



Department of Performance Monitoring and Evaluation

Report on the Assessment of Government Evaluations

Tracking Progress on the Implementation and Impact of the Employment Equity Act since its inception

Date Evaluation was completed: 01 March 2008

Name of assessor: Fatima Rawat

Evaluation Number: 13

Date Assessment Completed: 30 January 2013

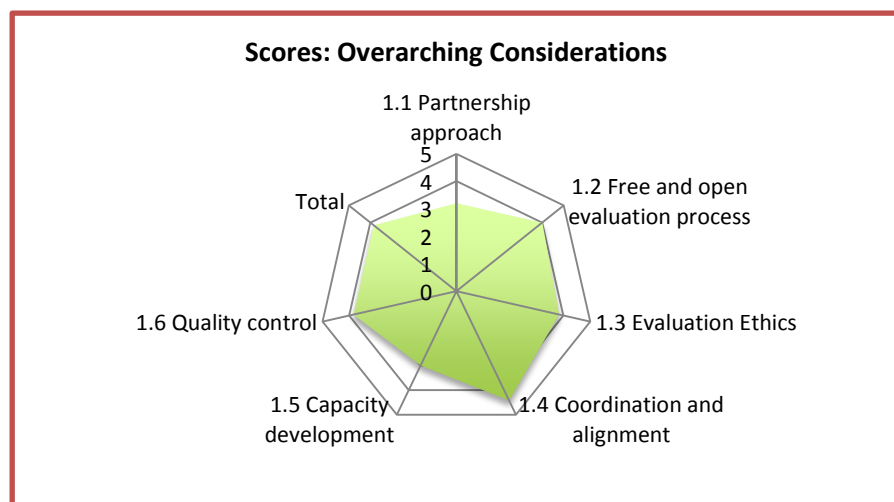
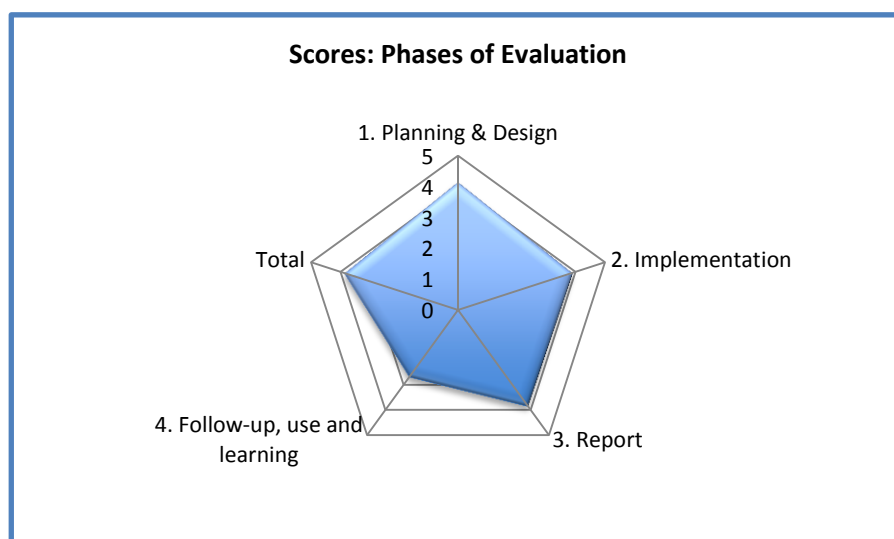
Evaluation Assessment Details

Title of evaluation report	Tracking Progress on the Implementation and Impact of the Employment Equity Act since its inception
Completion Date of Evaluation	01 March 2008
Name of Assessor	Fatima Rawat
Evaluation Number	13
Completion Date of Assessment	30 January 2013
Initiated by	Department of Labour
Evaluation undertaken by	Development Policy Research Unit (DPRU) and
Evaluation area / sector	Labour issues & employment
	Additional
National Outcome	Outcome 4
	Additional
Type of Evaluation	Impact
	Additional
What is being evaluated	Policy
	Additional
Geographic Scope	National
Period of Evaluation	Unknown
Known Cost of Evaluation	Unknown

Quality Assessment Scores

Phase of Evaluation	Score
Planning & Design	4.14
Implementation	3.89
Report	3.83
Follow-up, use and learning	2.67
Total	3.76

Overarching Consideration	Score
Partnership approach	3.20
Free and open evaluation process	4.00
Evaluation Ethics	3.83
Coordination and alignment	4.42
Capacity Development	3.00
Quality control	3.84



1. Planning & Design

1.1. Clarity of Purpose and Scope in TOR

STANDARD: *The evaluation was guided by a TOR with at least the following sections explicit: purpose, scope and objectives; expectations regarding design and methodology; resources and time allocated; reporting requirements; expectations regarding evaluation process and products.*

Comment and Analysis

There is no sense from the report of a clear Terms of Reference that was provided. This was a research report commissioned by the Department of Labour. The methodology and design for the research is set out in Appendix A. This is an area that would need to be clarified with the researchers.

Rating 2

STANDARD: *The purpose of the evaluation was clear and explicit in the TOR*

Comment and Analysis

There was no ToR however the purpose of the research report is set out in the report and reflected in the key research questions which the research aimed to address. These are set out in the Introductory section of the report. The aim of the research study was to systematically evaluate the effects of the mechanisms and institutions created by the Employment Equity Act. The research report set out four research questions which were addressed by the research.

Rating 2

STANDARD: *The evaluation questions were clearly stated in the TOR and appropriate to addressing the evaluation purpose*

Comment and Analysis

The research questions were clearly stated in the research report and appropriate to the overall purpose of the research.

Rating 2

STANDARD: The approach and type of evaluation was suited to the purpose and scope of the evaluation TOR**Comment and Analysis**

The overall approach of the research was suited to the purpose of the research.

Rating 4

STANDARD: Intended users and their information needs were identified in the TOR**Comment and Analysis**

The Department of Labour is the intended user for this study. Given that the study was commissioned by the Department, it is assumed that their needs formed the basis for the study.

Rating 3

STANDARD: Key stakeholders were involved in the scoping of the TOR and determining the purpose of the evaluation**Comment and Analysis**

It is not possible to answer this as we did not have sight of the ToR. This response may change should we have the opportunity to engage with one of the researchers.

Rating 2

1.2. Evaluation was adequately resourced

STANDARD: The evaluation was adequately resourced in terms of time allocated

Comment and Analysis

The research report does not address the resourcing of the research team.

Rating 3

STANDARD: The evaluation was adequately resourced in terms of original budget

Comment and Analysis

The research report does not address the budgeting/financial resourcing for the study.

Rating 3

STANDARD: The evaluation was adequately resourced in terms of staffing and skills sets

Comment and Analysis

The research report does not address the issue of resourcing for the study in terms of staffing and skills sets.

Rating 3

STANDARD: Where appropriate, the evaluation planned to incorporate an element of capacity building of partners/staff responsible for the evaluand

Comment and Analysis

Capacity Development was not an explicit component of the study. The purpose of the research study was to track progress on the implementation of the Employment Equity Act.

Rating 3

1.3. Alignment to Policy Context and Background Literature

STANDARD: There was evidence that a review of the relevant policy and programme environments had been conducted and used in the planning of the evaluation by the evaluators

Comment and Analysis

The research focussed on tracking progress with regard to implementation of the EE Act, hence a review of the Act was central to the design of the research.

Rating 5

STANDARD: There was evidence of a review of appropriate literature having been conducted and used in the planning of the evaluation by the evaluators

Comment and Analysis

Section One of the research report provides a background to the emergence of the Employment Equity Legislation in South Africa.

Rating 5

1.4. The evaluation methods planned were appropriate to the project

STANDARD: There was explicit reference to the intervention logic or the theory of change of the evaluand in the planning of the evaluation

Comment and Analysis

There is no reference to the intervention logic or theory of change.

Rating 2

STANDARD: Key stakeholders were consulted on the design and methodology of the evaluation

Comment and Analysis

The research was commissioned by the Department of Labour. It is implicit that they were consulted on the design and methodology of the research.

Rating 5

STANDARD: The planned methodology was appropriate to the questions being asked

Comment and Analysis

The research methodology which was a combination of literature review, interviews and indepth case studies was appropriate to the purpose of the reseach study.

Rating 5

STANDARD: Planned sampling was appropriate and adequate given the focus and purpose of evaluation***Comment and Analysis***

The methodology included eight in-depth case studies in three key sectors of the economy, i.e. Higher Education, Metal/Engineering and Mining.

Rating 5

STANDARD: There was a planned process for using the findings of the evaluation prior to undertaking the evaluation***Comment and Analysis***

It is implicit in the study, given that it was commissioned by the Department of Labour, that the planned process was to use the findings from the study to inform the Department as to the effects of the mechanisms and institutions created by the EEA.

Rating 4

1.5. Inception phase***STANDARD: The inception phase was used to develop a common agreement on how the evaluation would be implemented******Comment and Analysis***

It is implicit that the Department met with the Research Consortium and agreed on the methodology for the research study.

Rating 4

2. Implementation

2.1. Ethical Review and Considerations

STANDARD: *Where data was gathered in contexts where ethical sensitivity is high, appropriate clearance was obtained through an ethics review board; e.g. in evaluation involving minors, institutions where access usually requires ethical or bureaucratic clearance, and situations where assurances of confidentiality was offered to participants*

Comment and Analysis

This is not explicitly addressed in the research report, however, the research report does not name any of the interviewees.

Rating 4

2.2. Evaluator independence

STANDARD: *Where external, evaluation team was able to work freely without significant interference*

Comment and Analysis

There is no evidence that the evaluation team experienced any external interference.

Rating 4

STANDARD: The evaluation team was impartial and there was no evidence of conflict of interest

Comment and Analysis

There is no evidence that the evaluation team experienced any conflict of interest.

Rating 4

2.3. Key stakeholder involvement

STANDARD: Key stakeholders were consulted through a formalised mechanism or institutional arrangement during the evaluation

Comment and Analysis

Interviews were held with key stakeholders in the form of Employment Equity Officers as well as members of employment equity forums, representatives from trade unions, staff associations and interested groups. Interviews were also conducted with government officials and other role players on the impact and implementation of the Employment Equity Act.

Rating 4

STANDARD: Where appropriate, an element of capacity building of partners responsible for the evaluand was incorporated into the evaluation

Comment and Analysis

There was no clear capacity building element in the project. The purpose of the research was to evaluate the impact of the implementation of the Employment Equity Act.

Rating 3

2.4. Methodology

STANDARD: The methods employed in the process of the evaluation were consistent with those planned

Comment and Analysis

The methodology employed in the research study were consistent with those planned.

Rating 4

STANDARD: Data collection was not compromised by fieldwork-level problems or unplanned diversions from original intentions

Comment and Analysis

There was no evidence of the data collection prcoess being compromised.

Rating 4

STANDARD: Forms of data gathering were appropriate given the scope of evaluation

Comment and Analysis

Data gathering was appropriate to the scope of the research study.

Rating 4

STANDARD: The data analysis approach and methods were appropriate and sufficient given the purposes of the evaluation***Comment and Analysis***

The data analysis approach and methods were appropriate given the purpose of the study.

Rating 4

STANDARD: Key stakeholders were significantly engaged as part of the methodology***Comment and Analysis***

The research team interviewed stakeholders across the three sectors (higher education, mining and engineering) as well as the Department of Labour, the Commission for Employment Equity, the Department of Education, the DPSA, the Department of Minerals and Energy as well as the CCMA. The research team noted however that they only managed to interview two officials at the Department of Labour, their requests for interviews were declined or ignored.

Rating 4

STANDARD: The methodology included engaging beneficiaries appropriately as a key source of data and information***Comment and Analysis***

The Department of Labour as the intended beneficiary of the research was engaged. The research team engaged the Acting DG at the time as well as a Senior Executive Manager.

Rating 4

2.5. Project management

STANDARD: The evaluation was conducted without shifts to scheduled project milestones and timeframes

Comment and Analysis

There was no indication from the research of the need to shift the project milestones or timeframes.

Rating 3

3. Report

3.1. Report was well-structured and presentation was clear and complete in each of these areas

STANDARD: Executive summary captured key components of the report appropriately

Comment and Analysis

There was no executive summary.

Rating N/A

STANDARD: The context of the development intervention was explicit and presented as relevant to the evaluation

Comment and Analysis

The context of the evaluation is relatively clear in the report.

Rating 4

STANDARD: There was a clear rationale for the evaluation questions**Comment and Analysis**

The rationale for the research was to assess the impact of the Employment Equity Act ten years post promulgation to determine whether the implementation of the Act was achieving its intended objective.

Rating 4

STANDARD: The scope or focus of the evaluation was apparent in the report**Comment and Analysis**

The introduction section of the report sets out the purpose of the report as well as the key research questions that inform the research.

Rating 4

STANDARD: A detailed methodology was outlined in the relevant section of a report (full report or 1/3/25) to the point that a reader could understand the data collection, analysis and interpretation**Comment and Analysis**

Appendix A of the report sets out the methodology that was employed in the research. This is clearly accessible to the reader. The methodology sets out the documents referred to, interviews conducted, databases referred to and case studies conducted. This section does not advise regarding the interpretation approaches used.

Rating 3

STANDARD: Key findings were presented in a clear way; they were made distinct from uncertain or speculative findings; and unused data was not presented in the body of the report

Comment and Analysis

Section Three of the Report is the Analysis section. It sets out the findings based on the data and interviews conducted. This section has a sub section on the Implementation and Impact of Legislation. The Qualitative Findings are separated from the quantitative trends analysis. In addition, Section Five of the report, then reflects on the findings from the case studies conducted in each of the three sectors.

Rating 4

STANDARD: Conclusions and recommendations were clear and succinctly articulated

Comment and Analysis

Section Six of the Report sets out the Conclusions and Recommendations. The Conclusions are clearly separated from the Recommendations. Both of these are clearly articulated.

Rating 5

STANDARD: Acknowledgement of limitations of all aspects of the methodology and findings were clearly and succinctly articulated

Comment and Analysis

No reference to limitation of the methodology were referred to in the study.

Rating 2

3.2. Writing and presentation

STANDARD: *Quality of writing and presentation was adequate for publication including: adequate layout and consistent formatting; complete sentences and no widespread grammatical or typographical errors; consistency of style and writing conventions (e.g. tense, perspective (first person, third person); levels of formality; references complete and consistent with cited references in reference list and vice versa; etc)*

Comment and Analysis

The research report was well written by the research consortium and was adequate for publication purposes. The report is structured into six sections, each of which is clearly set out. The introduction provides an overview of the structure of the report. There are some minor grammatical errors which if addressed would improve the quality of the report.

Rating **4**

STANDARD: *Appropriate conventions were used in presentation of data (e.g. use of appropriate statistical language; reporting of p-values where appropriate; not reporting statistically insignificant findings as significant; clarifying disaggregation categories in constructing percentages; not using quantitative language in reporting qualitative data, etc.)*

Comment and Analysis

The data is presented using appropriate conventions where relevant in the report.

Rating **3**

3.3. Presentation of findings

STANDARD: *The use of figures and tables was such that it supported communication and comprehension of results; and data reported in figures and tables was readily discernible and useful to a reader familiar with data presentation conventions*

Comment and Analysis

Sections Three and Four of the report use tables and graphs to present and analyse the data collected. The researchers use text to explain the core messages that are being conveyed by the data making the data understandable to the reader.

Rating 4

STANDARD: Data analysis appeared to have been well executed**Comment and Analysis**

The data that was collected is analysed in a manner that makes the information understandable to the reader.

Rating 4

STANDARD: Findings were supported by available evidence**Comment and Analysis**

The findings as set out has been backed by the data gathered in the research study.

Rating 4

STANDARD: The evidence gathered was sufficiently and appropriately analysed to support the argument

Comment and Analysis

The data gathered supports the findings and conclusions of the report.

Rating 4

STANDARD: There was appropriate recognition of the possibility of alternative interpretations

Comment and Analysis

The report sets out the views of all stakeholders and reflects the range of possible interpretations and experiences regarding the implementation of the Act.

Rating 4

STANDARD: The report appeared free of significant methodological and analytic flaws

Comment and Analysis

The report is relatively well written and appears to be free of significant methodological flaws.

Rating 4

3.4. Conclusions

STANDARD: Conclusions were derived from evidence

Comment and Analysis

The conclusions as set out in Section Six of the report were drawn from the data that was gathered in the research study.

Rating 4

STANDARD: Conclusions took into account relevant empirical and/or analytic work from related research studies and evaluations

Comment and Analysis

The conclusions take into account the preceding sections of the report as well as related studies as set out in the methodology section of the report.

Rating 4

STANDARD: Conclusions addressed the original evaluation purpose and questions

Comment and Analysis

The conclusion section of the report reflects that based on the data collected the implementation of the Act at national level has been lacklustre. The conclusion section also reflects on the key conclusions from the case studies and also highlights concerns that have been raised in the research process by stakeholders.

Rating 4

STANDARD: Conclusions were drawn with explicit reference to the intervention logic or theory of change**Comment and Analysis**

There is no explicit reference to the theory of change in the research report.

Rating 2

3.5. Recommendations***STANDARD: Recommendations were made in consultation with appropriate sectoral partners or experts*****Comment and Analysis**

The interviews with the key stakeholders informed the recommendations made in the report.

Rating 4

STANDARD: Recommendations were shaped following input or review by relevant government officials and other relevant stakeholders**Comment and Analysis**

Officials from the Department of Labour, DPSA, Department of Minerals and Energy and Department of Education were in the pool of interviewees engaged with in the study. The inputs from these officials informed the Recommendations made in the study.

Rating 4

STANDARD: Recommendations were relevant to the policy context**Comment and Analysis**

The recommendations made in the report are relevant to the current policy context and align to the context of the Act.

Rating 4

STANDARD: Recommendations were targetted to a specific audience sufficiently - were specific, feasible, affordable and acceptable**Comment and Analysis**

The recommendations are largely targetted to the Department of Labour based on the assessment of the implementation of the Act. The recommendations were specific in terms of the action required in order to realise the implementation of the Act.

Rating 4

3.6. Relevant limitations of the evaluation have been noted**STANDARD: Relevant limitations of the evaluation were noted****Comment and Analysis**

Information not available.

Rating N/A

3.7 Protection of participants and risk considerations

STANDARD: *The full report documented procedures intended to ensure confidentiality and to secure informed consent where this was needed (in some cases this is not needed - e.g. evaluation synthesis - in which case N/A should be recorded)*

Comment and Analysis

The report does not document procedures to ensure confidentiality.

Rating 3

STANDARD: *There were no risks to participants in disseminating the original report on a public website*

Comment and Analysis

There are no risks in disseminating the report as none of the interviewees engaged with in the study are named/referenced.

Rating 4

STANDARD: *There were no unfair risks to institutions in disseminating the original report on a public website*

Comment and Analysis

There are no risks in disseminating the report as none of the organisations engaged with in the study are named/referenced.

Rating 4

4. Follow-up, use and learning

4.1. Presentation to stakeholders

STANDARD: *Results were presented to all relevant stakeholders*

Comment and Analysis

There is no indication from the report as to the presentation of the results to stakeholders.

Rating 2

4.2. Resource utilisation

STANDARD: *The evaluation was completed within the planned timeframes*

Comment and Analysis

There is no indication from the report that it was not completed within the planned timeframes.

Rating 2

STANDARD: *The evaluation was completed within the agreed budget*

Comment and Analysis

There is no indication that the evaluation was not completed within budget.

Rating 2

4.3. Transparency

STANDARD: *The report was publicly available (website or otherwise published document), except where there were legitimate security concerns*

Comment and Analysis

It appears that the report was publicly available .

Rating 4

4.4. Lessons learnt

STANDARD: *After completion of the evaluation, a reflective process was undertaken by staff responsible for the evaluation to reflect on what could be done to strengthen future evaluations*

Comment and Analysis

It is not possible to conclude on this matter based on the report alone.

Rating 3

4.5. Symbolic and conceptual value

STANDARD: *The evaluation study was seen by interviewed stakeholders as having added significant symbolic value to the policy or programme (eg raised its profile)*

Comment and Analysis

It is not possible to conclude on this matter based on the report alone.

Rating N/A

STANDARD: *The evaluation study was of conceptual value in understanding what has happened and possibly in shaping policy and practice*

Comment and Analysis

The purpose of the report was to assess the implementation of the Act. The report assisted the Department in understanding what has happened in the ten years since the promulgation of the Act, the challenges that have been experienced as well as areas of improvement.

Rating 4

4.6. Utilisation of findings and recommendations

STANDARD: *There was clear evidence of instrumental use - that the recommendations of the evaluation were implemented to a significant extent*

Comment and Analysis

There is no indication in the report of the follow up on the recommendations made in the report by the Department of Labour.

Rating 2

STANDARD: *There was clear evidence that the evaluation has had a positive influence on the evaluand, its stakeholders and beneficiaries over the medium to long term*

Comment and Analysis

There is no indication of the influence that the report has had on the Department and stakeholders. This would need to be probed further in an interview with the Department.

Rating 2

References

Tracking Progress on the Implementation and impact of the Employment Equity Act since its inception, 2008. Prepared by Research Consortium consisting of HSRC, DPRU and SWOP.

List of Interviewees

No Interviews were conducted.