



Department of Performance Monitoring and Evaluation

Report on the Assessment of Government Evaluations

Report on the evaluation of the implementation of the Batho Pele principle of Courtesy

Date Evaluation was completed: 01 March 2009

Name of assessor: Mike Leslie

Evaluation Number: 224

Date Assessment Completed: 04 March 2013

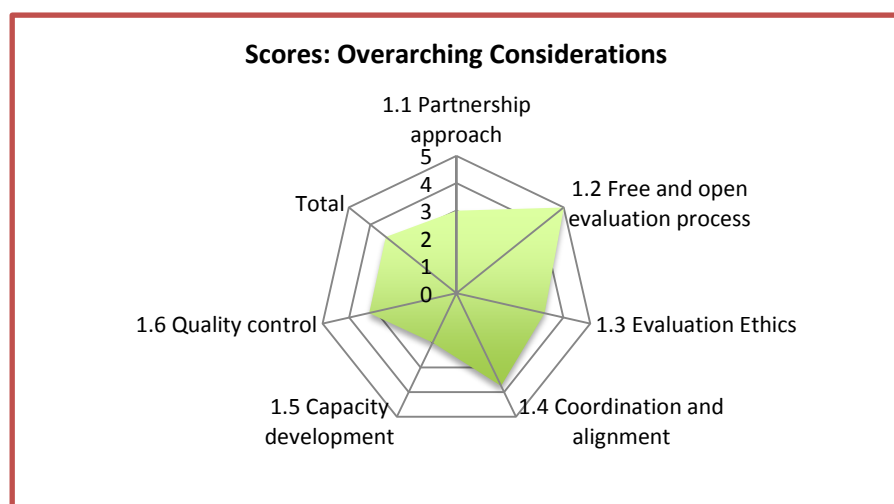
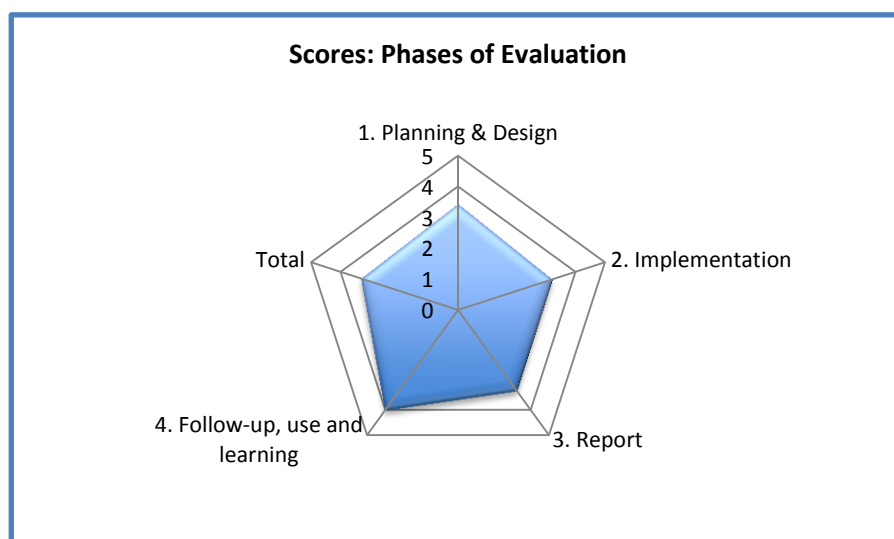
Evaluation Assessment Details

Title of evaluation report	Report on the evaluation of the implementation of the Batho Pele principle of Courtesy
Completion Date of Evaluation	01 March 2009
Name of Assessor	Mike Leslie
Evaluation Number	224
Completion Date of Assessment	04 March 2013
Initiated by	Public Service Commission
Evaluation undertaken by	Public Service Commission
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	2008
Known Cost of Evaluation	Unknown

Quality Assessment Scores

Phase of Evaluation	Score
Planning & Design	3.43
Implementation	3.20
Report	3.23
Follow-up, use and learning	4.00
Total	3.32

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	3.26



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

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 it 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

There was no indication of the budget given for this evaluation.

Rating N/A

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

Comment and Analysis

The PSC is generally adequately resourced in terms of staff and there is nothing to suggest this evaluation was any different.

Rating N/A

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.

Rating 2

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 Courtesy, as informed by the White Paper on Transforming Public Service Delivery (1997), knowledge and review of the policy environment would have informed the proposal and been expressed later in a clear policy and legislative context for the report.

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 surveys at the Department of Home Affairs and the Department of Trade and Industry. Assuming this information informed the planning of the evaluation, this literature review was appropriate.

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 explicit 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 as part of a PSC proposal. 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 planned methodology triangulated a variety of data collection methods, including interviews, in loco inspections and interviews with service users as planned.

Rating 4

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

The planned sampling was appropriate for the purpose of the evaluation although it only included 47 departments (45 provincial and 2 national departments) in total. Nevertheless, the sample was consistent across provinces and all departments were visited at both a rural and urban service point.

Rating 3***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 Courtesy, there was clearly a planned intention to use findings generically across departments. Unfortunately, more information expanding on how this was expected to happen was not available.

Rating 3**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

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.

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

It is unclear to what extent key stakeholders were consulted through a formalised mechanism as part of the evaluation.

Rating N/A

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.

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.

Rating 3

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

Comment and Analysis

There was no indication that fieldwork-level problems compromised the data collection. All evidence suggests it was relatively consistent with planned data collection, with the exception of the lack of service users at some service points.

Rating 3

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

Comment and Analysis

Given the scope of the evaluation, the various forms of data gathering, namely via questionnaires and interviews, were appropriate for the evaluation.

Rating 3

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

Comment and Analysis

Given the purpose of the evaluation, the use of quantitative and qualitative data analysis techniques was appropriate. A brief explanation of the thematic basis for analysing the qualitative data was sufficient for the purpose of the evaluation.

Rating 4

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 included interviews with key departmental officials from each of the respective departments.

Rating 4

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

Comment and Analysis

The methodology did include in loco inspections at service points as well as a survey of service users at both rural and urban service points. Beneficiaries were thus appropriately engaged as a source of data for this assessment.

Rating 4

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.

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

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 of 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.

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.

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 a separate Chapter of the report and the reader could easily understand the data collection and analysis undertaken.

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. This included the absence of some service users at certain delivery points.

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 limited to a few bar charts from information obtained during interviews at the different sites.

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

2 tables and 8 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 appear to be executed satisfactorily.

Rating 3

STANDARD: Findings were supported by available evidence

Comment and Analysis

Findings were clearly supported by available evidence.

Rating 3

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

The evidence gathered was described and appropriately analysed insofar as could be determined.

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 Conclusions made no reference or acknowledgement of other relevant empirical work from related studies and evaluations, some of which were conducted by the PSC. However, this information was included in a contextual Chapter that informed the evaluation overall.

Rating 2

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

The conclusions did not directly address the evaluation objectives but were implicitly represented in the conclusions provided.

Rating 3

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

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 clearly proposed how the Batho Pele principle of Courtesy could be more effectively realised in practice, with practical recommendations for training and institutionalisation of the principle.

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. Nevertheless, the anonymity maintained in presenting the findings 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 a public 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

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 it was unclear what was presented back to the participating departments.

Rating 3

4.2. Resource utilisation

STANDARD: The evaluation was completed within the planned timeframes

Comment and Analysis

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

Rating 3

STANDARD: The evaluation was completed within the agreed budget

Comment and Analysis

All indications suggest the evaluation was completed within the planned 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

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

Rating N/A

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

Public Service Commission, 2009. Report on the evaluation of the implementation of the Batho Pele principle of Courtesy. Public Service Commission, Government Printers.

List of Interviewees

No interviews were conducted for this assessment.