and enhance the quality and quantity of appropriately skilled people. The purpose of this evaluation was to assess the impact of THRIP over the review period, and to determine how the beneficial impacts can be strengthened.

**FIGURE 12: PROFILE OF STUDENTS INVOLVED IN THRIP - 2001/02-2012/13**





### 3.4 2014/15 NATIONAL EVALUATION PLAN

#### IMPACT EVALUATION OF THE SOCIAL HOUSING PROGRAMME (SHP)

The results show that THRIP is an established, valid and important element of the South African government's portfolio of research and innovation support measures. It is efficient and offers considerable value for money both in terms of technology development (with an estimated revenue of R24 million five years after conclusion of a project), and in terms of developing human resources with industry-related skills (by engaging 1,450 postgraduate students). Its core principles of collaboration between research institutions and industry on the one hand, and quality of research and development on the other, are well aligned to international best practice. Furthermore, an analysis of THRIP's impact on the economy through the higher education and economic interface shows that, based on 2009 data, the programme has supported 2,290 jobs since inception.

The main evaluation recommendations indicate that THRIP should be continued and further strengthened by increasing funding to satisfy a broader spectrum of needs. The evaluation found that the impact of THRIP can be enhanced by reducing the number of objectives, but also that the intellectual property regulations surrounding THRIP are a major challenge for improving the programme's performance. These regulations should therefore be reconsidered by the dti and DST. The final evaluation report was approved by the steering committee in March 2015. In April 2016 Cabinet approved the evaluation report. The first progress report against the improvement plan was received in March 2016. It indicated that no significant implementation of the improvement plan has happened.

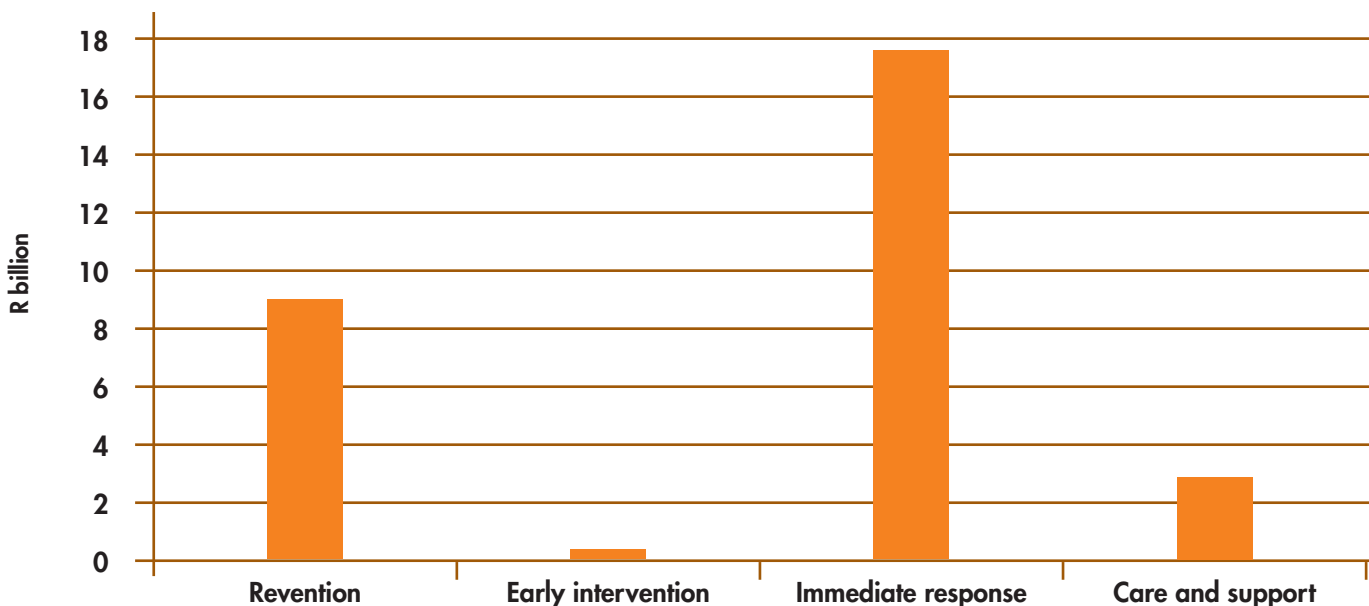
Social housing has become an integral part of government's housing strategy and is receiving increasing financial support as a result. The state has invested R1.6 billion in Reconstruction Capital Grants (RCGs) and R830 million in institutional subsidies into the SHP, leveraging around R1.25 billion of private sector loan financing and R114 million in equity from social housing institutions (SHIs). Through the SHP, nearly 13,000 units have been added to the housing stock through SHIs receiving the RCG (including approved, under construction and completed) and the profile of projects has received great public acclaim as they insert well managed new housing and a mix of households into strategic economic locations. The projects offer socio-economic opportunities to moderate- and low-income households, and add new vitality to localities that were in decay. This is important as there are clear indications that the demand for affordable rental is growing, with census 2011 showing that the proportion of all households renting accommodation grew from 19% in 2001 to 25% in 2011.

Acknowledging the growing importance of social housing in the housing sector, DHS initiated an impact and implementation evaluation of the SHP. The evaluation was initially delayed by slow DHS procurement, but towards the end of 2014/15 an agreement was reached allowing the DPME to procure the evaluation. A service provider was appointed and at the end of the financial year, the inception phase was concluded, literature review completed, and preparations underway for data collection.

**TABLE 11: TYPES OF VIOLENCE AGAINST FEMALES ACROSS LIFE SPAN**

PHASE	TYPE
<b>Prenatal</b>	Sex-selective abortion, concealed pregnancy, effects of battering during pregnancy on birth outcomes
<b>Infancy</b>	Female infanticide, neglect, emotional and physical abuse, differential access to food and medical care
<b>Childhood</b>	Child marriage, female genital mutilation, physical, sexual and psychological abuse, incest, child prostitution and pornography, corporal punishment and harsh parenting
<b>Adolescence</b>	Female genital mutilation (FGM), prostitution and pornography, including trafficking, sexual harassment at school and in the street, femicide, forced marriage, crimes in the name of honour, intimate partner violence, rape and sexual assault by relatives, known and unknown men, dating and courtship violence (e.g. acid throwing and date rape); economically coerced sex (e.g. school girls having sex with "sugar daddies" in return for school fees), psychological abuse, Ukuthwala, virginity testing
<b>Adulthood</b>	Dating and courtship violence (e.g. acid throwing and date rape), sexual abuse in the workplace, rape, sexual harassment, forced prostitution and pornography, trafficking in women, intimate partner violence, marital rape, dowry abuse and murders, partner homicide, economic abuse, psychological abuse, abuse of women with disabilities, forced pregnancy
<b>Old age</b>	Abuse of widows, elder abuse (which affects mostly women), differential access to food and medical care, intimate partner violence, rape, abuse of widows, sexual harassment in public space, institutional abuse, killing of elderly females considered witches

**FIGURE 13: EXPENDITURE ON DIRECT PROGRAMMES ACCORDING TO CONTINUUM OF CARE (2014/15)**





The purpose of the evaluation was to assess the extent to which the SHP is contributing to urban restructuring (integrating and revitalising neighbourhoods spatially, socially and economically) and providing affordable quality rental accommodation to the target market (and thus generating value for money), and to assess the sustainability of the delivery model. The evaluation concluded that the SHP has delivered value for money in relation to the conversion of public funds into viable rental stock in the medium to long term. Notably, it is the only state subsidy programme to gear public money with significant private investment. However, there are a number of critical issues which undermine the effective functioning of the social housing sector, including the lack of a rental housing policy and an incoherent subsidy support framework.

## **DIAGNOSTIC EVALUATION/ PROGRAMME AUDIT FOR VIOLENCE AGAINST WOMEN AND CHILDREN (VAWC)**

In recognition of the need for a comprehensive strategy to address violence against women and children (VAWC) that aligns the efforts of different sectors of society, from family, business and communities, to civil society and government, Cabinet established an inter-ministerial committee with this specific mandate in May 2012. While the broader societal causes of VAWC are well studied, for programme design and improvement, there is a need to understand the direct determinants at a lower level. To respond to this need, two pieces of work were commissioned by the inter-ministerial committee, namely, an analysis of the direct root causes of VAWC; and a diagnostic review to understand state VAWC response systems.



The diagnostic is the first comprehensive mapping of the institutional and funding landscape of the state's response to VAWC. It is a fairly complex project, given the width and intersections between different components of both the violence against women (VAW) and violence against children (VAC) sectors. This diagnostic reviews both the institutional and programmatic mechanisms by which the state addresses VAW and VAC. It considers the 'whole of government' response, covering overarching challenges faced by 11 key departments with roles which address VAWC across all three spheres of government: national, provincial, and local.

The findings of the diagnostic review reveal that the South African state response to VAWC lacks a systemic approach, and the current status of VAWC programmes implemented by the various spheres of government are too fragmented. They lack the coordination needed for programme interventions to feed into one to strengthen the state's response in a systematic way. There is therefore a need to strengthen prevalence and administrative data collection and management to ensure the data provides information on the nature, magnitude, and geographical spread of VAWC. Furthermore, the Programme of Action: VAWC needs to be re-launched based on the evaluation findings and other related research in order to establish a common conceptual framework for understanding and addressing VAWC aligned to departmental performance frameworks that will ensure funds are appropriated to the planned activities.

## **IMPLEMENTATION EVALUATION OF THE EXPANDED PUBLIC WORKS PROGRAMME SOCIAL SECTOR (EPWP-SS)**

EPWP is an important component of the South African government social wage package. The programme aims to draw unemployed individuals into productive work while providing them with income support through a minimum stipend. The application of EPWP in welfare and care work is



quite unique and presents a range of challenges not found in other sectors. The evaluation findings show that coordination mechanisms have been inefficient, with DSD (sector leader) and the Department of Public Works (overall EPWP leader) playing interchangeable roles. This has caused delays in decision-making and resulted in some processes not receiving adequate attention. The sector was also coordinated through an additional nine structures/forums, some of which were not operational, while others were operational and useful for information sharing and creating a sense of community of practice within the sector, but ineffective for addressing strategic challenges.

The findings also indicate potential de-skilling of welfare and care work through the application of EPWP-SS. Few participants are accessing training that is deemed important for improved service delivery in highly technical areas such as ECD, palliative care for those with HIV and AIDS, etc. The evaluation is cabinet approved and the DPME is currently monitoring progress against the improvement plan. The first report was expected in July 2016.

### **EVALUATION OF THE EFFECTIVENESS OF ENVIRONMENTAL GOVERNANCE IN THE MINING SECTOR (EEGM)**

The public cost of dealing with mining-related environmental impacts is substantial. The environmental governance regime for the mining sector is therefore in place to ensure effective mitigation or management of the potential impacts of mining activities to make sure they do not undermine everyone's right to an environment that is not harmful to health and well-being.

The purpose of this evaluation is to assess the relevance and effectiveness of the environmental governance legislation in mining, as well as its implementation. The evaluation covers the period from the promulgation of the Minerals Act (Act 50 of 1991) up to the legislation in place as of March 2014. Given that amendments to the legislation were implemented on 8 December 2014, a post-script has been appended to the evaluation that details the context of these amendments and how they relate to the evaluation analysis and recommendations.

The findings and analysis of the evaluation illustrate that, in theory, the environmental governance framework is appropriate for promoting good governance in the mining sector. However, in practice, the inadequate implementation and enforcement of the framework seriously compromises its efficacy and ability to ensure environmental sustainability.

The report was approved in August 2015 and the improvement plan was produced in January 2016. The report was presented at the Economic Sectors, Employment and Infrastructure Development (ESEID) Cluster in March 2016, where it was decided that a meeting should be convened by the DPME to strengthen the evaluation improvement plan. The next cluster meeting to table the revised improvement plan was scheduled for June 2016.

### **DESIGN EVALUATION OF THE POLICY ON COMMUNITY EDUCATION AND TRAINING COLLEGES (PCETC)**

The Department of Higher Education and Training (DHET) submitted the draft Policy on Community Colleges (PCC) for the first design evaluation in the NES as part of the process of public consultation and technical assessment before approval of the policy.

In response to the DHET's identification of the weak provision of adult education and training, and the inadequate response to the challenges and needs of out-of-school youth and adults, 3.2 million of which are not in education or training (NEET), it was recommended that Community Education and Training Colleges (CETCs) be established as a third tier alongside universities and technical and vocational education and training (TVET) colleges. To this end, a draft PCC was released for public comment in 2014. The PCC essentially provides for shifting the function of adult education away from provincial education departments to the DHET, and aims to create an entirely new institutional form along strategic levers, including governance; management; employment of staff; funding framework; programmes and qualifications; and infrastructure for community colleges.

The key findings of the design evaluation were that a robust ToC was lacking, the term "interim community colleges" is misleading in the process of renaming of all current Public Adult Learning Centres (PALCs), and there is inadequate information on how PALCs are to be managed after shifting. In addition, there is insufficient information regarding key operational issues of the PCC, such as funding, staffing, governance, etc., and there is a high risk of policy failure as a result of the current arrangements regarding funding norms (there is no additional budget and plan to resource this sub-sector).

There was an immediate impact of the evaluation on the draft PCC, even before approval of the PCC in its current form, resulting in the final policy's

title changing to National Policy on Community Colleges and its purpose being narrowed down to an (administrative) function shift of PALCs from provinces to DHET. In response to the former PCC acknowledging the need for the development of a substantively new model to the nine administrative hubs, the final policy suggests a new form and shape for community colleges to form pilot centres, including differentiated, diverse programme offerings and recognition for life-long learning. The new policy also recognises the distinctiveness between rural and urban dynamics, and the DHET has therefore taken a decision to establish a different branch to concentrate on each sector.

## EVALUATION OF THE INDIGENOUS KNOWLEDGE SYSTEMS POLICY (IKSP)

The IKSP aims to affirm, develop, promote and protect IKS in South Africa, and was adopted by Cabinet in 2004. It is embedded in the South African Constitution, the Science and Technology White Paper (1996), the National Research and Development Strategy (NRDS) (2002) and the Ten-Year Innovation Plan (2008). The Policy takes into account all forms of indigenous knowledge and techniques that have survived the impact of colonialism, including the rich heritage of languages. It is located within the National System of Innovation (NSI) of South Africa and proceeds from the premise that innovation is an all-embracing notion based on the production and creative application of knowledge.

The Policy seeks to harness local resources for innovation in order to achieve international competitiveness, sustainable development, and an improved quality of life through the protection, promotion, development and management of IKSs. The latter is addressed through four key policy drivers, namely: Affirmation of African cultural values in the face of globalisation; Development of the services provided by traditional healers; Contribution of indigenous knowledge to the economy; and Interfacing with other knowledge systems.





A service provider was appointed in 2014/15 to undertake the implementation evaluation of the IKSP in 2015/16. Two draft evaluation reports have already been submitted, with significant input made into the reports from various stakeholders. The evaluation is yet to be approved.

### **POLICY EVALUATION ON PROGRAMMES TARGETING SMALLHOLDER FARMER SUPPORT**

Since its inception in 2011, the NES has included numerous evaluations targeting programmes that support smallholder farmers, namely the CRDP, RADP, CASP, MAFISA, and a quantitative impact evaluation of the Restitution Programme. In addition, National Treasury, together with the DPME, has undertaken expenditure reviews of both MAFISA and the Restitution Programme. Many of the evaluations pointed to significant weaknesses in these programmes, and made recommendations on how to strengthen them. The RADP evaluation, specifically, indicated that programmes supporting smallholders needed to be rethought in an integrated way. When the CRDP, Restitution Programme and RADP evaluations were tabled, Cabinet responded to this recommendation by commissioning a diagnostic evaluation of the government-supported smallholder farmer sector programmes in order to propose key elements for a future smallholder farmer policy, the key programmes needed, and how these should be effectively integrated.

This evaluation started in July 2015 and one of the most significant outcomes of the process so far has been the categorisation of four farmer categories, with recommendations tailored for each category. The evaluation also highlighted that the different categories had varied needs, including knowledge, skills, water, inputs, strategic market-access, finance, infrastructure, opportunities for value addition, and technical information. Stakeholders involved in the evaluation agreed that of all the interventions and recommendations submitted in support of the smallholder sector in South Africa, this evaluation was unique both in terms of methodology followed to generate evidence, and the specific recommendations.

### **EVALUATION OF THE FUNZA LUSHAKA BURSARY PROGRAMME (FLBP)**

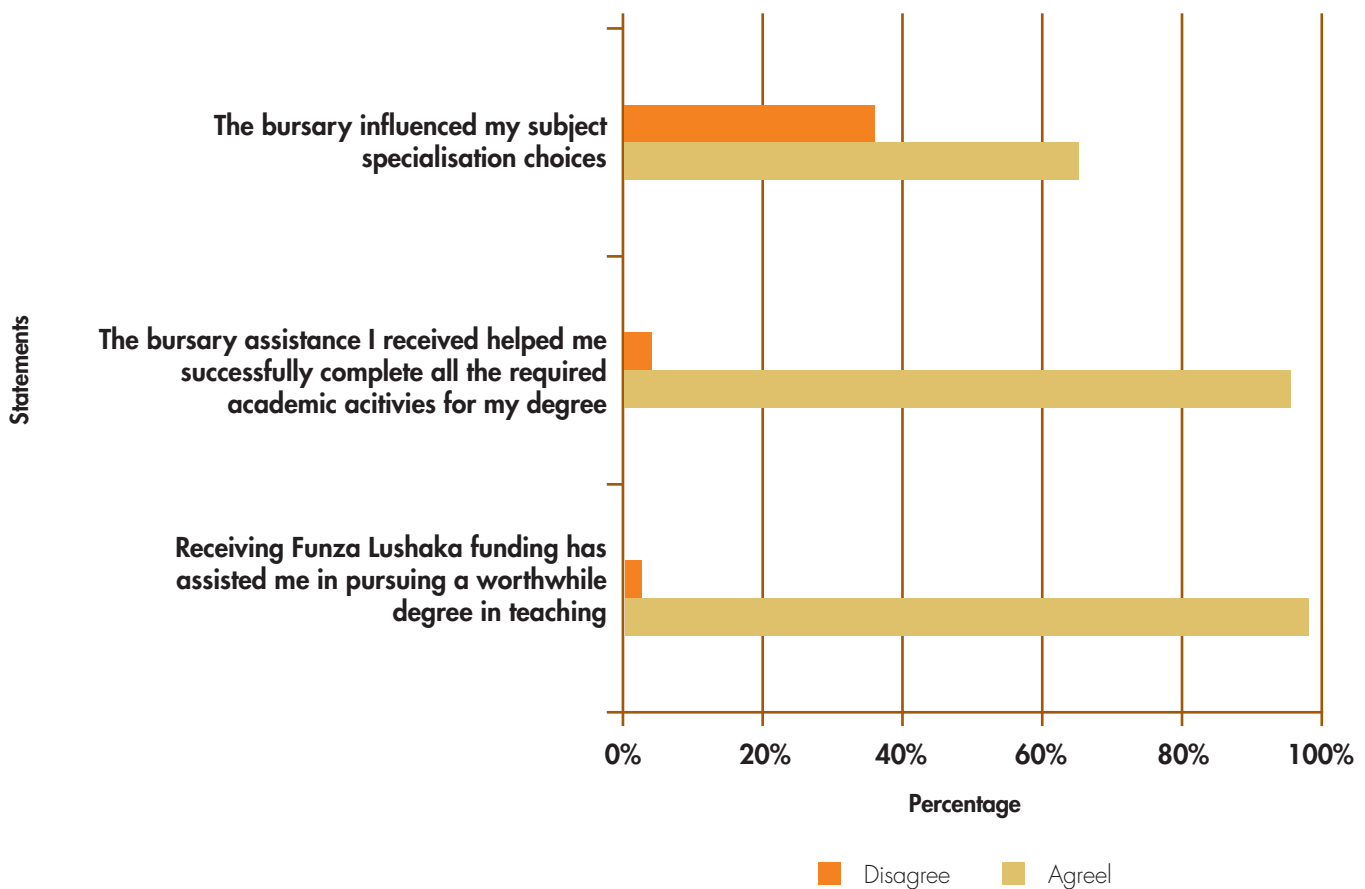
The purpose of the FLBP is to ensure that the basic education sector responds adequately to the supply and demand needs for high quality teachers in nationally-defined priority areas. It is a key deliverable in the DBE's strategic plans. The FLBP is designed to achieve the following goals: to attract quality students; to ensure that students are trained in identified priority areas; and to contribute substantially to the supply of adequately trained teachers, with a focus on rural and poor schools.

Established in 2007, the bursary programme is managed by the DBE and administered financially by the National Student Financial Aid Scheme (NSFAS) on behalf of the DBE. The Department collaborates closely with higher education institutions (HEIs) to ensure proper selection of students, and to manage the disbursement of funds to qualifying students. The selection criteria are merit-based, and provincial education departments are involved to ensure that bursary funding is directed to priority areas and subjects.

**TABLE 12: TREATMENT FACILITIES. SOURCE: DSD LISTS (2013)**

PROVINCE	IN-PATIENT	OUT-PATIENT	IN-PATIENT & OUT-PATIENT	HALFWAY HOUSE	UNSPECIFIED	TOTAL
Eastern Cape	7	3	2	0	0	12
Free State	0	2	1	0	0	3
Gauteng	16	30	5	1	1	53
Kwazulu-Natal	4	7	2	1	2	16
Limpopo	0	1	0	0	0	1
Mpumalanga	5	4	0	0	0	9
North West	4	2	2	0	0	8
Northern Cape	1	1	0	0	0	2
Western Cape	4	9	5	0	0	18
<b>TOTAL</b>	<b>41</b>	<b>59</b>	<b>17</b>	<b>2</b>	<b>3</b>	<b>122</b>

**FIGURE 14: STUDENT VIEWS ABOUT EFFECT OF THE BURSARY**



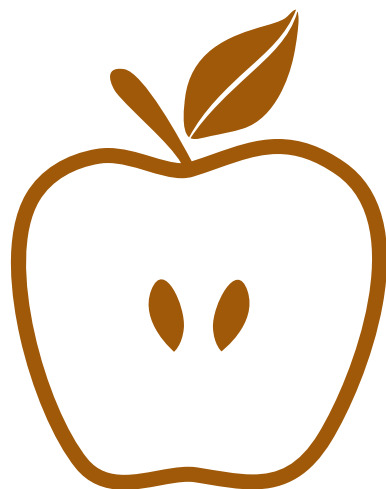
The overall purpose of the FLBP evaluation is to evaluate the effectiveness of the programme, identify its strengths and weaknesses, and make recommendations to enhance it. The first draft of the evaluation report was submitted in February 2015. Key findings included that recruitment is working well as the programme is able to select adequate numbers of students who meet the selection criteria based on merit, but not enough marketing of the programme is being done in rural areas. In addition, bursaries are approved late and payments for students are not being made upfront.

In line with this, recommendations were that the recruitment team should market the programme to rural and poor students, host roadshows in the districts, and start recruitment early in the Grade 12 year, and that a mechanism should be developed to make early payments for students at the institutions of learning. It was also recommended that a management information system (MIS) be developed to store all the FLBP information for the relevant institutions (e.g. DBE, HEIs, NSFAS, etc.) to use.

The evaluation report was approved in March 2016.

## **EVALUATION OF NATIONAL SCHOOL NUTRITION PROGRAMME (NSNP)**

This evaluation was initially included in the 2012/13 NEP but was found to be very difficult to implement. The DBE requested to withdraw it but Cabinet did not agree and it was deferred to the 2014/15 NEP.



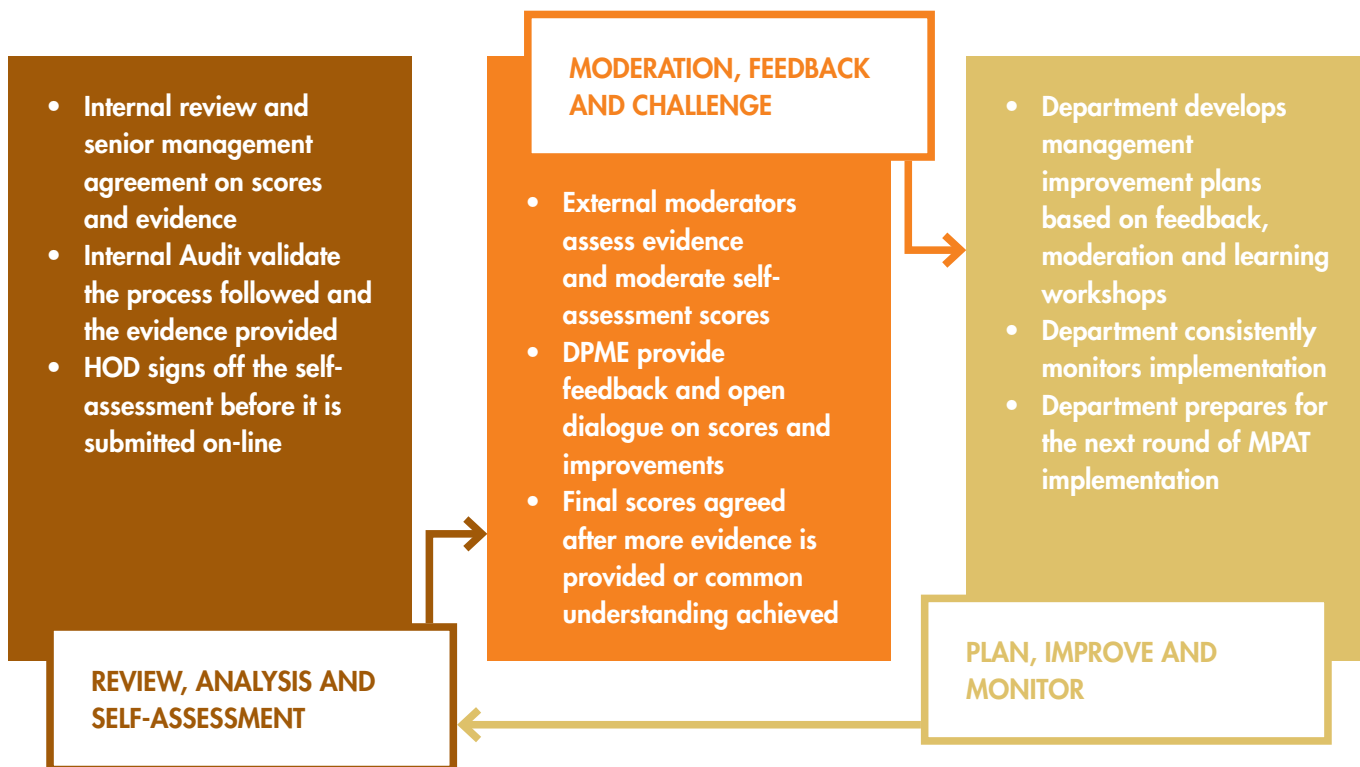
In recognition of the critical role of learner and educator well-being in achieving quality educational outcomes, the DBE has identified hunger and malnutrition as barriers to optimum participation in education. Effective learning is not possible on an empty stomach; hungry learners are easily distracted and are unable to concentrate in class. The main purpose of this evaluation is therefore to assess whether the NSNP is being implemented in a way that is likely to result in significant health and educational benefits to primary school learners. It must be noted that implementation of the programme spans across both primary and secondary school, but due to time and resource limitations, this evaluation will focus on primary schools only.

The final draft report was received in December 2015, with emerging findings indicating that the relevance of the NSNP is unquestionable, given the high levels of poverty and inequality in South Africa; however, the NSNP provides a limited number of meals on a limited number of days, and thus, on its own, will have a limited impact. Programme design and relevance could be improved, with key recommendations including enhancing integration, proper targeting of needy learners, and providing additional resources to select schools. The report was finalised in July 2016.

## **IMPACT/IMPLEMENTATION EVALUATION OF THE MPAT SYSTEM**

The MPAT is an institutional self-assessment tool applied by the DPME to assess the quality of management practices in all 156 national and provincial departments in four management performance areas, namely, strategic management, governance and accountability, human resource systems and financial management. The DPME believes that improved management practices are the key to improving government performance and service delivery, and measures management performance against 31 standards. Lessons from international

**FIGURE 15: MPAT IMPLEMENTATION PROCESS**



experiences indicate that such methodologies can make a significant contribution to improving the performance of government, particularly if the leadership of the departments being assessed take ownership of the assessment process and implement and monitor improvement plans.

The management response was received in March 2015 and an improvement plan was completed in April 2015. The first progress report was received in February 2016, but there has been no significant implementation of the improvement plan strategies as yet.

The MPAT system evaluation report was approved in March 2015, and the overarching recommendation was to continue with this programme and build on the energy and momentum it has developed. It suggested that improvements be made to how moderation of self-assessments work, as well as to the technology that facilitates the MPAT assessments. Some recommendations have also been made regarding programme design, system development, and institutional arrangements.

## **IMPACT/IMPLEMENTATION EVALUATION OF THE STRATEGIC PLANNING/ ANNUAL PERFORMANCE PLAN (APP) SYSTEM**

The Framework for Managing Programme Performance Information was issued by National Treasury in 2007, and implemented by all national and provincial departments in the same year. The Framework outlines key concepts regarding the design and implementation of management systems to define, collect, report on, and use performance information in the public sector. It also clarifies standards for performance information in support of the audit of pre-determined objectives.

The Framework for Strategic and Annual Performance Plans (FSAPPs) was issued by National Treasury in 2010 to provide guidance for departmental planning, strengthen accountability, and align plans to budgets. By 2011/12, it was fully implemented. The Framework has contributed to the alignment and synchronisation of plans that are linked to outcomes and aligned to budgets, and has resulted in greater accountability within departments.

The evaluation of the FSAPPs will determine how effective it has been at guiding departments in their service delivery, particularly in responding to government's priority outcomes, and in holding departments accountable for performance. It will provide guidance on how the Framework can be improved to maximise the usefulness of the planning and reporting process, while minimising the administrative load created by the system.

Although scheduled for inclusion in the 2014/15 NEP, due to delays in procurement and appointment of the service provider, the evaluation was executed in the 2015/16 financial year. The literature review, ToC, and logframe have been completed, and the evaluation is expected to be completed by March 2017.

## **ECONOMIC EVALUATION OF THE INCREMENTAL INVESTMENT INTO THE SOUTH AFRICAN POLICE SERVICE (SAPS) FORENSIC SERVICES**

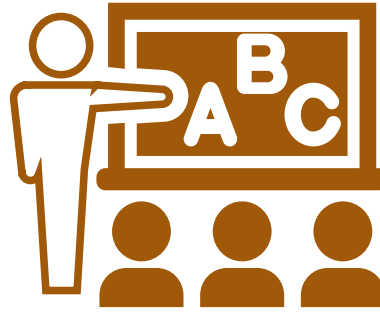
The strategic intent of the SAPS Forensic Services is to improve the impact of forensic services in the investigation of crime and prosecutions. Most performance reviews of forensic services focus on the quality, production, and turnaround standards set for the laboratories' operations management obligations. Although this performance focus certainly drives increased quality, increased production outputs, and quicker turnaround times, it falls short in inducing desired performance behaviour regarding creating strategic value and benefits for the detectives and prosecutors so as to increase detection and conviction rates.

The purpose of this evaluation was to determine whether the benefits (outcomes) of the annual incremental investment into the SAPS Forensic Services outweigh the costs (inputs) or not. The evaluation aimed to provide useful evidence on the implementation of the incremental investment and how its effectiveness can be optimised. However, due to the unavailability of data and internal SAPS processes, the evaluation was extensively delayed. Fieldwork was concluded in August 2015 and five working papers were submitted in March 2016. The final report was approved in August 2016.





## 3.5 2015/16 NATIONAL EVALUATION PLAN



### IMPLEMENTATION EVALUATION OF THE AGRICULTURAL EXTENSION RECOVERY PLAN (ERP)

Maintaining and supporting agriculture value chains is one of the priorities in government's New Growth Path (NGP), which targets opportunities for 300,000 households in agriculture smallholder schemes and 145,000 jobs in agro-processing by 2020. In addition, the National Development Plan (NDP) aims to eliminate poverty and reduce inequality by drawing on the collective energies of people, growing an inclusive economy, building capabilities, and promoting leadership and partnership throughout society. For the agriculture, forestry and fisheries sector, extension services in one of the key support elements to ensure that these targets are realised.

The service is provided as a concurrent function between the National Department of Agriculture (NDA) and the Provincial Department of Agriculture (PDA). The NDA is responsible for the development of the National Policy for Extension and Advisory Services, Norms and Standards for Agricultural Extension in the sector, and provides strategic leadership and guidance for the planning, coordination and implementation of extension and advisory services. The PDAs are responsible for the implementation of extension programmes.

The purpose of this evaluation is to determine the extent to which the ERP has been implemented and which strengths and challenges have emerged, as well as identify measures required to improve the ERP's implementation. This will enable the Department of Agriculture, DAFF, and the PDAs to strengthen their processes and institutional arrangements to improve the implementation of the programme.

### EVALUATION OF CAPS/NEW SCHOOL CURRICULUM

In July 2009, the Minister of Basic Education, appointed a panel of experts to investigate the nature of the challenges and problems experienced in the implementation of the National Curriculum Statement and to develop a set of recommendations designed to improve its implementation. The panel presented a five-year plan to improve teaching and learning via a set of short-term interventions, of which one of the recommendations was to repackage the curriculum policy as the Curriculum and Assessment Policy Statement (CAPS). The CAPS was gazetted in 2011, and curriculum implementation was then phased across different grades, starting in 2012 with its introduction into the Foundation Phase and Grade 10. In 2013, it was then introduced in the intermediate phase and Grade 11, and in 2014, in the Senior Phase and Grade 12. To date, little is known about the experiences of schools, especially, teachers, in the implementation of the curriculum.

The purpose of this evaluation is to evaluate whether the curriculum has been implemented as specified in the CAPS, and how implementation can be strengthened. The evaluation commenced in March 2016 and fieldwork is currently underway. The report is likely to be finalised in December 2016.

## **IMPACT/IMPLEMENTATION EVALUATION OF THE NES (DELAYED TO 2016/17)**

The purpose of this evaluation is to understand how the NES is working, what difference it is making, and where it can be strengthened – particularly widening its reach and strengthening the quality. The evaluation will assess whether implementation of the NES is having an impact on the programmes and policies evaluated, as well as the departments involved, and determine how the system needs to be strengthened to maximise its impact across government. The evaluation will cover how the ToC is working in practice and whether the outcomes and impacts look likely to be achieved. It will also consider the implications for expanding the system, for example, to all departments, metros and public entities. The changes needed to improve the effectiveness and value-for-money of the system will feed into changes to the NEPF if necessary, as well as potentially into broader M&E policy.

## **IMPLEMENTATION EVALUATION OF THE CITIZEN-BASED MONITORING (CBM) PROGRAMME**

The DPME's emerging CBM Programme was proposed in the Framework for Strengthening Citizen-Government Partnerships for Monitoring Frontline Service Delivery, approved by Cabinet in 2013. The programme aims to strengthen the involvement of citizens in monitoring service delivery and currently has three focus areas: (i) policy interventions to support take-up of citizen-based monitoring; (ii) a pilot/prototyping process to develop a citizen-based monitoring method for

frontline service delivery; and (iii) a knowledge sharing focus that aims to provide platforms and opportunities for government and civil society. The purpose of this evaluation was to assess the implementation of the programme to inform development of a five-year strategy for CBM going forward. The evaluation was approved by the steering committee on 12 in December 2015. It concluded that the CBM pilot has successfully been tested and evolved into an inclusive, credible, yet resource-intensive approach and methodology for CBM across four services, namely, Health, Social Development, Social Security, and Police Services. Despite clear value and the success of various process elements, there was lingering ambiguity as to how the third and final step of the three-step model, ongoing monitoring of commitments, should occur to ensure sustainability and the realisation of intended outcomes.

In order to secure the gains of the pilot processes tested to date, it was recommended that the DPME follow up and conclude the pilot at the nine participating sites. In doing so, the Department should pay special attention to clarifying, formalising, and communicating arrangements for the ongoing monitoring of the commitments that have been made at these sites to ensure improvements are secured and maintained.

The management response was received on 18 February 2016, and the report and draft improvement plan presented at the CBM Stakeholder Learning Network on 25 February 2016. The improvement plan was approved in March 2016.

## EVALUATION OF THE ASSET FORFEITURE UNIT (AFU) SUB-PROGRAMME

The AFU was established in 1999 shortly after the Prevention of Organised Crime Act (POCA) (1998) came into force. It is now a sub-programme of the National Prosecuting Authority of South Africa (NPA). The AFU was created as a dedicated unit to develop the necessary expertise to deal with the complexities of forfeiture, and its performance was to be measured solely in terms of forfeiture. Its mission is to implement asset forfeiture measures effectively and aggressively as part of a strategy to deal better with organised and economically motivated crime. It aims to reduce crime, or at least the growth in crime, by reducing the profit and increasing the risk for criminals. It also aims to build faith in the criminal justice system by taking visible action to ensure that crime is seen as unprofitable. It is currently playing an important role in combatting corruption, which severely impacts service delivery. In many cases, it has also been able to make significant recoveries for the state of funds or property that had been lost due to corruption.

This study seeks to assess how well the AFU sub-programme is being implemented and whether it is delivering upon its desired results (outputs and outcomes). It also seeks to determine whether the cost of implementing the programme is congruent with the intended benefits.

The evaluation is currently stuck but engagements are underway between the DPME and NPA top management to resolve this impasse.



## DIAGNOSTIC EVALUATION OF THE NON-PROFIT ORGANISATIONS REGULATORY FRAMEWORK AND LEGISLATION

NPOs in South Africa contribute significantly to the social, economic and political development of the country as they often play an integral role within society. With high levels of inequality and under-development in a market-based macro-economic government framework, NPOs are critical in fulfilling constitutionally enshrined socio-economic rights for the poor. In addition to being critical in service provision, NPOs are a significant employer. Currently, they employ 9% of the total non-agricultural, formal workforce and 1.5 million volunteers (often unemployed youth seeking work experience), and serve approximately 72% of welfare services sector clients. Although referred to as a sector, this should not be taken to suggest homogeneity. The sector is made up of diverse institutions of varying capabilities, ranging from community-based organisations (CBOs) and faith-based organisations (FBOs), to professional NGOs with international reach. Most of these organisations can be characterised into two broad service categories: organisations providing goods and services in various sectors on behalf of government; and those that advocate for the protection of human rights of the underprivileged and monitor the impact of state and private sector activities.

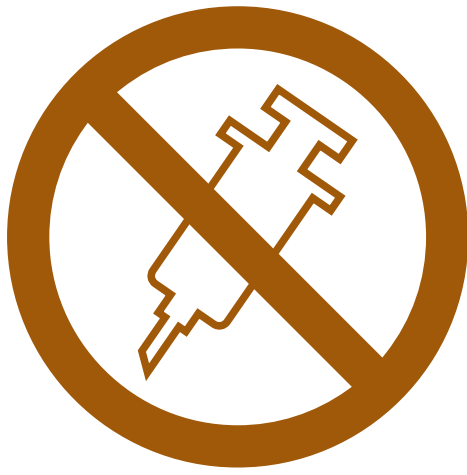
**TABLE 13: TREATMENT FACILITIES. SOURCE: DSD LISTS (2013)**

PROVINCE	IN-PATIENT	OUT-PATIENT	IN-PATIENT & OUT-PATIENT	HALFWAY HOUSE	UNSPECIFIED	TOTAL
Eastern Cape	7	3	2	0	0	<b>12</b>
Free State	0	2	1	0	0	<b>3</b>
Gauteng	16	30	5	1	1	<b>53</b>
Kwazulu-Natal	4	7	2	1	2	<b>16</b>
Limpopo	0	1	0	0	0	<b>1</b>
Mpumalanga	5	4	0	0	0	<b>9</b>
North West	4	2	2	0	0	<b>8</b>
Northern Cape	1	1	0	0	0	<b>2</b>
Western Cape	4	9	5	0	0	<b>18</b>
<b>TOTAL</b>	<b>41</b>	<b>59</b>	<b>17</b>	<b>2</b>	<b>3</b>	<b>122</b>

The purpose of this evaluation was to assess the effectiveness of the NPO regulatory system in creating an enabling environment for NPOs to deliver services, and how this can be strengthened. The findings of the evaluation confirm that NPOs play an important role in the delivery of a range of services to vulnerable populations in South Africa, and as a result are central to the poverty and income inequality alleviation strategies of government. This importance is reflected in the large number of pieces of legislation which have been enacted in the sector. However, legislation can also have a dampening effect on the level of activity in the sector, particularly if its net effect is to increase the regulatory burden on sector participants, rather than facilitate their operations.

It is increasingly clear that there is a need to rethink part of the design of the regulatory framework and its administration. This is particularly important if the NPO sector is to continue to partner with government to achieve desirable outcomes and impacts. The regulatory reforms proposed focus on streamlining the regulatory system and reducing the red tape burden on NPOs. Ultimately, these proposals will contribute to creating the enabling environment envisioned by legislation, by establishing a sound regulatory system that strikes the right balance between risk mitigation and facilitating sector activity.





## **IMPLEMENTATION EVALUATION OF THE NATIONAL DRUG MASTER PLAN (NDMP) IN ADDRESSING ALL FORMS OF SUBSTANCE ABUSE**

The abuse/misuse of illicit substances and over-the-counter substances (i.e. alcohol, nicotine and over-the-counter medication) is endemic in South Africa. Particularly concerning is the high rates of substance use and abuse among the youth. The 2008 South African youth risk behaviour survey among learners from Grade 8 to Grade 11 found that 13% of youth admitted to lifetime use of cannabis, 7% used mandrax, and 7% used crystal methamphetamine, known by its street name 'tik'. When considering the social, medical and financial burden associated with substance abuse, it poses a serious challenge for South Africa as a middle income developing country. The misuse of substances is associated with numerous other social problems, including crime (60% of all crimes are drug-related), violence against women and children, and the spread of HIV and AIDS. This places a heavy burden on the country's resources, particularly in poor communities. Successful reduction of prevalence and incidence of substance abuse requires institutional capability to set policy direction, implement preventative measures (i.e. enforce regulations and law, provide requisite support to vulnerable groups, etc.), track performance, and continuously improve based on lessons from practice and new knowledge.

The purpose of this evaluation was to understand whether, and how, the 2013-2017 NDMP has been implemented, and the likelihood of the plan to facilitate efficient and effective service delivery (across different institutions and programmes) for reducing substance abuse. The evaluation findings indicate that the NDMP is more of a framework than a plan, and in general is recognised for providing guidance on the general policy direction on substance abuse in South Africa. However, it falls short in providing guidance and detail around implementation and does not provide for resource allocation to carry out activities to combat substances. Instead, departments are expected to incorporate the plan into their normal planning and budgeting, and the financial and human resources are inadequate.

In conclusion, the NDMP is too high level and is not adequately reflected in the sector plans or APPs, and not reviewed to be aligned to the MTSF 2014-19

## **EVALUATION OF THE NATIONAL QUALIFICATIONS FRAMEWORK ACT (NQFA)**

The National Qualifications Framework has been in existence since 1995. In the intervening 20 years, the legislative and regulatory framework has undergone major reforms that changed the structure of the NQF, streamlined the institutions involved in implementing the NQF, and changed the roles and responsibilities of the Executive Authority. Since the advent of the NQFA, No. 67 of 2008, the quality assurance regime has also changed, with the introduction of three quality councils responsible for quality assurance across their sub-frameworks and the institutions which deliver the qualifications and part qualifications for which they are responsible.

These are the Council on Higher Education with its Higher Education Quality Committee (HEQC), Umalusi, and the Quality Council for Trades and Occupations (QCTO). No audit or system-wide evaluation has been done since the last South African Qualifications Authority (SAQA) audit of 2007/2008. SAQA has developed a new Policy and Criteria for Designing and Implementing Assessment for NQF Qualifications and Part Qualifications and Professional Designations in South Africa, but this is awaiting final approval by the SAQA board.

The intervention of an implementation evaluation was welcomed to further develop and implement the NQF and the Act itself. The evaluation focuses on the implementation of the NQF from 2008-2015, as well as the design of the NQF and its effectiveness in achieving its intended objectives.

Due to various challenges experienced with stakeholder engagements and the complex nature of the ToR, a service provider was only appointed in March 2016 to undertake the evaluation.



## EVALUATION OF EARLY GRADE READING IN SA

This evaluation aims to test specific ways of influencing capability and motivation and provide solid evidence to inform future education policy.

The primary intended outcome is improved Setswana reading acquisition, which will be measured at the end of 2015 and again at the end of 2016 using an adapted version of the Early Grade Reading Assessment (EGRA) tool. Using a randomised control trial, the study will evaluate the causal impacts of three new interventions aimed at improving early grade reading, namely, (i) a teacher training course focused specifically on the teaching of Setswana reading and literacy, accompanied by scripted lesson plans and graded reading materials; (ii) an on-site support programme to teachers from reading coaches, accompanied by scripted lesson plans and graded reading materials; (iii) and a package designed to improve parent involvement in, and monitoring of, learning to read. Each intervention will be implemented in a group of 50 schools over a period of two years in North-West Province, specifically, in the education districts of Ngaka Modiri Molema and Dr Kenneth Kaunda.

## **IMPLEMENTATION EVALUATION OF THE MINING CHARTER (CANCELLED)**

The 2010 Broad-Based Socio-Economic Charter (Mining Charter) has been developed with the primary purpose of promoting unbiased access to South Africa's mineral assets to all South Africans, and to increase opportunities for historically disadvantaged individuals. The Mining Charter score card assesses eight critical areas to determine the domestic mining industry's contribution towards the realisation of the Mining Charter's objectives. The findings of the evaluation will guide policy decisions, especially on establishing the new Mining Charter targets and the support required from the mining industry stakeholders to implement the objectives of the new targets.

The main purpose of this evaluation was to assess how well the Mining Charter was being implemented and how to strengthen it to ensure the realisation of its objectives. However, the evaluation was cancelled at the ToR phase as there was a similar study underway through Operation Phakisa.

## **SERVICE DELIVERY IMPROVEMENT PLANNING SYSTEM**

A Service Delivery Improvement Plan (SDIP) is a mechanism used by departments within the public service to assess the existing gaps identified in meeting performance levels and set service standards. It is a process informed, among others, by complaints received from service beneficiaries, citizen satisfaction surveys, the measurement of set against achieved service standards, government priorities, and the executive authorities' performance agreements. SDIPs further seek to provide a strategic focus on improving specific services, supported by an appropriate allocation of human and financial resources and strengthened

systems and processes, while leveraging technology to ensure efficiency and effectiveness in the delivery of quality services.

The purpose of this evaluation is to assess whether the SDIPs have been implemented in terms of the Public Service Regulations (PSR) and Directive of 2008 by national and provincial departments, and to evaluate its responsiveness as a means to ensure sustainable, effective and efficient service delivery improvement.

The evaluation will pick up on challenges faced with regard to the level of compliance with SDIP submissions; the quality of the submitted SDIPs; implementation and monitoring thereof by management; submission of annual progress reports against the SDIPs; and the impact of the SDIPs on service delivery improvement, to mention a few. The evaluation is in the beginning stages, with a service provider yet to be procured.

## **3.6 2016/17 NATIONAL EVALUATION PLAN**

The evaluations being implemented in 2016/17 include:

- DST: National Space Plan
- DSD: Older Person's Act
- DHET: TVET
- Justice: Integrated Justice System
- DHET: Evaluation of the NQFA
- DBE: Evaluation of Early Grade Reading in SA
- DEA: Environmental Impact Assessment system
- dti/National Treasury: Business incentives
- DPME: National evaluation system.







# 04

## WIDENING THE EVALUATION SYSTEM TO PROVINCES AND DEPARTMENTS

# 04

## WIDENING THE EVALUATION SYSTEM TO PROVINCES AND DEPARTMENTS

### 4.1 PROVINCES

PEPS were first piloted in 2012/13 in the Western Cape and Gauteng, facilitated by the DPME's ERU. Mpumalanga and Northern Cape approved their PEPs in 2014, the Free State and Limpopo in 2015, and the Eastern Cape in April 2016. North West and KwaZulu-Natal have produced draft concept notes for their PEPs, but have not yet approved them.

Additional support was provided in the form of a one-day workshop, which was held for Offices of the Premier in September 2015 in order to share experiences and address challenges experienced by provinces that are already implementing PEPs.

All PEPs will be quality assessed and published on the Evaluation Repository, and a monitoring system will be tested and rolled-out to track implementation of these plans.

#### WESTERN CAPE



The roll-out of the NEPF was piloted in the Western Cape Government (WCG) in 2012/13, and the first PEP developed for implementation in 2013/14 over a three-year period. This PEP consisted of 10 evaluations that were agreed upon as provincial priorities and the implementation of this PEP is now completed. However, in order to make provision for two late submissions of concept notes by the DHS, an amended PEP was compiled in 2013/14 which increased the number of evaluations to 12. As part of the annual call for evaluations, updated PEPs for the rolling three-year period were also developed in 2014/2015 and 2015/16, consisting of five evaluations each, thus bringing the total number of evaluations to 23, of which 21 have been concluded. The remaining two could not be completed due to various reasons beyond the control of the respective departments.

The eleven evaluations implemented during 2013/14 are:

1. Evaluation of the impact of Agricultural Learnerships Training in the Western Cape
2. Evaluation of the implementation of the Transversal Skills Intervention in supporting economic growth and job creation
3. Impact evaluation of the Provincial Literacy and Numeracy Programme
4. Impact evaluation of the Safely Home Campaign on road crash fatalities in the Western Cape
5. Evaluation of the implementation of the upgrading of the Informal Settlement Programme
6. Evaluation of the impact of the People's Housing Project

7. Evaluation of the implementation and impact of the Environmental Impact Assessment
8. Evaluation of the implementation of the Mass Participation, Opportunity and access, Development and growth (MOD) Programme
9. Evaluation of the impact of the Market Access Programme
10. A diagnostic evaluation of the factors contributing to diarrhoeal disease in children under five living in the Western Cape
11. Evaluation of the impact of the Food Garden Programme on household food security

The five evaluations implemented during 2014/2015 are:

1. Evaluation of the impact of crop rotation trials
2. Evaluation of the impact of abattoir inspections
3. Evaluation of the impact of the annual Western Cape Farm Worker of the Year Competition
4. Evaluation of the Expanded Partnership Programme
5. Evaluation of the impact of the Safely Home Campaign on road crash fatalities in the Western Cape

The five evaluations implemented during 2015/2016 are:

1. Evaluation of the availability, extent and utilisation of agricultural economic databases
2. Evaluation of 10 years of training of future agriculturists
3. Evaluation of the Extension Revitalisation Programme

4. Evaluation of the impact of broadband on library users
5. Evaluation of the WCG Corporate Services Centre

Table 14 below summarises the 23 evaluations.

**TABLE 14: EVALUATIONS IN W CAPE PEP**

Type of Evaluation	Number of evaluations per type	Informing WCG provincial strategic goals
Implementation evaluations	10	1,2,3,4,5
Impact evaluations	12	1,2,3,4
Diagnostic evaluation	1	3

In line with the DPME evaluation quality assessment process, the Department of the Premier submitted 14 completed evaluations to date during 2013/14 - 2015/16 to be quality assessed. All of these evaluations received a quality assessment score above 3, i.e. indicating that the evaluations are of satisfactory quality.

To support evidence-based decision-making, planning, and M&E, progress relating to the evaluations in the PEP are recorded in an annual provincial evaluation update. The update provides a review of the implementation and progress of all provincial evaluations undertaken that form part of the PEP.

## GAUTENG



The Gauteng Evaluation Framework, which was approved by the Executive Council in 2012, mandates the establishment of a three-year rolling PEP as a focus for priority evaluations of the provincial government.

Due to a continued lack of internal capacity to manage and commission evaluations, an independent service provider was contracted to provide technical support for the provincial government on evaluations. This included an assessment of evaluations undertaken in 2014/15, and technical support and research in the development of ToR for other evaluations.

The province has increasingly favoured the use of theory-based evaluations to ensure that the evaluation develops an explicit ToC which is then tested through the evaluation process. Where programmes lack an appropriate M&E framework based on the programme ToC, this is also commissioned as part of the evaluation process and outcomes. This not only contributes to the ongoing performance and monitoring of the programme, but also contributes to improving its evaluability going forward.

Between 2011/12 and 2013/14, four evaluations were undertaken and submitted to the DPME for independent assessment against national norms and standards. These were:

1. Evaluation of the Siyazondla Food Gardens Programme
2. Evaluation of the Gauteng Master Skills Plan
3. Evaluation of the Expanded Public Works Programme in Gauteng
4. An evaluation synthesis on programmes to eradicate VAWC

As part of the 2014/15 PEP, three evaluations were commissioned in line with guidelines and standards set by national and provincial policy frameworks. These included the Frontline Service Delivery Monitoring (FSDM) Programme, Young Women's Development Programme (YVWP), and a formative evaluation of a key new programme, the Township Economy Revitalisation (TER) programme, for which the draft report incorporated a monitoring framework.

A review of the 2014/15 PEP was then undertaken to inform development of the 2015/16 PEP. A call for proposals and submission of concept notes on proposed evaluations for 2015/16 was issued, priority programmes discussed, and the 2015/16 PEP developed. The PEP took into account the priorities of the Gauteng City Region's Transformation, Modernisation and Reindustrialisation (TMR) programmes, as well as the standard criteria adopted in the national and provincial evaluation policy frameworks.

In addition, preparations for an evaluation of the Twenty Prioritised Townships Programme were undertaken in 2014/15. This evaluation is expected to be implemented over the 2015/16 and 2016/17 period.

## MPUMALANGA



The Mpumalanga 2014/15 - 2015/16 PEP was approved by the Executive Council in September 2014 and combines two planned departmental evaluations, as well as nine evaluations selected and proposed by the provincial ETWG based on desktop study and departmental consultations. The 11 evaluations in total are:

1. Evaluation of the impact of the EPWP (Phase II) in the province
2. Diagnostic evaluation on how the establishment of the Mpumalanga Fresh Produce Market will affect the livelihoods of small-scale farmers in the province
3. Implementation evaluation of the effectiveness and efficiency of the Rapid Implementation Unit (RIU) as a coordinating mechanism to accelerate service delivery and reduce backlogs
4. Diagnostic/design evaluation of the High Impact Service Delivery Model to address escalation of HIV and AIDS prevalence in the province
5. Evaluation of the implementation and impact of the Masibuyele Emasimini Programme on agricultural production and income generation for smallholder farmers
6. Diagnostic evaluation of the International Convention Centre and its value proposition for local economic development and emerging tourism product owners to determine the baseline for future impact studies and refine project design
7. Evaluation of the impact of provincial housing programmes
8. Diagnostic evaluation of whether (how) mining and industrial parks have an impact on scaling up small, micro and medium sized enterprises (SMME) development through local procurement
9. Evaluation of the implementation of provincial SMME and cooperative development support strategies (Phase 1 of proposed long-term impact study)
10. Diagnostic evaluation of the ex-ante evaluation to ascertain the provincial status quo in terms of cross-border and cross-boundary migration and the potential impact thereof on service delivery access and associated planning and budgeting
11. Diagnostic evaluation to determine the viability of a Provincial Growth Challenge Fund as an instrument to attract private investment and address issues of youth unemployment



## LIMPOPO



The Limpopo 2015/16 PEP was approved by the Executive Council in September 2015. The initial focus was on six evaluations agreed as provincial priorities, which sets the benchmark for evaluations in the province. They are:

1. Implementation evaluation of the Enterprise Development Programme
2. Impact evaluation of the services rendered to Children under the Foster Care Programme in Limpopo Province
3. Implementation evaluation of the models of laundry services that are being implemented in the public health facilities/hospitals of Limpopo Province
4. Diagnostic evaluation of the Supply Chain Management Procurement Strategy
5. Impact/implementation evaluation of the National Youth Services in Limpopo Province
6. Impact evaluation of overload control measures e.g. road weighbridges in preventing damage to road infrastructure networks and in improving road safety in Limpopo Province

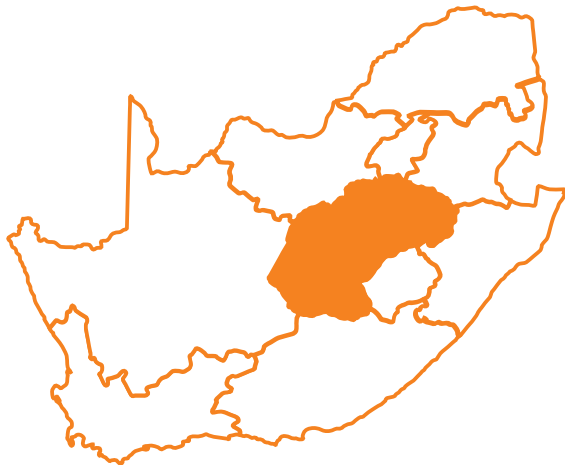
## EASTERN CAPE



The Eastern Cape conducted two evaluations in 2014/15 with the assistance of GIZ, namely, the evaluation of Operation Clean Audit and the evaluation of the grade 12 learner support intervention as part of the Learner Attainment Improvement Strategy (LAIS) in the Eastern Cape. The province has now submitted its first PEP, for the period 2016/17 to 2018/19, which has been approved by the Executive Council. Four new evaluations are proposed for the 2016/17 financial year, including:

1. Evaluation of the impact of financial CFO support provided in the municipalities
2. Implementation evaluation of the programme on strengthening primary health care to ensure better access, equity and equality
3. Implementation/impact evaluation of the School Nutrition Programme
4. Implementation/impact evaluation of the Mass Participation Programme

## FREE STATE



The Free State 2015/2016 - 2016/2017 PEP was approved by the Forum of Heads of Department in May 2015 and consists of 10 evaluations in total, namely:

1. Evaluation of a Safe Environment for Caesarean Section Safety
2. Evaluation of the implementation of the Emergency Obstetric Simulation (EOS)
3. Evaluation of the capacity for a quality and improved new-born care programme
4. Evaluation of the management of malnutrition in children below the age of 5
5. Evaluation on the basic TB defaulter rate in the Free State
6. Evaluation on the medical male circumcision (MMC) uptake in Xhariep District in the Free State
7. Evaluation of the implementation of the ward-based outreach team (an intervention of National Health Insurance (NHI) in the district)
8. Evaluation of the implementation of the RX solution for management of medicine as an intervention of NHI in the district
9. Evaluation of the implementation of the National "IDEAL CLINIC Project" as an intervention of NHI in the district
10. Implementation evaluation of the Hey Math System

## 4.2 DEPARTMENTS

In 2014/15, the DPME linked up with departments who had developed departmental evaluation plans (DEPs) using a draft template created by DPME in 2012/13, such as the KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs (COGTA) and the Western Cape Department of Agriculture, in order to develop DEP guidelines. On finalisation of the guidelines in July 2015, a workshop was held the same month, attended by 200 officials from national and provincial departments. Following the workshop, a list of FAQs was produced. The new MPAT standard on evaluation was piloted in 2015/16. It includes a requirement for departments to do DEPs for level 3 compliance (see Box 2 and evidence documents and moderation criteria in Annex 9). This is seen as a high priority for 2016/17 onwards as part of embedding evaluation in the work of government.

### PLANNED SUPPORT FOR DEPARTMENTS DURING THE 2016/17 FINANCIAL YEAR

Based on the MPAT findings and recommendations, a capacity development programme will be developed for national and provincial departments. Departments have also been asked to provide areas of support around the NES. An evaluation seminar is scheduled for 28-29 July 2016, and the capacity building programme for provinces from July to September 2016. A monitoring system will be tested and rolled out to track implementation of these plans.

The departmental target for the coming financial year is 14 evaluations (one plan per outcome area), however, no target has been set for provinces. The DPME directors will provide technical support in the development of departmental plans in the following outcome areas. Letters will be written to departments indicating the relevant directors:



	<b>OUTCOME</b>	<b>RESPONSIBLE</b>
1	Basic Education	Jabu Mathe
2	Health	Antonio Hercules
3	Criminal Justice	Jabu Mathe
4	Employment	Jabu Mathe
5	Skills Development	Antonio Hercules
6	Infrastructure	Jabu Mathe
7	Rural Development	Nox Chitepo
8	Human Settlements	Matodzi Amisi
9	Local Government	Matodzi Amisi
10	Environment	Nox Chitepo
11	International Relations	Nox Chitepo
12	Public Service	Antonio Hercules
13	Social Protection	Matodzi Amisi
14	Social Cohesion	Matodzi Amisi

## BOX 2: PILOT MPAT STANDARD FOR EVALUATION

### STANDARDS

- Evaluations in the department are not formalised and implemented
- Department has planned capacity to manage/ conduct evaluation

#### Level 2+

- Relevant staff are in place
- Department has approved standard operating procedures that follow the national evaluation system

#### Level 3

- Department has approved standard operating procedures that follow the national evaluation system (2+)
- Multi-year evaluation plan that follows the national evaluation system

#### Level 4

- Departmental has undertaken at least 1 evaluation of a major program in the previous 2 years
- Management response submitted within 3 months of approval of the final evaluation report to dept Top management and DPME/OTP (if on NEP/PEP)
- Improvement plans on evaluations are submitted within 4 months of approval of the evaluation report to dept top management and DPME/OTP (if on NEP/PEP) or;
- The Improvement Plan is monitored and results used to improve the programme/policy and;
- Departmental evaluations are made public on departmental websites



Some key elements for compliance (level 3) of the new MPAT standard on evaluation include:

- Some basic capacity in evaluation (not just M&E);
- Adoption of the NES; and
- Development of a DEP.

The aggregate departmental MPAT scores are:

- Eastern Cape: 1.3
- Free State: 2.4
- Gauteng: 2.4
- KwaZulu-Natal: 2.2
- Limpopo: 1.2
- Mpumalanga: 1.8
- North West: 1.5
- Northern Cape: 2.2
- Western Cape: 2.6
- National departments: 2.0

Table 15 below reflects the number of departments that achieved each compliancy level.

**TABLE 15: NUMBER OF DEPARTMENTS – MPAT SCORES 1 TO 4**

Number scoring 1	66
Number scoring 2	18
Number scoring 2.5	26
Number scoring 3	33
Number scoring 4	8

## 4.3 LOCAL GOVERNMENT

Over the past year, the Tshwane Metro, through the office of the Executive Head: Performance Monitoring & Evaluation, has drafted its own evaluation plan based on the NES. It has engaged an academic institution to assist in the formulation of the plan, which is in the process of approval. In the meantime, the metro has been doing internal process and compliance evaluation, and is now focusing on capacity development to get more experience on evaluations.

Metro evaluation plans (MEPs) are not a focus of the DPME at present, but attention will be paid to the metros in 2016/17. Priority should be given to cross-cutting evaluations in local government.







05

RESEARCH

# 05

## RESEARCH

### 5.1 RESEARCH STRATEGY (2015 - 2018)

#### TABLING AND APPROVAL

The research strategy, approved in March 2015, establishes the role of the DPME in the generation, intermediation and use of research and other forms of evidence in decision-making. The strategy responds to the Department's mandate to support the 14 outcomes of the NDP with rigorous evidence for influencing policy across government. It was designed to support the department's ToC on the importance of effective and evidence-based planning, as well as the use of evidence generated from M&E to improve government services and performance. Two diagnostic research studies, incorporating consultations with different stakeholders, were undertaken between August 2014 and February 2016 to inform the DPME's research role.

The DPME's ERU is responsible for spearheading the implementation of the strategy on behalf of the Department, working in partnership with other government departments, research institutions, academia, NGOs, civil society, and other relevant stakeholders who are active in the wider system of research and innovation.

#### OPERATIONALISING KEY COMPONENTS

The research team has continued to embed a standardised system of research within the DPME over the past financial year. Key components of the system which have been operationalised include:

- Centralised research support across DPME programmes: research panel; procurement; and ToR template;
- Research competencies and capacity, such as the EBPM&I course for DGs;
- Data and information access, quality, and integration;
- Coordinated stakeholder engagement in research environment;
- Agenda-setting and promoting research synthesis in policy spaces.



## 5.2 UNDERSTANDING THE RESEARCH SYSTEM, INTERNALLY AND EXTERNALLY



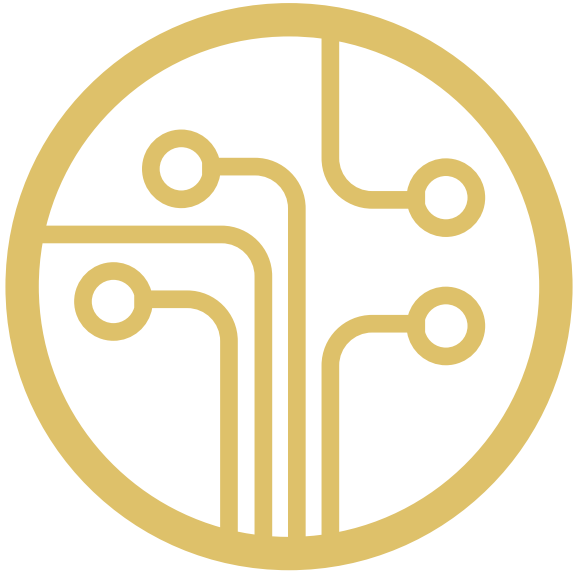
### INTERNAL AND EXTERNAL DIAGNOSTICS

Two diagnostic studies – one internal within DPME; and another external, inclusive of selected national departments and provinces – were conducted in 2015 and 2016 respectively to understand the capacity of government officials to use evidence. The studies investigated what their understanding is of what evidence entails, what access they have to different forms of evidence within the system, and what their current use of evidence is in daily practice and decision-making.

The results of the studies are documented in two separate reports and have been used to structure DPME's role in shaping research and evidence use in government.

One of the key findings with respect to research infrastructure and capacity was the limited access to resources from which evidence can be sought. To address this, the DPME secured three years' access to the Web of Science database, which is currently being used by internal and external officials to search for available research.

The research unit also introduced a "360° view" of DPME-generated evidence in order to integrate, through triangulation, the different sources of evidence produced and collected through various tools within DPME. A pilot integration project, which was supported by the DFID-funded Vaka Yiko Project, was implemented for Outcome 7, Rural Development, as well.



### 5.3 UNDERTAKING STRATEGIC RESEARCH ASSIGNMENTS 2015/16

In addition to the diagnostic studies outlined above, the research team has also undertaken some strategic research studies, which are seen as integral to understanding and building the research system. These include:

- Information and communications technology (ICT) in education;
- DG workload study;
- Evidence map: human settlements.

### 5.4 PILOTING RESEARCH TOOLS (MAPPING, REPOSITORY)

The research unit has successfully introduced two tools which form part of the building blocks for a system in which evidence-informed decision-making becomes embedded within the DPME. The first is the research repository, a management tool; and the second is the evidence map platform, an internal online database which provides officials with access to knowledge products generated by DPME, as well as knowledge gathered from external sources.

The tools are an internal response to an increasing demand to know what evidence exists on what works and in what contexts.

#### RESEARCH REPOSITORY

The Research Repository is being used to share and sustain research commissioned by the DPME that is relevant to current policy issues. It is available on the DPME intranet for DPME officials.

## EVIDENCE MAPPING

Integrating diverse sources of evidence requires robust yet innovative approaches to making it accessible for decision-making and policy development. The DPME is promoting new methodology in research synthesis, and from November 2015, an evidence map was piloted in Outcome 8, Human Settlements, for the first time in the South African government system, to understand whether evidence mapping could be a viable research synthesis tool to inform policy. This led to the development of a platform within government that integrated DPME evaluation evidence with various external sources of evidence, including academia, think tanks, NGOs, and unpublished government research reports.

In evidence mapping, systematic searching for evidence is adopted and applied to every piece of evidence sourced. Published and unpublished literature that has been included through strict criteria is then visually displayed in a framework of interventions in relation to outcomes intended in policy proposals. Evidence maps are intended to assist policy-makers to understand the body of evidence available on a defined area of work, and to identify gaps from existing knowledge.

Currently, evidence mapping is only being used by the DPME, however, efforts are being made to explore its use in the wider research system.

## 5.5 INTEGRATING SOURCES OF EVIDENCE

The findings of the diagnostic studies demonstrated that there are weaknesses in integrating the various data and information generated within the DPME to assess, monitor and evaluate the performance of government across the various outcomes/sectors. Furthermore, the “360° view” of DPME evidence revealed that:

- There are challenges around technical specifications, data quality, timeliness, and interpretation skills;
- The DPME could do more to fulfil the potential of data generation by facilitating its use with more detailed analyses of each evidence source;
- There is a lack of correlation between sources.









06

## INTERNATIONAL LINKAGES

# 06

## INTERNATIONAL LINKAGES

### 6.1 APPROACH

From the first time the need to develop an evaluation system became clear, the DPME has made efforts to learn from the experience of other countries, and likewise, to share South Africa's experience. In 2011, study tours were undertaken to Mexico, Colombia, the US, and Australia to learn from their experience in evaluation, and the lessons gained from this exercise enabled the DPME to progress much quicker.

These relationships have continued since then and have proved very valuable when developing systems. For example, the concept and guidelines for design evaluation have drawn heavily from the Mexican version. This speeds up system development enormously.

### 6.2 THE TWENDE MBELE PROGRAMME – AN AFRICAN M&E PARTNERSHIP

In 2011, the DPME also linked up with six other African countries involved in M&E, namely Burundi, Uganda, Kenya, Senegal, Benin and Ghana, and with the support of CLEAR-AA, explored what each country was doing and where there were lessons to learn from each other. This was tabled at an African M&E Workshop in March 2012. Since then, Benin, Uganda and South Africa have continued to share knowledge around national evaluation systems and in 2014/15, DFID indicated to the DPME that they would be interested in supporting further regional collaboration.

The three countries, together with CLEAR-AA, went on to develop a concept and plan for an African M&E Partnership called Twende Mbele (Swahili for "let's move forward together") and an interim phase was funded from January to May 2016. The full programme is likely to be funded in 2016/17. Activities during the foundation phase included sharing the MPAT experience with Benin and Uganda and them planning how to take this on; some research on gender responsiveness of the three countries' M&E systems; a workshop to explore possible civil society involvement in M&E systems; and preparing some elements for the main programme (such as designing communication systems).

### 6.3 PEER COUNTRIES OUTSIDE AFRICA

The DPME continues to network with other countries that are supporting government evaluation systems. Membership of 3ie (see below), along with Mexico, Colombia, Benin and Uganda, has enabled regular follow-ups and relationships have been maintained with Canada's Centre of Excellence and the US Government Accountability Office.



## 6.4 INTERNATIONAL ORGANISATIONS

In April 2012, when former Minister of Planning, Monitoring and Evaluation Collins Chabane visited a 3ie event, it was decided that the DPME should become a member of the initiative. Ian Goldman, DPME's Head of Evaluation and Research, became a 3ie board member at the same time and has since become chair of the programme committee. 3ie has been beneficial to the DPME in a number of ways (in fact, South Africa is the 3ie member that has had most support), including by:

- Exposing South Africa to international good practice, particularly around impact evaluation;
- Funding the DPME and partner departments to attend evaluation events, as well as events related to systematic reviews;
- Giving feedback on DPME guidelines and systems;
- Contributing to design clinics where the DPME develops the outlines for evaluation ToR;
- Funding impact evaluations, including the scoping study of the Grade R evaluation (which the DPME then took forward), and the NSNP (which showed it was too difficult to do). In 2015/16;
- Providing about R7m to support impact evaluations of the Extension Recovery Programme and the Restitution Programme.

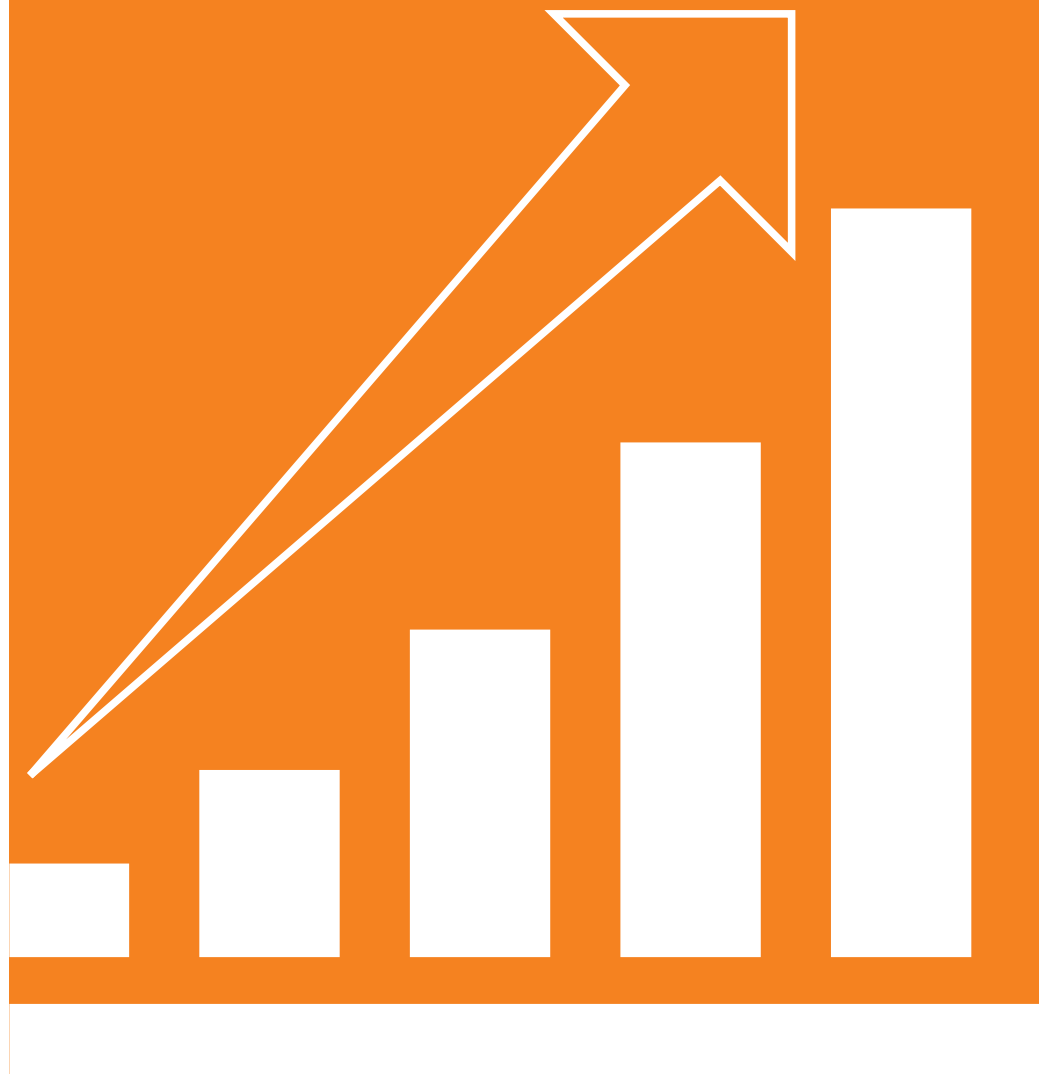
Other key relationships include those with:

- CLEAR-AA, with which the DPME has collaborated on development and rollout training and other important activities.
- DFID, which has provided around R10 million of funding for evaluation through the Strengthening Performance M&E Project (SPME). This has particularly supported training, quality assessment and some evaluations. This project completed in September 2015.
- The World Bank, which has provided valuable technical support. The DPME maintains close links with the World Bank's Independent Evaluation Group, which also hosts CLEAR.
- UNICEF, which has supported evaluations in South Africa through funding in some cases, and in others by providing advocacy and technical support e.g. on the nutrition and VAWC evaluations.

## 6.5 INTERNATIONAL YEAR OF EVALUATION

The DPME, working with SAMEA, was an active proponent for the International Year of Evaluation, which took place in 2015. The Year was launched in March 2015, and the DPME participated in a number of events throughout, including the two major closing events, namely the Evaluation Capacity Development Conference in Thailand in October 2015, and the EvalPartners event in Nepal in November 2015.





07

## ANALYSIS OF PROGRESS WITH IMPROVEMENT PLANS

# 07

## ANALYSIS OF PROGRESS WITH IMPROVEMENT PLANS

### 7.1 IMPROVEMENT PLANS

Key to the effectiveness of the evaluation system are the improvement plans which are produced after each evaluation is completed. As at 31 March 2016, 17 improvement plans were underway.

Departments are then expected to submit progress reports on a six-monthly basis. The system is not working ideally, however, and departments are very slow in producing the progress reports. The system is crucial for ensuring that evaluation recommendations are being followed up, and this can be tracked. But in some cases, departments would prefer not to follow up on these recommendations.

### 7.2 ANALYSIS OF PROGRESS WITH IMPROVEMENT PLANS

Departments currently report on progress in implementing the improvement plans, and most of these are being implemented. These plans provide instrumental, symbolic and conceptual use. For example, the implementation of the improvement plans is essentially instrumental use (were the recommendations implemented?); symbolic use is illustrated in the case of the nutrition evaluation, which has helped to raise the profile of child nutrition as an issue; and conceptual use is seen where an evaluation has helped to provide an understanding of the way an intervention is being implemented or how the problem needs to be understood.

The system of improvement plans has now been transferred onto an EMIS.

## 7.3 EMERGING FINDINGS

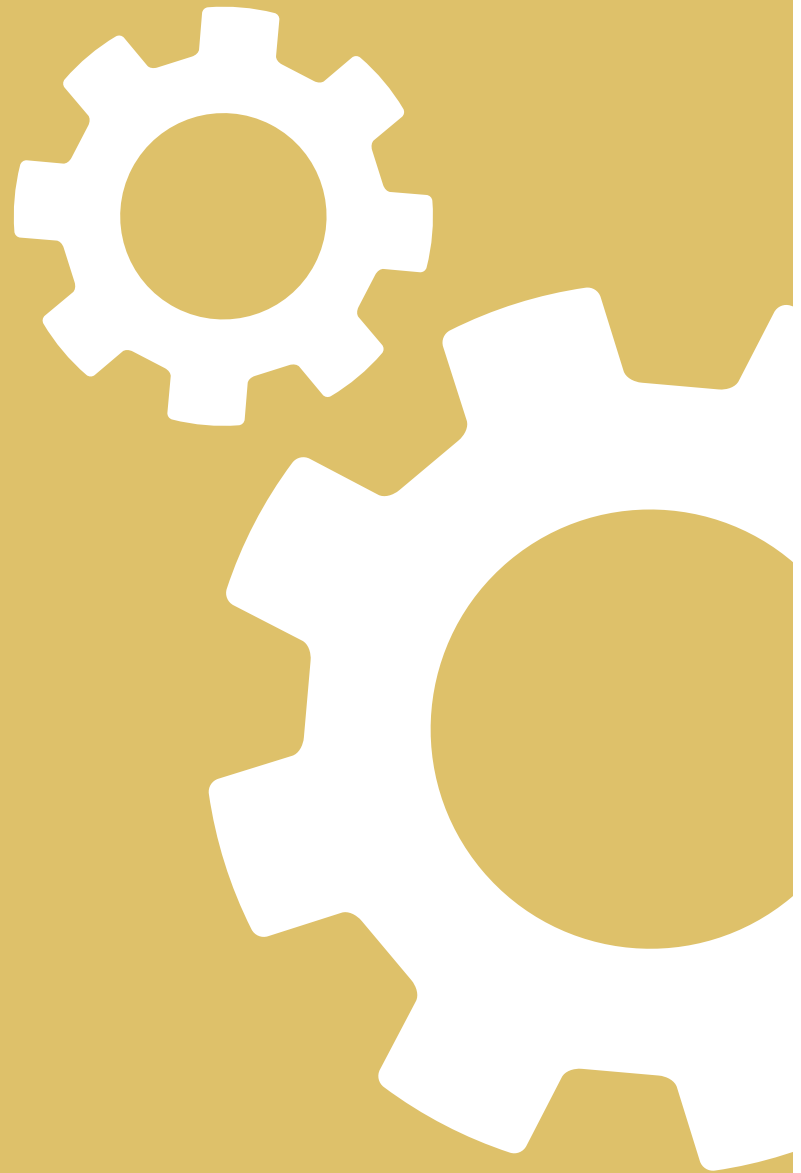
Many programme evaluations are already providing policy direction, for example:

- Seven evaluations and an expenditure review have been undertaken on the Human Settlements outcome area, and a synthesis is now being written to inform the new Human Settlements White Paper;
- Five evaluations and a synthesis evaluation have been completed for the Rural outcome area, which have produced some challenging findings and are informing policy on smallholders;
- National Treasury has become a strong supporter of the evaluations system and has advocated for and funded an evaluation of business incentives across government;
- A design evaluation of the PCC has led to changes in the policy before being published.

Cross-cutting findings are also emerging from across the range of evaluations, including that:

- Coordination across departments is a major problem and there is a need to find good practice mechanisms;
- There is often poor planning and a poor link from high level plans or frameworks to operational planning and budgeting e.g. the PCC and NDMP;
- Sometimes the lack of consensus on design leads to tensions between stakeholders e.g. the USDG;
- Initiatives are sometimes too comprehensive, not targeted enough, and resources get spread too thinly e.g. the CRDP and CASP;
- While frameworks may be good, they are not always enforced e.g. the EEGM;
- Scaling-up is often not well thought through;
- Overall, there is poor management of implementation and many operational challenges;
- Poor administrative data and data management is a major problem, and there is inadequate use of IT platforms e.g. the BPS, EMIA and Restitution Programme;
- M&E is largely inadequate and sometimes targets are not set in advance.









08

## MANAGING THE SYSTEM

# 08

## MANAGING THE SYSTEM

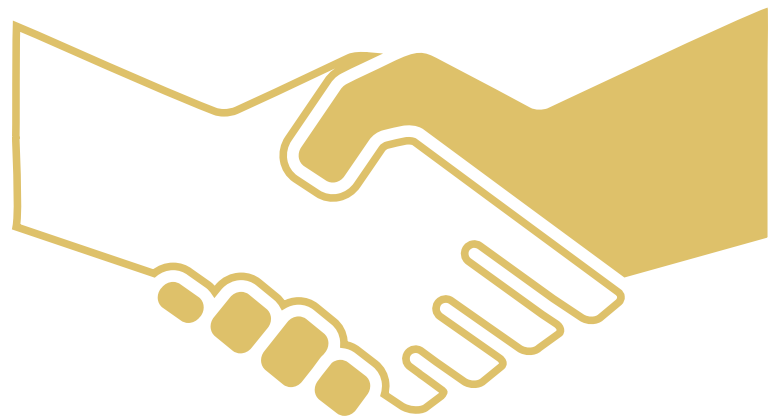
### 8.1 COLLABORATIVE APPROACH TO MANAGING THE SYSTEM

#### **BUILDING A LEARNING COALITION**

The DPME has sought to build a coalition across government to promote evaluation, for example, the initial study tour to Mexico and Colombia included officials from the Public Service Commission (PSC), DBE, DSD and the Government Communication and Information System (GCIS), all of whom participated in writing the NEPF. In addition, in order to support the NES, the DPME established a cross-government national ETWG, including officials from centre of government departments, sector departments, and provincial Offices of the Premier. The ETWG met three times in 2015/16, including to select evaluations.

#### **BUILDING PARTNERSHIPS TO TAKE FORWARD EACH EVALUATION**

Steering committees are established for all evaluations in the NEP to oversee and take decisions on the overall evaluation process. A senior programme manager of the custodian department chairs the steering committee, while the DPME provides secretariat support and technical advice. The strategic value of involving programme managers in their own evaluations is the building of ownership of the process, and it is hoped that this translates into use of evaluation results by the custodian departments. In practice, however, in some departments the evaluations are left to M&E staff, and the programme managers' lack of involvement creates problems later.



## **A SUPPORT TEAM – THE EVALUATION AND RESEARCH UNIT**

The NES is led by the DPME's ERU, supported by the ETWG. The ERU is the champion of the system and drives its development. The Unit consists of a core team of 15 officials, namely the head of the unit (at DDG level), five directors (including four evaluation directors), one deputy director, two assistant directors, four evaluation officers supporting the directors, two administration officers, and five interns (see Annex 6).

The ERU's key roles include leadership, promotion of evaluation in government, standard setting and quality assurance, and technical support to departments, evaluation steering committees and provincial Offices of the Premier.

In 2014/15, a research component was added to the ERU, which started work on developing a research strategy for the DPME, managing some strategic research assignments, creating a research panel, and undertaking training of DPME staff on research issues. A specific report on this component can be found in section 5.



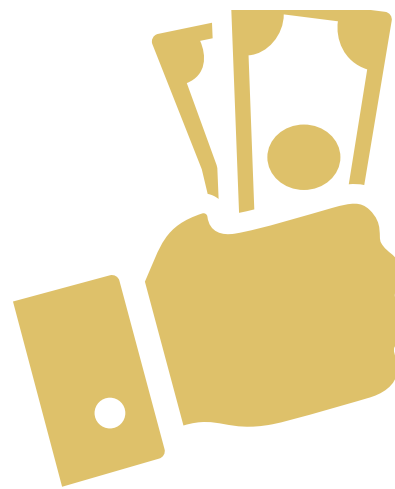
While the main focus of the Unit since its inception in September 2011 has been on setting up the NES for South Africa, over the next three years, the target for evaluations in the NEP has been reduced from 15 to 8 evaluations, partly to ensure that the pipeline of evaluations are completed, but also to dedicate more time to supporting provinces and departments in setting up their own evaluation systems.

## CO-FUNDING MODEL

Evaluations are implemented as a partnership between the department(s) concerned and the DPME, which part-funds the evaluations. In 2015/16, this funding was for an average of R1 million per evaluation. This co-funding model has contributed to stimulating demand for evaluations and provided incentives to departments who undertake them.

As a standard procedure, a co-funding arrangement is formalised in writing by the DPME and the custodian department before the commencement of the evaluation process. The DPME usually commissions the evaluations and therefore the department would transfer the co-funding amount to the DPME. On rare occasions, the DPME has fully funded critical evaluations where funding was not available from the custodian department and there was an urgent need to undertake those evaluations.

Based on its experience with the DHS, for which the evaluation was fully funded by DHS and procured through its systems, which took over a year and led to extensive delays, as of 2016/17, the DPME will no longer support any evaluations it does not commission.



## 8.2 DONOR FUNDING

Donor funding has played an important role in supporting the DPME's evaluation work, particularly as government resources become tighter following the global recession.

The establishment of the evaluation function in the DPME was made possible largely through the PSPPD, a partnership between the Presidency and the EU, which funded many of the start-up activities that led to the establishment of the evaluation system in 2011.

Since 2012, valuable support has also been received from DFID, with a government-to-government agreement signed in November 2012 for the SPME project, which provided £2 million to the Department, of which around £660 000, or around R10 million, was for evaluation. Key elements supported by DFID around evaluation have been the annual training programme, development of a quality assessment system, and a course in EBPM&I for DGs and DDGs. This support came to an end in September 2015, however, DFID is still providing donor support to the Twende Mbele programme, which is managed by CLEAR-AA. The programme will provide support for collaborative development of evaluation systems, as well as other M&E systems.

GIZ has provided important support to DPME for evaluations as well, notably funding the development of evaluation standards, competencies, and a first evaluation course.

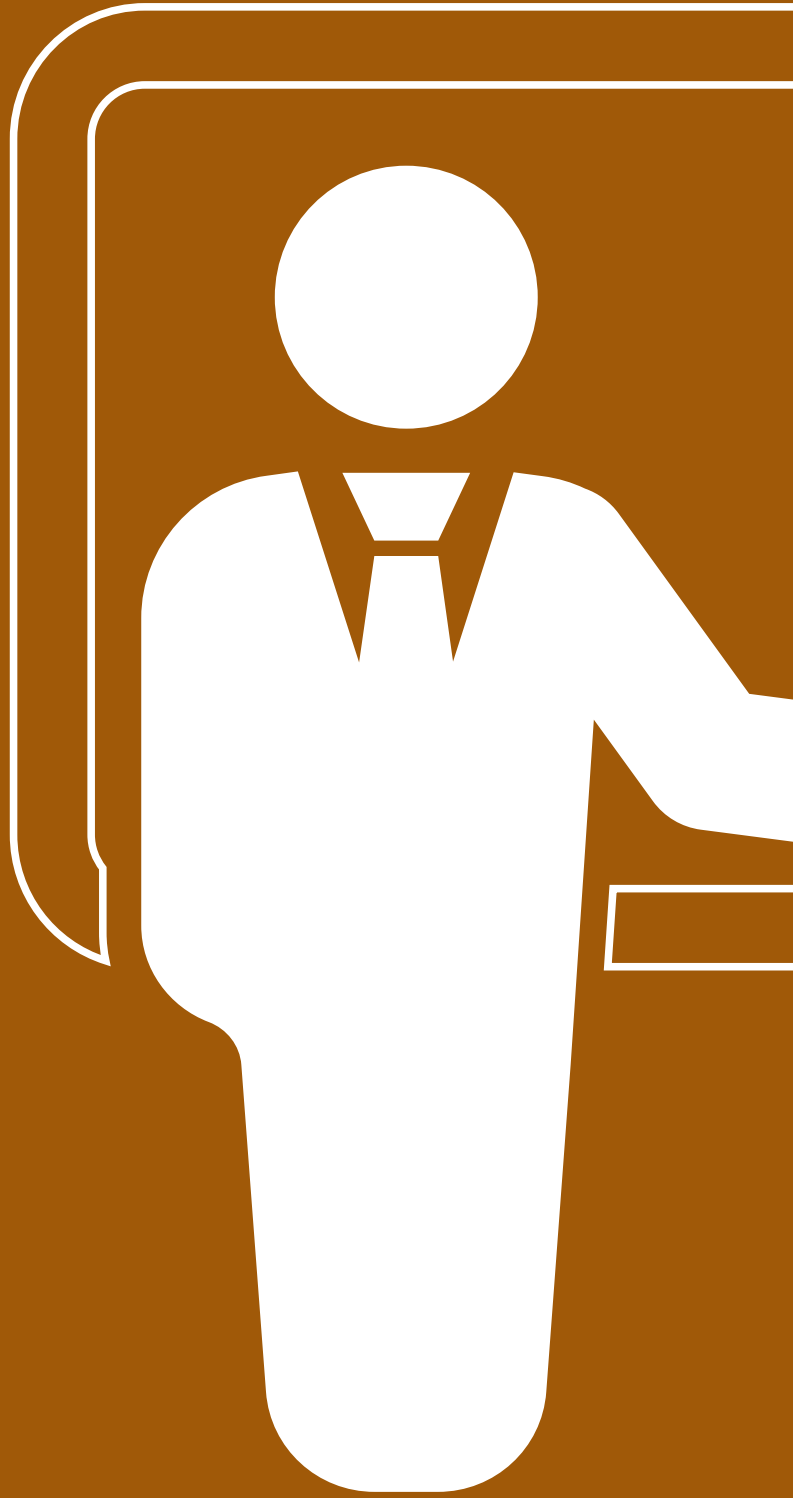
## 8.3 EVALUATION MANAGEMENT INFORMATION SYSTEM (EMIS)

The tracking of evaluations is becoming more complex and therefore, a number of elements are being brought together in an EMIS, including quality assessment, evaluation tracking, the Evaluation Repository, and tracking of improvement plans.

The EMIS was completed and went live in 2015/16, and will potentially be available for other partners to use in the future. The use of the system has had a huge impact on the automation of reports, which is used not only for reporting purposes, but also for the analyses of data, enabling management to make informed decisions with regard to improving the evaluation system. The EMIS also helps analyse the quality of assessments, allowing directors to gauge gaps within the system, as well as have an overview in identifying problematic areas, which could then be mitigated.

The use of MS Project software for financial management and tracking of activities has also proved to be useful, allowing financial reports to be easily generated for donor funding projects, which are usually complex to report on as these reports are normally tracked in at least two currencies (Rand and Pounds).







09

## ISSUES AND LESSONS EMERGING

# 09

## ISSUES AND LESSONS EMERGING

### 9.1 WHAT IS WORKING WELL

The NES was created from scratch and has for the past five years been establishing a new practice and discipline with new terminology and procedures. This is part of a broader change process to increase the use of evidence in planning and management.

In addition, the basis of a standard system with minimum standards has been developed, including 24 guidelines, standards, competencies, etc, and training of over 300 staff per year has taken place as well.

As at 31 March 2016, 54 evaluations were completed, underway, or starting in many, but not all, sectors (notably education, employment, human settlements and rural). An increasing number of departments are also using evaluations. Most significantly, having adopted this learning approach, these departments are on the whole champions for evaluations and are already starting to implement the recommendations from the evaluation results (or, more accurately, the improvement plans).

Furthermore, the growing recognition of the importance of evaluation within government has led to the widening of the use of the system and the development of PEPs by some provinces. The implementation of the draft MPAT standard on evaluation is expected to drive the development of DEPs as well.

Overall, the system is maturing. Officials are becoming more familiar and comfortable with some of the concepts, and applying them even where the DPME is not involved, and there are indications that working with the DPME on evaluations in the NEP is contributing to change in how evaluations are done by departments. In the long run, this will not only improve how programmes are evaluated, but how they are designed and monitored too.

### 9.2 AREAS NEEDING STRENGTHENING

There are a number of areas where problems have emerged and some where the system could be strengthened.

Systemic weaknesses within the state administration are reflected in how departments participate in evaluations. Internal administrative and management problems result in delays in submitting co-funding letters, nominating people for steering committees, and commenting on evaluation reports. Where other departments have commissioned evaluations, there have often been additional problems of procurement delays. The completion and use of evaluations is a lot more difficult to achieve within a weak governance environment, where every decision can be an issue of power. With strong departments, the system runs more easily and smoothly.



Although measures have been introduced to try and mitigate prior issues, some still exist. The main issues are:

- Poor programme planning, which means time has to be spent building the ToC at the beginning of the evaluation, and has wider implications for the likelihood of success in implementation of poorly designed programmes.
  - Inadequate capacity and too few evaluation service providers. This is resulting in too few bids for evaluations, and inadequate performance of some service providers. The introduction of a revised evaluation panel has helped, but as the use of evaluation scales up, the number of service providers will become more of a constraint.
  - Departments delaying evaluations in some cases, either through the procuring of service providers or in taking evaluation results to cluster and Cabinet and implementing results.
  - The reluctance, understandably, of departments to publicise evaluations with less than favourable results. This is especially true of departments who are constantly in the media. Although the DPME is committed to a transparent, accountability-based evaluation process, it may not be in a position to buffer departments being evaluated from negative press. It is early days for the communications strategy of the NES and time will tell how effectively this process is managed going forward.
- The few evaluations some key outcomes have had since 2009, notably Health, Local Government, International, and Social Cohesion. This means that some sectors have insufficient information on the performance of their programmes.
  - The poor quality of programme monitoring data, making it difficult to ensure credible, verifiable findings. A number of evaluations are taking longer than initially anticipated due to having to sort out the data. In some cases, this has resulted in redesign challenges mid-way through the evaluation process in order to still achieve the required evaluation outcome. An evaluability assessment process has been developed to assist in developing appropriate methodologies for the data available.
  - Not all departments planned impact evaluations when programmes were designed, making the possibility of doing quantitative impact evaluations much harder.

These issues result in evaluation processes taking much longer than expected, meaning that the DPME can handle fewer evaluations than anticipated. As the Department leverages more evaluations at provincial and departmental level, this could increase the scale at which evaluation is happening.

Apart from the existing issues, new issues are emerging. For example, the DPME has an important role to play in instigating public debate on some of the pertinent issues facing the country using evaluation findings, but this area does need careful management, given the reluctance of other departments to publicise evaluation results. If managed correctly, this could contribute greatly for the state to lead in initiating, strengthening, and enriching debates on policy issues.







10

WAY FORWARD

# 10

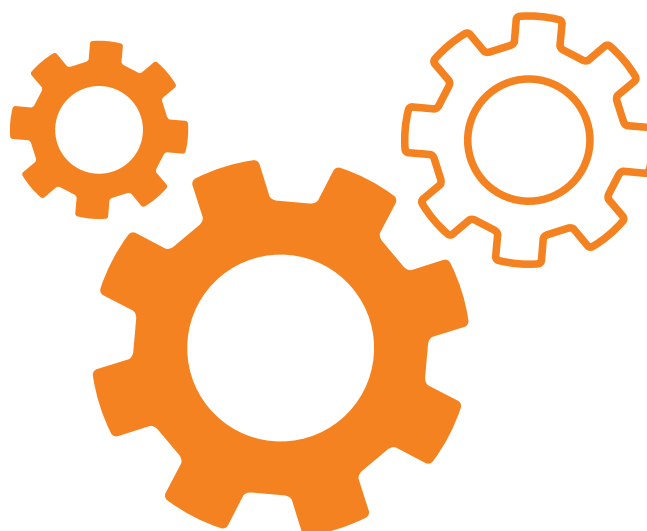
## WAY FORWARD

A pipeline of evaluation findings are now coming through, and in most cases evidence of impacts of the evaluation on the programmes or policies are already being seen. At the same time, challenges are emerging around the system which need to be addressed in order to maximise its efficiency and effectiveness in improving government's performance.

The widening of the system to provinces and departments offers the possibility of going way beyond the national evaluations so that evaluations are happening across government. However, with a core team of only 15 in the DPME on evaluation, this means the Department will need to find many support systems, as it is unable to provide one-on-one support. This will require mobilising training from the NSG and other training providers, adding capacity in the DPME from 2016/17 to support the system, and procuring more funds to quality assess provincial and departmental evaluations so that the DPME knows what is happening, and has a way of assuring quality.

Other key issues to take forward include (see Table 8):

- Completion of the assignment on professionalisation of evaluation to identify how to strengthen evaluation capacity;
- Increasing funding for complex evaluations, which may include collaborating with National Treasury to identify funding. Departments need to budget for evaluation in all programmes and for impact evaluations for all large new programmes, e.g. over R500 million;
- Finalising and piloting an evaluability assessment tool;
- Strengthening communication of evaluation findings.



**TABLE 16: KEY ISSUES ARISING AND HOW THESE ARE BEING ADDRESSED**

<b>ISSUE</b>	<b>HOW THIS HAS BEEN ADDRESSED</b>	<b>FURTHER ACTION NEEDED</b>
Inadequate supply of strong evaluators	Advocacy work at universities to encourage them to participate	Develop course to assist researchers to understand evaluation
	Capacity building work with service providers, eg around ToC	Continuing with training courses and briefings in 2015/16. Undertake rating system of service providers, and publicise the results
	Diagnostic on the supply of qualified evaluators	Undertake through collaboration with World Bank and the new Twende Mbele programme with Uganda and Benin.
	New call for evaluation panel in August 2014 created a stronger (if smaller) group to draw from and more bids being received	Continue to add qualified members to panel.
Insufficient funding for complex evaluations	Seeking funding from Treasury for some evaluations.	Departments to allocate 0.1-5% or programme budgets.
	Getting donor (eg 3ie) support for complex impact evaluations	Continue
Some departments taking a very long time to procure, eg DHS	DPME to procure otherwise don't include in NES.	Evaluations where departments procure not prioritised in the NEP but rather included in departmental evaluation plans
Not getting evaluations from some sectors eg Public Service	Using training of DGs/DDGs to motivate why evaluations are important. This has resulted in new departments entering the system including Treasury, Justice and Home Affairs. Targeting work with areas of low uptake eg Health and DPSA.	Continue.
Inadequate data for some evaluations to be viable	Developing model for evaluability assessment and pilot in 2015/16	Work to improve administrative data quality, and also programme data collection
	Encourage all first evaluations to be implementation evaluations, only after which do we consider an impact evaluation	Departments to plan impact evaluations at programme inception
Improve communication of evaluation findings	Developed policy briefs and electronic newsletter, twitter	See how this works and adapt. Test out thematic seminars, printing reports
Improve involvement of local government		Discuss with DCOG what cross-cutting evaluations are key for local government
Additional capacity needed to support provincial and departmental evaluations	Supported two provincial evaluation plans in WC and GP to test the system. Now working with 5 other provinces	Strengthen imperative to take forward. In 2016/17 major focus on DEPs
Departments slow to produce improvement plan progress reports	Repeated requests and highlighting the problem	Get the Auditor General to audit reporting on improvement plans. Seek to include in MPAT standards

# ANNEXES

## ANNEX 1: LIST OF POLICIES, GUIDELINES AND TEMPLATES

### GUIDELINES

- 2.2.1 Guideline on How to develop Terms of Reference for Evaluation Projects
- 2.2.2 Guideline on Peer Review for Evaluations
- 2.2.3 Guideline for the Planning new Implementation Programmes
- 2.2.4 Guideline for Inception Phase of Evaluations
- 2.2.5 Guideline on How to Develop Management Response to an Evaluation Report
- 2.2.6 Guideline on How to develop an Improvement Plan to address Evaluation
- 2.2.8 Guideline on How to develop Provincial Evaluation Plans
- 2.2.9 Guideline on Communication of Evaluation Results
- 2.2.10 Guideline on Diagnostic Evaluation
- 2.2.11 Guideline on Design Evaluation
- 2.2.12 Guideline on Implementation Evaluation
- 2.2.13 Guideline on Impact Evaluation
- 2.2.14 Guideline on Economic Evaluation
- 2.2.15 Guideline on Synthesis Evaluation
- 2.2.16 Guideline on Departmental Evaluation Plans

### TEMPLATES

- 1. Template for Evaluation Project Plan
- 2. Template for Evaluation Report
- 3. Template for Evaluation Proposals
- 4. Score-sheet/Template for selecting evaluation in the National Evaluation Plan
- 5. Outline Terms of Reference for Evaluation Steering Committees

### POLICIES AND PLANS

- 1.20 National Evaluation Policy Framework approved on 23 November 2011
- 1.21 National Evaluation Plan, 2012, approved on 13 June 2012
- 1.22 National Evaluation Plan, 2013/14 – 2015/16, approved on 21 November 2012
- 1.23 National Evaluation Plan, 2014/15 – 2016/17, approved on 4 December 2013
- 1.24 National Evaluation Plan 2015/16 – 2017/18, approved in October 2014



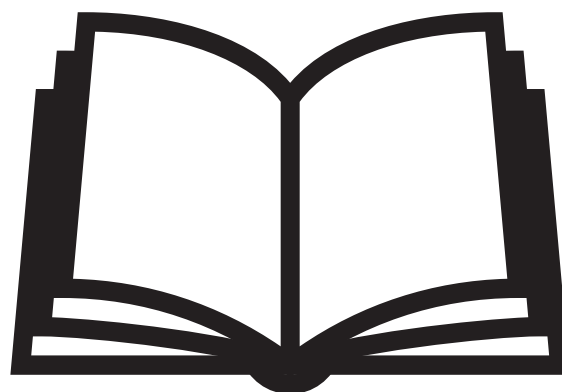
## ANNEX 2: PUBLICATIONS PRODUCED IN 2015/16 FINANCIAL YEAR

### DPME PUBLICATIONS

DPME, 2014a, National Evaluation Plan 2015/16 to 2017/18

The following evaluations were made public and are available in the DPME repository:

- Evaluation of Business Process Services Programme (DPME, 2015)
- Implementation Evaluation of Land Recapitalisation and Development Programme (DPME, 2015)
- Implementation Evaluation of Comprehensive Rural Development Programme (DPME, 2015)
- Implementation Evaluation of Nutrition Programmes for Children under 5s (DPME, 2015)
- Implementation Evaluation of the Export Marketing Investment Assistance Incentive Programme (EMIA) (DPME, 2015)
- Evaluation of the Support Programme for Industrial Innovation (SPII) (DPME, 2015)
- Implementation Evaluation of the Restitution Programme (DPME, 2015)



### ARTICLES OR BOOK CHAPTERS

Phillips, S., Goldman, I., Gasa N., Akhalwaya, I., and Leon, B. (2014). A focus on M&E of results: an example from the presidency, South Africa. *Journal of Development Effectiveness*, 6:4, 392-406, DOI: 10.1080/19439342.2014.966453

The DPME contributed the following chapters in the book *Evaluation Management in South Africa and Africa*. Cloete, F., Rabie, B., and De Coning, C. (eds) (2015):

- Chapter 1: Context of evaluation management;
- Chapter 8: Development and functioning of the national M&E system in South Africa;
- Institutionalising monitoring and evaluation in South Africa, in an annex.

# ANNEXES

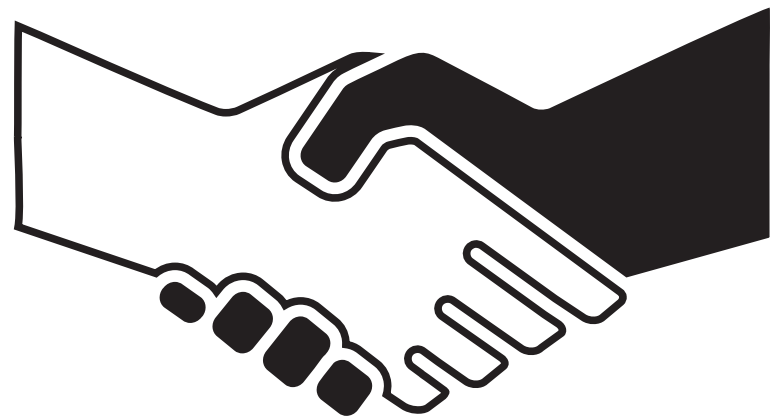
## ANNEX 3: DEPARTMENTS INVOLVED IN THE EVALUATION SYSTEM

Departments involved in evaluations using the national evaluation system up to 31 March 2015 (out of 46 national departments):

- Agriculture, Forestry and Fisheries
- Basic Education
- Cooperative Governance
- Environmental Affairs
- Health
- Higher Education & Training
- Human Settlements
- Military Veterans
- Mineral Resources
- National Prosecuting Authority
- Planning, Monitoring and Evaluation (some of the DPME's programmes also being evaluated)
- Public Service and Administration
- Rural Development and Land Reform
- South African Police Services (SAPS)
- South African Revenue Services (SARS)
- Science & Technology
- Social Development
- South African Police Services
- South African Revenue Services
- The Presidency
- Trade and Industry

Departments involved in the evaluation system but not specific evaluations:

- Auditor General
- National Treasury
- Public Service Commission
- Statistics South Africa





## ANNEX 4: STRATEGIC PARTNERS

### DEVELOPMENT PARTNERS:

3ie	International Initiative for Impact Evaluation
CLEAR-AA	Regional Centres for Learning on Evaluation and Results
DFID	UK Department for International Development
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (but not in 2015/16)
EU	European Union
PSPPD	Programme to Support Pro-Poor Policy Development
World Bank	

### EVALUATION ASSOCIATIONS:

AfrEA	African Evaluation Association
SAMEA	South African Monitoring and Evaluation Association

### SCIENCE COUNCILS:

CSIR	Council for Scientific and Industrial Research
HSRC	Human Sciences Research Council

### PEER COUNTRIES IN REGULAR CONTACT:

- Benin
- Canada
- Colombia
- Ghana
- Mexico
- Uganda
- United States

### UNIVERSITIES:

- University of Cape Town (training in evidence-based policy-making, evaluations)
- University of Free State (evaluations)
- University of Johannesburg (BCURE project)
- University of Stellenbosch (evaluations, evaluation capacity development/professionalisation)
- University of Witwatersrand (evaluations, CLEAR-AA initiative)

# ANNEXES

## ANNEX 5: PANEL OF EVALUATION AND RESEARCH SERVICE PROVIDERS AS AT 31 MARCH 2015

EVALUATION PANEL	RESEARCH PANEL	NAME OF ORGANISATION
	X	Baobab T/A Lohmeier Wyley Ass CC
X		Benita Williams Evaluation Consulting
	X	Business Enterprise at University of PTA
X		Camissa Institute of Human Performance
X		Creative Consulting and Development Work
	X	CSIR
	X	Developmentnomics
X	X	DNA Economics
	X	F Sutcliffe
	X	Fort Hare University
X		Genesis Analytics
	X	Grant Thornton PS Advisory
	X	Ground Control Connect
X	X	Health System Trust
X	X	Human Science Research Council
X	X	Infusion Knowledge Hub
	X	Insight2Lead
	X	IQ Business
X		Jet Education Services
	X	Kgokagano Trading CC
X		Khulisa Management Services
X		KPMG Services
X	X	Masazi Development Solution
X		Mthente Research and Consulting

<b>EVALUATION PANEL</b>	<b>RESEARCH PANEL</b>	<b>NAME OF ORGANISATION</b>
	X	Mzabalazo Advisory Services
X	X	Nelson Mandela Metropolitan University
X	X	Onward Consulting Group
X		Open Space T/A Southern Hemisphere
X	X	Palmer Development Group
X	X	Plus 94 Research
X		Podems Consulting CC
	X	Public Affairs Research Institute
	X	Quest Research Services
X	X	Rebel Group Advisory SA
X	X	S A Institute for Distance Education Trust
	X	SA Social Policy Research Institute
X	X	SADC Research Centre
X	X	SADL Consulting CC
	X	Sakaza Communications
X	X	Stellenbosch University
	X	Trade and Industrial Policy Strategies
	X	Underhill Investment Holdings CC
	X	University of Cape Town
	X	University of Free State
	X	Visionplan CC
X	X	Wits Commercial Enterprise
X		WYG Advisory Services

# ANNEXES

## ANNEX 6: DETAILS OF COURSES

### COURSE 1A: HOW TO MANAGE AN EVALUATION

The objective of this course is for departments to understand the national evaluation system (NES). The course is run at national level once the evaluations for inclusion in that financial year's national evaluation plan (NEP) have been selected, as well as with provinces who have decided to develop their Provincial Evaluation Plans (PEPs). There is an opportunity for provinces to run this course through a co-sponsorship agreement between the DPME and the relevant Offices of the Premier. To date, five provinces (Gauteng, Western Cape, Limpopo, North West and Free State) have run the course. The course was not run in 2014/15 but has been planned for 2015/16.

### COURSE 1B: COMMISSIONING EVALUATIONS

This course aims to equip departments who have had evaluations selected to manage them using the NES. The course is offered at the appropriate time in the evaluation cycle each year to provide departments with the necessary skills to include their evaluation in the NEP. A key focus of the course is the developing of a terms of reference (ToR) for an evaluation, and understanding the commissioning process. This course is run at national level once the evaluations for inclusion in that financial NEP have been selected, as well as with provinces who have decided to develop their PEPs. There is an opportunity for provinces to run this course through a co-sponsorship agreement between the DPME and the relevant Offices of the Premier. To date, two provinces (Gauteng and Western Cape) have run the course.

### COURSE 2: DEEPENING EVALUATION

This is an intermediate course targeting officials who have attended Course 1, and therefore involves departments who have already been through the evaluation process during the previous year. The emphasis is on critiquing and analysing evaluation reports, the quality assurance process in the design and conduct of evaluations, and the application of key concepts in the NES process. The course also covers evaluation review and validation processes, communication in evaluations, management responses, and improvement plans as the final stage in the evaluation process. By March 2015, five provinces had run this course (Gauteng, Western Cape, Limpopo, North West and Free State), led by the Offices of the Premier. The course was not run in 2014/15 but has been planned for 2015/16.

### COURSE 3: EVALUATION METHODOLOGY

The National Evaluation Policy Framework (NEPF) identifies six types of evaluations: diagnostic, design, implementation, impact, economic, and synthesis. Based on this, guidelines have been developed to provide technical guidance to departments on how different methodologies and approaches apply to each type of evaluation. This training aims to help departmental M&E officers suggest different research methodologies as they apply to evaluations within the NEPF, to help guide them in deciding which methodology may be relevant for particular evaluations. The course was piloted during the last quarter of the 2013/14 financial year and in 2014/15 was run nationally and in Western Cape, which has developed and implemented its PEP.



#### **COURSE 4: PLANNING IMPLEMENTATION PROGRAMMES AND DESIGN EVALUATION**

This training targets the planning and M&E units of all national departments, as well as programme managers, so that they are able to plan implementation programmes effectively and undertake design evaluations internally. The course on planning implementation programmes was developed and piloted in November 2015 and later in March, 2016. The course on design evaluation was piloted in December 2015.

#### **COURSE 5: COURSE FOR SENIOR MANAGERS ON EVIDENCE-BASED POLICY-MAKING AND IMPLEMENTATION (EBPM&I)**

EBPM&I is an approach to policy-making that has become increasingly prevalent in recent years. It seeks to “help people make well informed decisions about policies, programmes and projects by putting the best available evidence from research at the heart of policy development and implementation” (Davies, 2004: 3). One of the challenges being experienced in the M&E system is that senior managers at the director general (DG), deputy director general (DDG), and chief director (CD) levels do not always see how using evidence to improve decision-making can improve performance of their departments, branches and units. During the 2013/14 financial year, a course on EBPM&I was therefore designed and piloted with the University of Cape Town (UCT), and run again in October 2015 in partnership with the Programme to Support Pro-Poor Policy Development (PSPPD). The aim of the course is to:

- Familiarise top management with EBPM&I concepts and tools, so that they can better understand what it is and is not;
- Help leaders understand the strengths and limitations of EBPM&I tools and equip them to mainstream the appropriate tools within their departments;
- Help top management to ensure that their institutions build the collection and management of evidence into policy and programme design and modification;
- Help leaders monitor the extent to which policy, programme, and budget decisions are evidence-based;
- Help leaders understand the role of evidence as a tool for managing political and other influences in the policy processes.

#### **THEORY OF CHANGE COURSE**

During 2014/15, a ToC course was added as a first step once selection of evaluations is undertaken, and was run in September 2014. As this has proved to be an area of weakness among service providers, two one-day courses were run for the evaluation panel in Gauteng and Cape Town. This was very successful and will be repeated.

# ANNEXES

## ANNEX 7: KEY CONTRIBUTORS

A number of people have contributed their time to support the evaluation system. This includes the Evaluation Technical Working Group (ETWG), steering committee members and peer reviewers.

The ETWG members have included: Hersheela Narsee (DHET), Thabani Buthelezi (DSD), Dez Jason (DSD), Dibolelo Ababio (DSD), Carmen Domingo-Swarts (PSC), Stephen Taylor (DBE), Carol Nuga Deliwé (DBE), Thabi Nkosi (Auditor General), Tini Laubscher (Auditor General), Annette Griessel (Gauteng Office of the Premier), Zeenat Ishmail (W Cape Office of the Premier), Hellen Kekana (Free State Office of the Premier), Kay Brown (National Treasury), Kefiloe Masiteng (Statistics South Africa), Ben Morule (DPSA), Nonceba Mashalaba (the dti), Shanaaz Ebrahim (the dti), Zoleka Sokopo (DHS), Laila Smith (CLEAR-AA), Stanley Ntakumba (DPME), Tsakani Ngomane (DPME), Ahmed Vawda (DPME), Thabo Mabogoane (DPME), Rocky Skeef (NRF), Thokozile Masangu (DRDLR).

Those who have contributed their time to design clinics during 2014/15 include Jyotna Puri (3ie), Michael Noble (SASPRI), Edward Addai (UNICEF), Stephen Porter (CLEAR), Sarah Chapman (UCT).

In addition, there are many people who have devoted their time to steering committees, too many to name individually. Their contributions have been essential to the effective working of the evaluation system.

Many peer reviewers have dedicated countless hours to support evaluations. Particular thanks are due to Gareth Roberts of the University of the Witwatersrand who has acted as an Impact Evaluation Advisor. He has provided invaluable advice on a number of evaluations. Those peer reviewers who have contributed their valuable time in 2014/15 are shown in the following table.



<b>EVALUATION</b>	<b>NAME</b>	<b>EVALUATION</b>	<b>NAME</b>
<b>Urban Settlements Development Grant (USDG)</b>	Ms Karen Harrison	<b>Advanced Manufacturing Technology Strategy (AMTS)</b>	Dr NR Comins
<b>Integrated Residential development Programme (IRDP)</b>	Dr. Mark Napier	<b>Tax Compliance Cost of Small Businesses</b>	Prof JS Galpin
<b>Asset evaluation</b>	Mr. Marcel Korth	<b>Community Work Programme (CWP)</b>	Mr Gareth Roberts
	Mr. Nigel Tapela		Prof M Noble
<b>Upgrading of Informal Settlements Programme (UISP)</b>	Mr. Gareth Roberts	<b>Policy on Community Colleges (PCC)</b>	None
	Mr. Aidan Coville	<b>Indigenous Knowledge Systems Policy (IKSP)</b>	None yet
	Prof. Marie Huchzermeyer	<b>Funza-Lushaka Bursary Scheme</b>	Prof G Hall
<b>Social Housing</b>	Robert Cohen	<b>Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme</b>	Mrs Benita Williams
	Stephen Pomeroy		
<b>Violence against women and children</b>	Ms Tamara Braam	<b>Incremental Investment into the SAPS Forensic Services</b>	Still to be appointed
	Prof. Dee Smythe		
	Ms Julie Middleton	<b>Evaluation of Governments Support to Smallholder Farmers</b>	Professor Naifali Mollel
<b>Expanded Public Works Programme (EPWP)</b>	Dr. Fidelia Maforah	<b>Implementation evaluation of the non-profit organisations regulatory framework and legislation (NPO)</b>	Professor Johan Kirstem
	Dr. Gavin Andersson		Mr David Cooper
<b>Export Marketing Investment Assistance Incentive Programme (EMIA)</b>	Mr Eddie Rakhabe		Mr Conrad Barberton
<b>Support Programme for Industrial Innovation (SPII)</b>	Mr Terence Beney	<b>Implementation evaluation of the national drug master plan 2013-17 (NDMP)</b>	
	Mr Gareth Roberts		Mr Phiroshaw Camay
<b>Technology and Human Resources for Industry Programme (THRIP)</b>	Mr Terence Beney	<b>Impact of government's approach to 'affordable' housing</b>	
	Mr Gareth Roberts		Prof Pamela Naidoo
<b>Outcomes System</b>	World Bank		
<b>Management Performance Assessment Tool (MPAT)</b>	Ms Angela Bester		Prof Rajen Govender
<b>Effectiveness of Environmental Governance in the Mining Sector</b>	Mr Hudson Mtegha		Dr Arumugam Morgan Pillay
<b>National School Nutrition Programme</b>	Prof Hettie Schonfeldt		
	Dr Laura Poswell		

# ANNEXES

## ANNEX 8: PILOT MPAT STANDARD 1.3.2 EVALUATION

### Standards definition:

The extent of capacity, organisation and implementation of evaluations that inform programme/policy/plans or systems design, planning and improvement.

### Importance of the standards:

Departments are using evaluations to inform the design, management and/or improvement of programmes/policies/plans or systems, and so undertaking continuous improvement.

### Relevant legislation and policy:

National Evaluation Policy Framework (2011)

### STANDARDS

### EVIDENCE DOCUMENTS

#### LEVEL 1:

- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>Evaluations in the department are not formalised and implemented</li> </ul> | <ul style="list-style-type: none"> <li>Function with specific evaluation mandate and expertise</li> <li>Job description focused on evaluation</li> </ul> |
| <ul style="list-style-type: none"> <li>Department has planned capacity to manage/ conduct evaluation</li> </ul>    |  |

#### LEVEL 2+:

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>Relevant staff are in place</li> <li>Department has approved standard operating procedures that follow the national evaluation system</li> </ul>   | <ul style="list-style-type: none"> <li>Filled position (evidence of appointed staff to the evaluation post)</li> <li>Approved standard operating procedures</li> </ul> |
| <ul style="list-style-type: none"> <li>Department has approved standard operating procedures that follow the national evaluation system (2+)</li> <li>Multi-year evaluation plan that follows the national evaluation system</li> </ul> | <ul style="list-style-type: none"> <li>Approved standard operating procedures</li> <li>Current departmental evaluation plan (DEP)</li> </ul>                           |



- Department has undertaken at least 1 evaluation of a major programme in the previous 2 years
- Management response submitted within 3 months of approval of the final evaluation report to dept. Top management and DPME/OTP (if on NEP/PEP)
- Improvement plans on evaluations are submitted within 4 months of approval of the evaluation report to dept. top management and DPME/OTP (if on NEP/PEP) or;
- The improvement plan is monitored and results used to improve the programme/policy and;
- Departmental evaluations are made public on departmental websites
- An approved evaluation report from the last 2 years
- Programme management response submitted to top management and DPME/OTP (if on NEP/PEP)
- Six-month progress report on improvement plan to departmental top management and DPME/OTP (if on NEP/PEP) or;
- Report on the implementation of the improvement plan for completed evaluations in the last 2 years and;
- URL link plus screenshot of website

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## MODERATION CRITERIA

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### Moderator to confirm if:

- Post exists on the approved structure and is funded
  - Evaluation is the core focus of the job description (not just M&E)
- 

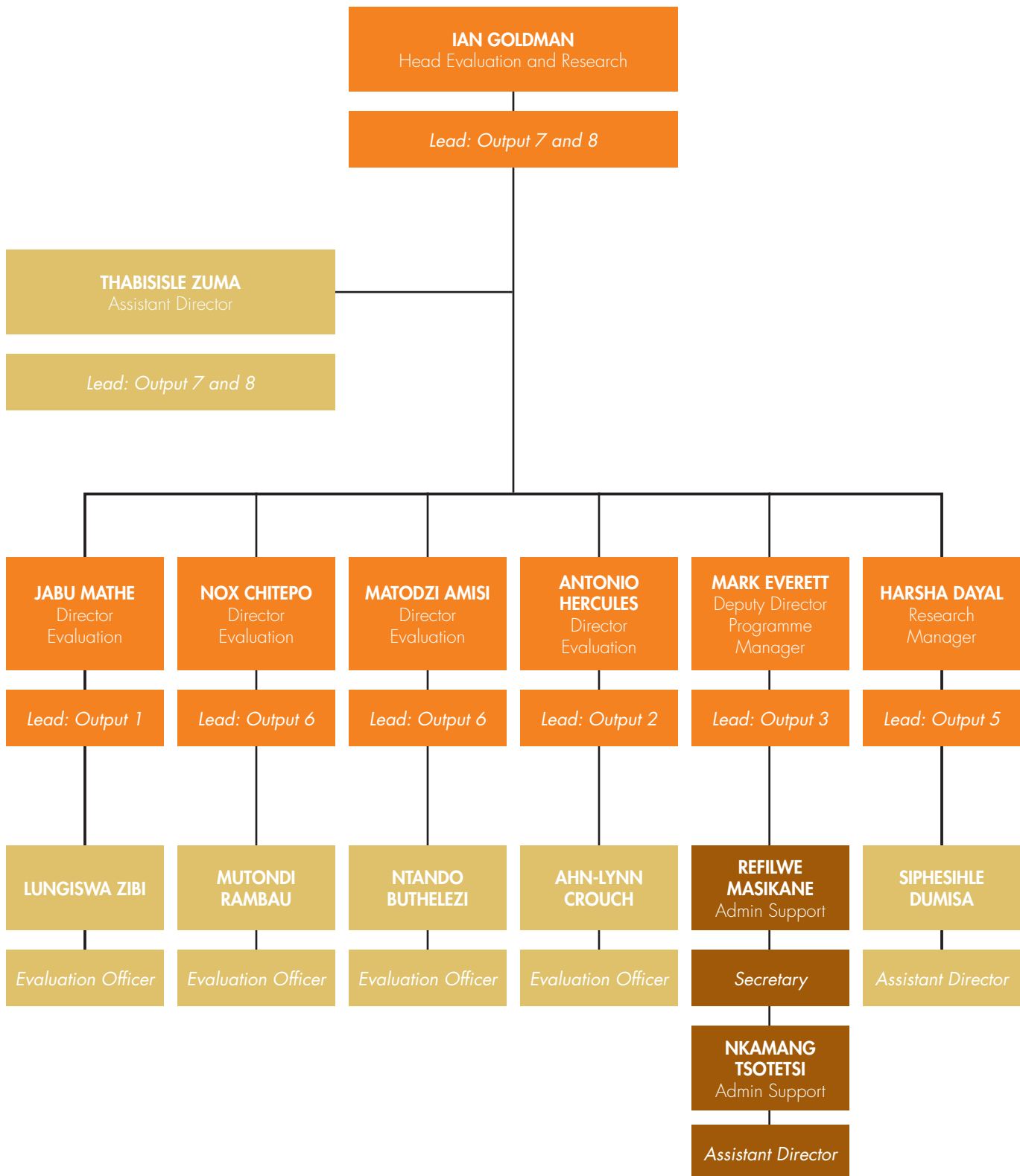
### Moderator to confirm if:

- Approved standard operating procedures exists
  - Verify the existence of the departmental evaluation plan which summarises the evaluations to be conducted over 1-3 years, details of the evaluation to be conducted, funding, roles and responsibilities, etc
- 

### Moderators to confirm if:

- Evaluation was completed in the previous 2 years
- Verify existence of programme management response to the evaluation report
- Verify existence of improvement plan based on recommendations from evaluation report or;
- Evaluation recommendations are implemented and progress monitored and; Check departmental website for evaluations conducted and published

## ANNEX 9: STRUCTURE OF EVALUATION AND RESEARCH UNIT (ERU)





## CONTACT

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