



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

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

## **Mining Charter Impact Assessment Report**

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**Date Evaluation was completed:** 01 October 2009

**Name of assessor:** Kevin Foster

**Evaluation Number:** 60

**Date Assessment Completed:** 2/03/2012

## Evaluation Assessment Details

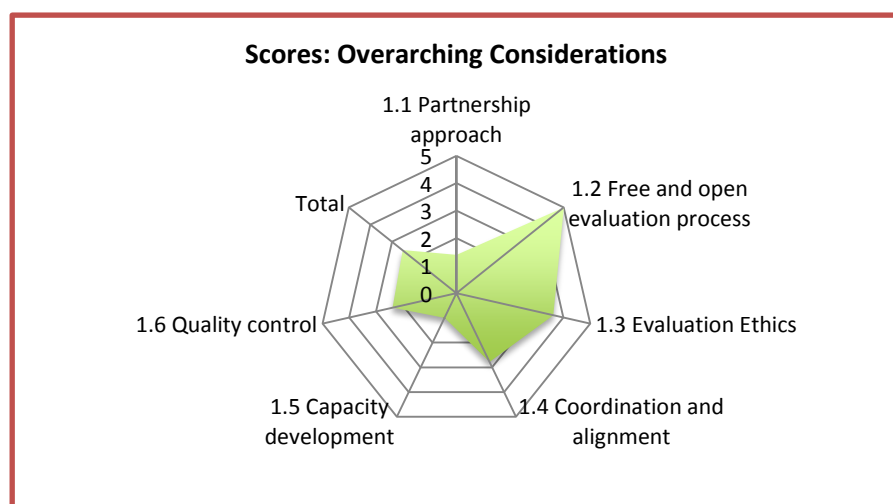
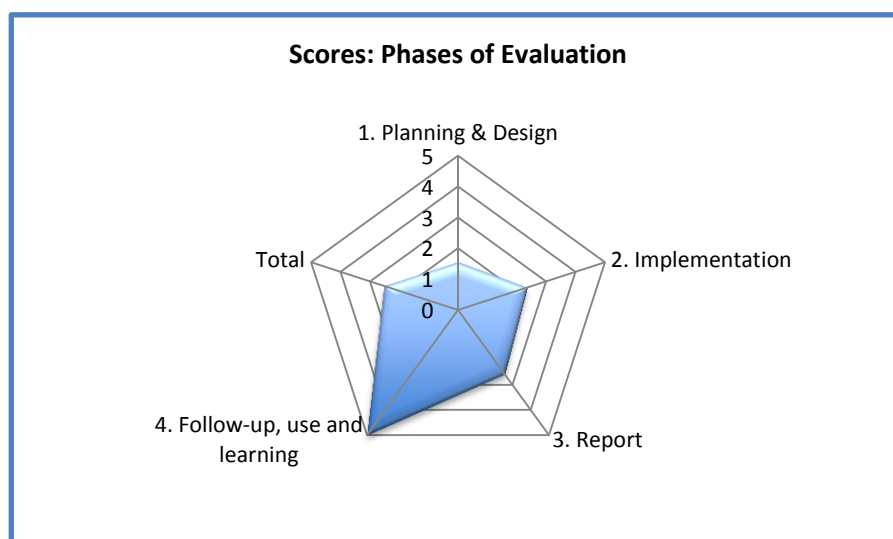
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Title of evaluation report	Mining Charter Impact Assessment Report
Completion Date of Evaluation	01 October 2009
Name of Assessor	Kevin Foster
Evaluation Number	60
Completion Date of Assessment	2/03/2012
Initiated by	Department of Mineral Resources
Evaluation undertaken by	Department of Mineral Resources
Evaluation area / sector	Mining
	Additional
National Outcome	Outcome 4
	Outcome 5 Additional
Type of Evaluation	Impact
	Additional
What is being evaluated	Policy
	Additional
Geographic Scope	National
Period of Evaluation	2009
Known Cost of Evaluation	Unknown

### Quality Assessment Scores

Phase of Evaluation	Score
Planning & Design	1.56
Implementation	2.35
Report	2.56
Follow-up, use and learning	5.00
<b>Total</b>	<b>2.64</b>

Overarching Consideration	Score
Partnership approach	1.40
Free and open evaluation process	5.00
Evaluation Ethics	3.61
Coordination and alignment	2.78
Capacity Development	1.00
Quality control	2.39



## 1. Planning & Design

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### 1.1. Clarity of Purpose and Scope in TOR

**STANDARD:** *The evaluation was guided by a TOR with at least the following sections explicit: purpose, scope and objectives; expectations regarding design and methodology; resources and time allocated; reporting requirements; expectations regarding evaluation process and products.*

#### Comment and Analysis

The TOR is not referenced in the report, nor is it available.

**Rating** N/A

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

#### Comment and Analysis

Not applicable.

**Rating** N/A

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

#### Comment and Analysis

Not applicable.

**Rating** N/A

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

Not applicable.

**Rating** N/A

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

Not applicable.

**Rating** N/A

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

Not applicable.

**Rating** N/A

**1.2. Evaluation was adequately resourced**

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

***Comment and Analysis***

Not applicable.

***Rating*** N/A

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

***Comment and Analysis***

Not applicable.

***Rating*** N/A

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

***Comment and Analysis***

Not applicable.

***Rating*** N/A

**STANDARD:** *Where appropriate, the evaluation planned to incorporate an element of capacity building of partners/staff responsible for the evaluand*

**Comment and Analysis**

Not applicable.

**Rating** N/A

### 1.3. Alignment to Policy Context and Background Literature

**STANDARD:** *There was evidence that a review of the relevant policy and programme environments had been conducted and used in the planning of the evaluation by the evaluators*

**Comment and Analysis**

The terms of reference and methodology are not available, therefore it is not clear to what extent policies and programmes were used, though a review of the Mining Charter and its historical context and related legislation is included in the report.

**Rating** 2

**STANDARD:** *There was evidence of a review of appropriate literature having been conducted and used in the planning of the evaluation by the evaluators*

**Comment and Analysis**

The terms of reference and methodology for the assessment are not available, therefore it is not clear the extent to which an appropriate literature review was conducted in the planning phase. There is some evidence of a review of the historical context in the report, though this is not particularly detailed. The only literature referenced is the Mining Charter and related legislation.

**Rating** N/A

**1.4. The evaluation methods planned were appropriate to the project**

**STANDARD: There was explicit reference to the intervention logic or the theory of change of the evaluand in the planning of the evaluation**

**Comment and Analysis**

Not applicable.

**Rating** N/A

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

**Comment and Analysis**

Not applicable.

**Rating** N/A

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

**Comment and Analysis**

The report does not specify the methodology, but the questions are linked to the key objectives of the mining charter and are mostly directly relevant to the objectives being assessed.

**Rating** N/A



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

**Comment and Analysis**

The report does not give details of the planned sampling.

**Rating** 1

**STANDARD: *There was a planned process for using the findings of the evaluation prior to undertaking the evaluation***

**Comment and Analysis**

The report indicates an intention to review the Mining Charter based on the outcomes of the assessment, but further details are not included.

**Rating** 2

**1.5. Inception phase**

**STANDARD: *The inception phase was used to develop a common agreement on how the evaluation would be implemented***

**Comment and Analysis**

Not applicable.

**Rating** N/A

## 2. Implementation

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### 2.1. Ethical Review and Considerations

**STANDARD:** *Where data was gathered in contexts where ethical sensitivity is high, appropriate clearance was obtained through an ethics review board; e.g. in evaluation involving minors, institutions where access usually requires ethical or bureaucratic clearance, and situations where assurances of confidentiality was offered to participants*

**Comment and Analysis**

The is no information in the report about the ethical standards followed, though the sector investigated is not one of particular sensitivity. No subjects of the study were named in the report.

**Rating** 3

### 2.2. Evaluator independence

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

**Comment and Analysis**

Not applicable.

**Rating** N/A

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

The assessment was conducted by an independent consultant employed by the Department of Minerals and Energy with contributions from the DMR. Impartiality is not directly addressed in the report though the independence of the consultant should contribute to this.

**Rating** 3**2.3. Key stakeholder involvement*****STANDARD: Key stakeholders were consulted through a formalised mechanism or institutional arrangement during the evaluation******Comment and Analysis***

No formal mechanism for stakeholder involvement is specified in the report.

**Rating** 1***STANDARD: Where appropriate, an element of capacity building of partners responsible for the evaluand was incorporated into the evaluation******Comment and Analysis***

There were no capacity building initiatives for partners responsible for the evaluand were mentioned in the report.

**Rating** 1

## 2.4. Methodology

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

***Comment and Analysis***

Not applicable.

***Rating*** N/A

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

***Comment and Analysis***

In two instances data was not available or sufficient. The cause of this was a lack of coordination between government and companies in developing a mechanism to allow the reporting of the data.

***Rating*** 3

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

***Comment and Analysis***

The process undertaken to gather the data is not specified in the report.

***Rating*** N/A

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

**Comment and Analysis**

Data analysis amounted to the use of descriptive statistics to assess the extent to which mining companies were achieving the objectives of the mining charter. This is appropriate in measuring the impact of the charter but somewhat superficial in understanding the causes of shortfalls in implementation.

**Rating** 3

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

**Comment and Analysis**

The extent to which this occurred is not clear from the report, though there is some evidence of stakeholder engagement, particularly mineworkers in addition to the mining companies in the findings of the report.

**Rating** 2

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

**Comment and Analysis**

Not applicable.

**Rating** N/A

## 2.5. Project management

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

### Comment and Analysis

Not applicable.

**Rating** N/A

## 3. Report

**3.1. Report was well-structured and presentation was clear and complete in each of these areas**

**STANDARD: Executive summary captured key components of the report appropriately**

### Comment and Analysis

The executive summary is very brief (3/4 of a page) and while it gives an indication of what the report assesses, it does not adequately address the findings and recommendations of the report.

**Rating** 2

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

### Comment and Analysis

The context of the development intervention is clear and explicit. It is explained in terms of the relevant mining and social policies and legislation.

**Rating** 4

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

The rationale for the questions was clear, they were clearly targeted towards understanding the impact of the Mining Charter and the extent to which it achieved its objectives.

**Rating** 4

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

Not applicable.

**Rating** N/A

**STANDARD: A detailed methodology was outlined in the relevant section of a report (full report or 1/3/25) to the point that a reader could understand the data collection, analysis and interpretation****Comment and Analysis**

No methodology is included.

**Rating** 1

**STANDARD: Key findings were presented in a clear way; they were made distinct from uncertain or speculative findings; and unused data was not presented in the body of the report**

**Comment and Analysis**

Key findings are presented clearly in each section following the analysis. Where findings were speculative it was clearly indicated, though in some cases relevant data to support findings was not presented. Unused data was not included.

**Rating** 2

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

**Comment and Analysis**

The recommendations are clear and succinct, though recommendations are too vague in terms of implementable action that could emerge from the assessment process. Both follow logically from the findings of the study.

**Rating** 3

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

**Comment and Analysis**

Limitations in data collection are acknowledged in the the relevant sections of the analysis, though overall limitations of the methodology were not discussed.

**Rating** 2



### 3.2. Writing and presentation

**STANDARD:** *Quality of writing and presentation was adequate for publication including: adequate layout and consistent formatting; complete sentences and no widespread grammatical or typographical errors; consistency of style and writing conventions (e.g. tense, perspective (first person, third person); levels of formality; references complete and consistent with cited references in reference list and vice versa; etc)*

#### Comment and Analysis

The quality of writing is reasonable but with some limitations. There are some spelling and grammatical errors, but it is direct and easily readable. At times emotive rather than analytical language is used. However, there is no reference list in the report.

Rating 2

**STANDARD:** *Appropriate conventions were used in presentation of data (e.g. use of appropriate statistical language; reporting of p-values where appropriate; not reporting statistically insignificant findings as significant; clarifying disaggregation categories in constructing percentages; not using quantitative language in reporting qualitative data, etc.)*

#### Comment and Analysis

The statistical analysis used is largely descriptive and the appropriate language was used.

Rating 4

### 3.3. Presentation of findings

**STANDARD:** *The use of figures and tables was such that it supported communication and comprehension of results; and data reported in figures and tables was readily discernible and useful to a reader familiar with data presentation conventions*

**Comment and Analysis**

One graph is used and there were no tables, even though the type of data being presented could have been made clearer through presentation in these forms.

**Rating** 2

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

**Comment and Analysis**

Data analysis seemed well executed, although simplistic.

**Rating** 3

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

**Comment and Analysis**

The reported data is interpreted accurately to create credible findings, though some findings are made without adequate presentation of the relevant data.

**Rating** 2

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

The analysis of the data was sufficient where the data presented related to the findings, for some of the findings the data is not presented so the appropriateness of the findings is difficult to gauge.

**Rating** 2***STANDARD: There was appropriate recognition of the possibility of alternative interpretations*****Comment and Analysis**

Alternative interpretations are not discussed in the report.

**Rating** 1***STANDARD: The report appeared free of significant methodological and analytic flaws*****Comment and Analysis**

No methodology is presented so it is difficult to criticise methodological flaws. It is also difficult to gauge analytical flaws when some data is not presented. Where the data is presented the analysis is mostly sound, though at times findings exceed the scope of the data.

**Rating** 2

### 3.4. Conclusions

***STANDARD: Conclusions were derived from evidence***

**Comment and Analysis**

The conclusions were derived from the findings, which were mostly derived from the evidence, except where data was not presented.

**Rating** 3

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

**Comment and Analysis**

No related studies are referenced or mentioned in the conclusion.

**Rating** 1

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

**Comment and Analysis**

The purpose of the evaluation was to assess the impact of the mining charter as a policy for transformation in the sector. The conclusions are addressed directly to this purpose and the questions asked.

**Rating** 4

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

Not applicable.

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

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

No reference is made in the report to consultation with experts or partners in the development of the recommendations.

**Rating** **1**

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

No reference is made in the report to consultation with stakeholders or other government officials in the development of the recommendations.

**Rating** **1**

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

The recommendations take into account some of the policy context in which the Mining Charter has scope, although elements of the broader policy context are not considered comprehensively.

**Rating** 3

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

The recommendations are clearly targetted to the stakeholders responsible for the Mining Charter though this is not explicitly stated.

**Rating** 3

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

The overall limitations are not discussed in the report. Some data limitations are discussed in the relevant analytical sections.

**Rating** 2

### 3.7 Protection of participants and risk considerations

**STANDARD:** *The full report documented procedures intended to ensure confidentiality and to secure informed consent where this was needed (in some cases this is not needed - e.g. evaluation synthesis - in which case N/A should be recorded)*

#### Comment and Analysis

The report does not document measures taken to ensure confidentiality nor informed consent from the participants in the study. However, no participants are named in the report.

**Rating** 2

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

#### Comment and Analysis

No participants are named nor any individual company information discussed. There are no risks to participants in disseminating the report.

**Rating** 5

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

#### Comment and Analysis

There are no unfair risks to disseminating the report.

**Rating** 5

## 4. Follow-up, use and learning

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### 4.1. Presentation to stakeholders

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

#### Comment and Analysis

It is not made clear in the report the extent to which relevant stakeholders were presented with the report.

**Rating** N/A

### 4.2. Resource utilisation

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

#### Comment and Analysis

The ToR was not included, nor were the actual timeframes used mentioned in the report.

**Rating** N/A

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

#### Comment and Analysis

No information on the budget for the assessment is included.

**Rating** N/A



### 4.3. Transparency

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

#### Comment and Analysis

The report is available on the Department of Mineral Resources Website.

**Rating** 5

### 4.4. Lessons learnt

**STANDARD:** *After completion of the evaluation, a reflective process was undertaken by staff responsible for the evaluation to reflect on what could be done to strengthen future evaluations*

#### Comment and Analysis

At this point an interview with official responsible for the report has not been conducted so information on the process undertaken following the report is not yet available.

**Rating** 2

### 4.5. Symbolic and conceptual value

**STANDARD:** *The evaluation study was seen by interviewed stakeholders as having added significant symbolic value to the policy or programme (eg raised its profile)*

#### Comment and Analysis

At this point an interview with official responsible for the report has not been conducted so information on the process undertaken following the report is not yet available.

**Rating** N/A

**STANDARD: *The evaluation study was of conceptual value in understanding what has happened and possibly in shaping policy and practice***

**Comment and Analysis**

At this point an interview with official responsible for the report has not been conducted so information on the process undertaken following the report is not yet available.

**Rating** N/A

**4.6. Utilisation of findings and recommendations**

**STANDARD: *There was clear evidence of instrumental use - that the recommendations of the evaluation were implemented to a significant extent***

**Comment and Analysis**

At this point an interview with official responsible for the report has not been conducted so information on the process undertaken following the report is not yet available.

**Rating** N/A

**STANDARD: *There was clear evidence that the evaluation has had a positive influence on the evaluand, its stakeholders and beneficiaries over the medium to long term***

**Comment and Analysis**

At this point an interview with official responsible for the report has not been conducted so information on the process undertaken following the report is not yet available.

**Rating** N/A

## **References**

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Department of Mineral Resources, 2009. Mining Charter Impact Assessment Report.  
Department of Mineral Resources, Pretoria.

## **List of Interviewees**

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No interviews were conducted as respondents were unavailable.