



Department of Performance Monitoring and Evaluation

Report on the Assessment of Government Evaluations

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| Evaluation Title: | Formative Evaluation of the Presidential Intervention within the King Sabata Dalindyebo Local Municipality, Eastern Cape Province |
| Evaluation Number: | 436 |
| Evaluation Completion Date: | 04 July 2014 |
| Period of Evaluation: | December 2012 - July 2014 |
| Submitted: | 22 October 2014 by Cathy Chames |
| Approved: | 29 October 2014 by Mike Leslie |

Evaluation Details

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| Evaluation Title: | Formative Evaluation of the Presidential Intervention within the King Sabata Dalindyebo Local Municipality, Eastern Cape Province |
| Evaluation Number: | 436 |
| Evaluation Completion Date: | 04 July 2014 |
| Created: | 17 July 2014 by Mike Leslie |
| Submitted: | 22 October 2014 by Cathy Chames |
| Approved: | 29 October 2014 by Mike Leslie |
| Period of Evaluation: | December 2012 - July 2014 |
| Known Cost: | R 750,000.00 |
| Known Cost Type: | Estimate |
| Initiated By: | Department of Performance Monitoring and Evaluation, The Presidency |
| Initiated By Internal: | Yes |
| Undertaken By: | Impact Economix |
| Undertaken By Internal: | No |

Assessors

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Assessment Documents

| Document Name: | Document Type: | Added By: | Added On: |
|--|---|--------------|-------------------|
| KSD 1-5-25 Report 14.07.04.pdf | Evaluation report | Mike Leslie | 17 July 2014 |
| KSD TOR 15 Nov 12 (1).docx | Terms of Reference (ToR) for the evaluation | Cathy Chames | 21 August 2014 |
| KSD PI Evaluation Proposal Extract.pdf | The proposal selected to conduct the evaluation | Cathy Chames | 23 August 2014 |
| Assessment Report at Moderation.pdf | Assessment Report at Moderation | Mike Leslie | 30 September 2014 |

Quality Assessment Summary

The overall score for this evaluation is 2.55. The planning and design phase scored 2.28 with adequacy of resourcing for the planning phase scoring the lowest (2). The main reason for this low score is because the original time frame of four months allocated to the study was unrealistic given the amount of time it took to set up the Steering committee and obtain access to key programme documents. In addition to this, no capacity building plan was developed for staff in the public service. Whilst a consultative process was used for the evaluation design and methodology there was no reference made to the intervention logic or theory of change in the TOR; and no clear plan for using the findings of the evaluation at the outset. Furthermore, a number of the questions contained in the TOR spoke to impact but the methods proposed did not include methods for collecting data from beneficiaries in order to measure changes at a household level.

The implementation phase of the evaluation received a score of 2.34. Although the DPME was committed to ensuring the evaluation was free and open, concern was raised regarding the impartiality of the report because it was re-written by the DPME project manager. During this phase, participation of the KSD PI Project Management Unit (PMU) was good and resulted in an element of capacity building of these stakeholders in terms of understanding the value and importance of evaluations. On the other hand, the evaluation team did not incorporate an element of skills development amongst the evaluators and this, together with poor planning for capacity building resulted in the low overall score of 2 for capacity development as an overarching consideration. The methodological integrity of the study got mixed results with two key weaknesses being the non-piloting of the survey instrument and the non-inclusion of beneficiaries in the sample group. Furthermore the finalisation of the report was significantly delayed due to the poorly integrated writing, commenting and editing processes which made it extremely time consuming to revise the reports.

The reporting phase of the study received the highest score of 2.78. In terms of the report structure, the context of the development intervention was well presented together with a detailed methodology and acknowledgement of limitations. However, the more attention to the structure of the findings would have assisted with the flow and logic of the report. The report still requires a good edit before it is published and thus it received a low score of 2 for adequacy of layout, consistency of formatting, grammatical errors etc. In general, the robustness of findings were adequate as they were based on sufficient analysis of available evidence. Whilst the conclusions are derived from evidence, they do not explicitly address all of the original evaluation questions and there is no explicit reference to the intervention logic or theory of change in the concluding section. A strength of the reporting phase are the recommendations which were shaped in close consultation with the KSD PI PMU. They are also very detailed and are targeted at specific audiences sufficiently. The report is not yet available on a public website, however, the risk of doing so needs to be assessed by The Presidency because some of the issues raised may be of a sensitive nature and could place the municipality at risk if disseminated.

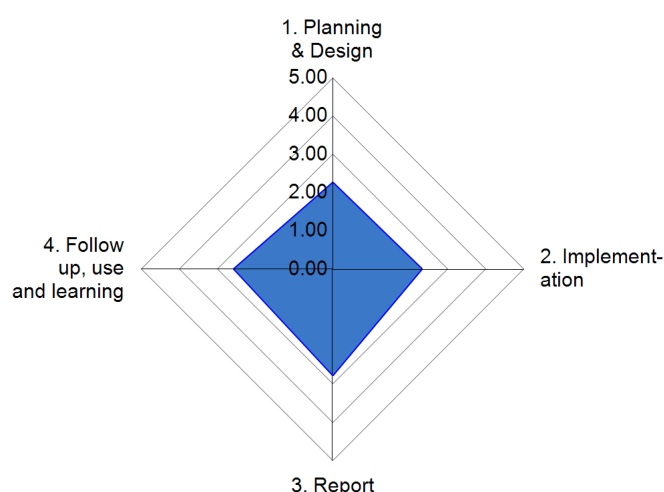
The follow-up, use and learning phase received a score of 2.58. The low score can be attributed to the lack of reflective process being undertaken by the steering committee or PMU. A strength of this phase is that the findings were presented to members of the PMU who were able to validate the findings which were incorporated into the report. The evaluation is also seen as being of conceptual value since it has offered a unique opportunity to improve understanding of inter-government relations and the strengths and challenges of implementing Presidential Interventions. It is thus foreseen that the evidence and recommendations of the study will be very useful for future implementation of PIs.

Quality Assessment Scores

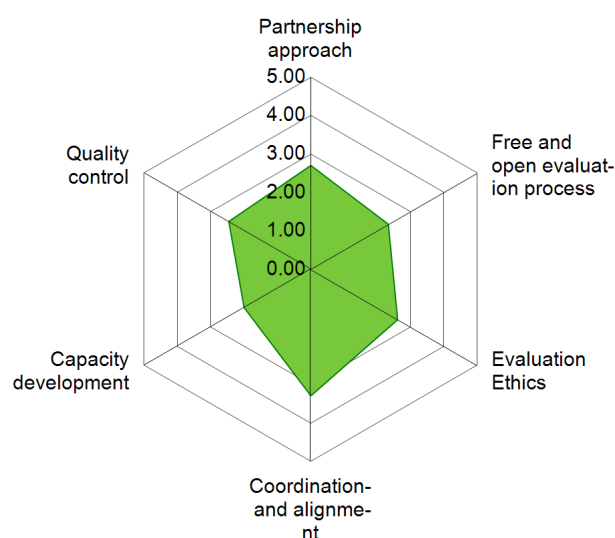
| Phase of Evaluation | Score |
|--------------------------------|-------------|
| 1. Planning & Design | 2.28 |
| 2. Implementation | 2.34 |
| 3. Report | 2.78 |
| 4. Follow-up, use and learning | 2.58 |
| Total | 2.55 |

| Overarching Consideration | Score |
|----------------------------------|-------------|
| Partnership approach | 2.70 |
| Free and open evaluation process | 2.33 |
| Evaluation Ethics | 2.61 |
| Coordination and alignment | 3.30 |
| Capacity development | 2.00 |
| Quality control | 2.46 |
| Total | 2.55 |

Scores: Phases of Evaluation



Scores: Overarching Considerations



| Phase of Evaluation | Area of Evaluation | Score |
|--------------------------------|--|-------|
| 1. Planning & Design | 1.1. Quality of the TOR | 2.38 |
| 1. Planning & Design | 1.2. Adequacy of resourcing | 2.00 |
| 1. Planning & Design | 1.3. Alignment to policy context and background literature | 3.00 |
| 1. Planning & Design | 1.4. Appropriateness of the evaluation design and methodology | 2.17 |
| 1. Planning & Design | 1.5. Project management (Planning phase) | 2.00 |
| 2. Implementation | 2.1. Evaluation ethics and independence | 2.36 |
| 2. Implementation | 2.2. Participation and M&E skills development | 2.20 |
| 2. Implementation | 2.3. Methodological integrity | 2.44 |
| 2. Implementation | 2.4. Project management (Implementation phase) | 1.00 |
| 3. Report | 3.1. Completeness of reporting structure | 2.96 |
| 3. Report | 3.2. Accessibility of content | 2.47 |
| 3. Report | 3.3. Robustness of findings | 2.64 |
| 3. Report | 3.4. Strength of conclusions | 2.29 |
| 3. Report | 3.5. Suitability of recommendations | 3.54 |
| 3. Report | 3.6. Consideration of reporting risks and ethical implications | 2.77 |
| 3. Report | 3.7. Project management (Reporting phase) | 3.00 |
| 4. Follow-up, use and learning | 4.1. Resource utilisation | 1.80 |

| Phase of Evaluation | Area of Evaluation | Score |
|--------------------------------|---------------------|-------------|
| 4. Follow-up, use and learning | 4.2. Evaluation use | 3.14 |
| Total | Total | 2.55 |

1. Planning & Design

1.1. Quality of the TOR

Standard: 1.1.1. The evaluation was guided by a well-structured and complete TOR or a well-structured and complete internal evaluation proposal

Comment and Analysis: The TOR is comprehensive but lacks clarity in some areas. Examples of this includes: two sections entitled 'methodology' with each referring to different content; and using the term 'document review' and 'literature review' interchangeably which are both very different deliverables. Some of the concepts used are confusing. For example the methodology section refers to the need for a 'time series analysis' to inform the baseline for the evaluation, however, there is no other mention of baseline data in the TOR. Also, the King Sabata Dalindyebo Local Municipality (KSD) Presidential Intervention (PI) worked according to seven work streams and this was not clear in the TOR and thus the service provider could not have appreciated the full scope of work that was required.

Rating: 3

Standard: 1.1.2. The purpose of the evaluation stated in the TOR (or an internal evaluation proposal) was clear and explicit

Comment and Analysis: The purpose of the evaluation is covered in two different sections of the TOR and some of the concepts used are confusing since standardised evaluation criteria are not used. For example, the TOR states that the objective of the evaluation is 'to establish the merits and trade-offs based on work, replicability and efficient attainment of government priorities'. Further on in the document it states that the purpose and focus of the evaluation should be to determine whether the PI 'is an ideal solution to driving change'. Overall it is unclear whether the focus of the evaluation is about a) improving intergovernmental planning and intervention in general or b) how to plan PIs of this nature specifically in the future or c) outcomes (changes) of the programme at community level.

Rating: 2

Standard: 1.1.3. The evaluation questions in the TOR (or an internal evaluation proposal) were clearly stated and appropriate for addressing the evaluation purpose

Comment and Analysis: The TOR indicates that the evaluation should focus on three 'evaluation elements' or themes and presents many questions under each element. Whilst some of the questions are very specifically related to the particular evaluation element, most of them are more general and cut across all the evaluation elements. They could therefore have been posed as overarching questions which the evaluation should seek to answer. Although the overall purpose of the evaluation is to assess implementation, some of the questions posed talk to outcomes and impact of the programme at community level.

Rating: 2

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| Standard: | 1.1.4. 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 TOR indicates that this is both a design and process evaluation which is suited to the purpose. Interviewees indicated that the type of evaluation chosen was appropriate because the primary purpose was to understand how the PI was being implemented and challenges surrounding implementation. However, there are questions contained in the evaluation scope which are suggestive of an impact evaluation under the respective themes and this is not specified in the TOR. |
| Rating: | 2 |
| Standard: | 1.1.5. The TOR (or an internal evaluation proposal) identified the intended users of the evaluation and their information needs |
| Comment and Analysis: | The intended users of the evaluation are broadly identified as the President, Cabinet, EC Premier's Office, District and local municipalities and the technical teams and municipalities. The information needs of each group are not specified. |
| Rating: | 2 |
| Standard: | 1.1.6. Key stakeholders were involved in the scoping of the TOR and choosing the purpose of the evaluation |
| Comment and Analysis: | This evaluation was not contained in the National Evaluation Plan and it is unclear where the need to evaluate this intervention originated. Despite this, the PMU for the KSD PI were informed, well beforehand, that an evaluation would be undertaken of the programme. They were also given an opportunity by the DPME to give inputs into the TOR. |
| Rating: | 3 |

1.2. Adequacy of resourcing

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| Standard: | 1.2.1. The evaluation was adequately resourced in terms of time allocated |
| Comment and Analysis: | The TOR allocated a time frame of four months for the evaluation (18 January 2013-15 May 2013) which was unrealistic and based on various assumptions including the length of time it would take to: appoint the service provider, access to key programme documents, set up the steering committee, and provide comments on the various reports. It was noted that the service provider was working on three evaluations for The Presidency at the same time. The DPME was aware of this and agreed to shift the time frames for the study, however, it did lead to some frustration with the slow pace of the evaluation process on both sides. |
| Rating: | 1 |
| Standard: | 1.2.2. The evaluation was adequately resourced in terms of original budget |
| Comment and Analysis: | The budget allocated for professional fees was not adequate since the amount of time spent on integrating comments to the various reports exceeded budget allocations. The budget for expenses was also exceeded due to the number of additional trips which had to be taken to the KSD municipality - it had become important during the evaluation to visit the site a number of times. |
| Rating: | 2 |

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| Standard: | 1.2.3. The evaluation was adequately resourced in terms of staffing and skills sets |
| Comment and Analysis: | The service provider responsible for the evaluation was adequately resourced in terms of skills sets - it was lead by an individual who has 17 years working in local government and has good knowledge of the KD municipality and the Eastern Cape. As noted previously, the service provider was working on three evaluations for The Presidency at the same time and this resulted in the evaluation team having to do too many things at the same time and being 'spread too thin'. |
| Rating: | 3 |

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| Standard: | 1.2.4. Where appropriate, the evaluation planned to incorporate an element of capacity building of partners/staff responsible for the evaluand |
| Comment and Analysis: | The TOR did not mention the need for a capacity building element to be incorporated into the evaluation and this was not specified as a requirement by the DPME. Despite this, the proposal does indicate that a capacity building approach would be followed throughout the evaluation. This was fulfilled to some extent. |
| Rating: | 2 |

1.3. Alignment to policy context and background literature

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| Standard: | 1.3.1. There was evidence that a review of the relevant policy and programme environments had been conducted and used in planning the research |
| Comment and Analysis: | The TOR contains an introductory and background section which contains the historical background to the PI; including details on the programme design and institutional arrangements; and the objectives and focus of the KDS PI. The proposal contains a brief section on the KSD context including a reference to the Mthatha Master Plan 2008; however it contains no reference to relevant policies. It was noted by interviewees that there is currently no policy surrounding the implementation of Presidential Interventions and hence the review of relevant policy documents was limited. |
| Rating: | 3 |

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| Standard: | 1.3.2. There was evidence of a review of appropriate literature having been conducted and used in planning the research |
| Comment and Analysis: | The introductory section of the TOR contains a brief section on the KSDLM context which presents statistics on poverty and challenges related to service delivery in the municipal area. These are drawn from reports from various government departments (e.g. National Treasury, Department of Water Affairs). The proposal does not cite any literature related to the context but does make reference to DPME's Evaluation Framework. |
| Rating: | 3 |

1.4. Appropriateness of the evaluation design and methodology

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| Standard: | 1.4.1. 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: | No reference is made to the intervention logic or theory of change in the TOR. Interviewees indicated that this was a gap from the outset because the KSD PI was based on the 2030 Mthatha Master Plan and there was no planning undertaken to determine the specific objectives for the programme, the intervention logic or theory of change (TOC) prior to the evaluation. The proposal highlights the need to develop an "Intervention Logical Framework and associated logic theory" as part of the inception phase of the report based on review of documents and interviews. |
| Rating: | 2 |
| Standard: | 1.4.2. Key stakeholders were consulted on the design and methodology of the evaluation |
| Comment and Analysis: | Consultation with key stakeholders on design and methodology was done to a certain extent. A workshop with the Project Management Unit for the KSD PI was held to launch the evaluation process and input from a SWOT analysis helped to refine the evaluation plan. It was noted that the evaluation team did not have access to the minutes of the technical and ministerial IMC and this would have given them insight into what decisions were made regarding the evaluation design and methodology. Furthermore, there was no thorough interrogation of the evaluation design, methodology and questions from the DPME. There was also lack of clarity at the outset on the purpose and nature of the literature review (mentioned in the TOR). |
| Rating: | 2 |
| Standard: | 1.4.3. The planned methodology was appropriate to the questions being asked |
| Comment and Analysis: | The questions being asked were mostly qualitative and a mixed method approach was planned using qualitative and quantitative methods for data collection combining a survey, document review and key informant interviews. The decision to include a survey did not add much value to the planned evaluation, particularly since the response rate was so low and since most of the questions could have been answered through a purely qualitative approach. Furthermore, a number of the questions spoke to impact and methods for collecting data from beneficiaries to measure changes (outcomes) at a household level was not included in the methodology. |
| Rating: | 2 |
| Standard: | 1.4.4. Sampling was appropriate and adequate given focus and purpose of evaluation |
| Comment and Analysis: | Although not specified in the proposal or the final report, it appears that a purposive sampling technique was used to select key stakeholders for interviews and the survey. Since one aspect of the study was on the implementation of the KSD PI, the sample was appropriate to some degree because it included a range of stakeholders from national, provincial and local KSD PI work stream structures as well as business and civil society stakeholders. On the other hand, the evaluation questions and objective included the need to establish whether there was "efficient attainment of government development priorities". This suggests a need to go beyond measuring outputs to outcomes. Thus the exclusion of beneficiaries in the sample is a gap in the sampling technique. |
| Rating: | 2 |

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| Standard: | 1.4.5. There was a planned process for using the findings of the evaluation |
| Comment and Analysis: | It was broadly understood that the findings would be used to inform the planning of future Presidential Interventions and therefore it would be presented to various structures including the IMC which would be responsible for taking the recommendations forward. There was discussion during the inception meeting around how the findings would be used but it is unclear whether a clear process for using findings had been mapped out during the planning phase of the evaluation. |
| Rating: | 3 |

1.5. Project management (Planning phase)

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| Standard: | 1.5.1. The inception phase was used to develop a common agreement on how the evaluation would be implemented |
| Comment and Analysis: | An inception report, together with an evaluation plan, which clarified how the evaluation would be implemented was submitted to DPME for comment at the beginning of the project. This was the basis for a common agreement on how the evaluation would be implemented. Whilst attempts were made by the service provider to obtain comment and feedback from the DPME on the inception report, there was limited response, mainly because the management of the evaluation within the DPME was shifted from one individual to another. |
| Rating: | 2 |

2. Implementation

2.1. Evaluation ethics and independence

Standard: 2.1.1. Where data was gathered in contexts where ethical sensitivity is high, appropriate clearance was achieved 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: In a study such as this, which attracted the attention of the highest decision-makers in the land and their serious scrutiny of the initiative, ethical considerations would have been needed when undertaking interviews. Whilst a consent form was not used for interviewees they were guaranteed anonymity and confidentiality during interviews. However, this was not properly adhered to because the first report contained the names of respondents. The DPME insisted that names be removed to protect respondents, but it was noted that there were some instances where it was quite obvious who the sources were and thus anonymity was not fully guaranteed.

Rating: 1

Standard: 2.1.2. Where external, the evaluation team was able to work freely without significant interference

Comment and Analysis: On the whole there was commitment from the The Presidency (DPME) to ensure that the evaluation was free and open. However, interviewees indicated that some aspects of the evaluation process may have affected its independence to some extent. Firstly, the final integrated report was re-written by the DPME project manager. Although the service provider was asked to comment on the report thereafter there was still concern that this may have impacted on independence of findings. Secondly, during the finalisation of the draft, a lot of input was given by the Outcomes Facilitator at DMPE around the 'factual correctness' of some aspects of the report and this may have impacted on its perceived impartiality. Despite this, interviewees all indicated that the intention of this was not to alter the findings but rather to ensure that the recommendations were based on facts.

Rating: 2

Standard: 2.1.3. The evaluation team was impartial and there was no evidence of conflict of interest

Comment and Analysis: There is no evidence of conflict of interest and the evaluation team was impartial.

Rating: 4

2.2. Participation and M&E skills development

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| Standard: | 2.2.1. Key stakeholders were consulted through a formalised mechanism or institutional arrangement |
| Comment and Analysis: | Consultation occurred through two structures: a DPME Steering Committee and the Project Management Unit for the KSD PI. It was noted that the DPME Steering Committee was not completely formalised, did not play a significant role in managing the evaluation and only met once or twice throughout the evaluation process. On the other hand, consultation with the PMU was more robust and occurred four to five times throughout the evaluation. |
| Rating: | 3 |
| Standard: | 2.2.2. Where appropriate, an element of capacity building of partners responsible for the evaluand was incorporated into the evaluation process |
| Comment and Analysis: | Although no formalised capacity building of partners took place, it was reported that the capacity of KSD PI stakeholders was built significantly through participating in PMU meetings/ workshops in terms of understanding what evaluations are and how they work. Despite the many critical findings surfaced by the evaluation, stakeholders understood that these were supported by factual evidence and that the key purpose of the evaluation was to learn where things are not working well and to take action to improve those aspects and they found value in the evaluation process and in having played a role in informing the evaluation. |
| Rating: | 3 |
| Standard: | 2.2.3. Where appropriate, the evaluation team incorporated an element of skills development amongst the evaluators (e.g. students, interns, recent graduates, etc) |
| Comment and Analysis: | There were no students or interns included on the evaluation team and thus no skills development was incorporated into the evaluation team. |
| Rating: | 1 |
| Standard: | 2.2.4. Peer review of the agreed evaluation design and methodology occurred prior to undertaking data collection |
| Comment and Analysis: | No peer review of the evaluation design and methodology took place prior to data collection. |
| Rating: | 1 |

2.3. Methodological integrity

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| Standard: | 2.3.1. The methods employed in the process of the evaluation were consistent with those planned |
| Comment and Analysis: | Overall, the methods employed were consistent with those planned. However, with regards to the literature review it was noted that the requirements for this aspect of the evaluation, including the development of a conceptual framework, lacked clarity from the outset and was addressed too late in the process to impact meaningfully on the design. |
| Rating: | 3 |
| Standard: | 2.3.2. A pilot of data collection instrumentation occurred prior to undertaking data collection |
| Comment and Analysis: | The evaluation team did some limited piloting of data collection instruments for the key informant interview guide as well as the online survey. Approximately three respondents tested each of the instruments and some refinements were identified and implemented. The survey was not piloted and it was noted that this could have assisted with refinements to the survey instrument. |
| Rating: | 2 |
| Standard: | 2.3.3. Data collection was not compromised by fieldwork-level problems or unplanned diversions from original intentions |
| Comment and Analysis: | A number of factors impacted on the data collection process. Firstly, the high turnover of staff from the KSD PI resulted in poor institutional memory of participants. Secondly, the programme documents were not readily available as there was no common repository for documents. In order to address this, the DPME Outcomes Facilitator assisted with gaining access to information. Another factor which impacted on data collection was the tensions between the OR Tambo district municipality and KSD municipality which impacted on attendance at consultative meetings. All of these factors resulted in limited or no data being collected for some of the KSD PI work streams. |
| Rating: | 2 |
| Standard: | 2.3.4. Forms of data gathering were appropriate given the scope of evaluation |
| Comment and Analysis: | Whilst document review and key informant interviews were appropriate forms of data gathering, the use of an on-line survey was less successful. The initial response rate to the survey was very low. In order to address this, the evaluation team, through the guidance of the PMU, distributed the survey as a Word document via email but the response remained low. In retrospect it was felt that the use of an electronic survey was not an appropriate data collection approach for this context and that it would have been more useful to make use of a paper based survey questionnaire in a group setting. |
| Rating: | 3 |

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| Standard: | 2.3.5. The data analysis approach and methods were appropriate and sufficient given the purposes of the evaluation |
| Comment and Analysis: | The data analysis approach and methods were sufficient for the purposes of this evaluation. Each evaluation question for the study was treated as a code for analysis and Atlas.ti software was used for coding all qualitative interviews and documents. Once data was collated for each evaluation question it was then further analysed. Quantitative data collected from the survey was summarised in Microsoft Excel. |
| Rating: | 3 |
| Standard: | 2.3.6. Key stakeholders were significantly engaged as part of the methodology |
| Comment and Analysis: | Key stakeholders of the KSD PI programme were all sitting on the PMU and they were engaged as a group, a number of times throughout the course of the evaluation. A sample of key informants from the different PI work streams were also engaged as interviewees for the study but the high number of vacancies at the municipality resulted in a smaller sample of respondents. Overall there was low levels of engagement by provincial and national KSD PI officials in the study largely because of their competing work pressures. |
| Rating: | 3 |
| Standard: | 2.3.7. The methodology included engaging beneficiaries appropriately as a key source of data and information |
| Comment and Analysis: | Beneficiaries were not included as key sources of data in this study. Although the focus of this study was on the implementation and design of the the KSD PI, the TOR identifies communities as key users of the evaluation and some of the questions contained in the TOR would have been best answered through beneficiary engagement. It was noted that this aspect was never considered in the KSD PI itself and, because they were never involved in intervention itself, it was difficult to identify a beneficiary group for the purposes of the evaluation. |
| Rating: | 1 |

2.4. Project management (Implementation phase)

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| Standard: | 2.4.1. The evaluation was conducted without significant shifts to scheduled project milestones and timeframes |
| Comment and Analysis: | The length of time it took to establish the Steering Committee at the inception phase lead to a delay in start up time of the project. A number of external factors then lead to further shifts in time frames. These included the lack of capacity in the KSD municipality to provide speedy access to documents and key informants; postponement and cancellation of the PMU meetings; and the elections. Finally, there was a lack of integrated management of report-writing, commenting, and editing processes which made it extremely time consuming to revise the reports. The report was finalised in July 2014 which was more than a year later than originally anticipated in the project proposal. |
| Rating: | 1 |

3. Report

3.1. Completeness of reporting structure

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| Standard: | 3.1.1. Executive summary captures key components of the report appropriately |
| Comment and Analysis: | The executive summary which is preceded by a policy summary, covers key components of the report including introduction, implementation of the PI, findings on how the PI is implemented, conclusions and recommendations. Although it is comprehensive, it is too long - 6.5 pages. |
| Rating: | 3 |
| Standard: | 3.1.2. The context of the development intervention is explicit and presented as relevant to the evaluation |
| Comment and Analysis: | The historical background to the KSD LM is presented which provides good insight into the issues which underpin the political and administrative instability of the municipality. The context of the KSD PI is also presented in the report, including its institutional arrangements and governance structures. |
| Rating: | 4 |
| Standard: | 3.1.3. There is a clear rationale for the evaluation questions |
| Comment and Analysis: | Many questions were posed for this evaluation and all of them are listed in the report. They have been broadly linked to the overall evaluation purpose and scope however, they have not been categorised or grouped according to specific evaluation criteria, making it difficult for the reader to understand the main focus or rationale behind each of the questions. |
| Rating: | 2 |
| Standard: | 3.1.4. The scope or focus of the evaluation is apparent in the report |
| Comment and Analysis: | The purpose and scope of the evaluation is presented in the report. |
| Rating: | 3 |
| Standard: | 3.1.5. A detailed methodology is outlined in the relevant section of the report to the point that a reader can understand the data collection, analysis and interpretation approaches used |
| Comment and Analysis: | An overview of the methodology is well presented in the main body of the report, with a full description contained in an annex. Whilst the annex covers all aspects of the data collection, analysis and interpretation approaches, the structure is somewhat confusing. For example, the Evaluation Plan is presented towards the end, whereas it should have been presented earlier on; and the sampling methods used for the survey is presented in a different section to the table presenting the number of survey respondents. |
| Rating: | 3 |

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| Standard: | 3.1.6. Acknowledgement of limitations of all aspects of the methodology and findings are clearly and succinctly articulated |
| Comment and Analysis: | The limitations of the methodology are clearly articulated and contained in the the main body of the report. Further limitations are also included in the annex containing the detailed methodology. They include the lack of access to documents and the low response rate from participants in some of the work streams. |
| Rating: | 3 |
| Standard: | 3.1.7. Key findings are presented in a clear way; they are made distinct from uncertain or speculative findings; and unused data is not presented in the body of the report |
| Comment and Analysis: | The findings are not clearly presented in the report for two reasons. Firstly, there is no clear heading specifying "presentation of findings". Secondly, the data on the coordination approach of the KSD PI is analysed using a particular framework for analysis (based on Urban Regime Theory and a framework which identifies success factors and enablers of coordination structures), and is then further analysed using the research questions as organising themes. These research questions are not linked or grouped in any way making the flow of the report difficult to follow. When findings are uncertain or speculative, the author indicates this in the text. Unused data is presented in annexes to the report. |
| Rating: | 3 |
| Standard: | 3.1.8. Conclusions and recommendations are clear and succinctly articulated |
| Comment and Analysis: | The final section of the report is entitled, "Conclusions, lessons learnt and recommendations". Whilst the lessons learnt and recommendations are clearly articulated, this section lacks a statement of key overall conclusions. Overall this final section is not very succinct and some new findings are presented in this section. |
| Rating: | 3 |

3.2. Accessibility of content

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| Standard: | 3.2.1. The final evaluation report is user-friendly, written in accessible language and its content follows a clear logic |
| Comment and Analysis: | Overall the report is written in language is that is accessible and this was confirmed by interviewees. Whilst the overall structure is clear, the logic and flow followed in the presentation of findings is unclear and confusing. There is no introduction to this section explaining its focus and findings are presented according to each of the evaluation questions which have not been grouped in any way or according to clear evaluation criteria which would have assisted with the flow of the report. |
| Rating: | 2 |

Standard: 3.2.2. Quality of writing and presentation is 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 report still needs a good edit before it can be published. These include for example, inconsistency in writing style; shifting tense; overuse of the word 'notwithstanding'; some long and confusing sentences; not complying to rules for writing numbers; spelling and grammar mistakes; inconsistency in use of acronyms. With regard to formatting, there is inconsistent formatting for lists - i.e. bullets, letters and numbers are used interchangeably; figures are not correctly numbered; single space line spacing; and evidence of some track changes. Another gap is that a number of references in the report are not cited in the reference list.

Rating: 2

Standard: 3.2.3. 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.)

Comment and Analysis: This is largely a qualitative study although there is presentation of some quantitative data such as staff vacancy rates per year and average costs for KSD PI structure meetings. In both cases the data is well presented in tables with clear disaggregation categories in constructing percentages.

Rating: 3

Standard: 3.2.4. The use of figures and tables is such that it supports communication and comprehension of results; and data reported in figures and tables are readily discernible and useful to a reader familiar with data presentation conventions

Comment and Analysis: Figures and tables are used throughout the report. Whilst the text in one of the four figures is unclear, all other figures are clear and communicate results clearly and concisely. The tables also provide clarity with columns titled accurately and appropriately.

Rating: 3

3.3. Robustness of findings

Standard: 3.3.1. Data analysis appears to have been well executed

Comment and Analysis: Qualitative data analysis appears to have been well executed the particularly the analysis of programme documents which has been thoroughly executed and presented in tables. The analysis of costs for meetings of KSD PI governance structures and of staff vacancies at KSD LM per directorate has been well-executed. It is clear that data from document review, literature review and interviews has been triangulated.

Rating: 3

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| Standard: | 3.3.2. Findings are supported by available evidence |
| Comment and Analysis: | All findings are backed up by data collected from 21 interviews with key informants, survey results from 28 representatives on KSD PI work streams and Provincial Working Group; interaction and gathering of inputs from PMU; and a thorough review of programme documents. Quotes from interviews and references from documents are used to back up findings. There are some gaps in data for example, the KSD PI was not able to provide any data requested on the KSD LM human resources; and there were no respondents from two of the work streams. Also, the evaluation team was unable to obtain data from the chair person of the Inter Ministerial Committee and this would have added value to the findings. All of these factors are acknowledged in body of the report and in the limitations of the study. |
| Rating: | 3 |
| Standard: | 3.3.3. The evidence gathered is sufficiently and appropriately analysed to support the argument |
| Comment and Analysis: | The findings in this report based on analysis done of three elements of the programme: KSD PI governance and project management arrangements; capacity and organisational issues that have been brought about by implementation of the KSD PI; and lessons learnt from the implementation of the PI at KSD. The analysis in this synthesis report focuses on answering the key evaluation questions. Overall, the analysis of data for most of these questions has been sufficiently undertaken; however, the analysis pertaining to some questions is not thorough. For example, some of the findings are listed as "issues raised by key stakeholders" without a critical analysis of data. Also, in some instances, the concluding comments are insubstantial, leaving some of the key evaluation questions partially answered. |
| Rating: | 2 |
| Standard: | 3.3.4. There is appropriate recognition of the possibility of alternative interpretations |
| Comment and Analysis: | For findings on most of the research questions the report offers a range of alternative interpretations of the data which are all backed up by documents and data collected from interviews - there is good triangulation of data. |
| Rating: | 3 |
| Standard: | 3.3.5. The report appears free of significant methodological and analytic flaws |
| Comment and Analysis: | As suggested in the preceding assessment standards, the evaluation contained a number of analytical and methodological flaws particularly around addressing the evaluation questions through appropriate methodology and analysis and this is reflected in the report. |
| Rating: | 2 |
| Standard: | 3.3.6. Relevant limitations of the evaluation are noted |
| Comment and Analysis: | The limitations of the evaluation have been noted. These include the fact that the validation of the Theory of Change could not be done with stakeholders and the recognition that it will need to be done as part of planning for improvements; and that some of the documents, particularly minutes of the Inter-Ministerial meetings could not be accessed due to their classification status. |
| Rating: | 3 |

3.4. Strength of conclusions

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| Standard: | 3.4.1. Conclusions are derived from evidence |
| Comment and Analysis: | There is no separate section in the report which brings all the conclusions together. However, the conclusions contained in the main findings section of the report are based on analysis of evidence including a thorough review of a wide range of documents and interviews with key informants. |
| Rating: | 3 |
| Standard: | 3.4.2. Conclusions take into account relevant empirical and/or analytic work from related research studies and evaluations |
| Comment and Analysis: | It is clear from the report that related research studies have been reviewed, particularly the KSD LM Municipal Capacity assessment done by the Development Bank of South Africa (DBSA) in 2011. However, it is unclear how much these were taken into account in the conclusions. They have been mentioned in the recommendations. |
| Rating: | 3 |
| Standard: | 3.4.3. Conclusions address the original evaluation purpose and questions |
| Comment and Analysis: | As stated previously, the report does not contain a clear "Conclusion" section and thus it does not restate the original purpose of the evaluation or provide a summary of all the concluding comments related to each of the questions contained in the report. Some (not all) of the original evaluation questions are revisited in the lessons learnt and recommendations section. |
| Rating: | 2 |
| Standard: | 3.4.4. Conclusions are drawn with explicit reference to the intervention logic or theory of change |
| Comment and Analysis: | There was no planning framework for the KSD PI and thus the Theory of Change was developed retrospectively by the evaluation team. However, no attempt is made to refer to the theory of change in order to draw conclusions. This is a gap in the final section of the report as it is difficult to assess the extent to which the KSD PI is achieving its objectives. |
| Rating: | 1 |

3.5. Suitability of recommendations

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| Standard: | 3.5.1. Recommendations are made in consultation with appropriate sectoral partners or experts |
| Comment and Analysis: | Input into the recommendations was provided by the loosely formulated Steering Committee and the relevant Outcomes Facilitators within the DPME. |
| Rating: | 3 |

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| Standard: | 3.5.2. Recommendations are shaped following discussions with relevant government officials and other relevant stakeholders |
| Comment and Analysis: | The draft report was presented to the PMU government officials gave significant input into shaping the recommendations during a day long validation workshop. This was viewed as a highly valuable process by all interviewees. |
| Rating: | 4 |
| Standard: | 3.5.3. Recommendations are relevant to the current policy context |
| Comment and Analysis: | Whilst there are no clear policies related to PIs, the lessons learnt and recommendations made in relation to Presidential Interventions in general could make a significant contribution to the implementation of such interventions in the future. For example, it calls for the DPME to develop a model for a consultation process prior to declaring a site a PI which allows key stakeholders to own the creation of the PI and so maximise the likelihood of support. It also specifies the need for a full diagnostic and planning to be undertaken of all spheres of government that are expected to contribute to the implementation of the PI. |
| Rating: | 4 |
| Standard: | 3.5.4. Recommendations are targetted at a specific audience sufficiently - are specific, feasible, affordable and acceptable |
| Comment and Analysis: | The recommendations are very detailed and specific, particularly those made in relation to the implementation of PIs in general. Those made in relation to the KSD PI are also detailed and are sufficiently targeted at specific audiences. Regarding feasibility, it was noted by interviewees that, in order to implement the recommendations, another intervention would be required which would involve specifying roles and responsibilities. Also, given the capacity issues and poor levels of ownership of the KSD PI there is concern that these recommendations may not be fully implemented. |
| Rating: | 3 |

3.6. Consideration of reporting risks and ethical implications

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| Standard: | 3.6.1. Peer review of the draft evaluation report occurred prior to finalisation of the evaluation report |
| Comment and Analysis: | The draft report underwent a peer review process prior to finalisation. |
| Rating: | 3 |
| Standard: | 3.6.2. 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 methodology section of the report indicates that respondents were advised that they did not need to answer questions if they preferred not to and the information collected would be treated confidentially. Although the names of interviewees have been listed in the report, no individuals have been singled out in the presentation of findings. |
| Rating: | 3 |

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| Standard: | 3.6.3. There are no risks to participants in disseminating the original report on a public website |
| Comment and Analysis: | The report is not yet available on a public website, however, it was indicated by interviewees that there would be not risks to participants if it was made publicly available. |
| Rating: | 3 |

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| Standard: | 3.6.4. There are no unfair risks to institutions in disseminating the original report on a public website |
| Comment and Analysis: | The report highlights a number of challenges related to the administrative capacity of the KSD LM, including issues such as poor financial management and poor audit reports; limited accountability within the municipality; weak leadership; political competition and interference. These issues are of a sensitive nature and could place a risk to the municipality if disseminated on a public website. |
| Rating: | 2 |

3.7. Project management (Reporting phase)

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| Standard: | 3.7.1. A project closure meeting that reflected on the challenges and strengths of the evaluation process occurred |
| Comment and Analysis: | No formal project closure meeting was held by the DMPE to assess the evaluation process. However, the service provider has held a number of internal reflection processes with the evaluation team to discuss ways in which to improve future evaluation processes. Some areas for improvement include for example, the development of guidelines for report commenting processes; and assisting key stakeholders to understand the evaluation process to ensure mobilisation of support. |
| Rating: | 3 |

4. Follow-up, use and learning

4.1. Resource utilisation

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| Standard: | 4.1.1. The evaluation was completed within the planned timeframes |
| Comment and Analysis: | The evaluation was not completed within the planned time-frame as stipulated in the original proposal (18 January-16 June 2013). Delays were due to both external factors (e.g. elections, cancellation of PMU meetings) and internal factors (e.g. length of time it took to comment on the report). Although the draft integrated report was submitted in August/September 2013, the report was only finalised in July 2014. The PMU received the final report at the beginning of August 2014. |
| Rating: | 1 |

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| Standard: | 4.1.2. The evaluation was completed within the agreed budget |
| Comment and Analysis: | The project was completed within the agreed budget. |
| Rating: | 3 |

4.2. Evaluation use

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| Standard: | 4.2.1. Results of the evaluation have been presented to all relevant stakeholders |
| Comment and Analysis: | The results of the evaluation were presented to the PMU which is made up of a broad range of stakeholders - the Department of Local Government and Traditional Affairs, both local municipalities, other key line departments. A representative of the DPME also attended the workshop with the purpose being to validate findings and give input into the recommendations. These inputs were then incorporated into the report. |
| Rating: | 3 |

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| Standard: | 4.2.2. A reflective process has been undertaken by the steering committee (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: | Interviewees were unable to confirm whether internal reflective processes have taken place. The individual who managed the evaluation on behalf of the DPME was unable to comment on whether such a process had taken place within DPME after the evaluation. The interviewee from the PMU indicated that no such reflective process has taken place within the PMU to date. |
| Rating: | 1 |

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| Standard: | 4.2.3. 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 interviewed stakeholders indicated that it is too soon to assess whether the evaluation has added significant symbolic value to the KSD PI programme. |
| Rating: | N/A |
| Standard: | 4.2.4. The evaluation study is of conceptual value in understanding what has happened and possibly in shaping policy and practice |
| Comment and Analysis: | Interviewees noted that the evaluation is of conceptual value since it has offered a unique opportunity to improve understanding of inter-government relations and the strengths and challenges of improving Presidential Interventions. Thus the evidence and recommendations will be very useful for implementation of future PIs and improving municipal service delivery in general. |
| Rating: | 4 |
| Standard: | 4.2.5. Development of a draft improvement plan has been started, but not completed, based on the findings and recommendations set out in the evaluation |
| Comment and Analysis: | A draft improvement plan has not been started yet since the report was only recently finalised (July 2014) and submitted to the PMU (August 2014). It was indicated that the report and its recommendations have been placed on the agenda for the next PMU meeting and each of the work streams will be required to develop an implementation plan based on the recommendations. However, there is concern that recommendations set out in the evaluation may not be implemented given the limited capacity of the KSD LM and poor levels of ownership of the KSD PI amongst others. It was suggested that, in order to implement the recommendations, a further intervention would be required which is driven by The Presidency and would begin by specifying roles and responsibilities of key stakeholders. |
| Rating: | N/A |
| Standard: | 4.2.6. The report is publicly available (website or otherwise published document), except where there were legitimate security concerns *Note: only apply if sufficient time has elapsed since completion of the evaluation |
| Comment and Analysis: | The report was finalised in July 2014 and submitted to the PMU in August 2014. Insufficient time has elapsed since the completion of the evaluation to assess this standard. |
| Rating: | N/A |
| Standard: | 4.2.7. There is clear evidence of instrumental use - that the recommendations of the evaluation were implemented to a significant extent *Note: only apply if sufficient time has elapsed since completion of the evaluation |
| Comment and Analysis: | The report was finalised in July 2014 and submitted to the PMU in August 2014. Insufficient time has elapsed since the completion of the evaluation to assess this standard. |
| Rating: | N/A |

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| Standard: | 4.2.8. There is clear evidence that the evaluation has had a positive influence on the evaluand, its stakeholders and beneficiaries over the medium to long term *Note: only apply if sufficient time has elapsed since completion of the evaluation |
| Comment and Analysis: | The report was finalised in July 2014 and submitted to the PMU in August 2014. Insufficient time has elapsed since the completion of the evaluation to assess this standard. |
| Rating: | N/A |

References

The Presidency, Department: Performance Monitoring and Evaluation, "Title: Formative Evaluation on the Presidential Revitalisation Intervention within the King Sabata Dalindyebo Local Municipality, Eastern Cape Province", RFP/Bid number 12/0468

"Technical Proposal to conduct an evaluation of the Presidential Intervention within the King Sabata Dalindyebo Local Municipality" (Bid RFP 12/0468), 5 December 2012, Impact Economix in association with Aurecon Engineers

Wolpe R., 2014, "Report of the Formative Evaluation of the Presidential Intervention within the King Sibata Dalindyebo Local Municipality, Eastern Cape Province, Final Report, 4 July 2014", Impact Economix, The Presidency: Department of Performance Monitoring and Evaluation

List of Interviewees

Octavia Mkhabela, DPME project manager, telephonic interview, 4 August 2014

Dumile Damane, Deputy Director Intergovernmental Relations, COGTA, Eastern Cape, telephonic interview, 21 August 2014

Rae Wolpe, Project Manager, Impact Economix, face to face interview, 29 July 2014