



Department of Trade and Industry



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 (SPII)

RFP / Bid number: Evaluation 13/

Compulsory briefing session

Date: 5 July 2013

Time: 11.30-13.00

Venue: To be confirmed East Wing, Union Buildings

Please note that security procedures at the Union Buildings can take up to 30 minutes.

Bid closing date:

19 July 2013, 2013, 12.00. The service provider must provide an electronic version of proposal and 6 hard copies.

1 Background Information and Rationale

The Support Programme for Industrial Innovation (SPII) was introduced 23 years ago as a programme to support innovation and technology. The Programme offers grants to Small, Micro and Medium Enterprises (SMMEs) and large enterprises. The aim is to promote the development of commercially viable, innovative products and or processes and to facilitate commercialization of such technologies. The focus of the financial support is specifically on the development phase, which begins at the conclusion of basic research and ends at the point when a pre-production prototype has been produced. The programme is administered by the Industrial Development Corporation (IDC).

The SPII is directly linked to Outcome 4: Decent employment through inclusive growth. Since the 2007/8 Financial Year, the Programme has disbursed R339.9 million to 269 companies, resulting in the creation of 5012 shop-floor jobs. SMME development has been identified by government as a key contributor to job creation. As such, addressing the challenges that have been identified about the SPII is crucial. The key challenge that has been identified is a shortage of funding for the programme over the years which has resulted in a situation where the current allocation will be exhausted in a period less than eighteen months.. If this challenge is not addressed swiftly, the viability of the Programme may be negatively impacted. It is envisaged that the evaluation will recommend interventions to address this challenge, so that the bulk of programme funds are channelled towards research and product development. Another challenge

4. Intended Users and Stakeholders of the Evaluation

The main user of the evaluation results will be the dti. There are also other government departments which will have an interest in the evaluation results, including Cabinet, the Presidency, the National Treasury, other departments in the economic cluster, agencies, and the private sector.

5. Scope of the Evaluation

- The period under review is thirteen years (2000/01 – 2012/13)
- The evaluation should provide an understanding of how programme impacts are differentiated across all the sectors in which the programme is active.
- The evaluation should also provide an understanding of how programme impacts are differentiated across the three programme schemes, namely: Product Process Development (PPD), Matching, and Partnership.
- In terms of geographic coverage, SPII projects are concentrated in 3 provinces, namely: Gauteng, Western Cape, and KwaZulu Natal and it is anticipated that primary data generation will require travelling to these 3 provinces. However, proposals that include justification for traveling to additional provinces will be considered.

6. Products/Deliverables

The service provider is expected to deliver the following products:

- **Inception Report** as a follow-up to the proposal with a revised evaluation plan, overall evaluation design and detailed methodology and content structure for the final report. This forms the basis for judging performance;
- **Literature review** (including a benchmarking study)
- **Final data collection instruments** and other tools;
- **Analysis plan**;
- **Field work report**;
- **Draft Evaluation Report** for review, full and in 1/3/25 format, with findings and recommendations. The report should be submitted to the contact person of the DPME.
- **A workshop with stakeholders** to discuss the draft report;
- The **final evaluation report**, both full and in 1/3/25 format, in hard copy and electronic;
 - The service provider will need to review the attached Theory of change on **Annexure A** and give inputs & comments.
 - The service provider will need to suggest what revisions to the logic model (outcomes and outputs) are needed, and a rating of progress towards outputs, bottlenecks that hinder the achievement of outputs, reasons underpinning SPII performance and information for potential replication of lessons for successful projects.
- **Provision of all datasets, metadata and survey documentation** (including interviews) when data is collected.
- **A Power-point or audio-visual presentation of the results.**

7. Methodology/evaluation approach

Service providers are expected to recommend appropriate methodology that will respond to the evaluation questions in **section 3** above. This may include:

A workshop with stakeholders to discuss the draft report	3/12/2013	
Submission of the Final Draft Report full and in 1/3/25 format	3/02/2014	
Approved final evaluation report (approved by Steering Committee)	12/02/2014	20%
Power-point or audio-visual presentation of the results and provision of all datasets, metadata and survey documentation (including interview transcripts).	27/02/2014	10%

9. Competencies and Skills-set

The following Table of generic competencies is required of the service provider:

Domain/descriptor	Demonstrated ability to
1 Overarching considerations	
1.1 Contextual knowledge and understanding	<p>Have knowledge of relevant sectors and government systems in relation to outcome 4 “decent employment through inclusive economic growth”.</p> <p>Ought have knowledge and understanding of research, development, and technology innovation environment (domestic and relevant international markets). Appropriately relate the evaluation to current political, policy and governance environments.</p> <p>Perform appropriately in cross-cultural roles with cultural sensitivity and attends appropriately to issues of diversity</p>
1.2 Ethical conduct	Understand ethical issues relating to evaluation, including potential or actual conflict of interest, protecting confidentiality/anonymity, and obtaining informed consent from evaluation participants.
1.3 Interpersonal skills	Lead an evaluation and its processes using facilitation and learning approaches, to promote commitment and ownership of stakeholders
2 Evaluation leadership	Lead and manage an evaluation team effectively
3 Evaluation craft	
3.1 Evaluative discipline and practice	Use knowledge base of evaluation (theories, models including logic and theory based models, types, methods and tools), critical thinking, analytical and synthesis skills relevant to the evaluation
3.2 Research practice	<p>Design specific research methods and tools that address the evaluation’s research needs. This may include qualitative, quantitative or mixed methods.</p> <p>Systematically gather, analyse, and synthesise relevant evidence, data and information from a range of sources, identifying relevant material, assessing its quality, spotting gaps.</p>
4 Implementation of evaluation	
4.1 Evaluation planning	
Theory of change	Develop clear theory of change with quality programme

12.1 Structure and contents of proposal

A structure and contents of a proposal required from the service provider is shown in **Box 2** below.

Box 2. Structure of a proposal

The tenderer must provide the following details. Failure to provide this will lead to disqualification.

- 1 Understanding of the intervention and the TORs
- 2 Approach, design and methodology for the evaluation (eg literature and documentation review, data collection, tools, sample, suggestions for elaboration or changes to scope and methodology as outlined in the TORs, examples of evaluation questions suggested, process elements)
- 3 Activity-based evaluation plan (including effort for different researchers per activity and time frame linked to activities)
- 4 Activity-based budget (in South African Rand, including VAT)
- 5 Competence (include list of related projects undertaken of main contractor and subcontractors, making clear who did what, and contact people for references)
- 6 Team (team members, roles and level of effort)
- 7 Capacity development elements (building capacity of partner departments and PDI/young evaluators)
- 8 Quality assurance plan (to ensure that the process and products are of good quality)

Attachments

Example of a related evaluation report undertaken

CVs of key personnel

Completed supply chain forms attached herewith (including updated tax clearance)

13. Information for service providers

The service provider should provide a proposal following the structure above. In addition short-listed candidates will be asked to come and present their proposals on 02 August 2013 as part of the selection process. Tenders should be submitted by 16.00 on 14 May 2013 with electronic and 6 hard copies.

13.1 Key background documents

A list of key documents will be provided at the bidders briefing meeting.

13.2 Evaluation criteria for proposals

This refers to the criteria for assessing the received proposals and the scores attached to each criterion. There are standard government procurement processes. Two main criteria are functionality/capability and price. Functionality/capability factors must cover the competences outlined in **section 9** as demonstrated through:

- Quality of proposal;
- Service provider's relevant previous experience including of any subcontractors;
- Qualifications and expertise of the proposed evaluation team members.

	key competences related to this assignment:				
1. Overarching Considerations					
1.1. Contextual Knowledge and understanding	<ul style="list-style-type: none"> Understand the relevant sector and government systems in relation to the evaluation and can appropriately relate the evaluation to the current political, policy and governance environments. 	3			6
	<ul style="list-style-type: none"> Knowledge of research development and innovation. 	8			16
1.2 Ethical Conduct	<ul style="list-style-type: none"> Understand ethical issues relating evaluation, including potential or actual conflict of interest, protecting confidentiality/anonymity, and obtaining informed consent from evaluation participants. 	2			4
2. Evaluation Leadership	<ul style="list-style-type: none"> Lead an evaluation team effectively to project completion, using facilitation to promote commitment and ownership of evaluation. 	2			4
3. Evaluation Craft					
3.1 Evaluative discipline	<ul style="list-style-type: none"> Use knowledge base of evaluations of evaluation (theories, models including logic and theory based models, types, methods and tools) critical thinking, analytical and synthesis skills relevant to the evaluation. 	3			6
3.2 Research Practice	<ul style="list-style-type: none"> Ability to systematically gather, analyse, and synthesise relevant evidence, data and information from a range of sources, identifying relevant material, assessing its quality, spotting gaps. 	3			6
4. Implementation of Evaluation					
4.1 Evaluation Planning Theory of Change	<ul style="list-style-type: none"> Ability to develop clear theory of change with quality programme logframes with good programme logic and indicators 	3			6
4.2 Managing Evaluation	<ul style="list-style-type: none"> Ability to manage evaluation resources to deliver high quality evaluations and related objectives on time and to appropriate standards 	2			4
4.3 Report writing and communication	<ul style="list-style-type: none"> Ability to write clear, concise and focused reports that are 	5			10

