



# planning, monitoring and evaluation

Department:  
Planning, Monitoring and Evaluation  
**REPUBLIC OF SOUTH AFRICA**

## Report on the Assessment of Government Evaluations

Evaluation Title:	Implementation/Impact evaluation of Support Programme for Industrial Innovation
Evaluation Number:	432
Evaluation Completion Date:	24 April 2014
Period of Evaluation:	6 months
Submitted:	12 August 2014 by Robin Richards
Approved:	13 August 2014 by Mike Leslie

## Evaluation Details

Evaluation Title:	Implementation/Impact evaluation of Support Programme for Industrial Innovation
Evaluation Number:	432
Evaluation Completion Date:	24 April 2014
Created:	18 June 2014 by Mike Leslie
Submitted:	12 August 2014 by Robin Richards
Approved:	13 August 2014 by Mike Leslie
Period of Evaluation:	6 months
Known Cost:	R 1 300 000,00
Known Cost Type:	Referenced
Initiated By:	The Department of Trade and Industry and the Presidency
Initiated By Internal:	No
Undertaken By:	Genesis
Undertaken By Internal:	No

## Assessors

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## Assessment Documents

Document Name:	Document Type:	Added By:	Added On:
Genesis Analytics, DPME, SPII Evaluation, 05.06.2014 Final Full.docx	Evaluation report	Mike Leslie	18 June 2014
Genesis Analytics DPME SPII Evaluation 24 04 2014 1-3-25 (2).pdf	Evaluation report	Mike Leslie	14 July 2014
Genesis Analytics DPME SPII Evaluation 05 06 2014 Final Full.docx	Evaluation report	Robin Richards	29 July 2014
SPII TORs (JUNE 28 2013 Final).pdf	Terms of Reference (ToR) for the evaluation	Robin Richards	29 July 2014
SPII presentation final.pptx	Any other relevant documentation pertaining to the evaluation process	Robin Richards	29 July 2014
Genesis Analytics, DPME, Revised SPII Impact Evaluation proposal, 03.09.2013.pdf	The proposal selected to conduct the evaluation	Robin Richards	29 July 2014
Minutes on SPII Evaluation (21 01 14).docx	Any other relevant documentation pertaining to the evaluation process	Robin Richards	01 August 2014
Assessment Report at Moderation.pdf	Assessment Report at Moderation	Mike Leslie	10 August 2014



The overarching quality assessment score is 3.47 out of a total of 5 when applying the Quality Assessment Tool (EQAT). This was an impact and implementation evaluation. The purpose of the evaluation was to assess the effectiveness and efficiency of the implementation of the Support Programme for Industrial Innovation (SPII). The evaluation was commissioned by the South African Presidency in partnership with the Department of Trade and Industry (dti)

The DAC criteria/indicators that were utilised as the guiding framework for the evaluation did help to answer both implementation and impact dimensions of the research questions informing the study. However, this was principally an impact evaluation, meant to measure changes in outcomes that are attributable to the programme intervention and the study was affected by incomplete project data that would have enabled researchers to measure all aspects of impact more robustly. For example the lack of adequate data could not determine impact of the programme over a longitudinal time period. Also, data weaknesses limited the researchers' ability to determine the economic development impact of SPII. Data on SPII-funded projects post funding is limited. These kinds of data-weaknesses resulted in the evaluation having a greater implementation focus and affected the robustness of the impact components of the evaluation. To some extent the survey data, from the online survey filled some of the data gaps, for example relating to achievements of SPII funded projects, as measured by the number of projects that become commercialised. However, other methods employed in the evaluation such as Key Stakeholder Interviews and Case Studies supported the implementation components of the evaluation rather than impact measurement.

A score of 3.25 out of 5 was recorded for the Planning and Design of the Evaluation. Although the ToRs for the project indicated that the evaluation was an Impact evaluation, the key evaluation questions also covered process issues, dealing with the implementation of the Programme. Another weakness in the design phase, especially with reference to the development of the ToRs was the lack of complete project records for the period under evaluation. Both client and service provider agreed that in future an 'evaluability' exercise was needed to assess the extent to which the objectives of the evaluation could be met against accessibility of data .

Notwithstanding these issues, the design of the evaluation was sound. The study utilised the DAC criteria as the framework for assessing the effectiveness, efficiency and sustainability of the programme. Therefore the key research questions in the ToR were covered through the approach utilised by the service provider.

In terms of Implementation of the evaluation a score of 3.60 out of 5 was recorded. The evaluators were able to work independently and freely and the team appeared to be impartial. Stakeholder engagement, through the Project Steering Committee, through all phases of the project was good.

A strong point to the evaluation was the appointment of an independent peer reviewer to review the implementation plan and provide inputs on various project stages. The data analysis, approach and method were good because this enabled researchers to investigate both impact and implementation aspects of the programme, utilising a wide array of methods from data-mining, case studies and respondent interviews. Key stakeholders in the evaluation were effectively engaged through the project Steering Committee.

Eventhough respondents were informed that their responses to survey questions would be treated confidentially and that participation in the survey was voluntary, there was a lack of sufficient formal protocols in place to ensure the confidentiality and protection of respondents.

External capacity building appeared not to have been implemented, even-though this was planned for in the proposal. The non-availability of staff members in the dti and IDC was cited as the main reason for this.

Data collection was compromised somewhat by incomplete project records, making the impact of the programme more difficult to assess in certain aspects.

A score of 3.64 out of a total of 5 was received for the report writing. The report was accessible and well written. It contained a succinct Executive Summary with key findings and recommendations highlighted. Although the report contained no distinct Conclusions section, it did have a section called "Analysis of Findings" where it made judgements based on research findings to answer the original research questions. Therefore implicit within this section were a set of Conclusions. The context of the evaluation was clear. It described the changes the SPII has undergone since 1993 and its efforts to streamline it and increase accessibility and therefore the need to assess the impact and implementation of the programme at that stage.

The limitations of the study were also clearly stated, specifically in relation to the quantitative data. Incomplete project reporting data limited the ability of the researchers to identify impact of the programme and incomplete contact details of projects made it difficult to contact all respondents to administer the survey, thereby reducing the sample size and affecting the robustness of the sampling.

Key findings and an analysis of the data collected were presented clearly and the analysis chapter was based on evidence collected. The quality and accessibility of the report was of a high standard and the flow of the report was logical. Appropriate conventions were used in the presentation of data and referencing was consistent.

Findings were supported by sufficient evidence and the analysis of the quantitative data available was good.

Findings from the qualitative component of the study were presented in aggregate form. If there were differences in stakeholder views on issues relating to the SPII, these were not highlighted or discussed. The case study material could also have been used more effectively perhaps to illustrate successful or failing projects and the reasons for this.

Recommendations were succinctly made, separating impact from process and implementation issues. A strong point was the multi-stakeholder input into the recommendations which seemed feasible and implementable and relevant to the policy context.

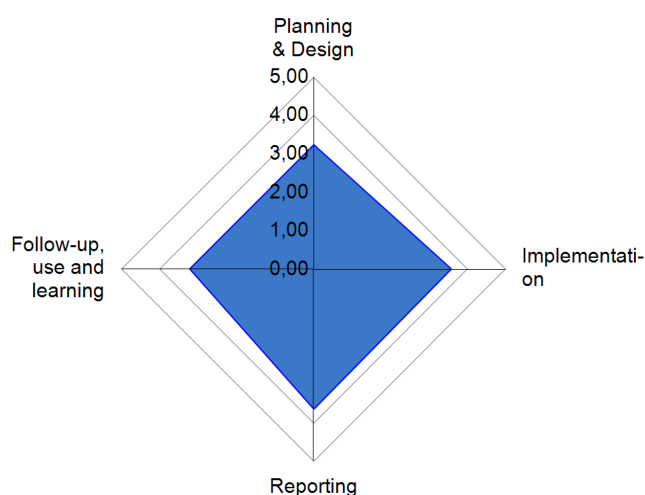
As score of 3.22 out of 5 was recorded for Follow-up use and Learning phase of the assessment. The key features relating to this component were that the evaluation was completed within the timeframe and budget. A formal reflective process on how the evaluation was implemented was undertaken, although the service provider indicated that it did not attend this session and this was a weakness. Since the final report had only just been completed and the report has not yet gone to Cabinet for approval, it was too early for work on a draft improvement plan for the programme. The dti felt that the evaluation was for internal purposes only and therefore was not intended to raise the profile of the programme. However the evaluation had conceptual value because of its important policy recommendations relating to programme implementation.

## Quality Assessment Scores

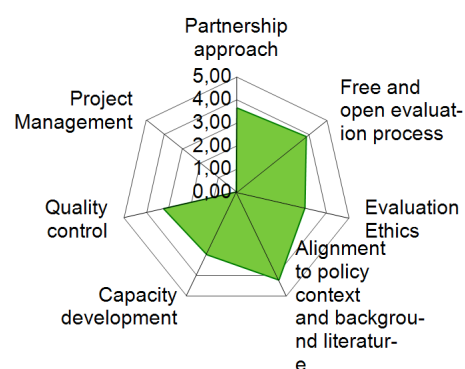
Phase of Evaluation	Score
Planning & Design	3,25
Implementation	3,60
Reporting	3,64
Follow-up, use and learning	3,22
<b>Total</b>	<b>3,47</b>

Overarching Consideration	Score
Partnership approach	3,67
Free and open evaluation process	3,86
Evaluation Ethics	3,06
Alignment to policy context and background literature	4,24
Capacity development	3,00
Quality control	3,26
Project Management	
<b>Total</b>	<b>3,47</b>

Scores: Phases of Evaluation



Scores: Overarching Considerations



Phase of Evaluation	Area of Evaluation	Score
Planning & Design	Quality of the TOR	3,29
Planning & Design	Adequacy of resourcing	3,64
Planning & Design	Alignment to policy context and background literature	4,00
Planning & Design	Appropriateness of the evaluation design and methodology	2,78
Planning & Design	Project management (Planning phase)	3,00

Phase of Evaluation	Area of Evaluation	Score
Implementation	Evaluation ethics and independence	3,55
Implementation	Participation and M&E skills development	3,40
Implementation	Methodological integrity	3,68
Implementation	Project management (Implementation phase)	4,00
Reporting	Completeness of the evaluation report	3,71
Reporting	Accessibility of content	4,00
Reporting	Robustness of findings	3,18
Reporting	Strength of conclusions	3,57
Reporting	Suitability of recommendations	4,54
Reporting	Acknowledgement of ethical considerations	3,31
Reporting	Project management (Reporting phase)	2,00
Follow-up, use and learning	Resource utilisation	3,40
Follow-up, use and learning	Evaluation use	3,00
Total	Total	3,47

## Planning & Design

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### Quality of the TOR

Standard:	The evaluation was guided by a well-structured and complete TOR or a well-structured and complete internal evaluation proposal (e.g. Background, Purpose, Evaluation Questions, Design & Methodology, Deliverables & Timeframes, Resource requirements, Intended Audience & Utilisation, etc).
Comment and Analysis:	The Terms of Reference for the Evaluation was detailed and complete. Background information and the rationale for the evaluation was provided, together with the overall purpose; key evaluation questions; scope and product-deliverables. The ToR also describes the methodological approach that should be utilised in the evaluation as well as required project milestones for the undertaking of the evaluation. Necessary skills-sets and management arrangements are also specified.
Rating:	3: The evaluation was guided by a well-structured and complete TOR or internal evaluation proposal of an adequate standard
Moderation:	Reconsider
Moderation Comment:	Spell-check the second sentence.
Approval:	Accepted
Standard:	The purpose of the evaluation stated in the TOR (or an internal evaluation proposal) was clear and e
Comment and Analysis:	The purpose of the evaluation is stated in the ToR clearly as to assess the impact of the Support Programme for Industry Innovation (SPII).
Rating:	4: 4
Moderation:	Accepted
Approval:	Accepted
Standard:	The approach and type of evaluation was suited to the purpose and scope of the evaluation TOR (or an internal evaluation proposal)
Comment and Analysis:	The purpose of the evaluation was to assess the impact of the SPII. The service provider (Genesis Analytics) complemented the purpose and scope of the evaluation by including the OECD's Development Assistance Committee (DAC) criteria for evaluations in its evaluation design. This framework for the evaluation also incorporated other aspects including: programme's relevance, effectiveness, efficiency, impact, and sustainability, as well as one further criterion, that of 'additionality' (whether a project would have taken place without the SPII intervention). In their proposal the researchers noted that this approach would enable them to assess both the impact of the programme and how the institutional structures and operating processes that support the programme can be strengthened. The type of evaluation was not ideally matched to the purpose and scope of the evaluation because the ToRs included a number of questions that requiring an investigation into programme implementation. Therefore it seemed that the ToR scope was broader than its 'Impact' focus.
Rating:	2: The approach and type of the evaluation requested in the TOR was not appropriate given the purpose and scope of the evaluation
Moderation:	Reconsider
Moderation Comment:	This is a clear explanation, and identifying the criteria are helpful, but the approach and type of evaluation seem to be blurred with the purpose and scope. To what extent can the evaluation design account for the range of evaluation questions posed and robustly answer them? Is there an attempt to attribute outcomes appropriately or are outcomes merely described and seen as contributory?
Approval:	Accepted

Standard:	The TOR (or an internal evaluation proposal) identified the intended users of the evaluation and their information needs
Comment and Analysis:	The ToR identifies the main intended users as being the dti (Department of Trade and Industry). But it also notes that other government departments and bodies including the Cabinet, the Presidency, National Treasury, the Economic Cluster, other agencies and the private sector may also have an interest in the results of the evaluation. However the specific sector information-needs and how the evaluation will address these are not elaborated.
Rating:	4: The TOR identified the intended users of the evaluation and differentiated between their information needs well
Moderation:	Reconsider
Moderation Comment:	It is good that these are noted and they're differentiated but to what extent does it meaningfully differentiate their information needs? Are these generic differentiations or uniform?
Approval:	Accepted

Standard:	The evaluation questions in the TOR (or an internal evaluation proposal) were clearly stated and ap
Comment and Analysis:	The evaluation questions were clearly stated in the ToR and were disaggregated into impact questions; cost-effectiveness questions and process questions. The evaluation was to determine the impact of the programme on stimulating innovation and also implementation questions covering the institutional mechanisms in place to ensure the programme delivers the intended outcomes. The service provider indicated that the evaluation was originally intended to be an impact evaluation, however there were a number of implementation-oriented questions in the ToR, thus necessitating a broader approach in the design of the evaluation to accommodate its implicitly wider scope. One of the implications of this would be to reduce the evaluation's focus so that more issues are covered but in less depth to ensure that time and budgetary limitations were not exceeded.
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	The comment goes beyond the planning to talk about implementation of the evaluation in the last two sentences consider revising. Also, consider to what extent an implementation and process related evaluation design is appropriate in conjunction with an impact evaluation? What are some of the potential issues that arise from combine a process focus while at the same time making a case for attribution of outcomes in relation to the intervention? How did the design provide for this?
Approval:	Accepted

Standard:	Key stakeholders were involved in the scoping of the TOR and choosing the purpose of the evaluation
Comment and Analysis:	The respondent from the dti indicated that this was a joint evaluation between the dti and the DPME(Department of Performance Monitoring and Evaluation)and that the ToRs were developed together by these two departments.
Rating:	4: A wider range of stakeholders (i.e. beyond government stakeholders) were meaningfully involved in the scoping of the TOR and choosing the purpose of the evaluation
Moderation:	Accepted
Approval:	Accepted



## Adequacy of resourcing

Standard:	The evaluation was adequately resourced in terms of time and budget allocated
Comment and Analysis:	Both the dti and service provider indicated that the resources available for the evaluation were adequate.
Rating:	3: The evaluation was adequately resourced in terms of time and budget allocated
Moderation:	Reconsider
Moderation Comment:	See the accompanying standards for each of the five levels. There is a bit of nuance with the ratings, so where adequate consider a 3 rating, where the resourcing was good 4, and where exceptional. Be guided by the standards document.
Approval:	Accepted

Standard:	The evaluation was adequately resourced in terms of original budget
Comment and Analysis:	The service provider and dti were of the opinion that this was the case.
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	Same as above.
Approval:	Accepted

Standard:	The team conducting the evaluation was adequately resourced in terms of staffing and skills sets
Comment and Analysis:	The proposal indicates that the evaluation was adequately resourced in this aspect. It included experts in the following subject areas relevant to the evaluation: market-based job creation initiatives; innovation; an international expert on the design and delivery of innovation incentives; an expert on innovation systems and incentives in SA. Genesis' own in-house monitoring and evaluation specialist was also part of the research team.
Rating:	5: The staffing and skills sets required for the evaluation were ideal for the evaluation purpose, sector and incorporated high quality international expertise
Moderation:	Accepted
Approval:	Accepted

Standard:	Where appropriate, the evaluation planned to incorporate an element of capacity building of partners
Comment and Analysis:	The proposal indicated that a skills transfer plan would be developed to facilitate the transfer of skills from the service provider to partner departments (dti and DPME) in the areas of understanding how to build appropriate monitoring frameworks and how to undertake evaluations. The proposal indicated that officials in DPME and dti would be invited to participate in evaluation stages and to attend key evaluation processes including the evaluation inception meeting, planning processes and the design of evaluation instruments.
Rating:	4: 4
Moderation:	Reconsider
Moderation Comment:	Remember to apply this standard in terms of the planning. The comment goes on to address the actual implementation, whereas from the above it appears that the service provider planned for this but there was insufficient planning on the part of DPME, dti and the IDC as they failed to be able to identify a person to include in the evaluation.
Approval:	Accepted

## Alignment to policy context and background literature

Standard:	There was evidence that a review of the relevant policy and programme environments had been conducted
Comment and Analysis:	This was evident in the proposal submitted by the service provider. The proposal indicated that a review of existing literature; current policy and industry landscape will be undertaken before the instruments for the study were designed and data collection commenced. The final presentation of the findings of the study by Genesis also contained this activity as an output before research instruments had been designed and other activities commenced.
Rating:	4: 4
Moderation:	Accepted
Approval:	Accepted

Standard:	There was evidence of a review of appropriate literature having been conducted and used in planning
Comment and Analysis:	The final evaluation report indicates that appropriate literature had been reviewed before the development of the research tools and an analysis plan and this included: the theory of innovation and national systems of innovation; international practices in innovation policy frameworks and instruments; a review of the South African innovation policy and industry landscape; an overview of the SPII as well as a global scan of support programmes.
Rating:	4: 4
Moderation:	Accepted
Approval:	Accepted

## Appropriateness of the evaluation design and methodology

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:	The proposal by Genesis indicates that the intervention logic and theory of change would be investigated by looking at best and worst case examples of when the intervention logic succeeds or fails and the links between inputs, activities, outputs and outcomes; and assumptions on which these rest. The authors noted in the proposal that the Theory of Change would be refined where appropriate. In the final report the researchers highlight that the programme had no existing documented Theory of Change, but that based on research findings and initial interviews, suggestions on what it should look like were made.
Rating:	4: The intervention logic or theory of change meaningfully informed and shaped the TOR or the Inception Report, including a visual representation
Moderation:	Accepted
Approval:	Accepted

Standard:	Key stakeholders were consulted on the design and methodology of the evaluation
Comment and Analysis:	Key stakeholders were consulted in the design of the methodology for the evaluation. However, there appeared to be problems with the consultation process because although the dti and IDC indicated that there was an abundance of data to measure the impact of the programme, this was reportedly not the case because the service provider discovered that there was a serious limitation on the amount of data available to measure programme impact. This resulted in the evaluation changing emphasis from measuring impact to measuring implementation of the programme. In addition, contact lists that would have enabled the service provider to reach the expected target audience during the data collection phase were not accurate.
Rating:	3: 3
Moderation:	Accepted
Approval:	Accepted

Standard:	The planned methodology was appropriate to the questions being asked
Comment and Analysis:	The service provider indicated that there were problems with the planned methodology because of the availability of data measuring programme impact, which affected the impact analysis of the programme. To this effect, the service provider indicated that an 'evaluability' assessment would have been useful before the evaluation was commissioned. Nevertheless, the planned methodology utilised various data-sources to support the research findings. For example, survey data showed that the SPII programme contributes to innovation by enabling projects to continue through SPII funding. Key Informant interviews also resulted in the clarification of the Theory of Change and the original purpose of the SPII and based on this original purpose, what aspects of the programme are important to measure impact.
Rating:	3: The planned methodology was appropriate to the questions being asked
Moderation:	Reconsider
Moderation Comment:	Consider revising the comment. Was the use of specific criteria evidence that the methodology was appropriate? Revise the first sentence and consider how the planned methods related to the questions. For instance on the issue of impact and effectiveness, how were the planned methods appropriate for attributing change to the intervention?
Approval:	Accepted

Standard:	The sampling planned was appropriate and adequate given the focus and purpose of evaluation
Comment and Analysis:	As already indicated earlier, the service provider indicated that the evaluation was affected by the lack of complete data to properly assess the impact of the programme. The lack of complete data (from the period 2001-2013 identified by the clients as the period the evaluation was supposed to assess), had implications for the qualitative and quantitative sample selection. With respect to the qualitative component (case study selection), it was reported that less than 50% of the projects funded under SPII had accurate contact details. This affected the original sample design and refinements had to be made in the selection of the case studies. Stratification of the case studies to be sampled was by province and the type of 'window' the project fell under, as well as projects that were failing versus those that were succeeding. Therefore the limited database of contactable projects for case case study selection, meant that adjustments had to be made to the originally selected sample. However the service provider felt that this did not compromise the qualitative sample seriously, because it had originally been planned as purposive sampling. With respect to the quantitative component of the evaluation, the service provider felt that because of incomplete project reporting data on the sales, R&D expenditure and tax revenue especially for projects from the early 2000's (from 2001 onwards), the sample was not sufficiently representative of the 2001-2013 database of projects. Because of limitations with the quality of data to sample from, the service provider felt that the scope of the study should have been restricted to the 2007-2013 period where there was better reporting and recording of project data.
Rating:	2: The sampling planned was not entirely appropriate given the focus and purpose of the evaluation
Moderation:	Reconsider
Moderation Comment:	Capitalization at the start of the 3rd sentence. Also, based on the commentary it would appear that the planned sampling (as this was the planning stage) may have been inadequate because there simply wasn't data available as per the plan. Consider revising.
Approval:	Accepted

Standard:	There was a planned process for using the findings of the evaluation
Comment and Analysis:	There was no evidence (either in the project inception report or final research report) of a planned process for using the findings of the evaluation.
Rating:	2: 2
Moderation:	Reconsider
Moderation Comment:	If there is none at all, mark this 1, if there is implied process leave it as is.
Approval:	Accepted

## Project management (Planning phase)

Standard:	The inception phase was used to develop a common agreement on how the evaluation would be implemented
Comment and Analysis:	There is evidence of this. The Inception Report provided details on agreements that had been reached on how the evaluation would be implemented. However, the evaluation changed focus somewhat after the inception phase when it was ascertained that there was insufficient data to adequately support the quantitative research design and sampling.
Rating:	3: The inception phase was used to develop a common agreement on how the evaluation would be implemented
Moderation:	Accepted
Approval:	Accepted

# Implementation

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## Evaluation ethics and independence

Standard:	Where data was gathered in contexts where ethical sensitivity is high, informed consent, assurances of confidentiality and appropriate clearance were achieved; e.g. through an ethics review board, in evaluation involving minors, institutions where access usually requires ethical or bureaucratic clearance
Comment and Analysis:	There were no protocols, such as the signed consent forms, that were followed by the service provider when interviewing respondents. However respondents who completed the online survey questionnaire were informed on the website at the beginning of the survey that all of their responses will be treated confidentially.
Rating:	2: Although there were indications that ethical protocols were observed, (e.g. informed consent agreements and/or an ethics review) no documentary evidence was available to support this
Moderation:	Accepted
Approval:	Accepted
Standard:	Where external, the evaluation team was able to work without significant interference and given access to existing data and information sources
Comment and Analysis:	Both the service provider and the partner organisation (dti) felt that the evaluation team was able to work freely without any interference. In addition, an external peer reviewer independent of the dpme and the dti was appointed to check the quality of the evaluation.
Rating:	5: The evaluation team was able to work freely and independently without interference and significant efforts were documented to ensure unfettered access to all existing data and information sources
Moderation:	Accepted
Approval:	Accepted
Standard:	The evaluation team was impartial and there was no evidence of conflict of interest
Comment and Analysis:	There was no evidence of any conflict of interest and an independent peer reviewer was appointed to check on the quality of the evaluation.
Rating:	4: 4
Moderation:	Reconsider
Moderation Comment:	Absence of evidence is not necessarily evidence that there was not any conflict of interest. Consider revising the score down and refer to the draft standards levels circulated in the email.
Approval:	Accepted

## Participation and M&E skills development

Standard:	Key stakeholders were involved in the evaluation through a formalised mechanism or institutional arrangement
Comment and Analysis:	Key stakeholder were consulted through a formalised mechanism. A steering committee comprising the IDC, DPME, the NRF (National Research Foundation) was the forum used to inform all stakeholders at each stage of the research process. The service provider also indicated that project beneficiaries (key informants, survey participants and project memebbers in case studies were also consulted for the purposes of data collection.
Rating:	4: Key stakeholders were regularly, actively involved in the evaluation and contributed through a formalised mechanism or institutional arrangement (e.g. a steering committee or reference group)
Moderation:	Accepted
Approval:	Accepted

Standard:	Where appropriate, an element of capacity building of partners responsible for the evaluand and evaluators was incorporated into the evaluation process
Comment and Analysis:	Although the service provider planned an element of capacity building in the evaluation, it was reported by the service provider that despite requests to DPME, dti and IDC, no-one was ever allocated for skills transfer from these departments because of staffing and time constraints. The DPME indicated that in the 2013/14 period, they had 15 evaluations underway and not enough junior officials to be seconded onto all of the evaluations.
Rating:	2: There was some evidence of capacity building of partners responsible for the evaluand or evaluators but this was either unstructured or incomplete
Moderation:	Reconsider
Moderation Comment:	Revise the score downwards to a 2.
Approval:	Accepted

## Methodological integrity

Standard:	The methods employed in the process of the evaluation were consistent with those planned
Comment and Analysis:	This appeared to be the case, reading the Final Proposal; Minutes from the project Inception Meeting as well as the Final Report. The Inception report did note adjustments to the methodology, but these appeared to be refinements rather than large changes. However, the service provider indicated that a shift in the focus of the project towards implementation, aspects after the inception phase of the project as gaps in SPII project data to quantitatively measure programme impact became apparent.
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	Just to check, to what extent were the methods revised on account of the data availability? And the shift between the impact focus and the implementation focus? Did this occur before finalisation of the Inception Report or after and what implications did these have for the methods planned?
Approval:	Accepted

Standard:	The methods employed in the process of the evaluation were consistent with those planned and implemented adequately
Comment and Analysis:	Forms of data gathering were appropriate and a mixed-method research approach was used. This strategy enabled the researchers to triangulate information gleaned from different data sources and was a useful method that enabled researchers to gather sufficient information, especially where there were data-gaps from one source, to make findings on programme impact and implementation.
Rating:	4: The methods employed in the process of the evaluation were consistent with those planned and implemented well (in terms of time, coverage, and content)
Moderation:	Reconsider
Moderation Comment:	Grammar and spell-check the second sentence.
Approval:	Accepted

Standard:	A pilot of basic data collection instrumentation occurred prior to undertaking data collection and it was used to inform the research process
Comment and Analysis:	The data analysis approach and methods were sufficient because they involved analysis of information from different sources, namely the findings from the online survey of programme applicants as well as an analysis of project reporting data including sales information, dti and IDC business plans as examples. This enabled information to be collected and analysed on programme impact and implementation. The proposal indicated that non-experimental or quasi-experimental data-analyses approaches may be considered. However, given data limitations, a non-experimental approach was utilised. The evaluation considers issues of attribution and contribution. For example the findings indicate that the SPII programme has met its targets in terms of the number of innovation projects to fund. In terms of job creation the findings indicated that the SPII has directly created or retained approximately 3000 permanent jobs. Case study beneficiaries and industry key informants indicated a number of constraints contribute to restricting the objectives of the SPII, such as the fragmented innovation landscape and the lack of linkage support.
Rating:	4: All components of the data collection instrumentation were piloted which led to some improvements in the data collection instrumentation or affirmation of the instruments
Moderation:	Reconsider
Moderation Comment:	Consider critically interrogating the analysis approach and methods in light of the impact related questions. To what extent did quantitative analysis occur consistent with the kind of experimental or quasi-experimental design necessary to claim attribution? Does the evaluation consider issues of attribution vs contribution?
Approval:	Accepted

Standard:	Data collection was not compromised by fieldwork-level problems or unplanned diversions from original
Comment and Analysis:	Data collection was compromised in various ways by fieldwork level problems according to the service provider: there were challenges in respect to the contact details of the Fund recipients; the data on projects that was expected from the SPII was not as comprehensive and robust as originally promised. Data gaps limited the levels of analysis that could be done and inaccurate and missing contact details reduced the total number of applicants that could be surveyed. Also the service provider indicated that it was difficult to gather verifiable evidence from small businesses that had received funding and were commercially afloat. This led the service provider to recommend that these businesses should be contractually obliged to provide various evidence relating to finances, sales etc for monitoring purposes.
Rating:	2: 2
Moderation:	Reconsider
Moderation Comment:	Comment would seem to justify a lower score. Also, spell-check "analysos", "lead" etc.
Approval:	Accepted

Standard:	Data was collected from key stakeholders (e.g. implementers, governance structures, indirectly affected stakeholders) as data sources
Comment and Analysis:	Key components of the report are captured adequately in the Executive Summary. The context of the study is highlighted and the methodology utilised for the evaluation is briefly described. The Executive Summary also describes the scope of the research as well as the key limitations that constrained the evaluation's ability to describe and report on the impact of the programme. The main findings and an analysis of the findings of the evaluation, together with the key recommendations are also highlighted in the Executive Summary.
Rating:	4: Data was collected from the intended key stakeholder groupings in line with the envisioned range and type of stakeholders (approx. 80-89% of intended)
Moderation:	Reconsider
Moderation Comment:	What about the Conclusions? How are these reflected in terms of the completeness of the report?
Approval:	Accepted

Standard:	The methodology included engaging beneficiaries appropriately as a key source of data and information
Comment and Analysis:	The context of the development intervention is explicit in the report. The evolution of the SPII programme is described since the programme started in 1993. The three schemes (the PPD Scheme, the SPII Matching Scheme and the SPII Partnership Scheme) offered under the programme are also described. These schemes differ according to the size of the applicant-firms; the percentage of costs covered and the maximum funding amount. Each of these schemes was sampled in the survey phase of the study. The status of each of the projects in the various sectors of the programme for example electronics, electrical machinery, mechanical machinery) is also summarised. The context further describes the level of support given to different projects in the schemes as well as where the schemes are located provincially. Criteria for support of the projects is also summarised as well as the organisational structure of the programme and its locality within the dti and IDC. The Theory of Change is also discussed and interpreted in this section, and the gaps in assumptions in the Theory of Change are highlighted and the authors note that these assumptions and gaps would be investigated in the research. The report also highlights other seminal reviews that have been undertaken on the SPII since 2006. However the researchers do not indicate how the present evaluation differs in terms of its objectives from previous seminal studies. The authors do note that the origins of previous studies was more general, located within the greater science, technology and innovation (STI) landscape or in collaboration with the Technology and Human Resources Programme (THRIP).
Rating:	4: The methodology included meaningfully engaging beneficiaries as a primary source of data and information (or if based on secondary data, includes data from beneficiaries and beneficiaries consulted on emerging findings)
Moderation:	Accepted
Approval:	Accepted

Standard:	Key stakeholders were significantly engaged as part of the methodology
Comment and Analysis:	Key stakeholders appeared to be significantly engaged in a variety of ways: the project Steering Committee members, comprising all partner organisations in the programme were consulted and informed of all steps during the evaluation process. Beneficiaries of the programme were also consulted for the purposes of data collection that was undertaken via Key Informant Interviews and Case Studies.
Rating:	4: 4
Moderation:	Accepted
Approval:	Accepted



Standard:	The methodology included engaging beneficiaries appropriately as a key source of data and informatio
Comment and Analysis:	This was the case. Beneficiaries were consulted through the Key Informant Interviews; the development of project case studies as well as the survey of programme applicants. A range of beneficiaries were interviewed, including government organisations, science councils, industry amongst others. In addition Case Studies involved interviewing beneficiaries of SPII funded projects. These respondents represented the spectrum of role players involved in supporting innovation and the linkages needed to promote innovation.
Rating:	4: 4
Moderation:	Reconsider
Moderation Comment:	Consider elaborating on who the beneficiaries were in this context so it is clear who participated in the Key Informant Interviews. Consider reflecting to what extent these respondents were representative of the end beneficiaries of these initiatives?
Approval:	Accepted

## Project management (Implementation phase)

Standard:	The evaluation was conducted without significant shifts to scheduled project milestones and timefram
Comment and Analysis:	The dpme indicated that the evaluation was completed on the planned date. Both the DPME and the service provider indicated that the only delays were in finalisation of the report and the delays in recieving comments on the report and its final approval by the Steering Committee.
Rating:	4: 4
Moderation:	Reconsider
Moderation Comment:	Be consistent with capitalization when referring to DPME with an acronym. Check full stop at the end of the comment.
Approval:	Accepted

Standard:	The steering committee, technical working group and service provider worked together adequately to facilitate achievement of the objectives of the evaluation
Comment and Analysis:	The Development Assistance Community (DAC) criteria provided the framework for the research questions and therefore covered both implementation and impact dimensions of the programme. Eventhough the ToR for the project indicated that the evaluation was 'impact' in its orientation, the ToR also included implementation questions and therefore both dimensions were covered through the use of the DAC criteria of relevance, efficiency, sustainability; effectiveness plus 'additionality' (the extent to which the incentive catalyses investment and activity which would not have happened in its absence). The Report documents specific areas of investigation under each of the DAC criteria to answer the research questions relating to measuring programme impact and implementation.
Rating:	4: The steering committee, technical working group and service provider worked together in a flexible and constructive manner facilitating achievement of the objectives of the evaluation
Moderation:	Reconsider
Moderation Comment:	The comment refers to the rationale for the evaluation questions, rather than the criteria. To what extent were the evaluation questions related to the criteria that were applied? Was there an attempt to relate and align these or explain how they relate in the scheme of the evaluation overall? Also, check spelling throughout comment.
Approval:	Accepted

## Reporting

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### Completeness of the evaluation report

Standard:	The scope or focus of the evaluation is apparent in the report
Comment and Analysis:	The scope of the evaluation is apparent in the report. The authors list clearly the objectives of the evaluation and note that it covers both impact and implementation aspects of the SPII. The authors also say that the limited availability of data constrained this evaluation's ability to identify and attribute impact of the programme, and so the focus was also given to the implementation of SPI.
Rating:	4: 4
Moderation:	Accepted
Approval:	Accepted
Standard:	A detailed methodology is outlined in the relevant section of the report to the point that a reader
Comment and Analysis:	A detailed methodology is provided in the report. The DAC criteria are utilised to frame the research questions for the evaluation. Under each of the DAC criteria specific sub-indicators relevant to the programme are listed as research questions. The methodology describes the techniques used to collect the data. These included: a document review; key informant interviews; case studies; a survey and a review of the data of completed projects. The authors also indicate the datasources used under each of the approaches in their multi-method strategy. However the authors do not specify why it was necessary to utilise the wide array of data collection methodologies and how specifically each method was meant to enhance th understanding of the performance of the programme.
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	Comment fine, just check the spacing between words and some spelling errors.
Approval:	Accepted
Standard:	Acknowledgement of limitations of all aspects of the methodology and findings are clearly and succin
Comment and Analysis:	The researchers note the limitations of the methodology especially relating to the quantitative data. Incomplete project reporting data limited the ability of the researchers to identify impact of the programme. Greater focus was thus given to implementation factors that enhanced or weakened the programme's impact. In addition, the lack of accurate contact details of applicants, affected the robustness of the sample by reducing the total number of respondents surveyed. The design did distinguish between answering impact questions versus process questions. However the report notes only that a multi-method approach was used to collect data for each of the themes under the DAC critalready listed.
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	What about limitations of the design in relation to the questions it sought to answer? Did the design distinguish between answering attribution questions of the impact assessment from the process related questions of implementation and indicate how the methodology provided for this differentiation?
Approval:	Accepted

Standard:	Key findings are presented in a clear way; they are made distinct from uncertain or speculative find
Comment and Analysis:	Key findings are presented clearly. Findings are presented within the framework of the DAC evaluation criteria and in terms of these criteria, flow logically. The report findings firstly looks at the impact of the programme in terms of South Africa's competitiveness and then the way the SPII has contributed to South Africa's innovation landscape. The extent to which the programme is achieving its objectives, followed by constraints in achieving the programme's objectives. Indicators of institutional efficiency are then presented, followed by findings on programme sustainability. Key findings are then discussed in a separate 'analysis' section where the authors answer the research questions as outlined in the ToR. Findings presented in the report are supported by available evidence and there was no unused data presented.
Rating:	4: 4
Moderation:	Reconsider
Moderation Comment:	Add "in" between "and...terms" in first sentence.
Approval:	Accepted

Standard:	Conclusions and recommendations are clear and succinctly articulated
Comment and Analysis:	Although there are no specific conclusions in the final report, the report includes a section on "analysis of findings" which suffices a specific set of conclusions because they implicitly draw on findings and make conclusions from these. A detailed list of recommendations which are clear and succinctly articulated is also included. Policy and Programme recommendations are provided and this is followed by Implementation Recommendations that specifically look at factors that are constraining programme implementation and how to deal with these.
Rating:	4: 4
Moderation:	Reconsider
Moderation Comment:	Check spacing and spelling the comment. Further, if Conclusions are absent, especially if this is intended to be an Impact Evaluation, this should be a serious shortcoming?
Approval:	Accepted

## Accessibility of content

Standard:	The final evaluation report is user-friendly, written in accessible language and adequate for publication (e.g. adequate layout and consistent formatting; complete sentences and no widespread grammatical or typographical errors; consistency of style and writing conventions; levels of formality; references complete and consistent with cited references in reference list and vice versa; etc.)
Comment and Analysis:	The authors draw on the findings from in-depth interviews, case studies, completed project reporting data, and survey results to analyse the data. With respect to the qualitative data analysis, findings are presented in aggregate form, with little contextual detail or evidence being presented from the 33 in-depth interviews that were undertaken. For example the reader does not know how and if opinions differed across category of respondents interviewed. In addition, although 20 detailed case studies were undertaken of funded SPII projects, none of these are presented as examples in the final report. This would have provided valuable textured data to enhance an understanding of process factors that may be inhibiting project development.
Rating:	3: The final evaluation report is user-friendly, written in accessible language and adequate for sharing (e.g. some spelling, grammar or formatting mistakes but these do not seriously detract from the report)
Moderation:	Accepted
Approval:	Accepted

Standard:	The final evaluation report is user-friendly, written in accessible language and its content follows
Comment and Analysis:	The report is well written and although there is some technical language relating to the schemes within the programme, the report is written clearly in plain English. The report's content follows a clear logic and the authors explain the way the findings are presented at the beginning of the section, in terms of the DAC evaluation criteria and the original research questions relating to programme impact and efficiency. The report concludes with a set of clear recommendations.
Rating:	4: 4
Moderation:	Reconsider
Moderation Comment:	Capitalize "english" in first sentence.
Approval:	Accepted

Standard:	Quality of writing and presentation is adequate for publication including: adequate layout and consi
Comment and Analysis:	The quality of the writing and presentation of the report is of a high quality. There appears to be few typographical or grammatical errors. The layout appears to be good and written in a way that conforms to a scientific report with necessary levels of formality and conventions associated with such a report. The references look complete and footnoted references also appear in the list of references at the end of the report.
Rating:	5: 5
Moderation:	Accepted
Approval:	Accepted

Standard:	Figures, tables and appropriate conventions are 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.) and are readily discernible to a reader familiar with data presentation conventions
Comment and Analysis:	The extent of the qualitative data collected through the evaluation was impressive. However qualitative data was oversynthesised in the report. These findings were presented in aggregate form, so it was difficult to determine whether the researchers had assessed whether there were differences in opinion across the different stakeholder groups that were interviewed. Also, the reader could not determine whether there were any case study differences illustrating different aspects relating to the performance of the programme and to obtain further insights on why different projects perform better. The dti respondents also felt the report did not provide practical scenarios or possible approaches to implement key findings. It is possible that the case studies could have assisted with this process had some of them been presented as examples of programme implementation and factors that work well and those that work less well.
Rating:	3: Figures, tables and appropriate conventions are used in presentation of data and are readily discernible to a reader familiar with data presentation conventions
Moderation:	Reconsider
Moderation Comment:	Spelling throughout the comment. revisit and correct.
Approval:	Accepted

Standard:	Appropriate conventions are used in presentation of data (e.g. use of appropriate statistical language)
Comment and Analysis:	Appropriate conventions were used in the presentation of the data. However the quantitative data presented was mainly descriptive. The descriptive data presented was clear with any disaggregated data presented in graphs or tables defined in the narrative of the report. It would have been useful if the authors added the number of respondents who answered the questions within each of the schemes in the graph presentations for the indicators presented, instead of just presenting the percentage of responses. This would have informed the reader of the representivity of the responses.
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	Are mainly descriptive quantitative data conventions appropriate for an impact evaluation? Otherwise, the comment is appropriate.
Approval:	Accepted

Standard:	The use of figures and tables is such that it supports communication and comprehension of results; a
Comment and Analysis:	The tables and figures presented in the report were necessary and aided the comprehension of the findings of the study. Tables and figures were clear and conventions were followed in the presentation of the data. Tables and figures were clearly labelled as well as graph axes.
Rating:	4: 4
Moderation:	Accepted
Approval:	Accepted

## Robustness of findings

Standard:	Data analysis appears to have been executed to an adequate standard
Comment and Analysis:	The report appears to be free of methodological flaws. A multi-method approach was used in the evaluation. Collecting data from a variety of sources enabled the researchers to achieve a more holistic picture of programme impact and implementation issues. With respect to gaps in project reporting data, the survey data was used to support data from project records where there were gaps in some instances. With respect to analytic flaws, as already indicated the aggregation of qualitative data, made it more difficult to assess analytic flaws especially for the qualitative component of the research. However both the DPME and the dti felt that the data analysis was executed well.
Rating:	4: Data analysis appears to have been well executed for all datasets
Moderation:	Reconsider
Moderation Comment:	Consider to what extent it is appropriate to arrive at conclusions of impact based on the evaluation design provided? Further, check spelling, particularly "analytic floors" in the second to last sentence. And use of CAPS for acronyms.
Approval:	Accepted

Standard:	Findings are supported by evidence which is sufficiently and appropriately analysed to support the argument, integrating sources of data
Comment and Analysis:	As indicated above, the report does not specifically have a Conclusions section, but implicit within the section "analysis of findings" are conclusions. However the Analysis Chapter does not take into account related studies and other empirical work.
Rating:	2: The evidence gathered has been analysed to support the argument to an extent but this is not entirely sufficient or appropriate, and different data sources may be presented separately rather than integrated
Moderation:	Reconsider
Moderation Comment:	Same as above.
Approval:	Accepted

Standard:	Findings are supported by available evidence
Comment and Analysis:	Generally, findings in the report were supported by sufficient evidence and where there were gaps in the data, through a process of triangulation of evidence from different data-collection sources, the researchers were able to arrive at findings. However, given the scope of the data collection methodologies, the qualitative component of the research could have been utilised better in the report because of the effort that must have been expended to collect this material. Some direct quotations from the in-depth interviews could have been used to as evidence to highlight specific points either in the survey or qualitative components.
Rating:	3: 3
Moderation:	Accepted
Approval:	Accepted

Standard:	There is appropriate recognition and exploration of the possibility of alternative interpretations
Comment and Analysis:	As indicated above, the report only contains a Analysis of findings section, followed by recommendations. However the Analysis of Findings chapter does return to the original evaluation questions and addresses all of these.
Rating:	4: There is clear recognition of the possibility of alternative interpretations and these are concisely presented without detracting from other findings
Moderation:	Reconsider
Moderation Comment:	Same as above.
Approval:	Accepted

Standard:	The report appears free of significant methodological and analytic flaws
Comment and Analysis:	Although there is no Conclusions Chapter in the report, the Analysis of Findings section builds on the research findings and documents a Theory of Change for the programme which the researchers note had hitherto not been formally documented.
Rating:	4: The report documents some of the methodological and analytical processes used to ensure that it is free of methodological and analytic flaws
Moderation:	Reconsider
Moderation Comment:	Same as above.
Approval:	Accepted

Standard:	There is appropriate recognition of the possibility of alternative interpretations
Comment and Analysis:	In the section on limitations in the report, the researchers make note of reporting data on projects being incomplete between 2000 and 2002 as well as the three years of reporting data post-project completion also being incomplete. In addition, the survey was only completed by project applicants that had valid addresses. The researcher interviewed felt that this may have affected the representivity of applicants surveyed. Therefore although they do not directly state this, the researchers appear to suggest that there may be the possibility of alternative interpretations given the challenges they encountered with data collection.
Rating:	2: 2
Moderation:	Reconsider
Moderation Comment:	If it is not explicit, is that adequate recognition? Consider revising down and refer to the 5 levels standards documented circulated.
Approval:	Accepted

Standard:	Limitations of all aspects of the methodology and findings are clearly articulated (e.g. limitations of scope or evaluation design, recommendation for additional research, data collection challenges, etc)
Comment and Analysis:	The DPME noted that the Recommendations were made in consultation with the Steering Committee and the Peer Reviewer to ensure they were clear and implementable. The DPME noted that members of the Steering Committee had vast knowledge of the sector as well as experienced evaluators.
Rating:	5: Limitations of all aspects of the methodology are addressed separately and exhaustively with clear distinctions between different kinds of limitations and document steps taken to mitigate or limit the consequences of these limitations
Moderation:	Reconsider
Moderation Comment:	Use of DPME acronym and full stop at the end of the last sentence.
Approval:	Accepted

## Strength of conclusions

Standard:	Conclusions are derived from evidence
Comment and Analysis:	The Steering Committee comprised stakeholders from all the partnering organisations. The team was well balanced and their inputs helped to improve the quality of the report including the recommendations. The service provider also indicated that the Steering Committee provided substantial inputs, resulting in changes being made to the second draft of the report.
Rating:	4: Conclusions are derived from evidence and well supported by multiple sources of data that has been well analysed
Moderation:	Accepted
Approval:	Accepted

Standard:	Conclusions are derived from evidence
Comment and Analysis:	The report does not specifically have a Conclusions Chapter. However the report does have an Analysis section after the presentation of the research findings, where conclusions of research findings are discussed and judgements relating to programme impact and implementation are stated clearly. This section precedes the Recommendations chapter. This section, draws specifically on the evidence to answer the questions that were originally posed in the project Terms of Reference.
Rating:	4: 4
Moderation:	Reconsider
Moderation Comment:	It is problematic if there is not a section that deals explicitly with Conclusions. If the purpose of the report was to determine the impact of an initiative and there is not a section which concisely renders clear judgement, that is problematic. Consider to what extent conclusions are present elsewhere, potentially in the Analysis section, otherwise mark the evaluation down.
Approval:	Accepted

Standard:	Conclusions address the original evaluation purpose and questions
Comment and Analysis:	The DPME noted that the recommendations are relevant, specific and needs-driven. Recommendations focus on improving programme efficiency such as the need to improve the application appraisal process and the need to formalise internal learnings to generate lessons from applications as well as the need to improve programme linkages and improving monitoring and evaluation of projects in the post-funding period. The recommendations focus on the need to improve systems and therefore would not require drastic changes to the programme, incurring great expense.
Rating:	4: Conclusions address the original evaluation purpose and questions well
Moderation:	Accepted
Approval:	Accepted

Standard:	Conclusions are drawn with explicit reference to the intervention logic or theory of change
Comment and Analysis:	The limitations of the evaluation were noted by the researchers in the report. These limitations, concerned incomplete data records for certain time periods which the evaluation which the evaluation was supposed to cover, data gaps with existing records and incomplete contact details of applicants, limiting the sample size and weakening representativity. With respect to the scope and design of the evaluation, the data-limitations did not permit a comprehensive measurement of programme impact. For example data gaps did not enable the researchers to analyse businesses over longitudinal time periods. The researchers noted that such limitations reduced their ability to identify and attribute impact in some instances and resulted in the evaluation having a greater focus on implementation issues that enhanced or diluted programme impact.
Rating:	4: Conclusions are drawn with an explicit reference to, and provide a clear judgement on, the intervention logic or theory of change
Moderation:	Reconsider
Moderation Comment:	Distinguish between limitations of the methodology and limitations of the scope and design of the evaluation. Consider to what extent these are data and methodological limitations in the context of the overall evaluation.
Approval:	Accepted



## Suitability of recommendations

Standard:	Recommendations are made in consultation with relevant government officials, stakeholders and sectoral experts
Comment and Analysis:	The full report does not document procedures intended to ensure confidentiality. However, the introduction to the online survey does indicate to respondents that their responses will be treated confidentially.
Rating:	2: Recommendations are made with indirect or partial consultation of government officials, stakeholders and sectoral experts
Moderation:	Reconsider
Moderation Comment:	Revise the score down as it does not meet the adequate standard.
Approval:	Accepted
Standard:	Recommendations are useful- they are relevant, specific, feasible, affordable and acceptable
Comment and Analysis:	The dti and DPME have indicated that the report has been circulated among staff. Within the DPME the report has been posted on their internal M Drive and after Cabinet approval, will be loaded onto the DPME website. Within the Steering committee, programme staff were able to comment on the draft report. However beyond programme and DPME staff, the report has not been presented to a wider audience as it is still awaiting Cabinet approval.
Rating:	3: Recommendations are useful- they are relevant, specific, feasible, affordable and acceptable to an extent
Moderation:	Reconsider
Moderation Comment:	Differentiate between circulation and presentation. To what extent was it presented and engaged with in draft form and to whom? What about the beneficiaries who acted as respondents?
Approval:	Accepted
Standard:	Recommendations are relevant to the current policy context
Comment and Analysis:	The service provider noted that recommendations were informed by Genesis' accumulated experience with funding instruments and the innovation landscape. The DPME noted that the recommendations are policy-oriented because they clarify the objectives of the intervention. This has led to a logframe and theory of change being developed which will in turn facilitate the improvement of the implementation of the SPII through through policies and strategies to improve its effectiveness and efficiency. One of the main policy recommendations is that the programme should not be overwhelmed by a mandate to address job creation and the programme should rather focus on enhancing innovation in business and industry. The dti also agreed that the recommendations were relevant to the current policy context.
Rating:	5: 5
Moderation:	Reconsider
Moderation Comment:	Comment good, just check spelling on policy oriented and use of acronyms.
Approval:	Accepted

## Acknowledgement of ethical considerations

Standard:	The full report documents procedures intended to ensure confidentiality and to secure informed consent where necessary (in some cases this is not needed - e.g. evaluation synthesis - in which case N/A should be recorded)
Comment and Analysis:	The DPME and the dti indicated that the evaluation was completed withing the budget.
Rating:	4: The full report documents all procedures to ensure confidentiality and to secure informed consent and provides some examples in appendices
Moderation:	Accepted
Approval:	Accepted

Standard:	Peer review of the draft evaluation report occurred prior to finalisation of the evaluation report
Comment and Analysis:	The DPME and the service provider highlighted the role of the peer reviewer at all stages of the evaluation process, including the finalisation of the research report. Also, the report was referred back to the Steering Committee on several occasions for further improvement before finalisation. The report was finally approved in May 2014.
Rating:	4: 4
Moderation:	Accepted
Approval:	Accepted

Standard:	There are no risks to participants or institutions in disseminating the evaluation report on a public website
Comment and Analysis:	The report is still awaiting Cabinet Approval and therefore is not yet publically available.
Rating:	: N/A
Moderation:	Accepted
Approval:	Accepted

Standard:	There are no risks to participants in disseminating the original report on a public website
Comment and Analysis:	According to the DPME, the full report will be published, suggesting that there are no risks to participants. Info-graphics and policy briefs will also be produced after the full report has been released. However the report is awaiting Cabinet approval before this can happen.
Rating:	4: 4
Moderation:	Accepted
Approval:	Accepted

Standard:	There are no unfair risks to institutions in disseminating the original report on a public website
Comment and Analysis:	The dti official noted that the evaluation would be available to the wider public but that there is a need to protect confidential information. The DPME indicated that the report would be publically accessible and that policy briefs and info-graphics would also be developed to ensure its accessibility to different audiences.
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	Address the standard rather than the eventuality. To what extent are there unfair risks to institutions involve in disseminating the original report?
Approval:	Accepted

## Project management (Reporting phase)

Standard:	A project closure meeting that reflected on the challenges and strengths of the evaluation process o
Comment and Analysis:	The service provider indicated that they were not part of any project cluster meeting to reflect on the challenges and strengths of the evaluation process. Genesis however noted that they were requested to write a note on their experiences with all their previous evaluations commissioned by the DPME, rather than reflecting on SPII evaluation specifically.
Rating:	2: 2
Moderation:	Reconsider
Moderation Comment:	Spelling and consider revising the score down as this does not meet the reflection standard.
Approval:	Accepted

## Follow-up, use and learning

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### Resource utilisation

Standard:	The evaluation was completed within the planned timeframes
Comment and Analysis:	Both the dti and DPME indicated that evaluation had been completed and within the timeframe as planned. Only delays in comments on the final draft of the report, delayed the finalisation of the report
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	Consider revising down as a result. This is an important part of the process and requires management on the part of the client.
Approval:	Accepted

Standard:	The evaluation was completed within the planned timeframes and budget
Comment and Analysis:	The service provider indicated that there was no conclusive evidence of this. But they noted that since the report on the findings of the study have been submitted to the commissioning departments, a new ToR has been released, focussing on the post - proto type phase of projects to bring them to the commercialisation stage. Some of the recommendations in the present evaluation concerned how to bridge the gap between the post-prototype phase and the commercialisation phase. The releasing of the new ToR on commercialisation of projects may suggest that some of the recommendations and findings from the study have already been internalised and are being implemented with the issuing of the new ToR dealing with this phase. The DPME also felt that the evaluation had added conceptual value and the one -page policy statement released on the programme was evidence of this.
Rating:	: N/A
Moderation:	Reconsider
Moderation Comment:	Same as above. Good comments though.
Approval:	Accepted

### Evaluation use

Standard:	Results of the evaluation have been presented to relevant stakeholders
Comment and Analysis:	There was no clear evidence that the evaluation has had a positive influence on the evaluand or any of its stakeholders because of its recent finalisation.
Rating:	: N/A
Moderation:	Accepted
Approval:	Accepted

Standard:	A reflective process has been undertaken by the steering committee with the service provider (if no steering committee exists then by the evaluation management team or the involved department officials) to reflect on what could be done to strengthen future evaluations
Comment and Analysis:	The service provider indicated that there was internal capacity building. There were 3 analysts on the project including a very new young staff member who was interested in a career in monitoring and evaluation.
Rating:	4: A reflective process has been undertaken by the steering committee with the service provider and reflections on how to strengthen future evaluations have been documented
Moderation:	Accepted
Approval:	Accepted

Standard:	A reflective process has been undertaken by the steering committee (if no steering committee exists)
Comment and Analysis:	The service provider indicated that for this specific evaluation, they were not aware of a reflective process having been undertaken. If one had been undertaken they were not part of it. This was an omission because the service provider could have provided valuable inputs as how such an evaluation could be strengthened, based on their practical insights obtained from undertaking the evaluation. The DPME reported that there had been a reflective process and this concerned data management systems in Departments and government agencies. It was agreed because this particular evaluation was initially an impact assessment and reliant on specific impact data collected by the dti, which was not complete, that in future an evaluability assessment should be undertaken first before undertaking an evaluation.
Rating:	3: 3
Moderation:	Reconsider
Moderation Comment:	Check spelling and capitalization. Also, indicate what the value of the reflective process is in the absence of the service provider and how this affects the scoring?
Approval:	Accepted

Standard:	The evaluation study is seen by interviewed stakeholders as having added significant symbolic value
Comment and Analysis:	The service provider felt that this was too early to tell, because there is an 18 month turn-around time, with a process of approval at Cabinet level. The report cannot be published before then and therefore the findings have not raised the profile of the programme or its policies specifically. The DPME felt that the involvement of the Presidency and the fact that the evaluation is included in the National Evaluation Plan approved by Cabinet raised the profile of this programme. In addition, key informants included key senior Officials from Industry, partner departments like the DST and beneficiaries. Nevertheless the DPME also feels that it is still too early to make a judgement about the symbolic value of the programme, for the above mentioned reason.
Rating:	: N/A
Moderation:	Reconsider
Moderation Comment:	Consider marking this N/A.
Approval:	Accepted

Standard:	The evaluation study is seen by interviewed stakeholders as having added significant symbolic value to the policy or programme (e.g. raised its profile)
Comment and Analysis:	The service provider reported that the independent peer reviewer appointed for the evaluation, reviewed the evaluation plan which included the evaluation design and methodology, the specific instruments and the case study sample selection approach.
Rating:	4: The evaluation study is seen by interviewed stakeholders as being of substantial symbolic value to the policy or programme and has noticeably raised its profile amongst stakeholders
Moderation:	Accepted
Approval:	Accepted

Standard:	The evaluation study is of conceptual value in understanding what has happened and possibly in shaping future policy and practice
Comment and Analysis:	Piloting of the instruments was indicated in the proposal and the service provider noted that the quantitative survey questionnaire was piloted and the case study format was also revised after the first grantee interaction.
Rating:	4: The evaluation study is of conceptual value in understanding what has happened and some interviewed stakeholders indicated the likelihood of it constructively shaping policy and practice
Moderation:	Reconsider
Moderation Comment:	Spell-check the comment.
Approval:	Accepted

Standard:	Development of a draft improvement plan has been started, but not completed, based on the findings a
Comment and Analysis:	The service provider was of the opinion that this was too early because the report's findings have not yet been submitted to Cabinet for implementation of recommendations. The DPME noted that the improvement plan is developed only after receiving an approved management response from the custodian department. It focuses on recommendations agreed upon by the custodian department. The DPME has received the management response and is planning a workshop before the end of August to develop the improvement plan.
Rating:	: N/A
Moderation:	Accepted
Approval:	Accepted

Standard:	There is clear evidence of instrumental use - that the recommendations of the evaluation were implem
Comment and Analysis:	The report was finalised in May 2014. There was no clear evidence of instrumental use.
Rating:	: N/A
Moderation:	Accepted
Approval:	Accepted

## References

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Department of Trade and Industry and the Presidency, Republic of South Africa, Department of Performance Monitoring and Evaluation. Terms of Reference for the Impact Evaluation of Support Programme for Industry Innovation. June 2013

Genesis. Impact Evaluation of Support Programme Industry Innovation (SPII). Revised Proposal for the DPME and the dti. September 2013

Genesis. Impact Evaluation of the Support Programme for Industry Innovation (SPII). Inception Report. September 2013

Genesis. Impact evaluation of the Support Programme for Industrial Innovation. Final Evaluation Report. 1,3, 25 version. 24 April 2014

Genesis. Report on the implementation/impact evaluation of Support Programme for Industrial Innovation. Full Report. 24 April 2014

DPME. Minutes of workshop to comment on the draft evaluation report. 21 January 2014

Genesis. Impact Evaluation of the Support Programme for Industry Innovation (SPII). Proposal Presentation to the Department of Performance Monitoring and Evaluation. August 2013

## List of Interviewees

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Timothy Dladla. Department of Trade and Industry. Monitoring and Evaluation Manager 24 July and 31 July

Alyna Wyatt. Project Manager. Genesis Analytics. 23 and 25 July

Jabu Mathe. DPME. Evaluation Director. 28 July

Ephraim Baloyi. Department of Trade and Industry. Programme Manager. 24 July and 31 July