



## **Department of Performance Monitoring and Evaluation**

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# **Report on the Assessment of Government Evaluations**

**Report on the evaluation of performance and compliance with the Batho Pele principle of Access**

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**Date Evaluation was completed:** 01 October 2006

**Name of assessor:** Mike Leslie

**Evaluation Number:** 223

**Date Assessment Completed:** 04 March 2013

## Evaluation Assessment Details

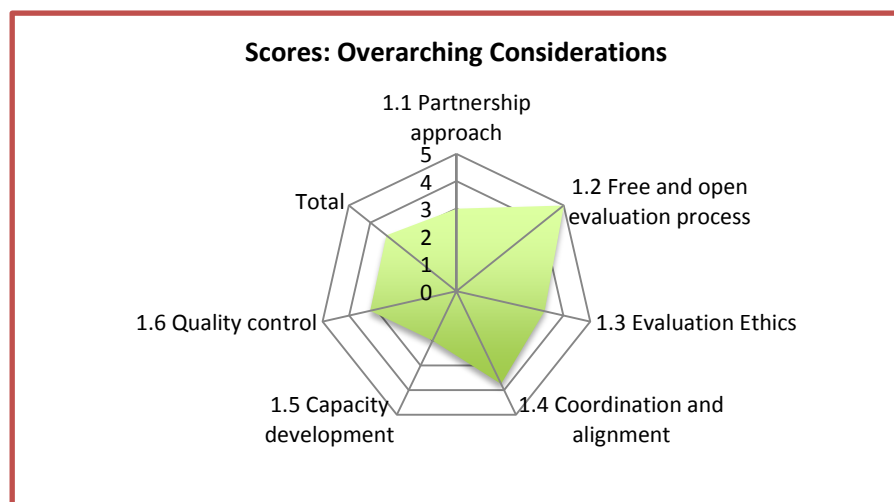
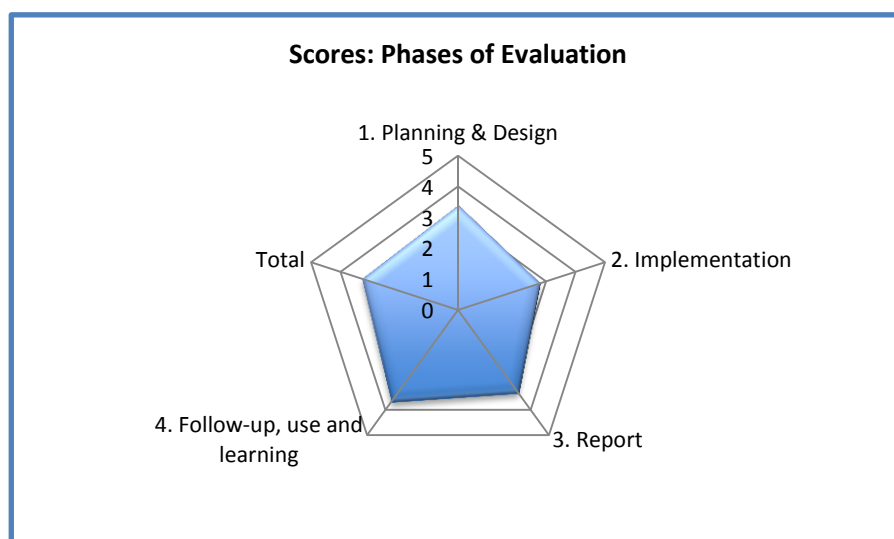
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Title of evaluation report	Report on the evaluation of performance and compliance with the Batho Pele principle of Access
Completion Date of Evaluation	01 October 2006
Name of Assessor	Mike Leslie
Evaluation Number	223
Completion Date of Assessment	04 March 2013
Initiated by	Agency for Technical Cooperation
Evaluation undertaken by	Public Service Commission and the Community Agency for Social Enquiry
Evaluation area / sector	Public service, governance, M&E
	Additional
National Outcome	Outcome 12
	Additional
Type of Evaluation	Implementation
	Additional
What is being evaluated	Policy
	Additional
Geographic Scope	National
Period of Evaluation	2006
Known Cost of Evaluation	Unknown

### Quality Assessment Scores

Phase of Evaluation	Score
Planning & Design	3.38
Implementation	2.78
Report	3.31
Follow-up, use and learning	3.67
<b>Total</b>	<b>3.19</b>

Overarching Consideration	Score
Partnership approach	3.00
Free and open evaluation process	5.00
Evaluation Ethics	3.29
Coordination and alignment	3.75
Capacity Development	2.00
Quality control	3.23



## 1. Planning & Design

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### 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

All planned PSC evaluations must detail the purpose, scope, design and methodology of the planned evaluation in a project proposal that acts as a ToR for the evaluation. Although the evaluation proposal for this particular project was not available, it is appropriate to say that the evaluation was guided by a ToR equivalent as it is PSC policy.

**Rating** 3

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

#### Comment and Analysis

In the absence of a copy of the evaluation proposal, there is not enough information to assess this standard.

**Rating** N/A

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

#### Comment and Analysis

In the absence of a copy of the evaluation proposal, there is not enough information to assess this standard.

**Rating** N/A

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

In the absence of a copy of the evaluation proposal, there is not enough information to assess this standard.

**Rating** N/A

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

In the absence of a copy of the evaluation proposal, there is not enough information to assess this standard.

**Rating** N/A

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

In the absence of a copy of the evaluation proposal, there is not enough information to assess this standard.

**Rating** N/A

## 1.2. Evaluation was adequately resourced

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

### **Comment and Analysis**

The evaluation appeared to be adequately resourced in terms of the time planned for the evaluation when considering the information provided in the report.

**Rating** 3

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

### **Comment and Analysis**

The evaluation appeared to be adequately resourced in terms of the budget for the evaluation. Although the exact amount was unknown, it was supported by the German Agency for Technical Cooperation (GTZ) suggesting adequate resourcing.

**Rating** 3

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

### **Comment and Analysis**

The PSC was generally adequately resourced in terms of staff and the involvement of the Community Agency for Social Enquiry (CASE) suggested that the evaluation was adequately staffed.

**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**

There was no evidence that the evaluation attempted to incorporate an element of capacity building of any of the participating departments in the evaluation process itself, but the planned incorporation of a Chapter on good practice was indicative of intention to build capacity or provide a resource to this effect.

**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**

As the evaluation sought to assess the implementation of the Batho Pele principle of Access, as informed by the White Paper on Transforming Public Service Delivery (1997), it provided a clear policy and legislative context. Assuming the information captured in the report informed the planning of the evaluation, there was a clear familiarity with the policy environment.

**Rating** 4

**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**

In addition to the Batho Pele Handbook, there was a section detailing previous research on the implementation and promotion of the Batho Pele principles, including more recent research pertaining to citizen satisfaction and service standards in the Public Service. Assuming this literature informed the planning of the evaluation, there was clear review of appropriate literature.

**Rating** 4

**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 was no reference to the intervention logic or theory of change related to the Batho Pele principles.

**Rating** **1**

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

***Comment and Analysis***

As part of the evaluation proposal process, some stakeholders were consulted on the design and proposed methodology of the evaluation. This included review by the PSC commissioners, Directors and a panel of experts.

**Rating** **3**

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

***Comment and Analysis***

The use of a questionnaire as the sole data collection instrument was not ideal for addressing the range of objectives proposed as part of the assessment. The planned methodology could have been improved by incorporating a qualitative dimension and triangulation of methods. It would appear that the questionnaire was mainly a practical consideration.

**Rating** **2**



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

In terms of the planned sample, the PSC identified 31 national departments and 99 provincial departments which was comprehensive given the focus and purpose of the evaluation.

**Rating** 4***STANDARD: There was a planned process for using the findings of the evaluation prior to undertaking the evaluation******Comment and Analysis***

As an objective of the evaluation was for departments to improve the implementation of the principle of Access, there was clearly a planned intention to use findings generically and this was supported by a Chapter on good practice.

**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 was unclear to what extent the inception phase was used to develop a common agreement on how the evaluation would be implemented.

**Rating** N/A

## 2. Implementation

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### 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**

There was no need to obtain special ethical clearance given the scope of the work and the Constitutional mandate of the PSC. Informed consent and confidentiality appeared to be maintained.

**Rating** N/A

### 2.2. Evaluator independence

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

**Comment and Analysis**

The PSC is external to the respective departments, but internal to the Public Service. There was nothing to suggest that the PSC was unable to work freely or with interference.

**Rating** N/A

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

**Comment and Analysis**

The PSC evaluation team was impartial and given the breadth of the evaluation, it would have been very difficult for a conflict of interest to arise.

**Rating** 3

### 2.3. Key stakeholder involvement

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

**Comment and Analysis**

Representatives from departments that were identified as contact persons for the purpose of the study were engaged at national and provincial level to inform them of the study.

**Rating** 3

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

**Comment and Analysis**

There was not any evidence of capacity building of the participating departments in the course of the evaluation process, it was only thereafter that capacity building was implied via the good practice section and recommendations.

**Rating** 2

## 2.4. Methodology

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

***Comment and Analysis***

The methodology employed during the course of the evaluation was consistent with the planned methodology insofar as could be determined.

**Rating** 3

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

***Comment and Analysis***

There were some minor difficulties encountered in terms of fieldwork-level problems whereby the response rate saw 31 departments fail to complete the questionnaire. In addition, there were those departments that did not offer citizen-facing services that were unsure of how to answer some questions that were not always relevant to their work.

**Rating** 2

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

***Comment and Analysis***

Given the scope of the evaluation, limiting the data gathering to a questionnaire completed by a single individual at the respective departments was a practical means of obtaining information from the targeted 130 departments.

**Rating** 3

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

**Comment and Analysis**

The data analysis approach entailed two rounds of analysis. The first included organising data around the five clusters of government departments before comparing responses between national and provincial, along with analysis of the supporting documentation. This approach appeared sufficient given the purpose of the evaluation.

**Rating** 3

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

**Comment and Analysis**

Key stakeholders across the selected departments were engaged as part of the methodology. This engagement ranged from Senior Management to mid-level management and even a PSC Commissioner in one instance.

**Rating** 3

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

**Comment and Analysis**

The methodology did not include engaging beneficiaries as a key source of data and information.

**Rating** 1

## 2.5. Project management

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

### **Comment and Analysis**

The evaluation was conducted without shifts to scheduled project milestones and timeframes insofar as possible to tell from the evaluation report.

**Rating** 3

## 3. Report

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**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**

The executive summary captured the key components of the report well and appropriately.

**Rating** 5

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

### **Comment and Analysis**

The context for the Batho Pele principles in the Public Service was well presented and relevant to the evaluation.

**Rating** 4

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

There was a clear rationale for the evaluation objectives set out for the purpose of the project in terms of the PSC's constitutional mandate and the White Paper.

**Rating** 3

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

The scope and focus of the evaluation were apparent in the evaluation report, however briefly stated in terms of Departments.

**Rating** 3

**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**

A methodology was outlined in the relevant section of the report and the reader could easily understand the data collection and analysis undertaken for the purpose of this report.

**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**

The key findings were presented clearly and were supported with empirical data that was sufficiently described to justify the findings of the report.

**Rating** 3

**STANDARD: Conclusions and recommendations were clear and succinctly articulated**

**Comment and Analysis**

Conclusions and recommendations were clearly and succinctly articulated in a separate Chapter.

**Rating** 4

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

**Comment and Analysis**

Limitations of the methodology and findings were briefly noted in the Chapter on Methodology.

**Rating** 3



### 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 quality of writing and presentation was good and can be considered more than adequate for publishing. There were few grammatical and typographical errors and the style of writing and conventions used were appropriate.

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

Appropriate conventions were used in the presentation of the data, which was mainly descriptive statistics emanating from the questionnaire.

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**

20 tables and 43 figures were used throughout the report and they supported communication and comprehension of results.

**Rating** 4

**STANDARD: Data analysis appeared to have been well executed**

**Comment and Analysis**

The data analysis appeared to be executed satisfactorily.

**Rating** 3

**STANDARD: Findings were supported by available evidence**

**Comment and Analysis**

Findings were clearly supported by available evidence as almost every finding was supported by some visual representation of evidence in the form of a graph or table.

**Rating** 4

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

**Comment and Analysis**

The evidence gathered was described and appropriately analysed.

**Rating** 3

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

**Comment and Analysis**

There was no explicit recognition of alternative interpretations of findings.

**Rating** 2

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

**Comment and Analysis**

Overall, the report appeared free of significant methodological and analytic flaws.

**Rating** 4

### 3.4. Conclusions

***STANDARD: Conclusions were derived from evidence*****Comment and Analysis**

Conclusions were concisely stated and clearly derived from evidence.

**Rating** 4

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

The conclusion made no reference or acknowledgement of other relevant empirical work from related studies and evaluations, some of which were conducted by the PSC. However, the Chapter on context did illustrate that this relevant work informed the evaluation overall.

**Rating** 3

***STANDARD: Conclusions addressed the original evaluation purpose and questions*****Comment and Analysis**

The conclusions sufficiently address the original evaluation purpose and objectives, including an entire chapter dedicated to a good practice model. However, these objectives were not explicitly recognized in the conclusion.

**Rating** 3

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

The conclusion made no reference to the intervention logic or theory of change as this was not addressed at all in the evaluation planning or implementation.

**Rating** **N/A**

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

There was no evidence to suggest that the recommendations were made after consulting sectoral partners or experts.

**Rating** **2**

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

Given the extent of consultation and engagement in the data collection process, it appeared evident that the recommendations and final report was reviewed by government officials and relevant stakeholders prior to finalising.

**Rating** **3**

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

Recommendations were certainly relevant to the policy context as they made clear proposals on how the policy could be more effectively realised in practice with a good practice model.

**Rating** 4

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

Recommendations were targetted broadly to Public Service departments at national and provincial level and were both general while sufficiently specific in dealing with cross-cutting issues across individual departmental contexts.

**Rating** 3

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

There were general limitations noted as part of the methodology but these were not extended more broadly to the evaluation as a whole.

**Rating** 2

### 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 did not document any procedures undertaken to ensure confidentiality of respondents which was relevant given the individuals at each Department that were tasked with completing the questionnaires. Nevertheless, the anonymity maintained in presenting the results was clearly indicative of some ethical considerations.

**Rating** 2

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

#### Comment and Analysis

There were no risks to participants in disseminating the original report on the PSC website.

**Rating** 4

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

#### Comment and Analysis

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

**Rating** 4

## 4. Follow-up, use and learning

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### 4.1. Presentation to stakeholders

**STANDARD:** *Results were presented to all relevant stakeholders*

#### Comment and Analysis

The results of the evaluation were presented more generally to the Public Service Commissioners and MPs, but there was less indication of what, if anything was presented to departmental stakeholders.

**Rating** 3

### 4.2. Resource utilisation

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

#### Comment and Analysis

All indications suggested the evaluation was completed within the planned timeframes.

**Rating** 3

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

#### Comment and Analysis

All indications suggested the evaluation was completed within the agreed budget.

**Rating** 3



#### 4.3. Transparency

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

##### Comment and Analysis

The report was publicly available and accessed off of the PSC's website.

**Rating** 5

#### 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

This information was not able to be obtained during the course of the assessment due to the unavailability of key informants.

**Rating** 2

#### 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

This information was not able to be obtained during the course of the assessment due to the unavailability of key informants.

**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 Chapter dedicated to a good practice model was a clear indication of the conceptual value of the study with intentions of shaping practice. Unfortunately, because an interview was not secured for this assessment it could not be substantiated further.

**Rating** 3

**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**

This information was not able to be obtained during the course of the assessment due to the unavailability of key informants.

**Rating** N/A

**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**

This information was not able to be obtained during the course of the assessment due to the unavailability of key informants.

**Rating** N/A

## **References**

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Public Service Commission, 2006. Report on the evaluation of the Batho Pele principle of Access. Public Service Commission, Government Printers.

## **List of Interviewees**

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No interviews were undertaken for this assessment.