



planning, monitoring & evaluation

Department:
Planning, Monitoring and Evaluation
REPUBLIC OF SOUTH AFRICA



ANNUAL REPORT

ON NATIONAL EVALUATION SYSTEM

2016/17

Foreword



It gives me great pleasure to present the fourth Annual Report on the National Evaluation System (NES) which includes emerging evaluation and research work. This report reflects on evaluations which have been completed or are underway as at March 2017; summarises outputs and activities for the 2016/17 financial year; and gives insight into some of the policies and programmes that are already being implemented as part of realising the National Development Plan (NDP) vision.

The National Evaluation Policy Framework (NEPF) notes that *"If we are to improve our performance as government, we have to reflect on what we are doing, what we are achieving what we set out to achieve, and why unexpected results are occurring. We cannot advance without making mistakes on the way, but we must evaluate and learn from our successes and our mistakes. Without this we cannot improve".*

The NES is in its sixth year of implementation, with six National Evaluation Plans (NEP) approved by Cabinet per financial year since approval of the National Evaluation Policy Framework (NEPF) by Cabinet on 23 November 2011. I am pleased to note the achievements from evaluations undertaken, a reflection that we are slowly sowing the seeds for institutionalisation, as well as building a culture of evaluation practise.

As the evaluation system develops and grows, I would like to see improved capacity in all national and provincial departments to undertake and manage evaluation; and that they are undertaken in a cost-effective manner. In addition, I would like to see the evaluation practice extending to state-owned enterprises and even local government. The Department of Planning, Monitoring and Evaluation (DPME) has started conversations in this regard. We also need to develop a wider range of evaluative tools.

I would like to thank the national departments and provincial offices of the Premier, and their respective departments for championing the evaluation system and for their commitment to not only undertaking evaluations, but also to use this evidence coming through to strengthen their policies and programmes. While DPME coordinates and facilitates the system, the NES depends on all departments' participating, investing in evaluations, and using the results.

Our thanks go also to our development partners who have been assisting and partnering with us over the years through various collaborative initiatives to strengthen the system. These include the Programme to Support Pro-Poor Policy Development (PSPPD), South African Monitoring and Evaluation Association (SAMEA), International Initiative for Impact Evaluation (3ie), Centre for Learning on Evaluation and Results Anglophone Africa (CLEAR-AA) and the UK Department for International Development (DFID) who are funding the Twende Mbele African monitoring and evaluation (M&E) partnership. It is when we work together that we do better.

A handwritten signature in dark ink, appearing to read 'J. Radebe'.

Minister Jeff Radebe

Minister in the Presidency for Planning, Monitoring and Evaluation

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Acronyms

3ie	International Initiative for Impact Evaluation
AEJ	African Evaluation Journal
AfrEA	African Evaluation Association
AFU	Asset Forfeiture Unit
AMTS	Advanced Manufacturing Technology Strategy
APP	Annual Performance Plan
AVAWC	Audit for violence against women and children
CAPS	Curriculum and Assessment Policy Statement
CASP	Comprehensive Agricultural Support Programme
CBM	Citizen-based monitoring
CBO	Community-based organisation
CDA	Central Drug Authority
CETC	Community Education and Training College
CHW	Community health workers
CJS	Criminal Justice System
CLEAR-AA	Centre for Learning on Evaluation and Results Anglophone Africa
COGTA	Cooperative Governance and Traditional Affairs
CPD	Continuing Professional Development
CSIR	Council for Scientific and Industrial Research
CSO	Civil society organisation
CWP	Community Works Programme
DAC	Development Assistance Committee of the OECD
DAFF	Department of Agriculture, Forestry and Fisheries
DBE	Department of Basic Education
DCOG	Department of Co-operative Governance
DDG	Deputy Director-General
DEP	Departmental evaluation plan
DFI	Development Finance Institution
DFID	UK Department for International Development
DG	Director-General
DHA	Department of Home Affairs
DHET	Department of Higher Education and Training
DHS	Department of Human Settlements
DoH	Department of Health
DoT	Department of Transport
DPME	Department of Planning, Monitoring and Evaluation
DPW	Department of Public Works

DMV	Department of Military Veterans	HSDG	Human Settlements Development Grant
DoL	Department of Labour	HSRC	Human Sciences Research Council
DPSA	Department of Public Service and Administration	ICT	Information and communications technology
DRDLR	Department of Rural Development and Land Reform	IDC	Industrial Development Corporation
DSD	Department of Social Development	IE	Impact evaluations
DST	Department of Science and Technology	IIFS	Incremental Investment in Forensic Services
DWA	Department of Water Affairs	IJS	Integrated Justice System
DWCPD	Department of Women, Children and People with Disabilities	ITE	Institute of Technical Education
EBPM&I	Evidence-Based Policymaking & Implementation	IKSP	Indigenous Knowledge Systems Policy
ECD	Early childhood development	IMC	Inter-Ministerial Committee
EEGM	Effectiveness of Environmental Governance in the Mining Sector	IRDP	Integrated Residential Development Programme
EGRA	Early Grade Reading Assessment	JCPS	Justice, Crime Prevention and Security
EIA	Environmental impact assessment	ISCPS	Integrated Social Crime Prevention Strategy
ESEID	Economic Sectors, Employment and Infrastructure Development	KPA	Key performance area
EMIA	Export Marketing Investment Assistance	LAIS	Learner Attainment Improvement Strategy
EMIS	Evaluation Management Information System	MD	Ministerial Determination
EPWP	Expanded Public Works Programme	M&E	Monitoring and evaluation
EPWP-SS	Expanded Public Works Programme Social	MAFISA	Micro-Agricultural Financial Institutions of South Africa
ERU	Evaluation and Research Unit	MEC	Member of the Executive Council
ETWG	Evaluation Technical Working Group	MIS	Management Information System
FBO	Faith-based organisation	MinMEC	Ministers and Members of the Executive Council
FLBP	Funza Lushaka Bursary Programme	MP	Member of Parliament
FDI	Foreign direct investment	MPAT	Management Performance Assessment Tool
FOSAD	Forum of South African Directors-General	MTEF	Medium-Term Expenditure Framework
FSAPPs	Framework for Strategic and Annual Performance Plans	MTSF	Medium-Term Strategic Framework
FSDM	Frontline Service Delivery Monitoring	MVEESTRP	Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme
GCIS	Government Communication and Information System	NCS	National Curriculum Statement
GDP	Gross domestic product	NDA	National Department of Agriculture
GIAMA	Government Immovable Asset Management Act	NDHS	National Department of Human Settlements
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit	NDMP	National Drug Master Plan
HCBC	Home Community-based Care	NDP	National Development Plan
HDI	Historically disadvantaged individuals	NEET	Not in education or training
HEI	Higher education institution	NEP	National Evaluation Plan
HEQC	Higher Education Quality Committee	NEPF	National Evaluation Policy Framework
		NES	National Evaluation System
		NGO	Non-governmental organisations
		NGP	New Growth Path
		NHBRC	National Home Builders Registration Council
		NHFC	National Housing Finance Corporation

NHI	National Health Insurance	RDP	Reconstruction and Development Programme
NPA	National Prosecuting Authority of South Africa	RIU	Rapid Implementation Unit
NPO	Non-profit organisation	SALGA	South African Local Government Association
NPR	National Population Register	SAMEA	South African Monitoring and Evaluation Association
NQFA	National Qualifications Framework Act	SAPS	South African Police Service
NRDS	National Research and Development Strategy	SAQA	South African Qualifications Authority
NRF	National Research Foundation	SASSETA	Safety and Security Sector Education and Training Authority
NSDS	National Skills Development Strategy	SCOA	Standing Committee on Appropriations
NSFAS	National Student Financial Aid Scheme	SDIP	Service Delivery Improvement Planning
NSG	National School of Government	SEIAS	Socio-Economic Impact Assessment System
NSNP	National School Nutrition Programme	SETAs	Sector Education and Training
NSF	National Skill Fund	SHI	Social housing institution
NSI	National System of Innovation	SHP	Social Housing Programme
NSS	National Space Strategy	SMMEs	Small, micro and medium-sized enterprises
OECD	Organisation for Economic Co-operation and Development	SPII	Support Programme for Industrial Innovation
OTP	Office of the Premier	SPME	Strengthening Performance M&E Project
PALC	Public adult learning centre	TER	Township Economy Revitalisation
PCC	Policy on Community Colleges	the dti	Department of Trade and Industry
PCETS	Policy on Community Education and Training Colleges	THRIP	Technology and Human Resources for Industry Programme
PDA	Provincial Department of Agriculture	TMR	Transformation, Modernisation and Reindustrialisation
PDI	Previously disadvantaged individuals	ToC	Theory of change
PEP	Provincial evaluation plan	ToR	Terms of reference
PHC	Primary health care	TVET	Technical and vocational education and training
POCA	Prevention of Organised Crime Act	UCT	University of Cape Town
PQM	Programme and Qualification Mix	UISP	Upgrading of Informal Settlements Programme
PSC	Public Service Commission	UNICEF	United Nations Children's Fund
PSET	Post-School Education and Training	USDG	Urban Settlements Development Grant
PSPPD	Programme to Support Pro-Poor Policy Development	VAC	Violence against children
PSR	Public Service Regulations	VAW	Violence against women
QA	Quality Assurance	VAWC	Violence against women and children
QC	Quality council	WCG	Western Cape Government
QCTO	Quality Council for Trades and Occupations	YWDP	Young Women's Development Programme
R&D	Research and development		
RADP	Recapitalisation and Development Programme		
RCG	Reconstruction Capital Grant		



Executive Summary

Introduction

- 1.1 The Department of Planning, Monitoring and Evaluation (DPME) which was established in 2010 as knowledge organisation, places emphasis on using evidence from monitoring, evaluation and research in guiding planning and establishing what is, or not, working. In 2011, the need for an evaluation system was agreed on, and consequently a National Evaluation Policy Framework (NEPF) was approved by Cabinet on 23 November 2011. As at March 2017, 59 evaluations have been completed or are underway. This Annual Report will reflect on emerging lessons and findings from these evaluations. Unlike the previous Annual Report of 2015/16, this one will report on evaluations per cluster *versus* focusing on individual evaluations per financial year.
- 1.2 Before the implementation of the NEPF very few evaluations were undertaken in government and in cases where they were, there was minimal capacity to undertake them. Additionally, there were no guiding frameworks on undertaking evaluations so the practice was inconsistent. The first National Evaluation Plan (NEP) for 2012/13 was adopted by Cabinet in June 2012 (DPME, 2012b), and evaluations began in June 2013. In the 2016/17 financial year, 36 evaluations had approved final reports, compared to 25 in 2015/16, and 13 in 2014/15. So while evaluations are taking longer to come through than hoped, completed evaluation reports are steadily coming through. In 2015/16, a Management Performance Assessment Tool (MPAT) evaluation standard was piloted to help drive involvement of government departments in evaluation. This revealed that 36 departments have adopted the DPME guidelines on the National Evaluation System (NES), 29 had a departmental evaluation plan, and have staff with an evaluation role. As at March 2017, there were 57 departmental evaluation plans (DEPs) compared to 44 in 2016 and 29 in 2015. This is an indication that the evaluation system is expanding and the importance of evaluations is being recognised by government departments.
- 1.3 The NEPF, which provides detail on the different government interventions that evaluations focus on including policies, plans, programmes, and systems, guides the evaluation system. It envisages evaluation as a process carried out throughout the intervention life cycle, including prior to development of an intervention (*diagnostic evaluation*), to confirm the robustness of the design (*design evaluation*), to assess progress and how implementation can be improved (*implementation evaluation*), to assess impact (*impact evaluation*), and to see the relationship between costs and benefits (*economic evaluation*). Ownership of evaluations means departments feel empowered to undertake the evaluation process, as opposed to feeling obligated to do accordingly. The main factors in safeguarding the credibility of evaluations is by ensuring that independent external service providers undertake evaluation, evaluations are implemented as partnerships and that the steering committee and not the department alone makes decisions on the evaluation.
- 1.4 Evaluations are proposed by the various departments and selected the year before they are undertaken. Terms of reference are then developed, and the evaluation starts the following year.
- 1.5 DPME is the custodian of the national monitoring and evaluation (M&E) system, and as such, develops the systems for evaluation and supports their rollout across government. On NEP evaluations, DPME provides secretariat support. For provincial evaluations, the Office of the Premier (OTP) plays a similar role, developing and supporting provincial evaluation plans. Departments also part-fund the evaluations, which helps to ensure ownership.
- 1.6 The emerging research role within the DPME is neatly described in the DPME Research Strategy 2015 – 2018. It partakes the purpose of establishing the role the department has to undertake in the generation, intermediation and use of research and other forms of evidence in decision-making and policy influence. There exists a demand and need for proper evidence to support the 14 outcomes of government as aligned to the National Development Plan (NDP) 2030, which influence the strategy and role of research within the department.

Establishing the basics of the National Evaluation System

- 2.1 In 2015, DPME decided to assess the readiness of departments in institutionalising the evaluation function in government by introducing a standard for evaluation within the DPME's MPAT. DPME organised an Evaluation Seminar aimed at supporting departments on key elements of the evaluation MPAT standard. All these interventions have yielded positive results and contributed to the remarkable increase in the number of departments with approved multi-year DEPs, an increase from 29 in 2015/16 to 57 in 2016/17.
- 2.2 DPME developed a set of practical and user-friendly guidelines and templates on various components of the evaluation process to support departments undertaking evaluations; and departments were requested to adopt them as part of the MPAT evaluation standard. These provide direction on the functionality of the entire evaluation system, for example the terms of reference (ToR) needed at the start of the process, to developing an improvement plan at the conclusion of the evaluation. As the system grows, these guidelines have proved to be a useful resource for many of our stakeholders, including training of service providers. At the end of the 2016/17 financial year, 27 guidelines/templates had been produced and posted on the DPME website.
- 2.3 Currently, departments across government are at different capacity levels ranging from low to medium and high as reflected in the MPAT scores. However, the prevailing notion is that capacity to undertake evaluations and manage them is still a challenge we are grappling with. There is full comprehension that supporting the NES requires various capacity development interventions from the demand and the supply side. As such, DPME continues to support the system in various ways.
- 2.4 In 2012, with the support of the *Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)*, the department developed a set of evaluation standards, building on international experience from the Organisation for Economic Co-operation and Development (OECD), Germany, the US, Canada, and, in particular, Switzerland, as well as the African Evaluation Standards developed by African Evaluation Association (AfrEA). The quality assessment standards have since been revised and reduced from 71 to 42. A total of 142 evaluations had been quality assessed up to the 2015/16 financial year, with six still outstanding for 2016/17, bringing the number of evaluations to 148. Of the 142 evaluations that were quality assessed, 116 scored above 3, while 26 evaluations scored below 3, which is not considered as providing reliable results. The average scores for both national and provincial evaluations was 3.47.
- 2.5 Communication is considered a very critical part of the evaluation system and DPME believes in continuously updating stakeholders and the broader public about the work being done on evaluations, and the value that these evaluations add in the policy arena. As the evaluation system continues to gain traction and stabilise, so is the need to do more work in communicating evaluation results to influence policy and practice.
- 2.6 As part of wider communication and access to information efforts, DPME created a centralised web-based repository of evaluation reports which have been quality assessed on its website. These evaluations are available to the public for use. The repository was revamped and integrated into the DPME's overall Evaluation Management Information System (EMIS) to allow for greater flexibility with regard to its use and the managing of key documents. It was deployed onto the DPME servers and website in May 2016.
- 2.7 Supported by the Director-General (DG) in the Presidency, the DPME, together with the University of Cape Town (UCT) and the Programme to Support Pro-Poor Policy Development (PSPPD), organised a first course for DGs/deputy directors-general (DDGs) in Evidence-Based Policymaking & Implementation (EBPM&I) in November 2013. The course has proved very popular and has been run again in October 2014, May and October 2015, May and October 2016. The course has now been attended by around 220 top managers (mainly DGs/DDGs and chief directors) from a range of national and provincial government departments and sectors. Evaluations are being tabled frequently at the Forum of South African Directors-General (FOSAD) and increasingly at departmental clusters, which is helping to make DGs aware of the type of evidence emerging.
- 2.8 An evaluation panel of service providers was instituted in January 2012, including universities, science councils, non-profit organisations (NPOs), and consultants. Service providers had to be registered within the DPME system as preferred suppliers, and needed to be security vetted. As at May 2016, of the 26 service providers on the panel, 18 had bid and seven had been successful. To strengthen service provider capacity, training was given regarding theory of change (ToC) and service providers were briefed on the NES. A total of 40 staff from service providers participated.

- 2.9 The Research Panel has been expanded from 18 to 36 organisations. The new Evaluation Panel has 26 organisations. The panel is now being used by Western Cape and Gauteng Office of the Premier and the Western Cape Department of Agriculture, and may develop into a transversal panel across government. An additional panel of emerging evaluators is being developed for 2017/18.
- 2.10 There were important lessons learnt during the 2015/16 and 2016/17 financial years about the key reasons for government not achieving the envisaged development results through some of its implementation programmes. From a planning perspective, a common finding throughout the various evaluations undertaken uncovered that implementation programmes were not adequately informed by a thorough evidence-based diagnostic analysis.

Progress with implementation of national evaluations

Progress with evaluations per outcome area.

Research

- 4.1 The research strategy was approved in March 2015 and established the role of the department in the generation, intermediation and use of research and other forms of evidence in decision-making. During the 2016/17 financial year, DPME's Evaluation and Research Unit (ERU) was responsible for spearheading the implementation of the strategy on behalf of the department, by working in partnership with relevant stakeholders who are active in the wider system of research and innovation.
- 4.2 Two diagnostic studies – one internal within DPME; and another external, inclusive of selected national departments and provinces – were conducted in 2015 and 2016 respectively to understand the capacity of government officials to use evidence. One of the key findings with respect to research infrastructure and capacity was notably the limited access to resources from which evidence can be accessed. The research team has undertaken some strategic research studies, which are seen as integral to understanding and building the research system. These include: information and communications technology (ICT) in education, DG workload study, and evidence map.
- 4.3 The research team has also undertaken some strategic research studies, regarded as integral to understanding

and building the research system during the 2016/17 financial year. These included the *Microdata Review Study* and the *Analysis of the Human Settlements Evidence Map*. The microdata study discusses census and survey data in broad terms, while highlighting key data producers and data repositories. The human settlements study has produced a final pre-consultation report titled *Analysis, Interpretation and Use of the Evidence Map* which contains an analysis of the content and usefulness of this Human Settlements Evidence Map that was developed.

- 4.4 The research unit has successfully introduced two tools which form part of the building blocks for a system in which evidence-informed decision-making becomes embedded within the DPME. The first is the research repository, a management tool; and the second is the evidence map platform, an internal online database which provides officials with access to knowledge products generated by DPME, as well as knowledge gathered from external sources. The tools are an internal response to an increasing demand to know what evidence exists on what works and in what contexts, and they are continually built upon and updated.

Widening the evaluation system to provinces and departments

- 5.1 Provincial evaluation plans (PEPs) were first piloted in 2012/13 in the Western Cape and Gauteng, facilitated by the DPME's ERU. Mpumalanga and Northern Cape approved their PEPs in 2014, the Free State and Limpopo in 2015, and the Eastern Cape in April 2016. North West and KwaZulu-Natal have produced draft concept notes for their PEPs, but have not yet approved them. All PEPs will be quality assessed and published on the Evaluation Repository, and a monitoring system will be tested and rolled-out to track implementation of these plans.
- 5.2 In 2014/15, the DPME linked up with departments who had developed Department Evaluation Plans (DEPs) using a draft template created by DPME in 2012/13, such as the KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs (COGTA) and the Western Cape Department of Agriculture, in order to develop DEP guidelines. Based on the MPAT findings and recommendations, a capacity development programme will be developed for national and provincial departments.
- 5.3 There has been an increased interest on evaluation from metropolitan municipalities. It is unclear how DPME

should proceed in providing support to this sphere of government and whether the current approach used with departments and Offices of the Premier will be suitable for municipalities. To address this DPME is working with the Centre for Learning on Evaluation and Results Anglophone Africa (CLEAR-AA) on a diagnostic review of capacities and the state of M&E in four metropolitan municipalities.

International linkages

- 6.1 DPME has made significant efforts to learn from the experience of other countries around evaluation, and likewise, to share South Africa's experience. In 2011, study tours were undertaken to Mexico, Colombia, the US, and Australia to learn from their experience in evaluation, and the lessons gained from this exercise enabled the DPME to progress much quicker.
- 6.2 The DPME has linked with six other African countries involved in M&E, namely Burundi, Uganda, Kenya, Senegal, Benin and Ghana through a partnership called Twende Mbele and support of CLEAR-AA
- 6.3 The DPME continues to network with other countries that are supporting government evaluation systems. Twende engages with a variety of national governments who are interested to use M&E to strengthen government performance and accountability to citizens.
- 6.4 In an effort to continue to strengthen the evaluation system the DPME maintains its network with other countries that are supporting government evaluation systems. Membership of the International Initiative for Impact Evaluation (3ie), along with Mexico, Colombia, Benin and Uganda, has enabled regular follow-ups and relationships have been maintained with Canada's Centre of Excellence, Chile's Department of Finance, and the US Government Accountability Office.
- 6.5 The DPME is a member of the 3ie and continues to be supported by other international bodies such as CLEAR-AA, DFID, United Nations Children's Fund (UNICEF) and GiZ. Such international relationships are beneficial to DPME and the evaluation system.

Emerging examples of influencing policy and implementation

- 7.1 Some departments have done exceptionally well in institutionalising evaluations for improvement. Some are at national and others are in the provinces, including the Offices of the Premier.
- 7.2 Some programme evaluations are already providing policy direction. The Human Settlements and Rural Development outcome areas have shown synthesis findings to inform the White Paper and the policy on smallholders respectively.

Managing the system

- 8.1 The DPME has sought to build a coalition across government to promote evaluation. In order to support the NES, the DPME established a cross-government national Evaluation Technical Working Group (ETWG), including officials from government departments, sector departments, and provincial Offices of the Premier. Steering committees are established for all evaluations in the NEP to oversee and take decisions on the overall evaluation process. The NES is led by the DPME's ERU, supported by the ETWG. The ERU is the champion of the system and drives its development. Evaluations are implemented as a partnership between the department(s) concerned and the DPME, which part-funds the evaluations. The DPME usually commissions the evaluations and therefore the department would transfer the co-funding amount to the DPME.
- 8.2 Donor funding has played an important role in supporting the DPME's evaluation work, particularly as government resources become tighter following the global recession. Since 2012, valuable support has also been received from DFID, with a government-to-government agreement signed in November 2012 for the Strengthening Performance M&E (SPME) project, which provided £2 million to the department, of which around £660 000, about R10 million, was for evaluation.
- 8.3 The EMIS was completed and went live in 2015/16, and will potentially be available for other partners to use in the future. The use of the system has had a huge impact on the automation of reports, which is used not only for reporting purposes, but also for the analyses of data, enabling management to make informed decisions with regard to improving the evaluation system.

Issues and lessons emerging

- 9.1 The past six years have been about creating a practice and discipline that was not systematised in government. This is part of a broader change process to increase the use of evidence in planning and management. The NES set up a standard system with minimum standards including 27 guidelines, standards, competencies, etc.
- 9.2 There are a number of areas where problems have emerged and some where the system could be strengthened. Although measures have been introduced to try and mitigate prior issues, some still exist. The main issues include: poor programme planning, departments delaying evaluations in some cases, the reluctance, understandably, of departments to publicise evaluations with less than favourable results, the few evaluations some key outcomes have had since 2009, notably Health, Local Government, International, and Social Cohesion and the poor quality of programme monitoring data, making it difficult to ensure credible, verifiable findings.

Way forward

- 10.1 A pipeline of evaluation findings is now coming through, and in most cases evidence of impacts of the evaluation on the programmes or policies are already being seen. The widening of the system to provinces and departments means that evaluations are happening across government, and there are engagements to begin at local government level. DPME needs to find many support systems for departments, as it does not have the capacity to provide one-on-one support. Key issues to take forward include:
- Mobilising training from the National School of Government (NSG) and other training providers;
 - Departments must consider procuring some technical assistance;
 - Developing a range of evaluative tools (particularly to provide rapid and cheap evaluative exercises);
 - Strengthening capacity development around evaluation;
 - Widen sharing of evaluation findings, combined with research as appropriate;
 - Strengthen follow-up on improvement plans;
 - Strengthen provincial/national linkages;
 - Evaluations at metro level;
 - Enhance Quality Assurance (QA);
 - Strengthening evaluation methodology.





1 Introduction

1.1 The fourth Annual Report on the National Evaluation System

The Department of Planning, Monitoring and Evaluation (DPME) was established in January 2010, and began operating in April of that year. The initial purpose for the department was the establishment of government's 12 priority strategic outcomes, and the development and monitoring of plans against them.

In 2011, there was agreement on the establishment of an evaluation system as part of the wider government monitoring and evaluation (M&E) system. The National Evaluation Policy Framework (NEPF) was written after undertaking extensive benchmarking and learning; and was approved by Cabinet on 23 November 2011. The rationale behind this was that government must evaluate whether it is doing the right things, and whether it is doing them right. The NEPF included focusing on a limited number of strategic priorities through a National Evaluation Plan (NEP). As at March 2017, 59 evaluations have been completed or are underway. This Annual Report will reflect on emerging lessons and findings from these evaluations. This report will also give summaries of evaluations per putcome area *versus* focusing on individual evaluations per financial year. This allows for deeper insights and synthesis of evidence into specific sectors. An approach of this nature will allow us to identify evidence gaps and where more work needs to be done.

1.2 How has the South African evaluation system evolved?

Before the implementation of the NEPF very few evaluations were undertaken in government and in case where they were, there was minimal capacity to undertake them. Additionally, there were no guiding frameworks on undertaking evaluations, so the practice was inconsistent. There was also limited formal training in evaluation, even in existing M&E units, and the prevailing culture at the time was one where M&E was undertaken purely as a compliance exercise, not for learning how to improve performance.

For example, in a survey undertaken by DPME in 2012, 54% (See Figure 1 below) of departments said that problems were not treated as opportunities to learn how to improve performance. With the main reason for evaluation being learning, this meant that the evaluation system was being introduced into a very challenging environment, one which was not conducive to learning. In the same study, 33% of respondents indicated that there was a fear admitting mistakes; and although this is not a significant percentage, it still had enough weight to warrant concern with regards to a poor culture of learning.

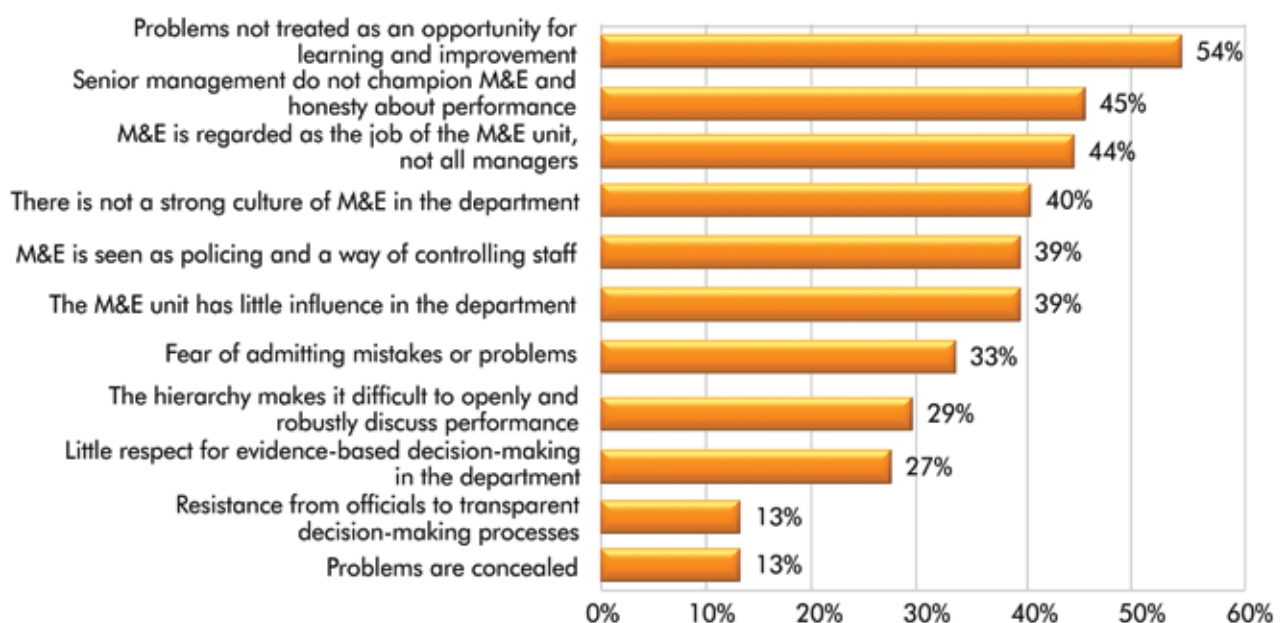


Figure 1: Distribution of responses on culture or values-related barriers
Source: Umlaw *et al.*, 2012

The NES was built on the lessons learnt from a study tour to Mexico and Colombia in June – July 2011, which included the DPME Deputy Minister and Director-General. Immediately after the trip, the draft NEPF was developed and approved by Cabinet on 23 November 2011 (DPME, 2011a). The first NEP for 2012/13 was adopted by Cabinet in June 2012 (DPME, 2012b), and evaluations began in June 2013. In the 2016/17 financial year, 25 evaluations had approved final reports, compared to 25 in 2015/16 and 13 in 2014/15. So while evaluations are taking longer to come through than hoped, completed evaluation reports are steadily coming through.

Several initiatives and interventions were introduced in the system to help institutionalise it and entrench it. These included the development of guidelines to establish the basis for minimum standards; evaluation standards and the competences; and evaluation short courses using these competencies.

In 2015/16, a Management Performance Assessment Tool (MPAT) evaluation standard was piloted to help drive involvement of government departments in evaluation. This revealed that 36 departments have adopted the DPME guidelines on the NES, 29 had a departmental evaluation plan, and have staff with an evaluation role. In 2016, the numbers of departmental evaluation plans (DEPs) had risen to 44, and 93 provincial evaluations were planned. As at March 2017, there were 57 DEPs compared to the 44 in 2016 and 29 in 2015. This is an indication that the evaluation system is expanding and the importance of evaluations is being recognised by government departments.

1.3 What approach underlies the evaluation system?

The NEPF which provides detail on the different government interventions that evaluations focus on including policies, plans, programmes, and systems guides the evaluation system. It envisages evaluation as a process carried out throughout the intervention life cycle, including prior to development of an intervention (*diagnostic evaluation*), to confirm the robustness of the design (*design evaluation*), to assess progress and how implementation can be improved (*implementation evaluation*), to assess impact (*impact evaluation*), and to see the relationship between costs and benefits (*economic evaluation*).

Interventions across government which are seen as a national priority are contained in the NEP which is updated annually.

These comprise those that are large (in budget or footprint), link closely to the priority outcomes, are strategic or innovative, or address topics which are of considerable public interest. Evaluations are proposed by departments, as well as centrally. Selection in the NEP means that Cabinet will support that the topic is important, the DPME will support the department concerned to ensure that the findings are implemented, and the evaluation will be made public. It will require that the guidelines and minimum standards being developed for the NES must be used, for example, an improvement plan must be developed.

Often, and this is not unique to South Africa, results from evaluations that were undertaken are not used. Various reasons such as rejection of findings by programme owners or fear of judgement could contribute to this. This is a waste of money and a waste of an opportunity to improve government's efficiency and effectiveness. However, there are ways to ensure results from evaluations get used, which underlie the design of South Africa's system, notably by promoting **ownership** and ensuring **credibility** of the evaluations.

Promoting ownership

Ownership of evaluations means departments feel empowered to undertake the evaluation process, as opposed to feeling obligated to do so. This fosters use of the findings and recommendations of evaluations, which is the purpose of doing the evaluation. For this reason, the system was created in a way that departments request evaluations, rather than having them imposed on them.

- The importance of **learning** from the evaluation on how to improve should be stressed, rather than it being undertaken as a punitive exercise.
- There must be broad government ownership, supported by a **coalition** to support the evaluation system. A cross-government Evaluation Technical Working Group (ETWG) of key departments and provinces involved in evaluations has been established to support the system. A demand-driven approach helps to create champions to support the system.

Promoting credibility

One of the main factors in safeguarding the credibility of evaluations is making sure they are independent so principals, including Cabinet, can believe the results. To ensure this:

Box 1

The underlying purpose foreseen for evaluations is:

- Improving policy or programme **performance** – providing feedback to managers.
- Improving **accountability** for where public spending is going and the difference it is making.
- Improving **decision-making**, e.g. on what is working or not working.
- Increasing **knowledge** about what works and what does not with regards to a public policy, plan, programme, or project.

- **Independent external service providers** undertake the evaluation, reporting to a steering committee. These service providers are on a pre-qualified panel and include universities, science councils, non-profit organisations (NPOs), and consultants, or are selected through open tender.
- Evaluations are implemented as a **partnership** between the department(s) and the DPME, or if provincial, the Office of the Premier, which brings a degree of independence.
- The **steering committee**, and not the department alone, makes decisions on the evaluation (e.g. approving reports), which keeps some distance and objectivity in decisions.

Major efforts have gone in to ensuring **quality** of evaluations, including:

- Establishing minimum evaluation standards, providing guidelines and training.
- Having peer reviewers (normally two) per evaluation.
- A DPME evaluation director supports the whole process, provides the secretariat for the evaluation and provides detailed inputs into methodology and to improve the quality of deliverables.
- A theory of change (ToC) workshop and design clinic, which are undertaken once the evaluations have been selected, using top national and international evaluators (unpaid) to assist in defining the theory of change of the programme or policy being evaluated, and to develop an outline evaluation purpose, questions and methodology.
- A quality assessment against the evaluation standards, which is undertaken once the evaluation is completed. The evaluation must score over three out of a possible five to be considered reliable. Currently, the DPME is scoring well above the minimum, with NEP evaluations scoring an average of 3.7.

Obviously the evaluation can have no impact unless there is **follow-up**. The NES therefore includes a system of improvement plans to respond to the findings and recommendations, which are then monitored for at least two years on a six-monthly basis.

For the accountability objectives to be achieved, an important factor is **transparency**. To ensure this, all evaluation reports go to Cabinet and are then made public, unless there are security concerns. They are put on the websites of the DPME and partner department(s), sent to relevant Parliamentary portfolio committees, and sometimes there is media coverage, or they are published in journals. Other communication means are continuously sought to improve dissemination and transparency and this is an area where more investment is needed to get the findings in the public domain.

1.4 Our evaluation cycle


There is a lot of work involved in undertaking evaluations. Evaluations are proposed by the various departments and selected the year before they are undertaken. Terms of reference (ToR) are then developed, and the evaluation is started the following year. What follows is a rigorous process that involves procurement and appointment; appropriate methodology and an evaluation analysis framework; conclusion of the evaluation; and a follow-up process. Figure 2 below illustrates this detailed evaluation cycle.

1.5 What are the roles of the DPME, provinces and departments in evaluation?

DPME is the custodian of the national M&E system, and as such, develops the systems for evaluation and supports their rollout across government. On NEP evaluations, DPME provides secretariat support, in this way assuring quality, and, as an additional incentive, it partially funds evaluations. Where evaluations are large and complex, it also seeks external funding to support these, e.g. from the International Initiative for Impact Evaluation (3ie), of which DPME is both a member and on the Board. The M&E Unit supports departmental evaluations.



Figure 2: Evaluation cycle



For provincial evaluations the Office of the Premier plays a similar role, developing and supporting provincial evaluation plans.

Departments managing the policies and programmes being evaluated are the main owners of the evaluation, and must implement the findings. Departments also partfund the evaluations, which helps to ensure ownership. The programme managers within the departments normally chair the steering committees which manage the evaluations. Other departments that are involved may well be part of the steering committees, and may also have to implement the findings. National Treasury is invited to participate in all steering committees, and at least to comment on the terms of reference and final reports.

1.6 Emerging research role within DPME

The emerging research role within the DPME is described in the DPME Research Strategy 2015 – 2018, which has the purpose of establishing the role the department has to undertake in the generation, intermediation and use of research and other forms of evidence in decision-making and policy influence. This strategy arose out of a need to address an underlying assumption in the department's theory of change that planning is effective and evidence-based, that evidence generated from M&E will be used to improve service delivery and that M&E information is relevant and useful.

There exists a demand and need for proper evidence to support the 14 outcomes of government as aligned to the National Development Plan (NDP) 2030, which influence the strategy and role of research within the department. Within this context and background, the following components are included in the strategic role to be played within DPME, and more specifically, by the research team (as set out in the Research Strategy):

- Contextualising the need for research and other forms of evidence to support the department's work.
- Summary of findings from an internal diagnostic on the generation, analysis and use of evidence in the department's different programmes.
- An examination of scenarios for addressing the department's needs within a wider research system.
- An outline of the proposed scenario and research strategy, including capacity building and resourcing.

The Evaluation and Research Unit (ERU) within DPME was given the responsibility to spearhead the implementation of the research strategy in partnership with other government departments, research institutions, academia, non-governmental organisations (NGO), civil society and other relevant stakeholders. The intention is that, through this strategy, the department achieves its goal of generating and using evidence for the 14 outcomes.

2 Establishing the basics of the National Evaluation System

2.1 Evaluation standards and MPAT

In 2015, DPME decided to assess the readiness of departments for institutionalising the evaluation function in government by introducing a standard for evaluation within the DPME's MPAT. The overall purpose of the tool is to assess the quality of management practices in departments in four management performance areas namely, strategic management, governance and accountability, human resource systems and financial management. By introducing the evaluation standard within the Strategic Management Key Performance Area 1 (KPA), DPME's intention was not only to assess departments' readiness to roll out evaluations, but to learn from this pilot in order to initiate steps to institutionalise the evaluation function in government.

The main finding from the pilot phase was that evaluation systems in departments were generally not formalised and implemented. Departments could not produce evidence of clear structures indicating that evaluation posts were filled and that evaluation is one of the core functions in M&E/related units. The focus was still more on policy, planning, monitoring and research. Moderation process shows that departments lacked understanding of basic terminology, such as distinguishing between research and evaluation. Less than 30 departments submitted evidence of approved DEPs during the 2015/16 pilot phase.

In response to the appalling results from the pilot, DPME organised an Evaluation Seminar on 28 – 29 July 2016 aimed at supporting departments on key elements of the evaluation MPAT standard. Similar workshops were organised for Mpumalanga and Limpopo at Thaba Moshate Hotel, Burgersfort from 15 – 16 September 2016, KwaZulu-Natal and Northern Cape. Based on the lessons from the pilot, DPME compiled a toolkit providing step-by-step practical guidance on the requirements for the evaluation MPAT standard. All these interventions have yielded positive results and contributed to the remarkable increase in the number of departments with approved multi-year DEPs increasing from 29 in 2015/16 to 57 in 2016/17.

2.2 Guidelines

DPME developed a set of practical and user-friendly guidelines and templates on various components of the evaluation process to support departments undertaking evaluations; and departments have been asked to adopt these as part of the MPAT evaluation standard. These provide direction on the functionality of the evaluation system from beginning to end, for example the ToR needed at the start of the process, to developing an improvement plan at the conclusion of the evaluation. As the system grows, these guidelines have proved to be a useful resource for many of our stakeholders including training of service providers. As of the end of the 2016/17 financial year, 27 guidelines/templates had been produced and posted on the DPME website (<http://evaluations.dpme.gov.za/pages/guidelines-other-resources>). In collaboration with selected national and provincial departments, the DPME developed the latest guidelines, namely: *Quality Assessment of Government Evaluations; How to Develop Actionable Recommendations; and the Toolkit on Evaluation MPAT Standard*. Two templates were developed, namely: the Full and Summary Report Structure Templates.

Guidelines are constantly revised to incorporate comments from stakeholders and to reflect the latest developments on the NES. The evaluation of the national evaluation system will possibly reflect on further amendments to the guidelines, or additional ones to be developed, to improve the system. These findings will be available in 2018. Currently, a significant amendment to the ToR Guideline is the requirement that 40% of team members should be historically disadvantaged individuals (HDIs). By increasing the participation of HDIs in government-contracted evaluations, DPME hopes to widen the pool of skilled HDI evaluators undertaking evaluations for government to cope with the increasing demand for evaluation in the country.

A list of the approved policies, plans, guidelines, templates, and other standard setting documents can be found in Annex 1.

2.3 Learning and capacity development

Currently, departments across government are at different capacity levels ranging from low, medium and high as reflected in the MPAT scores. However, the prevailing notion is that capacity to undertake evaluations, and manage them, is still a challenge within the system. There is full comprehension that supporting the NES requires various capacity development interventions from the demand and the supply side. As such, DPME continues to support the system in the following:

- Awareness-raising through events such as the annual NEP briefing session, which was launched in 2015 to elicit responses to calls for concept notes for proposed evaluations to be submitted for the NEP. Thereafter, a training session was held on developing the concept notes. The DPME has also made presentations to national and provincial departments on the NES to encourage the development of DEPs.
- Learning-by-doing support through direct experience of undertaking evaluations. The DPME evaluation directors provide the secretariat for evaluation steering committees and support the whole evaluation process. Each director supports two to four evaluations in a specific year, while also supporting implementation of the previous year's evaluations, and preparing for the following year's, and therefore may have up to eight evaluations to manage in one year.
- National Evaluation System Capacity Development Strategy: The main activity has been the diagnostic study underway in the Twende Mbele project aimed at assessing demand and supply needs around evaluation capacity development. The diagnostic of supply and demand of evaluators seeks to provide a country-specific demand and supply profile¹ of evaluators in each of the three partner countries in the Twende Mbele project: Benin, Uganda and South Africa. The study will answer questions regarding the capacity and supply of evaluators on the continent, and what is required to strengthen this capacity and supply. The study is currently underway and the result will be shared in the next year's report.
- DPME produced a revised evaluation competences document in July 2014 and that document has continued to assist DPME in developing job descriptions in recruitment, looking at career pathing, specifying competencies required in procurement of service providers, and in reflective programme management DPME has partnered with the Department of Public Service and Administration (DPSA) in a process of developing evaluation framework competencies for the entire public sector which will see the evaluation competences being embedded in the public sector. Evaluation competencies will assist in defining skills, abilities, knowledge, experience and other relevant attributes and observable behaviours that a job holder is expected to have and is considered instrumental in meeting the inherent requirements of an evaluation job.
- Provision of just-in-time short courses which help officials working on evaluations to undertake each stage of the evaluation process. The DPME continues to roll out its suite of training courses developed in collaboration with the National School of Government (NSG) and the Centre for Learning on Evaluation and Results Anglophone Africa (CLEAR-AA), namely Managing and Commissioning Evaluations, Deepening Evaluation, and Evaluation Methodology. During 2014/15, Course 1 (Managing Evaluations) was redesigned and finalised as two courses into 1a How to manage Evaluations and 1b Commissioning Evaluations; Course 2 on Deepening Evaluations was redesigned, and re-piloted, Course 3 on Selection of Evaluation Methodology Guidelines was developed, piloted and finalised. In 2015/16, the Programme Planning course was redesigned, and a new course on Design Evaluation was developed, both in partnership with CLEAR-AA. These are typically three-day courses which are provided at the point in the evaluation cycle where the specific skills are needed. In addition, courses have been run on log frames and ToC. During the 2016/17 financial year, 550 government officials attended the short training courses, exceeding the target of 550, as well as 40 staff members from various service providers.
- Training on Evidence-based Policymaking. Course 5 (Evidence-based Policymaking for Directors-General (DGs)/Deputy Directors-General (DDGs)) was redesigned, and re-piloted successful. A total of 72 officials went through this course in the 2016/2017 financial year and its demand has continued to rise. A similar course has been redesigned making it rather more technical in order to accommodate the chief directors, directors as key role players in decision-making in government. The course has been designed to provide participants with technical skills in how to use a range of tools to support departmental policy development and implementation processes. Demand for the course has been unprecedented already.
- Peer learning. DPME has continued to utilise its annually convened two-day National Evaluation Seminar as a platform to allow peer learning amongst national departments and OTPs through sharing of experiences in implementing the NES. The 2016 National Evaluation Seminar was attended by government officials. It is envisaged that all OTPs convene such a platform in the respective provinces in order to promote peer learning amongst provincial departments. DPME is a member of the South African Monitoring and Evaluation Association (SAMEA) and continues to encourage departments to

belong to that network. SAMEA brings together the community of monitors and evaluators from government, private sector and NGOs and allows for learning from one another, sharing of new trends in the space.

- To date, the DPME's training has evolved to accommodate staff not only directly involved in evaluations, but also planners, policymakers, analysts and strategic managers. A wider training to build evaluation capacity in the country is through appropriate training courses provided by the NSG, universities, and the private sector as it is envisaged to be a sustainable strategy. In 2016/17, DPME spent a fair amount of time building relationships with the NSG and CLEAR-AA, and participated in academic programmes (University of Cape Town (UCT)) and University of KwaZulu-Natal (UKZN). DPME values developing relationships with these organisations to achieve this end, as well as seeking to work with universities to contribute to Masters courses in programme evaluation to ensure that they are effectively geared towards building the capacity for improved awareness and support of the NES. DPME's directors have from time to time been invited as guest lectures in the Masters degree in Monitoring and Evaluation, most notably at UKZN and UCT.

2.4 Quality Assurance

Core to DPME's approach is ensuring quality. In 2012, with the support of the *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ), the department developed a set of evaluation standards, building on international experience from the Organisation for Economic Co-operation and Development (OECD), Germany, the US, Canada, and, in particular, Switzerland, as well as the African Evaluation Standards developed by the African Evaluation Association (AfrEA). In the end, the OECD Development Assistance Committee (DAC) standards were felt to be the most practical, and these were adapted for South Africa. The quality assessment standards have since been revised and reduced from 71 to 42. They are available on the DPME website (<http://www.dpme.gov.za/keyfocusareas/evaluationsSite/Pages/Quality-Assurance.aspx>), an overview of which can be found in Box 1.

The standards intend to support the use of evaluations conducted through the NES by setting benchmarks as a means to measure evaluation quality. Based on these, a quality assessment tool has been developed and is applied to all evaluations once completed. This is used by independent assessors who, over the course of around four days, look at the ToR and evaluation products and speak to stakeholders in order to give a score out of five for the quality of the evaluation. This has been applied to all government-related evaluations that the department has been able to obtain, including some going back as far as 2006. In addition, the DPME is supporting provinces by quality assessing their evaluations. It is intended to expand this role in future.

A total of 156 evaluations had been quality assessed up to the 2016/17 financial year, with two still outstanding for 2017/18, bringing the number of evaluations to 158. Of the 156 evaluations that were quality assessed, 130 scored above 3, while 26 evaluations scored below 3, which is not considered as providing reliable results. The average scores for both national and provincial evaluations was 3.46; slightly down compared to the average in 2016/17, which was 3.47. These assessments, including the executive summaries and ToR, are available on the Evaluation Repository on the DPME website at <http://evaluations.dpme.gov.za/evaluations.aspx>.

Other tools to improve quality are:

- **A peer review system** which involves a methodology and content peer reviewer in each evaluation. A review of the system started in December 2014 and was completed in November 2015. Recommendations from the findings of the review have been included in the updated current peer review guideline.
- **Theory of change/design clinics**, using top national and international evaluators to support evaluation teams to develop ToC and robust evaluation purpose, questions, and methodology. This has been done for five years and is improving.

2.5 Communication

Communication is considered a very critical part of the evaluation system and DPME believes in continuously updating stakeholders and the public about the work being done on evaluations, and the value that these evaluations add to the policy arena. As the evaluation system continues to gain traction and stabilise, so is the need to do more work in communicating evaluation results to influence policy and practice. There is also recognition that as more evaluations are being done and completed, we could entrench better communication efforts that rope wider media engagement and inclusion of other key institutions who could benefit from the information. Activities that have been implemented include:

- The *Evaluations Annual Report* which was printed and distributed widely to a network of national and international evaluators. Some of the recipients included: the Minister and Deputy Minister of DPME; Members of Parliament; DPME sector specialists; planning commissioners; international delegates at the International Knowledge Sharing Workshop; national delegates at the national and provincial forums, as well as other meetings.
- Four editions of the quarterly *Evaluation Update* electronic newsletter, which covers activities on evaluation were distributed to around 2 500 key contacts nationally and internationally. It is also available on the DPME website.

- The National Evaluation Plan 2016/17 which gives detail to the evaluations to be undertaken was finalised and posted on the DPME website.
- Presentations on the NES were done at various strategic platforms which include the following: Uganda (AfrEA); 2 Evidence-Based Policymaking and Implementation (EBPMI) workshops; national and provincial workshops; International Knowledge Sharing Workshop, KZN Provincial Forum, 16 Days of Activism launch; Mpumalanga Provincial Workshop; Limpopo Provincial Workshop and Gauteng Provincial Workshop. A poster which was co-written by DPME and JET Education Services was exhibited at the AfrEA conference. The title of the poster was Creating an Index to Assess Implementation of a School Nutrition Programme.

Maintenance of an Evaluation Friends distribution list of over 300 people, including those who have attended the DG/DDG course on evidence, to whom relevant news and documents are circulated.

The DPME website holds a lot of information on work done by the department. An Evaluations Repository which has been revamped for more flexibility is hosted on the website. The repository also holds 148 evaluations consisting of those in the national evaluation plans and others that have been done outside of the NES.

Social media engagement has expanded with some 600 followers on Twitter's accounts of the department (@evaluationSA), and the Head of Evaluations in the department (with about 600 followers). The expanded Communications Unit within DPME has also utilised social media platforms to communicate the work of the department, including evaluations.

In July 2016, DPME hosted the first Evaluation Seminar attended by over 200 delegates from national, provincial and local government. This seminar set the tone for an annual platform in which DPME hosts a learning and sharing session on evaluations; and to discuss some strategic aspects on how to institutionalise evaluations.

2.6 Evaluation Repository

As part of wider communication and access to information efforts, DPME created a centralised web-based repository of evaluation reports which have been quality assessed on its website. These evaluations are available to the public for use. The repository was revamped and integrated into the DPME's overall Evaluation Management Information System (EMIS) to allow for greater flexibility with regard to its use and the managing of key documents. It was deployed onto the DPME servers and website in May 2016. Older evaluations may only have a final report, but for new evaluations a wide variety of documents are available, including ToR, final reports, management responses and improvement plans.

In 2016/17, from 1 April 2017 to 28 September 2017, there were 4 231 visitors to the repository. The majority of visitors were from South Africa, 86.39%, however, there were also visitors from the US, UK and Australia. New visitors to the site were recorded from India, Cameroon, Canada, Brazil, Philippines for the 2016/17 financial year. The repository can be accessed at <http://evaluations.dpme.gov.za/evaluations.aspx>.

2.7 Building demand for evaluation evidence

For evaluation evidence to inform programme management and budget decisions, it is important that senior managers are interested in using evidence to improve their performance. A key intervention in this regard is training of the top three levels of the public service on the importance of evidence for policymaking and implementation, providing them with an overview of the language, concepts and tools used in this area, and introducing them to a range of national and international resources on the use of evidence. Supported by the DG in the Presidency, the DPME, together with UCT and the PSPPD, organised a first course for DGs/DDGs in Evidence-Based Policymaking & Implementation (EBPM&I) in

Box 2: Other communication outputs on lessons learned have been published on various platforms:

Two chapters titled: How Does Government Evaluation in South Africa Contribute to Democracy by Ian Goldman and Strengthening Democratic Governance in the Building of Integrated Human Settlements Through Evaluations by Matodzi Amisi and Ahmed Vawda have been published in a book by Donna Podems titled *Democratic Evaluation and Democracy: Exploring The Reality (Evaluation and Society)*.

In partnership with the Programme to Support Pro-Poor Policy Development (PSPPD), the DPME has also developed a second series of eight policy briefs which will be distributed in 2017/18. The policy briefs will also be made available on the DPME website.

Interest continues to grow in the special edition of the African Evaluation Journal (AEJ) on South Africa's NES, a collaboration with the SAMEA. The journal featured 12 papers and by the end of March 2017, had been downloaded over 46 000 times. The set of papers can be found on the AEJ website at <http://www.aejonline.org>.

November 2013. The course has proved very popular and has been run again in October 2014, May and October 2015, May and October 2016. The course has now been attended by around 220 top managers (mainly DGs/DDGs and chief directors) from a range of national and provincial government departments and sectors.

In addition, evaluations are being tabled frequently at the Forum of South African Directors-General (FOSAD) and increasingly at departmental clusters, which is helping to make DGs aware of the type of evidence emerging. However, there are cases where departments are reluctant for evidence to be made public, which is delaying publication of some evaluations.

The DPME has also been working with portfolio committees and Members of Parliament (MPs) to increase awareness of how M&E evidence can inform their oversight roles. In 2013/14, particular efforts were made with the Standing Committee on Appropriations, to which the DPME reported to prior to the 2014 elections, including organising two study tours during this time to the US/Canada, and to Kenya/Uganda. This helped to build better understanding and trust with the committee. The DPME now reports to the Public Services Committee.

2.8 Building supply capacity

Because evaluation is still in its relative infancy in the public sector, and the NEPF was only approved at the end of 2011, the DPME has worked hard to build the NES across national and provincial departments since then. In 2012, an evaluation panel of 42 service providers was developed, comprised of consultancies, university enterprises, and NPOs, who had to be registered and security vetted. As national evaluations were commissioned and executed by service providers, the scarcity of appropriate skills in evaluation became apparent, reflected in weak reports and delays in completing evaluations as a result of quality concerns. It also became clear that transformation amongst the evaluation suppliers was important to address, and DPME raised meaningful BEE involvement in commissioned evaluations from an initial minimum of 30% to 40% by 2016/17.

In 2014, the evaluation panel of 24 listed fewer approved suppliers, but this has unfortunately led to the execution of national evaluations undertaken by a small and familiar set of

consultancies. By end of the financial year 2016/17, only seven companies had successfully completed NEP evaluations. Whilst the concentration of evaluations amongst a few suppliers is of concern, the constrained supply of appropriate suppliers is a significant challenge in broadening the pool of skilled evaluators in the country. The DPME has worked to strengthen the involvement of universities and science councils. Five universities were engaged and added to the panel (Pretoria, Stellenbosch, UCT, Free State, and Witwatersrand) and resulted in greater involvement of the universities in evaluation supply.

To build evaluator competencies, suppliers were invited to send their staff to attend the custom training DPME provides to departments who have NEP evaluations. Training in ToC was provided, amongst other mini-courses, and briefings on the NES were also arranged. A total of 18 staff from service providers participated.

Towards the end of the year, the evaluation was suspended in an effort to encourage new suppliers to bid for evaluations in the NEP. Although the administrative burden has been increased, there is a slow and gradual increase in new companies bidding for opportunities to undertake evaluations.

2.9 Evaluation and research panels

The previous evaluation panel consisting of 42 organisations expired in January 2015, and a call went out to replace the panel for a further three years. Efforts were made in early 2014 to strengthen the involvement of the five universities already on the panel. This has proved to be a fruitful endeavour, with many universities now included on the panel. The new evaluation panel has 26 organisations. The research panel has been expanded from 18 to 36 organisations. The panel is now being used by Western Cape and Gauteng OTP and Western Cape Department of Agriculture, and may develop into a transversal panel across government. However, the experience has been that both the number and quality need to be improved. In addition, in some sectors there is not enough experience on the panel and full tenders will be used. Training will be targeted to improve the capacity of service providers to support evaluations and discussions are underway with the World Bank to assist in this regard. An additional panel of emerging evaluators is being developed for 2017/18.



2.10 Improving programme planning

There were important lessons learnt during the 2015/16 and 2016/17 financial years about the key reasons for government not achieving the envisaged development results through some of its implementation programmes. From a planning perspective, a common finding through the various evaluations undertaken uncovered that implementation programmes were not adequately informed by a thorough evidence-based diagnostic analysis and were not clearly designed with an implementation programme theory which details how the implementation of the government's programmes will contribute towards developmental results.

To assess the existence of implementation programme plans more broadly, the DPME used the MPAT 1.6 process during the 2016/17 financial year. The key components of an implementation programme plan, as outlined in the Guideline 2.2.3 Planning for New Implementation Programmes (2014), formed the basis of the MPAT standard and moderation criteria. The results of this broad assessment was an increased level of awareness for the Guideline 2.2.3 and improved engagement with DPME regarding its implementation.

Using lessons learnt through the MPAT process, DPME developed a training programme and material for this area of planning, and piloted the training programme in the 2016/17 financial year. Pilot training sessions were conducted for selected national and provincial departments to improve the training material and support the implementation of the guideline.

Going forward in the 2017/18 financial year, DPME will aim to conduct a detailed assessment of the current implementation programmes rolled out in the national and provincial spheres. Lessons learnt from the detailed assessment of implementation programmes will inform the development of a database of all implementation programmes currently being implemented in the national and provincial spheres of government, as well as highlight areas for DPME to support departments to improve planning, implementation, M&E of implementation programmes. DPME will also work closely with the NSG, and other provincial government training academies, to formalise the training programme which will be accessible to government planning practitioners and implementation programme managers.

3 Progress with implementation of national evaluations

The table below summarises the number of evaluations completed and underway, 36 evaluations now have approved reports, where 19 of them have been to Cabinet and are public. This section also gives an analysis of evaluations by outcome and what progress has been made with each of them.

Table: 1 Status of evaluations as at end March 2017

Approved reports	Improvement plans being implemented	Served at Cabinet	Research underway	ToRs approved	Preparation stage	Stuck/dropped
36	24	19	13	5	5	7

3.1 Outcome 1 - Education

The initial pilot – Early Childhood Development (ECD) (2011/12)

The ECD Diagnostic Review was the pilot evaluation for the NES. Seeking to get an overview of the sector and to link with a review of the National Integrated Plan for ECD, the evaluation drew from 112 existing studies rather than collect primary data. One of the key findings pointed to the need to expand the ECD phase to include the first 1 000 days from conception, up to age 2. The evaluation also highlighted the need for a comprehensive set of services, with concerted efforts to ensure access to services by children from poor families. These results together with outcomes of the ECD Conference by the Minister of Social Development led to a National Action Plan for ECD (2013 – 2016). Furthermore, a new draft ECD policy was produced and gazetted addressing many elements of the evaluation findings. An important process outcome from the evaluation was an improved relationship between the Department of Social Development (DSD), Department of Basic Education (DBE) and the Department of Health (DoH). One of the major accomplishments highlighted by the evaluation was that DBE develop an ECD curriculum for children from birth to school-going age, including stimulation material. As per

Cabinet's recommendation, the integrated infrastructure policy for ECD will be incorporated into the National ECD policy to avoid having two separate infrastructure policies on ECD.

The DPME and DSD will meet at the end of the improvement plan phase, to corroborate on the progress made and see what further inputs are required from DPME, if any, before officially closing-out.

Impact evaluation of the introduction of Grade R on learning outcomes (2012/13)

The DBE defines Grade R as a 'formal' education programme attended by children the year before Grade 1. The purpose of Grade R is to prepare learners for school, improve academic performance and retention, and decrease repetition among learners. Since 2001, there has been massive expansion of provision of Grade R, from 242 000 to 768 000 in 2012. A further 55 000 children attended Grade R in ECD centres, pushing the total up to 804 000.

The evaluation used a very large dataset of 18 102 schools, which allowed precise measurement of the impact of Grade R on test performance in mathematics and home language for pupils in Grades 1 to 6. The results indicate that the impact of Grade R is small, with virtually no measurable impact for

the poorest three school quintiles, and some impacts for quintiles 4 and 5. Results are better in higher quintiles, better performing schools, and educationally stronger provinces (Gauteng, Northern Cape and Western Cape). This reveals that Grade R is not having the impact that was hoped for in poorer schools. Despite massive expansion, poor quality of provision seems to be limiting impact. The evaluators therefore recommended that DBE pursue the target of 100% Grade R coverage, while focusing on improving quality.

The first progress report on the improvement plan, which was submitted in June 2015, indicated that no significant changes had occurred. The second progress report was submitted in April 2016 and had more positive news; showing that steady progress is being made. DBE is working on the third progress report, which will be submitted to DPME in March 2017.

Evaluation of National School Nutrition Programme (NSNP) (2014/15)

In recognition of the critical role of learner well-being in achieving quality educational outcomes, the DBE identified hunger and malnutrition as barriers to optimum participation in education. The main purpose of this evaluation was to assess whether the NSNP is being implemented in a way that is likely to result in significant health and educational benefits to primary school learners.

The evaluation stressed the relevance and importance of the NSNP, given the high levels of poverty and inequality in South Africa. However, findings show that while impact in terms of increased enrolment and improved attendance and retention in the education system *are likely* to be achieved, impact in

terms of learner performance is *only likely* in schools where effective teaching and learning take place.

A significant portion of Conditional Grant funding goes towards NSNP meals and it is therefore imperative that the programme design be strengthened. A key recommendation was that improvement in outcomes can be achieved by enhancing integration between stakeholders; upscaling the programme through providing breakfast or a snack at the start of the school day and introducing a series of pilots which put a strong emphasis on M&E; and providing NSNP meals to identified learners in quintile 4 and 5 schools. In addition, stronger links with the DoH to increase the amount of energy and nutrition received by beneficiaries of the NSNP was recommended. The evaluation report was approved by the steering committee on 16 September 2016 and the improvement plan is now being developed.

Evaluation of CAPS/New School Curriculum (2015/16)

In July 2009, the Minister of Basic Education, appointed a panel of experts to investigate the nature of the challenges and problems experienced in the implementation of the National Curriculum Statement (NCS) and to develop a set of recommendations designed to improve its implementation. One of the recommendations from this process was to repackage the curriculum policy as the Curriculum and Assessment Policy Statement (CAPS), which was gazetted in 2011, and curriculum implementation was then phased in incrementally across different grades.

The purpose of this evaluation was to determine whether the curriculum has been implemented as specified in the CAPS, and how implementation can be strengthened. The

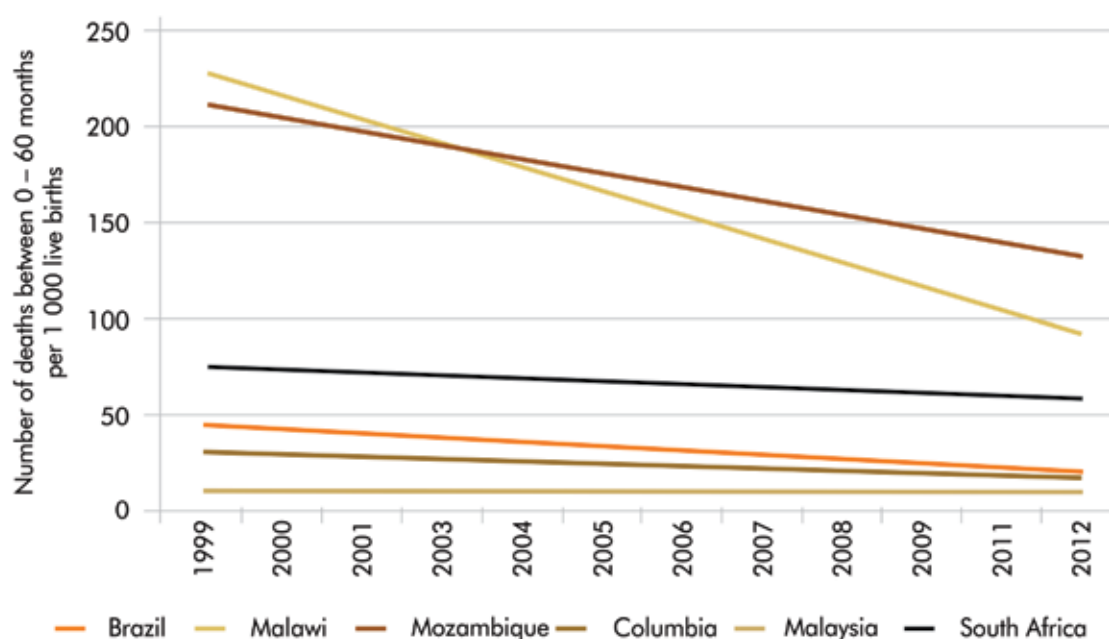


Figure 3: Trends in under five (child) mortality rate

evaluation commenced in March 2016. A stakeholder workshop to comment on the first draft report was held on 1 December 2016. The findings indicate that blockages to the implementation of the NCS occur at five key points in the curriculum cycle: the initial education of teachers Institute of Technical Education (ITE), the appointment of inappropriate candidates to promotion posts, ineffective in-service training Continuing Professional Development (CPD), the poor use of time in schools, and ineffective instructional leadership practices exercised by subject advisors and school leaders. The report and improvement plan are scheduled to be completed and approved in 2017/18.

Evaluation of Early Grade Reading in SA (2015/ 16)

This evaluation aimed to test specific ways of influencing capability and motivation and provide solid evidence to inform future education policy.

The primary intended outcome was improved Setswana reading acquisition, which was measured at the end of 2015 and again at the end of 2016 using an adapted version of the Early Grade Reading Assessment (EGRA) tool. Using a randomised control trial, the study will evaluate the causal impacts of three new interventions aimed at improving early grade reading, namely, (i) a teacher training course focused specifically on the teaching of Setswana reading and literacy, accompanied by scripted lesson plans and graded reading materials; (ii) an on-site support programme to teachers from reading coaches, accompanied by scripted lesson plans and graded reading materials; (iii) and a package designed to improve parent involvement in, and monitoring of, learning to read. Each intervention will be implemented in a group of 50 schools over a period of two years in North West province, specifically, in the education districts of Ngaka Modiri Molema and Dr Kenneth Kaunda.

Following some delays with implementation of the programmes at the schools, this evaluation is now successfully underway.

3.2 Outcome 2: Health

Evaluation of nutrition interventions for children under 5 (2012/13)

This evaluation arose from the ECD evaluation, with a realisation that the nutritional component of ECD was insufficiently developed. It focused on four high impact interventions and field work in four provinces, namely KwaZulu-Natal, Western Cape, Free State and Eastern Cape. Rather than just focusing on Health's Integrated Nutrition Programme, it also looked at backyard food production initiatives by the Department of Agriculture, Forestry and Fisheries (DAFF) and the Department of Rural Development and Land Reform (DRDLR), as well as other food security initiatives. The evaluation was completed in March 2014.

A key finding was the importance of nutrition in contributing to lessening child mortality and morbidity – at the time of the

evaluation data showed that 21% of children under the age of five in South Africa were stunted, which was a much higher figure than in similar countries, like Brazil and Colombia. Stunting has long-term effects and can eventually affect the next generation of children, resulting in the intergenerational transfer of poverty.

Recommendations from the evaluation were incorporated in the MTSF (2014 – 2019) reflected in several nutrition targets in Outcomes 2, 7 and 13. Human resource capacity was also identified as a key area for improvement and the evaluators recommended that higher level champions be appointed in national and provincial departments, and that provinces improve the training of nurses and community health workers (CHW) following the model set by KwaZulu-Natal where the CHW are also trained as nutrition advisors. When Cabinet approved the report it requested that improvement activities be linked with the National Food and Nutrition Security Strategy (September 2016). The strategy will serve as the improvement plan and DPME will be receiving progress reports every six months to track progress against committed tasks.

3.3 Outcome 3: Safety and Security

Diagnostic evaluation/programme audit for violence against women and children (VAWC) (2014/15)

Women and children in South Africa experience terribly high levels of different forms of violence such as neglect, intimate partner violence, rape, femicide, child homicide and sexual assault. The Diagnostic Review reaffirms that the complexity and hidden nature of VAWC requires consistent political and institutional leadership to drive the agenda for change. It requires a commitment to challenge and shift dominant social norms about power and how those who have power use it, be it men in relation to women, or adults in relation to children. Oppressive social norms about women and children's positions in society and men's entitlement to women's bodies are so deeply embedded in society that, as the review points out, legislation, the establishment of institutions, and allocation of resources, though important, are not enough to resolve the problem.

The Diagnostic Review found that institutions of government responsible for responding to VAWC still consider it a women's issue. This mis-conceptualisation of the problem fails to recognise how VAWC is a result of dominant culture of male violence (masculinity defined by ability to exercise violence), misogyny and other socio-economic conditions and therefore responses focus on the victims rather than the perpetrators.

Despite statistics showing high levels of VAWC the Diagnostic Review points at a lack of consensus on whether reducing the levels of VAWC is a national priority in the country. The evaluation found no substantive report to any of the government and Parliamentary committees on government's programme of action to reduce VAWC. Moreover, it was not clear who is holding government accountable to reducing VAWC.

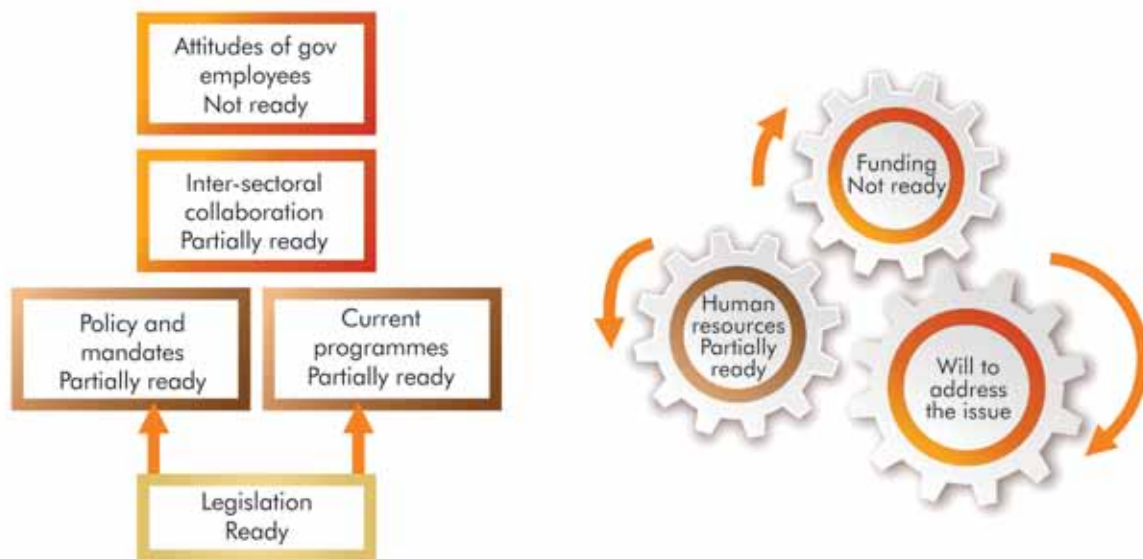


Figure 4: Government readiness to respond to VAWC

The improvement plan was developed by the Inter-Ministerial Committee (IMC) technical task team and is now underway. It speaks to various areas in the government response to violence that need strengthening. This includes the (1) development of a new national plan to tackle VAWC systematically which will be developed with the participation of all spheres of government and civil society organisations. (2) New mechanisms will be established to improve inter-sectoral collaboration, participation of civil society organisations (CSOs) and government accountability to the public. (3) Drawing from the new country plan a policy will be developed to improve victim's access to psychosocial services to support recovery and resilience. (4) Data and M&E will be strengthened to improve evidence-based programming and management decisions.

The evaluation findings can further be illustrated using the figures below.

Economic evaluation of the incremental investment into the South African Police Service (SAPS) Forensic Services (2014/15)

The strategic intent of the SAPS Forensic Services is to improve the impact of forensic services in the investigation of crime and prosecutions. Most performance reviews of forensic services focus on the quality, production, and turnaround standards set for the laboratories' operations management obligations. Although this performance focus certainly drives increased quality, increased production outputs, and quicker turnaround times, it falls short in inducing desired performance behaviour regarding creating strategic value and benefits for the detectives and prosecutors so as to increase detection and conviction rates.

The purpose of this evaluation was to determine whether the benefits (outcomes) of the annual incremental investment into the SAPS Forensic Services outweigh the costs (inputs)

or not. The evaluation aimed to provide useful evidence on the implementation of the incremental investment and how its effectiveness can be optimised. However, due to the unavailability of data and internal SAPS processes, the evaluation was extensively delayed. Fieldwork was concluded in August 2015 and five working papers were submitted in March 2016. The evaluation report was approved by the evaluation steering committee on 17 February 2017. The findings of the evaluation indicate that Incremental Investment In Forensic Services (IIFS) has made real progress towards improving the efficiency and effectiveness of forensic services. That said, improvements in a few areas, especially in procurement and financial management would greatly enhance the performance and delivery of the IIFS.

Evaluation of the Asset Forfeiture Unit (AFU) Sub-programme (2015/16) (Cancelled)

The AFU was established in 1999 shortly after the Prevention of Organised Crime Act (POCA) (1998) came into force. It is now a sub-programme of the National Prosecuting Authority (NPA) of South Africa. The AFU was created as a dedicated unit to develop the necessary expertise to deal with the complexities of forfeiture, and its performance was to be measured solely in terms of forfeiture. Its mission is to implement asset forfeiture measures effectively and aggressively as part of a strategy to deal better with organised and economically motivated crime. It aims to reduce crime, or at least the growth in crime, by reducing the profit and increasing the risk for criminals. It also aims to build faith in the criminal justice system by taking visible action to ensure that crime is seen as unprofitable. It is currently playing an important role in combatting corruption, which severely impacts service delivery. In many cases, it has also been able to make significant recoveries of state funds and property that had been lost due to corruption.

The purpose of the evaluation was to assess how well the AFU sub-programme is being implemented and whether it is

delivering upon its desired results (outputs and outcomes). It also seeks to determine whether the cost of implementing the programme is congruent with the intended benefits.

The evaluation was cancelled.

Implementation evaluation of the National Drug Master Plan (NDMP) in addressing all forms of substance abuse (2015/16)

Recognising the complexity of substance abuse and in line with global practice, government developed the National Drug Master Plan (NDMP). The plan is meant to provide policy direction and coordinate efforts to respond to substance abuse in South Africa. The evaluation however, found that because the NDMP does not provide implementation details and it is assumed that the policy direction set at a national level will filter down to the provinces (in spite of each province defining its own strategies and producing its own legislation), the NDMP has not been effectively implemented. This is also due to the fact that the plan is not sufficiently translated into sector plans or Annual Performance Plans (APPs), and is not aligned to the most recent Medium-Term Strategic Framework (MTSF); which could explain the challenge that national departments face in funding activities in the NDMP. The evaluation found much confusion amongst national departments around where resources should come from to implement the ambitious substance abuse-related strategies and plans. The same challenges around sources of funding were experienced at provincial levels. One other critical challenge hampering the implementation of the NDMP is the location of the Central Drug Authority (CDA) as a sub-directorate within the DSD. It limits the CDA's ability to provide the necessary leadership, implementation management and oversight to successfully facilitate the implementation of the NDMP.

Addressing the high levels of substance abuse is important in South Africa's overall strategy to address crime and violence. However, despite the importance of this programme for the country there has been little commitment from partner departments to develop an improvement plan following this evaluation. As a result, the evaluation has not been submitted to relevant clusters and submission to Cabinet is delayed. Nevertheless, the CDA has incorporated the findings of the evaluation in the development of the NDMP 2018 – 2021.

Implementation evaluation of the Birth Registration Programme (2016/17)

The early registration of birth is essential to ensure the integrity of the National Population Register (NPR), which is used to affirm the identity and status of citizens and gives them access to rights and services. Since the NPR campaign was launched in March 2010 the number of children registered within the legislated 30 days of birth has increased from 46% in FY2010/11 to 64% in FY2014/15.

The Department of Home Affairs (DHA) has invested in connecting a total of 398 health facilities to the birth registration system to improve access with a focus of building stronger linkages with hospitals. Another significant development was replacing the abridged birth certificate with a full birth certificate that can be printed in frontline offices. The capturing of both parents' details to secure the identity of the child is an important feature and is now a requirement for any minor travelling through a port of entry. Amendments to legislation have also drastically increased the provision for penalties for identity and vital registration fraud and late registration of birth.

The purpose of this evaluation is to understand why births are not registered within a 30-day period. The evaluation seeks to

Table 2: Substance abuse as a percentage of total provincial DSD budget

Provinces	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18
EC	0%	0%	0%	1%	2%	2%	2%
FS	2%	2%	3%	4%	4%	5%	3%
GT	3%	3%	3%	3%	3%	3%	3%
KZN	2%	2%	2%	2%	3%	3%	3%
LIM	0%	0%	0%	1%	1%	1%	1%
MPU	2%	2%	2%	3%	2%	2%	2%
NC	1%	1%	3%	2%	6%	6%	3%
NW	2%	2%	4%	4%	7%	5%	5%
WC	5%	6%	5%	5%	5%	5%	5%
All provinces combined	2%	2%	2%	3%	3%	3%	3%

Source: Statistics South Africa, 2015

assess constraints that could be affecting registration of births within the legislated 30 days. The evaluation is underway and a first draft report is expected from the service provider during 2017/18.

Implementation evaluation of the Integrated Justice System (IJS) (2016/17)

The IJS is a multi-year programme which aims to transform the Criminal Justice System (CJS) into a modern, efficient, effective and integrated system. The programme is a joint venture between the Justice, Crime Prevention and Security (JCPS) cluster departments which include South African Police Service, Department of Justice and Constitutional Development, National Prosecuting Authority, Department of Correctional Services, Department of Home Affairs, Department of Social Development and Office of the Chief Justice. The implementation of the IJS is intended to provide South Africa with a world-class integrated criminal justice system that will address system blockages such as non-existence of functional and business integration amongst JCPS departments, policy misalignment, lack of timely access to criminal record history and notification of events, imbalances in the level of automation of departments and incompatible information technology platforms, as well as a lack of quality information and information sharing.

This evaluation aims to assess whether the IJS programme is being implemented/delivered in an effective and efficient manner across all participating departments. The evaluation commenced on 29 June 2016 and fieldwork is currently underway. The report is expected to be finalised in November 2017.

Implementation evaluation of detective services and crime investigation (2017/18)

The investigation of crime is one of the key components of policing as per Section 205(3) of the Constitution. The overwhelming majority of crimes reported to the SAPS and subsequently investigated fall within the ambit of the Crime Investigation Sub-programme – this covers all serious crimes such as contact crime, crimes dependent on police action for detection, and crimes against women and children; and in addition, criminal and violent conduct during public protests. Crimes are reported to the SAPS by citizens who expect proper investigations that lead to the prosecution of alleged offenders. The Crime Investigation Sub-programme is therefore a key element of the CJS, which involves a range of departments and the success of which, has a direct impact on whether people in South Africa are and feel safe; and also on the overall perceptions of the performance of government. The evaluation aims at assessing the effectiveness and efficiency of the Division: Detective Service, in respect of the crime investigation process. The results of the evaluations will contribute to improving the performance of the division, and in turn, enhance the image and credibility of the SAPS. The ToRs for this evaluation have been advertised.

Implementation evaluation of the Integrated Social Crime Prevention Strategy (ISCPS) (2017/18)

South Africa experiences high levels of crime. A survey conducted by the United Nations Office on Drugs and Crime for the period of 1990 to 2000, ranked South Africa second globally for rates of assault and murder per capita and first for rapes per capita in a data set of 60 countries. Of particular concern is the rate of young people's involvement in criminal activities. Although violent crime in South Africa has decreased and stabilised since the 80s, it has stabilised at high levels, for example the SAPS (2016) report shows that over 18 673 cases of murder, nearly 51 895 cases of sexual offences and 132 527 cases of armed robbery were recorded in 2015/16. From a historical context, such high rates of crime and normalisation of violence are to a large extent a result of decades of state-sanctioned violence against society and the political violence which peaked around the 80s. The high rates of crime and violence in the country are further driven by high inequality and structural exclusion of majority from participating meaningful in the economy. This is complicated by a lack of respect for the rule of law, impunity and mistrust of the police, rooted in the long history of unjust laws and inequality in law enforcement.

Although law enforcement and criminal justice responses to crimes are important, they remain limited. This is a reactive approach which focuses on punishing those who themselves were very likely at some point victims of neglect, socio-economic exclusion and/or deprivation. The ISCPS of 2011/12 is an attempt to address the underlying causes of delinquency, violence and crime, rather than reacting through law enforcement as traditionally defined within the criminal justice system.

Despite the importance of the ISCPS for the country, implementation has been slow and patchy. It is also unclear how the strategy relates to other existing and new instruments that government has established. The implementation evaluation initiated by the DSD in collaboration with DPME aims to explore these questions further to try establish how the strategy can be strengthened. The evaluation is at the procurement stage and should be completed in the next financial year.

3.4 Outcome 4: Economy and Employment

Evaluation of the Business Process Services (BPS) incentive scheme (2012/13)

The BPS incentive scheme was launched by the Department of Trade and Industry (the dti) in 2011 to enhance South Africa's position as a world-class outsourcing destination for international investors and service providers. The purpose

of the evaluation was to investigate the extent to which the scheme is achieving its main objectives of job creation and attracting foreign direct investment (FDI). This evaluation assessed the scheme's efficiency, effectiveness, impact, and sustainability of design and implementation.

It revealed that 3 807 jobs have been created since the start of the BPS incentive scheme, and the estimated investment to date is approximately R2.7 billion, primarily operational expenditure. As much as 50% of firms stated that their investment in the industry was strongly influenced by the presence of incentives. This implies that this scheme has catalysed significant additional activity and investment. A challenge the scheme faces, however, is the lack of communication from government regarding its future, resulting in increasing uncertainty. Key recommendations were that the dti should review the design of the scheme and address the skills pool in the South African BPS industry, firms must be encouraged to more accurately project the number of jobs they expect to create, and that a target for FDI and job creation must be provided. A revised BPS incentive scheme was launched in October 2014.

The first progress report on the improvement plan was received in January 2015. The second progress report, which showed that 81% of the strategies have been implemented, was submitted in August 2015. The third progress report, received in March 2016, indicated significant change as 90% of the strategies had been completed.

Implementation evaluation of the Export Marketing and Investment Assistance (EMIA) Programme (2013/14)

The South African EMIA Programme was established in 1997 and is administered by the dti. It is a key component of government's support to export and investment activity. This evaluation focused on the implementation of the programme through a review of the available documentation, interviews with programme staff and other stakeholders, and a comprehensive firm-level survey of EMIA beneficiaries and non-beneficiaries. In general, the results are encouraging. Users of the scheme are satisfied with its administration and implementation, and clear guidelines are in place for the application, selection and disbursement of funds. However, there are two main areas of improvement. First, it would seem that the M&E of the scheme is not a current priority, with little attention given to the detailed measurement of outputs, outcomes and impact. Second, the available evidence suggests that the programme is not well-targeted as many of the firms that access EMIA incentives are not export ready and are therefore, in practice, not able to make use of the support that is provided.

Key recommendations include the establishment of electronic monitoring systems and processes, improved adherence to procedural guidelines, focused selection of export-ready firms,

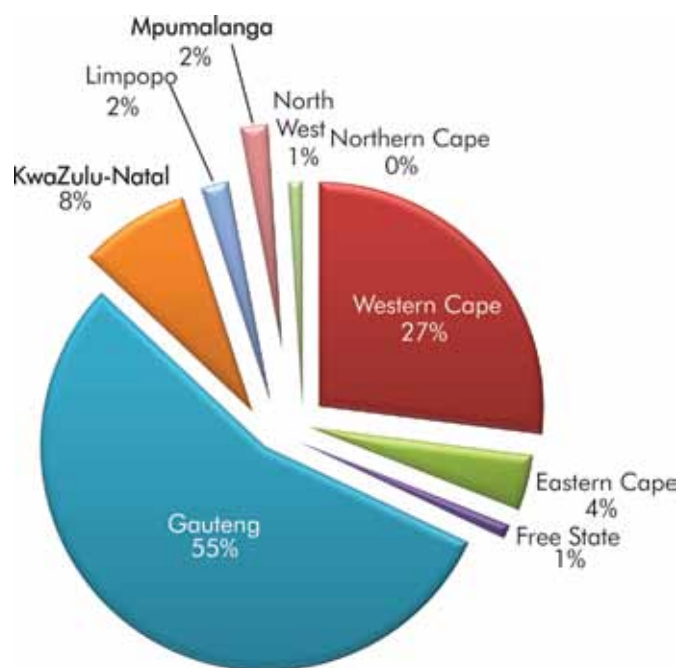


Figure 5: Location of firms Utilising EMIA incentives (Based on EMIA data)

Source: DNA Economics based on analysis of data provided by the dti

moving programme administration into a single structure, and setting explicit targets for the EMIA programme.

The improvement plan was approved by the DG in January 2015 and in March 2016 the second progress report highlighted that 25% of planned strategies had been implemented. The dti has finalised the revision of the EMIA Policy/Guidelines and ministerial approval is underway. A third report was received in September 2016. The fourth report is expected at the end of March 2017, after which the improvement plan phase will be closed.

Implementation/impact evaluation of the Support Programme for Industrial Innovation (SPII) (2013/14)

In April 1993, the dti introduced SPII to promote the development of commercially viable, innovative products and/or processes, and facilitate the commercialisation of such technologies through the provision of financial assistance. The Industrial Development Corporation (IDC) was appointed by the dti to administer the programme on its behalf.

The purpose of this evaluation was to provide insight into the effectiveness and efficiency of SPII's current model of implementation, assess the programme's impact, and determine how the beneficial impacts can be strengthened. The evaluation found that SPII contributes to specific stages in the innovation cycle (the end of basic research to the development of a pre-commercialisation prototype) and it is estimated that SPII-funded projects have directly created or retained approximately 3 000 permanent jobs. SPII contributed R622.6 million to

projects, which equates to approximately R207 560 per job. The majority of interview respondents believe that SPII's role is critical as traditional sources of funding are difficult to obtain at these stages.

SPII-funded projects have directly created or retained approximately 3 000 permanent jobs. Among others, the evaluation recommended that SPII should clearly define its objectives, with corresponding targets, and that its achievement of these should be measured annually. It also suggested that SPII's mandate to support and enhance innovation in business/industry should not be overwhelmed by a mandate to address direct job creation. The workshop to revise the objectives of SPII was held in May 2015, during which the participants agreed to expand the mandate of SPII to include pre-commercialisation activities. SPII was re-launched on 27 August 2015 in Cape Town during the SA Innovation Summit. The objectives of SPII were revised as per the evaluation recommendations.

Diagnostic evaluation of the Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme (MVEESTRP) (2013/14)

This evaluation was a diagnostic assessment to determine how military veterans should be reintegrated into, and influence, civilian life, which would inform the development of an Economic Empowerment and Skills Transferability and Recognition Programme. The evaluation was based on the Department of Military Veterans' (DMV) objective to provide skills development, employment creation, and services to honour contributions made by military veterans, irrespective

of their party political, and/or association affiliation. The draft final report was submitted in March 2014.

The evaluation made a number of 'new discoveries' about military veterans and their capacity-building priorities in South Africa, and a profile of the group was established. An international review showed that a key principle for successful reintegration strategies must include employment combined with training and development. Current government offerings include bursary programmes, support to small businesses, training opportunities linked to the Safety and Security Sector Education and Training Authority (SASSETA), and work opportunities, such as Working for Fisheries, and Working for Water. However very few military veterans were aware of these opportunities.

The evaluation strongly recommended a stratified empowerment strategy, directed at specific groups within the broader group of military veterans, based on an understanding of 'vulnerability'. It also strongly recommended an inter-departmental and coordinated set of interventions, spearheaded by the DMV. The final report was approved in March 2015, and post-evaluation processes, the management response and improvement plan, were completed in 2016/17.

Implementation and outcomes evaluation of the National Advanced Manufacturing Technology Strategy (AMTS) (2013/14)

The AMTS was initiated in 2002 after being identified as a priority technology mission in the Department of Science

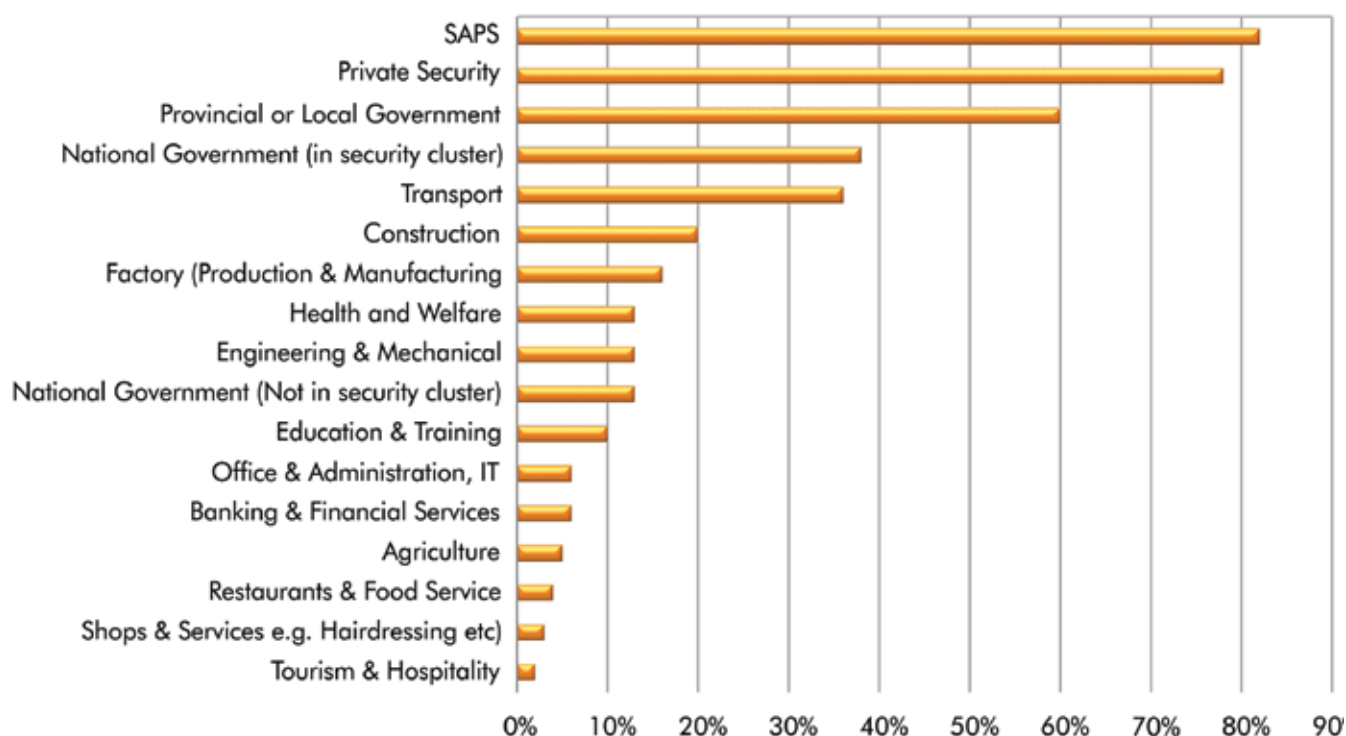


Figure 6: Sectors in which employed survey respondents work
Source: DPME MVEESTRP Report, 2014

and Technology's (DST's) National Research and Development Strategy (NRDS). The objective of the evaluation was to assess progress made with AMTS, and whether the intended outcomes have been achieved. The findings of the evaluation were to be used to improve the performance of the programme going forward. The service provider was appointed in November 2013, however, the evaluation experienced very long delays due to quality issues and ill health of key members of the team. In the light of these challenges, along with lack of capacity, a decision was reached between the DST and DPME that the evaluation be closed in February 2015.

Upon close-out, the following documents were all submitted: final public release versions of the literature review, data collection instruments, survey and case study protocols, and the data analysis plan; consolidated mid-term and close-out reports; and three case studies on reconfigurable manufacturing Systems, Greenpac, and continuous fibre-reinforced thermoplastics.

Evaluation of the cost of tax compliance for small businesses (2013/14)

Governments globally are under pressure to rationalise administrative burdens and to create an enabling regulatory environment that fosters economic and social advancements at a time when businesses, individuals, and governments are forced to do more with limited resources.

The basic administrative goal of tax policy is that it should be easy to understand and to comply with; and that it should be administered in a competent and fair manner. The purpose of this evaluation is to assess the gross tax compliance costs

incurred by small business to meet their tax obligations and the impact of reform measures on these costs, as well as to provide recommendations for changes to the tax reforms. A survey of small businesses was undertaken to assess the cost of tax compliance and to compare results with a previous survey carried out in 2011. The final report has been approved by the steering committee in March 2017. Post-evaluation processes of the management response and improvement will be completed during the 2017/18 financial year, along with the quality assessment of the evaluation report.

Evaluation of the Technology and Human Resources for Industry Programme (THRIP) (2013/14)

The THRIP was introduced in 1992 to respond to the challenges of skills development in science, engineering and technology. It is funded by the dti and managed by the National Research Foundation (NRF). THRIP strives to improve the competitiveness of South African industry by supporting research and technology development and enhancing the quality and quantity of appropriately skilled people. The purpose of this evaluation was to assess the impact of THRIP over the review period, and to determine how the beneficial impacts can be strengthened.

The results show that THRIP is an established, valid and important element of the South African government's portfolio of research and innovation support measures. It is efficient and offers considerable value for money both in terms of technology development (with an estimated revenue of R24 million five years after conclusion of a project), and in terms of developing human resources with industry-related skills (by engaging 1 450 postgraduate students). Its core principles of collaboration between research institutions and industry on the one hand, and quality of research and development on the other, are well aligned to international best practice.

The main evaluation recommendations indicate that THRIP should be continued and further strengthened by increasing funding to satisfy a broader spectrum of needs. The evaluation found that the impact of THRIP can be enhanced by reducing the number of objectives, but also that the intellectual property regulations surrounding THRIP are a major challenge for improving the programme's performance. These regulations should therefore be reconsidered by the dti and DST. The final evaluation report was approved by the steering committee in March 2015. In April 2016, Cabinet approved the evaluation report, and the first progress report was received.

Evaluation of the Indigenous Knowledge Systems Policy (IKSP) (2014/15)

The IKSP aims to affirm, develop, promote and protect IKS in South Africa, and was adopted by Cabinet in 2004. It is embedded in the South African Constitution, the Science

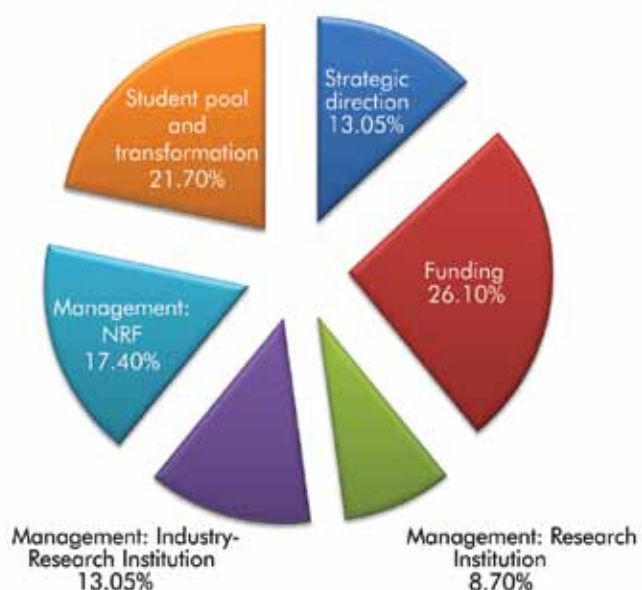


Figure 7: Spontaneously identified inhibiting factors
Source: DPME THRIP Report

and Technology White Paper (1996), the NRDS (2002) and the Ten-Year Innovation Plan (2008). The policy takes into account all forms of indigenous knowledge and techniques that have survived the impact of colonialism, including the rich heritage of languages. It is located within the National System of Innovation (NSI) of South Africa and proceeds from the premise that innovation is an all-embracing notion based on the production and creative application of knowledge.

The policy seeks to harness local resources for innovation in order to achieve international competitiveness, sustainable development, and an improved quality of life through the protection, promotion, development and management of indigenous knowledge systems. The latter is addressed through four key policy drivers, namely: affirmation of African cultural values in the face of globalisation; development of the services provided by traditional healers; contribution of indigenous knowledge to the economy; and interfacing with other knowledge systems.

A service provider was appointed in 2014/15 to undertake the implementation evaluation of the IKSP in 2015/16. Two draft evaluation reports have already been submitted, with significant input made into the reports from various stakeholders. The evaluation is awaiting approval, and post-evaluation processes will be completed in the 2017/18 financial year.

Implementation evaluation of the Mining Charter (Cancelled)

The 2010 Broad-Based Socio-Economic Charter (Mining Charter) has been developed with the primary purpose of promoting unbiased access to South Africa's mineral assets to all South Africans, and to increase opportunities for historically disadvantaged individuals. The Mining Charter score card assesses eight critical areas to determine the domestic mining industry's contribution towards the realisation of the Mining Charter's objectives. The findings of the evaluation will guide policy decisions, especially on establishing the new Mining Charter targets and the support required from the mining industry stakeholders to implement the objectives of the new targets.

The main purpose of this evaluation was to assess how well the Mining Charter was being implemented and how to strengthen it to ensure the realisation of its objectives. However, the evaluation was cancelled at the ToR phase as there was a similar study underway through Operation Phakisa.

Implementation evaluation of the National Space Strategy (NSS) (2016/17)

A sustained investment in the development of indigenous space science and technology capabilities including human capital and domestic industry is required. The space sector is regarded as one of the knowledge-based sectors, which require increased research and development (R&D) investment. The

space technology transfers and spin-off products are expected to make significant contributions to the national economy by creation of new jobs and increasing industrial productivity and opportunities. The national space programme will significantly support and contribute to the realisation of the NDP objectives, government focus on the triple-helix challenges (addressing poverty eradication, unemployment and inequality), and the nine-point plan.

The purpose of this evaluation is to assess the implementation of the NSS in the period under review, from April 2009 to March 2016. The evaluation will make an assessment of the NSS's results, relative to its initial goal(s) and objectives. Successes and challenges in its implementation will be identified, and recommendations offered regarding improvements to the NSS with a view to implementation going forward.

Some challenges have been experienced in procuring an appropriate service provider, and a decision was taken to have procurement done by the DST as this route is more likely to find a service provider with the necessary sector skills. The service provider should have possessed adequate sector skills and evaluations skills in order to undertake a successful evaluation.

dii/National Treasury: Business incentives (2016/17)

This evaluation was proposed by Treasury. At the beginning of the 2016/17 financial year several meetings were held between Treasury, the dii and the DPME to agree on the purpose, scope and key questions for the evaluation; and to start drafting the ToRs. The call for proposals went out on open tender in September 2016; and work on the evaluation began in January 2017 and is proceeding well. The draft inception and international benchmarking study was submitted in March 2017. A ToC workshop will be held in April 2017.

Evaluation of Integrated Strategy for Promotion of Entrepreneurship and Small Enterprises (2017/18)

Small businesses have an important role to play in the South African economy in terms of employment creation, income generation and output growth. They are often used as the vehicle by which people with the lowest incomes gain access to economic opportunities, thereby addressing the economic challenges they face. The NDP envisages that by 2030 small businesses will contribute 90% of new jobs and have a substantial share of output/gross domestic product (GDP) of 60 – 80%. Employment scenarios outlined in the NDP suggest that the majority of new jobs are likely to be sourced in domestic-orientated businesses, the services sector and in growing small and medium-sized firms.

Whilst government has tried to stimulate small, micro and medium-sized enterprises (SMME) growth through the National Strategy for the Development of Small Business in South Africa (1995) amongst other legislation, there have been complaints that these efforts have not been coordinated

to provide a compact programme than can be accessed by businesses in a streamlined manner. Programmes are arguably isolated from each other with the resultant effect of resources being spread thinly across the programmes. Limited information available to the general populace may also be a reason for the poor uptake of these programmes.

The purpose of this evaluation is to assess the effectiveness of the implementation of the Integrated Strategy on the Promotion of Entrepreneurship and Small Enterprises between the period 2005 to 2014; and the extent to which the anticipated outcomes have been achieved. The ToRs for the evaluation were completed in October 2016 and the successful service provider submitted the inception report in December 2016. The evaluation is proceeding well, with a successful ToC workshop held in March 2017.

3.5 Outcome 5: Skills

Design evaluation of the Policy on Community Education and Training Colleges (PCETC) (2014/15)

In an historic first, the Department of Higher Education and Training (DHET) submitted the draft Policy on Community Colleges (PCC), for a design evaluation in the NES, as part of the public consultation process and technical assessment in 2014, before approval of the policy. The objective of the PCC is to essentially shift the function of adult education away from provincial education departments to the DHET, by introducing a third post-matric education tier, alongside existing universities and technical and vocational education and training colleges (TVET). PCCs will focus on responding to the challenges and needs of youth and adults who are currently out of school, not in training, or any form of employments (NEETs).

The key findings of the design evaluation were that (1) a robust ToC was lacking, (2) the term “interim community colleges” is misleading, in the process of renaming of all current public adult learning centres (PALCs); (3) there is inadequate information on how PALCs are to be managed after shifting;

(4) there is insufficient information regarding key operational issues of the PCC: funding, staffing, governance, etc. and (5) there is a high risk of policy failure as a result of the current arrangements regarding funding norms as National Treasury had no additional budget and plan to resource this sub-sector.

There was an immediate impact of the evaluation on the draft PCC, as seen in the final version of the policy, which: (1) is titled “National Policy on Community Colleges”; (2) has been narrowed down to an (administrative) function shift of PALCs from provinces to DHET; (3) specifically points out nine administrative hubs; and acknowledges the need for the development of a substantively new model of operation; (4) suggests a new form and shape for community colleges to form pilot centres; including differentiated, diverse programmes offering, recognition for life-long learning; (5) acknowledges and tries to cater for the differences of rural and urban dynamics. Also, as a result of the evaluation DHET decided to establish a branch to concentrate on the new PCC sector.

A signed-off management response and improvement plan has been provided by DHET in late 2016. The evaluation will be presented to Cluster and Cabinet in the 2017/18 financial year, after which it will be made public on the website.

Implementation evaluation of the Funza Lushaka Bursary Programme (FLBP) (2014/15)

The FLBP was established in 2007, as a bursary programme for teachers-in-training. It is managed by DBE and the financial administration function is performed by the National Student Financial Aid Scheme (NSFAS) on behalf of the DBE. The purpose of the FLBP is to ensure that the basic education sector adequately manages the supply and demand of qualified and capable teachers in nationally defined priority subject areas. The FLBP is designed to attract quality students; ensure that students are trained to teach in identified priority areas; and contribute substantially to the supply of high-quality teachers to rural and poor schools. Selection into the programme is merit-based, and provincial education departments are involved to ensure that the bursary fund meets its objectives.

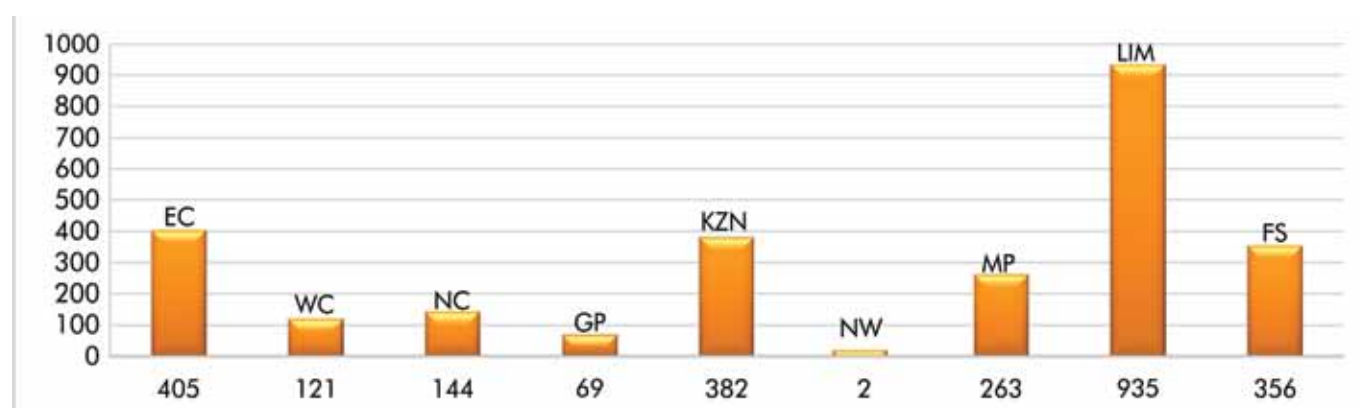


Figure 8: Provincial bursary allocation for Institute of Technical Education (ITE) in 2012

Source: DBE, 2012b, Funza Lushaka Report 2012

The overall purpose of the FLBP evaluation was to evaluate the effectiveness of the programme, identify its strengths and weaknesses, and make recommendations to improve the attainment of outcomes. The first draft of the evaluation report was submitted in February 2015, with key findings showing that recruitment was working well as the programme is able to select sufficient numbers of students who meet the selection criteria based on merit; however, the evaluators noted that not enough marketing of the programme was happening in rural areas, which suggests that a sub-set of potential applicants were not aware of the funding. In addition, bursaries are approved late and payments for students are not being made upfront.

A key recommendation was that a management information system (MIS) be developed to store all the FLBP information for the relevant institutions (e.g. DBE, higher education institutes (HEIs), NSFAS, etc.) to utilise in the administration, monitoring, and reporting of the programme's activities.

The evaluation is now in the post-evaluation stage and DBE submitted signed off management response and improvement plan documents in October 2016. The evaluation was presented to Cluster and Cabinet in October 2016 and February 2017 respectively, which brought the evaluation to a formal close. The first progress report was received in April 2017.

Evaluation of the National Qualifications Framework (NQF) Act (NQFA) (2015/16)

Since the advent of the NQFA (No 67 of 2008), the quality assurance regime has changed with the three quality councils (QCs) responsible for quality assurance across their sub-frameworks and across the institutions which deliver the qualifications and part qualifications for which the QCs are responsible. No audit or system-wide evaluation has been done, since the last South African Qualification Authority (SAQA) audit of 2007/2008. SAQA has developed a new policy and criteria for designing and implementing assessment for NQF qualifications and part qualifications and professional designations in South Africa, but this is awaiting final approval by the SAQA board. The NQF has been in existence since 1995. In the intervening 20 years, the legislative and regulatory framework underwent major reforms that: Changed the structure of the NQF; streamlined the institutions involved in implementing the NQF; and changed the roles and responsibilities of the executive authority.

This implementation evaluation is intended to further develop and implement the NQF and the Act itself. The evaluation reviews implementation of the NQF between 2008 and 2015; and the design of the NQF and its effectiveness in achieving its intended objectives.

Due to various challenges experienced with stakeholder engagements and the complex nature of the ToRs, a service

provider was eventually appointed on 24 March 2016 to undertake the evaluation. The evaluation is currently at field work phase with data collection and analysis nearing completion.

Implementation evaluation of the TVET college Expansion and Capacity Building Programme (2016/17)

A key priority of the DHET is to strengthen and expand the public TVET college system and transform colleges into attractive institutions of choice for school leavers. Although student enrolment in TVET colleges has more than doubled over the past four years (from 345 000 in 2010 to over 795 000 in 2013), it is unlikely that the department will be able to meet the TVET enrolment targets set by the White Paper for Post-School Education and Training (PSET), the NDP and the National Skills Development Strategy (NSDS III). In addition, TVET colleges still enrol fewer students compared to universities. This situation is not ideal for meeting the needs of an economy which suffers a serious shortage of mid-level skills, particularly artisanal skills. The transformation of the TVET sector is therefore key to the integration of education and training and to ensure that TVET colleges respond to the skills gap in South Africa.

The PSET White Paper points out that the current mix of Programme and Qualification Mix (PQM) in TVET colleges is complex to administer, difficult for learners and parents to understand and often poorly quality-assured. In addition, many lecturers lack workplace experience, thereby compromising their ability to deliver good-quality training. There is also a lack of capacity to develop the curriculum and materials required to meet the needs of the economy across diverse sectors. Although it remains the role of government to fund public education institutions, sector education and training authorities (SETAs) and the National Skill Fund (NSF) can play an important role in funding skills development capacity and steer funding for programmes that meet the needs of society and the economy.

The evaluation aims to assess whether the TVET college Expansion and Capacity Development Programme has achieved its objectives and to assess the effectiveness and efficiency of its implementation. The evaluation is underway, with the first draft evaluation report submitted by the service provider.

3.6 Outcome 6: Economic Infrastructure

Implementation evaluation of the scholar transport (2017/18)

The right to basic education is embedded in the Constitution. In order to facilitate the realisation of this right, learners must be able to get to and from school. The inadequate provision

of schools in some areas results in many learners having to travel long distances on a daily basis to access schooling; they face numerous threats to their safety and security along the routes; and in some cases parents have to bear the burden of high public transport costs. In the 2016/17 financial year, 439 344 learners were transported against a total of 524 662 in need of scholar transport nationwide. The national budget for the programme totalled over R2,55 billion in the 2016/17 financial year.

While there is a large numbers of learners who are yet to benefit from the programme, the Standing Committee on Appropriations (SCOA) raised concerns over the high costs of implementing the programme. Taking note of the importance of the programme and its expansion, SCOA recommended that DPME in partnership with National Treasury, DBE, Department of Transport (DoT), civil society and other relevant stakeholders assess the efficacy, appropriateness, and sustainability of the current funding model for scholar transport. The committee decided that this is to be done through a comprehensive evaluation that will consider spending and implementation of the scholar transport programme and explore options that allow for the ring-fencing of funding allocated to transport learners.

The evaluation is part of the 2017/2018 NEP and is co-funded by three partner departments which are all represented in both the evaluation steering committee and technical working group. The ToRs are currently being finalised.

Implementation evaluation of accommodation provision (2017/2018)

The Department of Public Works (DPW) is mandated to provide accommodation efficiently, effectively, and sustainably to the different arms of the state. Appropriate and functional office buildings are a key component to enabling the optimal delivery of services. In carrying out this function, DPW has experienced enormous challenges ranging from high levels of unsatisfactory service from landlords to negative client feedback. As a result, some government departments have opted to look for their own for accommodation rather than relying on the DPW processes. This, in turn puts, a strain on the DPW's ability to manage such decentralised decisions.

In 2007, the Government Immovable Asset Management Act (GIAMA) was passed into law. GIAMA was designed to provide a uniform framework for the management of immovable assets that are held or used by national or provincial departments; determine minimum standards in respect of immovable asset management; and issue guidelines for effective management. GIAMA is intended to coordinate the use of immovable assets with the service delivery objectives of departments.

This evaluation is anticipated to provide solutions to the challenges around strategic decision-making processes with regards to the procuring and use of immovable assets. The entire value chain in the provision of state accommodation will

be scrutinised, unravelling the inter-play between the custodian (DPW), users (various departments) and relevant treasuries.

The evaluation is in the 2017/2018 NEP. The evaluation ToRs are currently being finalised.

3.7 Outcome 7: Rural Development

Implementation evaluation of the Recapitalisation and Development Programme (RADP) (2012/13)

RADP was launched in 2010. It focuses on struggling land reform farms acquired since 1994 that have received little or no support, but have the potential to become successful, if assisted. The main purpose of this evaluation was to establish whether RADP is on track to achieve its objectives and to consider how to strengthen implementation of the programme. Findings indicated that RADP had made some progress towards achieving its intended objectives, but that there was room for significant improvement. About 540 additional jobs had been created on the 98 farms included in the evaluation after RADP was implemented – these numbers varied across provinces, with KwaZulu-Natal much creating relatively more successful in this regard. However, the evaluation highlighted that the number of jobs which had been created was too small to justify the amount of investment in RADP in the light of the high levels of job losses in the agricultural sector. Most RADP stakeholders interviewed believed that food security has improved since the programme started, which was confirmed by the agricultural production happening in 70% of the projects included in the evaluation. An area in which RADP does not seem to have made much progress is in facilitating market access for farmers.

The evaluation recommended a redesign and overhaul of public agricultural support programmes and doing away with existing silos of funding such services. The evaluation steering committee approved the report in October 2013. This was after considering whether the grant funding approach in RADP was sustainable, given the limited resources available and the suggestion that the current funding model promotes dependency on the state among beneficiaries.

The management response and improvement plan were received from DRDLR in February 2014 and approved by Cabinet in November 2014. Cabinet requested that the RADP improvement plan be integrated with the results from the Comprehensive Rural Development Programme (CRDP) and the Restitution Programme. This integration will happen through the evaluation for smallholder farmers, which is seeking to develop an overall model to support this sub-set of farmers. The progress report was received in October 2015 indicating substantial revisions to operations have been made.

Implementation evaluation of the CRDP (2012/13)

The CRDP was launched by the DRDLR in 2009 to improve access to basic services and promote enterprise development

and village industrialisation. The purpose of this evaluation was to assess whether the CRDP is achieving its policy goals and how the programme can be strengthened and scaled up, as well as whether the institutional arrangements that were put in place to support the implementation of the CRDP are appropriate. The evaluation found that there has been mixed progress in achieving CRDP goals. It is a high-cost intervention with investment per ward of up to R42 million which will be difficult to scale up as currently designed. The modalities for strengthening coordination across the spheres of government and developing capacity of local institutions, especially local municipalities and the Council of Stakeholders, so as to ensure comprehensive delivery on rural development, are weak. The evaluators recommend ways of strengthening CRDP's institutional arrangements and improving its attainment of programme goals. The model needs to be reviewed with clear norms and standards on rural development. The evaluation report was approved by the steering committee in October 2013, and the DRDLR's finalised improvement plan and report were approved by Cabinet in November 2014. As with RADP, Cabinet requested integration with the results from the other programmes targeting smallholder farmers in order to develop a single overall model of support for them. The progress report on the improvement plan was sent to the DPME in October 2015.

Implementation evaluation of the Restitution Programme (2013/14)

The Restitution of Land Rights Act of 1994, as amended, enabled all those who lost their land under repressive apartheid land legislation to lodge land claims before 31 December 1998. The Restitution Programme was the vehicle for implementing this. The figure below indicates that in Western Cape alone, almost 91% of urban land was under land claim. In Limpopo, almost 47% of the claims were on farmland and 42% was land for conservation.

This evaluation was based on a process assessment of the programme's implementation (from the lodgement of claims

through to their finalisation), and covers the period from January 1999 to 31 March 2013; which is the period of the first Ministerial Review.

The purpose of the evaluation was to assess whether the Restitution Programme had been implemented efficiently and effectively, and to identify how it could be improved in time for the next phase of the restitution process. Whilst over 85% of the claims lodged since the programme's inception had been resolved, the findings of the evaluation revealed a range of systemic and operational weaknesses which compromised the programme's efficiency and effectiveness, and hence undermines the achievement of its developmental purpose.

It was recommended that the Commission on Restitution of Land Rights be clearly defined as an independent entity dedicated exclusively to the administration of the restitution process. The evaluation report was finalised in February 2014 and approved by Cabinet in October 2014. Some of the recommendations on the improvement plan have already been actioned. Again, Cabinet requested that action be integrated with the RADP and CRDP, and the improvement plan on the smallholder evaluation to be finalised during 2017/18 will take these recommendations forward. An impact evaluation of the Restitution Programme began in 2016/17.

Impact assessment of the micro-agricultural financial institutions of South Africa (MAFISA) (2013/14)

MAFISA was established by DAFF in 2005 to improve access to finance by smallholder farmers. The project was piloted from 2005 – 2007 as a production and small equipment loan, with a maximum loan of R100 000 per person and an interest rate of 8% (below commercial). In 2009, the pilot was expanded and nine financial intermediaries were accredited, while the limit was increased to R500 000.

The purpose of this evaluation was to assess whether MAFISA was achieving its policy goals and to establish the effects of MAFISA on its beneficiaries. Over 400 recipients were

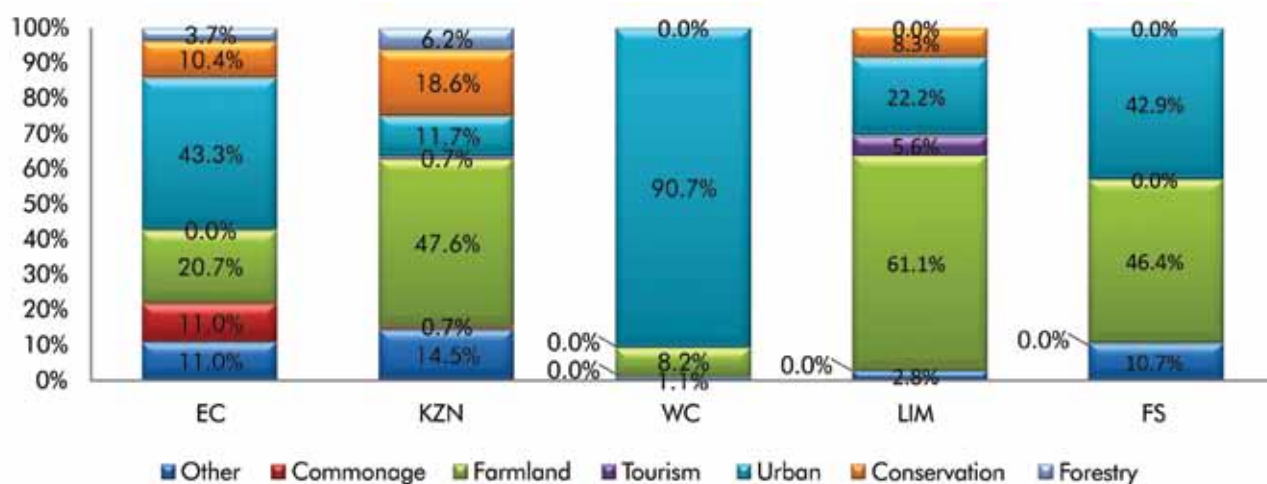


Figure 9: Land use by sector under land claims
Department of Rural Development and Land Reform, 1999 – 2013

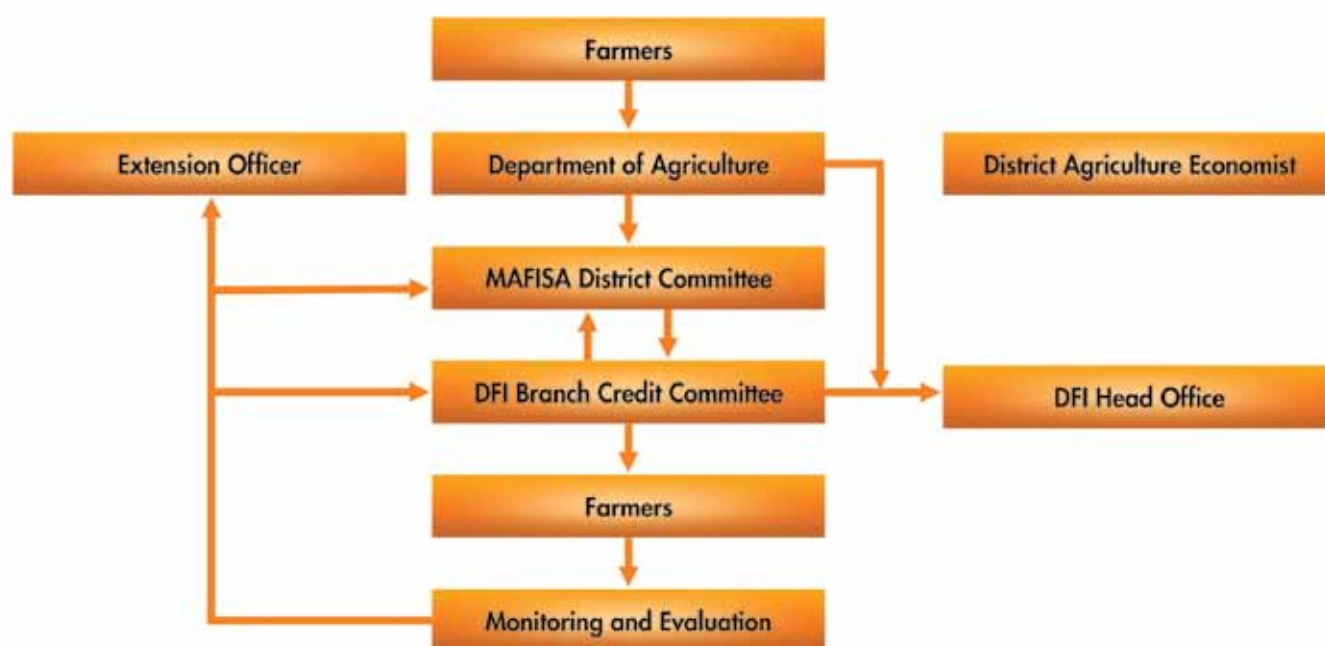


Figure 10: MAFISA implementation framework

Source, (DOA, Undated)

surveyed and 15 case studies undertaken. MAFISA's loan book showed that 3 638 loans totalling R314 million were disbursed between January 2009 and December 2013. Notwithstanding that demand and repayment ability are critical vetting criteria, MAFISA's reach was assessed to be small considering that there were between 350 000 and 700 000 smallholder farmers who were producing a surplus. Nonetheless, a total of 16 080 job opportunities were created through 2 448 MAFISA loans, with larger loans and labour-intensive farming activities positively correlating with the number of jobs created. The evaluation further noted that DAFF did not have adequate capacity to monitor and support implementation of MAFISA. Financial intermediaries report that the 8% interest charged did not adequately cover the support that smallholder farmers required from them, making its sustainability unlikely. Nevertheless, MAFISA loans from some of the intermediaries had yielded overall positive results for beneficiary farmers.

The evaluation recommended that the state continue to offer wholesale funding to diverse financial intermediaries to provide financial services tailored to the needs of the full spectrum of smallholder farmers. In addition, DAFF was encouraged to review the current model of MAFISA, develop the capacity to enhance its support to its accredited financial intermediaries and M&E competencies, and improve its coordination with other pillars of Comprehensive Agricultural Support Programme (CASP) and other interventions to better address the challenges that smallholder farmers and financial intermediaries face. The final report was approved in July 2015. The smallholder improvement plan currently being

drafted, also encapsulates recommendations from the MAFISA evaluation.

Impact evaluation of the CASP (2013/14)

CASP was established by DAFF in 2004 to provide post-settlement support to targeted beneficiaries of land redistribution and reform and other previously disadvantaged producers who had acquired land. The purpose of the evaluation was to assess the extent to which CASP was achieving its policy goals and to establish the effects of the programme on beneficiaries, particularly looking at the impact on food production and livelihoods of rural communities, so as to inform how the programme could be strengthened.

From its inception in 2004/5 to 2012/13, CASP had supported 7 448 projects and 408 467 beneficiaries. CASP was found to have improved access to services such as extension and training, availability of both on-farm and social infrastructure, and access to agricultural information. Agricultural production, both crop and livestock, had also increased in certain products and parts of the country. While the programme had made progress in certain areas, insufficient progress was seen in promoting commercialisation, market access, food security and employment.

Challenges faced by CASP included limited coordination between DAFF and its provincial counterparts, and lack of alignment to other government programmes (e.g. those of DRDLR, Water and Sanitation, etc.). The programme scope and coverage was found to be too wide, resulting

in support being thinly spread. The overall recommendation mirrored those made for other rural programme evaluations; that the most effective and efficient way to support farmers in South Africa is to overhaul and redesign all farmer support programmes and to do away with existing silos of farmer support. The final report was approved in July 2015. The smallholder improvement plan currently being drafted, also encapsulates recommendations from the CASP evaluation.

Implementation evaluation of the Agricultural Extension Recovery Plan (ERP) (2015/16)

Maintaining and supporting agriculture value chains is one of the priorities in government's New Growth Path (NGP), which targets opportunities for 300 000 households in agriculture smallholder schemes and 145 000 jobs in agro-processing by 2020. For the agriculture, forestry and fisheries sector, extension services are one of the key support elements to ensure that targets are realised. The service is provided as a concurrent function between the National Department of Agriculture (NDA) and the Provincial Department of Agriculture (PDA). The NDA is responsible for the development of the National Policy for Extension and Advisory Services, Norms and Standards for Agricultural Extension in the sector, and provides strategic leadership and guidance for the planning, coordination and implementation of extension and advisory services. The PDAs are responsible for the implementation of extension programmes.

The purpose of this evaluation was to determine the extent to which the ERP had been implemented and the successes and challenges which had emerged; as well as identify measures required to improve the ERP's implementation. The evaluation found that the ERP had contributed to the increased availability and improved quality of extension services and advice to farmers by providing much needed attention and financial support to professionalising, equipping and skilling extension practitioners. As a result, provinces were dependent on the ERP as a funding source for extension. The key recommendations emanating from the evaluation were the need for continuation of the ERP funding, strengthening policies, procedures and systems to achieve uniformity across all provinces. The evaluation also identified the need to improve the capacity of DAFF to monitor and strategically direct the ERP and to increase the farmer participation in extension services.

Following some delays in the data collection phase the report is currently being finalised for approval early in the 2017/18 financial year.

Impact evaluation of the Land Restitution Programme (2016/17)

The Restitution Programme as one of the four legs of land reform, is a rights-based programme where all those who lost

their land under the repressive apartheid land legislations, were invited to lodge land claims before December 31, 1998 as per the amended Restitution Act of 1994. The Land Restitution Programme is geared towards redressing the injustices of the past, as well as contributing towards nation building and contributes towards the achievement of increased access to and productive use of land.

The vision of the Restitution Programme is to ensure that persons or communities dispossessed of property after June 1913, as a result of past racial discriminatory laws and practices, are either restored to such property or receive just and equitable redress. As at 31 March 2013, approximately 77 334 land claims had been settled by awards of land totalling 3 011 315 hectares and payment of financial compensation of R7.5 billion. The total expenditure for the Land Restitution Programme was R27.1 billion.

The purpose of the impact evaluation is to assess the impact achieved (intended and unintended) by the Restitution Programme on beneficiaries and more broadly. The evaluation is underway and will be undertaken over a period of five years, commencing from the year 2017 and ending in 2021.

Policy evaluation on programmes targeting smallholder farmer support (2014/15)

Since its inception in 2011, the NES has included numerous evaluations targeting programmes that support smallholder farmers, namely the CRDP, RADP, CASP, MAFISA, and a quantitative impact evaluation of the Restitution Programme. In addition, National Treasury, together with the DPME, has undertaken expenditure reviews of both MAFISA and the Restitution Programme.

Many of the evaluations pointed to significant weaknesses in these programmes, and made recommendations on how to strengthen them. The RADP evaluation, specifically, indicated that programmes supporting smallholders needed to be rethought in an integrated way. When the CRDP, Restitution Programme and RADP evaluations were tabled, Cabinet responded to this recommendation by commissioning a diagnostic evaluation of the government-supported smallholder farmer sector programmes in order to propose key elements for a future smallholder farmer policy, the key programmes needed, and how these should be effectively integrated.

This evaluation started in July 2015 and one of the most significant outcomes of the process was the categorisation of smallholder farmers into four categories, with recommendations tailored for each category based on varied needs, including knowledge, skills, water, inputs, strategic market-access, finance, infrastructure, opportunities for value addition, and technical information. Stakeholders involved in the evaluation agreed that of all the interventions and recommendations

submitted in support of the smallholder sector in South Africa, this evaluation was unique both in terms of methodology followed to generate evidence, and the specific recommendations. The improvement plan for this evaluation was drafted in August 2016, and is in the process to be approved by both DAFF and DRDLR, as it covers recommendations from a number of previous evaluations.

3.8 Outcome 8: Human Settlements

Evaluation of the Integrated Residential Development Programme (IRDP) (2012/13)

The IRDP is the second biggest housing programme in South Africa and aims to facilitate the development of integrated human settlements that provide convenient access to urban amenities. This is achieved through settlement-wide planning and the integration of a range of housing types and price categories, together with commercial and social amenities in a project. IRDP is implemented through a set of complicated institutional, funding and project management arrangements as government relies on different sources of funding for the programme and is thus subject to varying planning frameworks. Thus, effective implementation of IRDP projects requires both horizontal collaboration (between different national departments such as health, education, transport, human settlements, etc.) and vertical collaboration (between national, provincial and local government) over an extended period (sometimes decades). The programme also requires private partners as project deliverers and funders of non-subsidised housing components. An implementation evaluation was initiated to understand how different implementing agencies work around and within the programme's complexities to deliver viable projects. The purpose of the evaluation was to assess institutional and funding arrangements that enabled IRDP implementation, and the likely impact of the programme on local property markets and social integration outcomes. The evaluation focused on four pilot projects namely Zanemvula, Cosmo City, Pennyville and Olievenhoutbosch.

The evaluation of the four case studies indicated that IRDP projects if undertaken effectively are able to deliver integrated accommodation for a mix of lower-income households at scale. This form of human settlement delivery, if undertaken correctly, can result in increasing private sector investment into the delivery of housing for low-income households, while at the same time creating integrated sustainable settlements. Given the increasing need for housing in South Africa it is concluded that the IRDP programme continues to be relevant. The most effective institutional arrangement appears to be a public-private partnership. The evaluation also points out the important role of local government in planning, managing and implementing IRDP projects. This support should be both political and technical. Last, for IRDPs to remain sustainable, it is important that there is continued and ongoing urban

management of the area including the maintenance of public spaces and households' compliance with regulations.

The evaluation concluded that IRDP projects are essential to building integrated cities. For this reason, it was recommended that the IRDP programme be continued, with improvements to enhance its effectiveness. Plans are underway for an improvement plan to be developed responding to the evaluation findings and recommendations.

Evaluation of the Urban Settlements Development Grant (USDG) (2012/13)

The USDG is a conditional supplementary capital grant of approximately R10 billion per annum provided to the eight metropolitan municipalities. It is the only fiscal instrument in the ambit of the programmes of the National Department of Human Settlements (NDHS) that is transferred directly to cities and funds a wide range of human settlements and built environment programmes.

A critical finding of the USDG evaluation is that settlement provided for the benefit of poor to middle-income household requires state funding. Municipalities experience both vertical and horizontal fiscal gaps. Most revenue generated at local level is collected for the national fiscus and has to be distributed downwards to enable municipalities to fulfil their developmental objectives. However, as the evaluation points out, this should not displace municipalities' own revenues, but should encourage municipalities to use their own revenue and attract the private sector to complement national grants in low to moderate-income communities in order to stimulate asset growth and develop healthy living environments. The evaluation therefore confirmed the need for a flexible funding instrument for Metropolitan municipalities to support existing built environment programme investments in low to middle-income households. It further concluded that the implementation of the USDG and likely impact can be improved if a clear policy framework to guide municipal investment decisions in areas USDG is most needed was developed and supported by an M&E framework that focuses on high-level outputs and outcomes.

The evaluation has been presented and supported by Cabinet and the DPME is currently monitoring progress against the improvement plan, with some changes already made to the guidelines. The DHS developed a new USDG policy framework. This was submitted to DPME for a socio-economic impact assessment. A new grant framework was also developed which emphasised the need to use USDG in informal settlements. The evaluation has also been requested and used by the Parliamentary Standing Committee on Appropriation in holding government accountable for the performance of the USDG.

Setting a baseline for future impact evaluations for informal settlements targeted for upgrading (2012/13)

The DHS and DPME partnered to develop a medium-term evaluation framework for the Upgrading of Informal Settlements Programme (UISP) of the national government. This is an important programme of government to protect and create conditions for 2.1 million households who live in informal settlements to escape poverty and urban exclusion. The evaluation framework started with a design evaluation in which a baseline of informal settlements that are targeted for upgrading was set. The DHS intends to undertake an implementation and impact evaluation at a later stage.

The baseline assessment was carried out in all nine provinces covering 730 informal settlements. It established that informal settlements targeted for upgrading are relatively stable with some households having lived there for decades. Access to services is relatively high, though quality is very poor with many households sharing toilets and walking some distance to get clean water. Literacy levels of 95% of persons in the adult population and existence of well-established community organisations indicate that UISP requirement of active community involvement in the design and implementation of upgrading projects should be relatively easier to implement.

The design evaluation found that though the UISP is well documented in the housing code of 2009, there are some concepts and outcomes that were not adequately defined. This was complicated by the lack of a detailed M&E framework defining UISP-specific outputs, outcomes and impacts and standardising indicators of performance across the three spheres of government and the nine provincial housing departments. Therefore, accounting for UISP performance is complicated and open to human error.

The design evaluation and the baseline findings are in the process of submission to Cabinet. The findings and improvement plan were supported by the Director-General Cluster of Social Protection which allows it to be taken to Cabinet.

Evaluating whether interventions by the DHS have facilitated access to the city for the poor (2013/14)

The White Paper on housing committed government to the creation of “viable”, socially and economically integrated communities, situated in areas allowing convenient access to economic opportunities, as well as health, educational and social amenities. Within these communities, all South Africa’s people should have access on a progressive basis to: a permanent residential structure with secure tenure, ensured privacy and adequate protection against the elements; potable water; adequate sanitary facilities, including waste disposal; and domestic electricity supply. Twenty years after democracy and 18 years since the establishment of the housing policy,

the DHS aimed to evaluate the extent to which the different housing programmes have contributed to inclusive urban growth, development and management, where the poor are integrated in a broader urban environment with access to economic and livelihood opportunities, basic services, adequate housing, etc. The evaluation has been procured by DHS, but has been extensively delayed. The evaluation is at the inception phase whilst a new service provider is being sought.

Synthesis evaluation of whether the provision of state subsidised housing has addressed asset poverty for households and local municipalities (2013/14)

The South African housing programme is informed by a history of neglect and state-denied right to own property in urban areas for black people during the apartheid governance. As a result, housing is defined as a constitutional right which the state has to progressively realise (whilst noting that the courts in recent rulings have steered away from determining minimal acceptable norms to this right). Housing is one of the important state instruments to reintegrate communities, extend citizenship and restore dignity. The main instrument of the housing programme is a capital subsidy that offers a once-off benefit to households earning below R3 500 per month – in the form of a completely built house on a freehold title ownership stand. One of the anticipated outcomes of this programme was to progressively increase the poor’s access to the residential property market via an initial investment by government; which, it was anticipated, would enable households to use their property to accumulate assets and wealth, thus offering a passage out of poverty. Housing is often the most expensive household asset. When the state provides a fully subsidised house this frees up resources that households can invest in other productive initiatives, including children’s education and home-based businesses.

At the time the evaluation was carried out approximately 2.8 million households were said to have benefited from housing opportunities provided by government. The evaluation reaffirmed the importance of housing in supporting poor households’ asset accumulation initiatives. And perhaps one the most important findings of the evaluation is that the government-subsidised programme has contributed significantly to stabilisation of black communities in urban areas. Whereas pre-1994 government housing intervention treated black communities as transient and a source of cheap labour, the current programme gives household permanency in urban areas hence giving people a sense of community, citizenship and belonging. The contribution of this stabilisation effect to urban governance and development planning should not be underestimated. The evaluation supported that the housing programme be continued with certain adjustment to enhance the asset building outcomes.

The evaluation report has been instrumental in the process of drafting the new white paper which is led by DHS. The

final report was approved by steering committee and the improvement plan is currently underway. The evaluation was tabled at Cabinet in February 2017.

Impact/implementation evaluation of the Social Housing Programme (SHP) (2014/15)

The failure to overcome apartheid spatial patterns has constantly come out as one of the major challenges facing South Africa in the 10, 15 and 20-Year Government Reviews and the NDP Diagnostic of 2012. The revised SHP was posed as an instrument to improve spatial location and urban integration of housing projects. The programme offers affordable rental accommodation for low-income households in neighbourhoods where market conditions would otherwise exclude them or allocate them to inadequate housing (such as shacks). It is the only programme that gears debt financing, considers long-term financial sustainability of projects, and aims to create a virtuous financial cycle with tenants paying rentals and social housing institutions paying rates and taxes and service charges to municipalities. Moreover, one rental unit benefits up to five households in a 20-year life span. The programme can also be a trigger for new investment and construction, bringing vitality to economically underperforming spaces inhabited by poor people.

During the period under review, the programme delivered nearly 10 000 units. The evaluation found that while the programme offers value for money, it was however delivering below potential which inevitably reduced the programme's likely impact on spatial, economic and social restructuring. The evaluation concluded that the programme is well articulated and has a clear intervention logic, but that a series of limitations weakened delivery and threatened sustainability.

The evaluation report has been presented to the Department of Human Settlements' National Rental Task Team which is responsible for steering national policy on rental housing, the Social Housing Regulatory Authority Council (board) and the Directors-General of the Social Protection Cluster. The report will be presented to cabinet during 2017/18 financial year.

3.9 Outcome 9: Local Government

Implementation evaluation of the Community Work Programme (CWP) (2013/14)

The CWP is a government programme that provides an employment safety net. It aims to supplement existing livelihood strategies by providing a basic level of income security through work, and also acts a supplement to government's social grants. The CWP was initiated in response to high unemployment and poverty levels, recognising that policies to address unemployment and create decent work will take time to reach people living in marginalised areas with few economic opportunities. The CWP is targeted at unemployed

and under-employed workforce, and aims to give those who are willing and able to work the opportunity to do so, and through income security, afford them the dignity and social inclusion that is associated with employment. The purpose of the evaluation was to assess the effectiveness of the CWP in attaining its outcomes. The evaluation aimed to identify the programme's strengths and weaknesses, and to come up with recommendations to enhance the CWP.

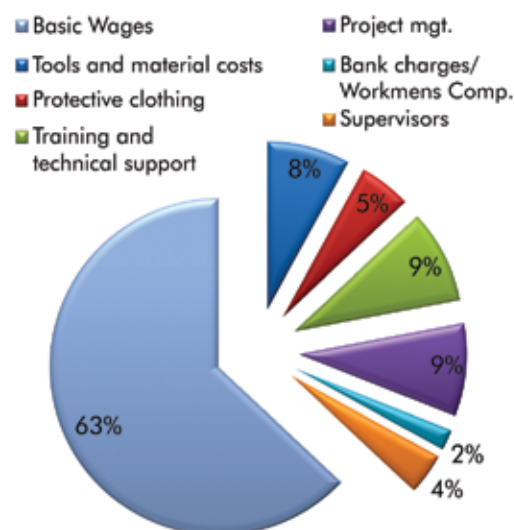


Figure 11: Distribution of CWP expenditure

Source: 2012 Financial Narrative Report

Overall, the evaluation highlights that while there were significant challenges with various aspects of the programme, the programme is relevant, coherent and conceptually strong. Certain aspects of the design features that were missing or weak, such as community participation or partnerships, negatively affected implementation, sustainability and the possibility of scaling-up. These gaps would need to be addressed in transitioning the pilot programme from a mainly civil society context into an institutionalised government programme within a hierarchical and bureaucratic environment. Key aspects, which had allowed the programme to be successful in the pilot stage, were high degrees of partnership, flexibility and learning between the steering committee, the programme management and the implementing agents. These aspects appeared to be diminishing over time.

The evaluation report was approved and well received by the Cabinet committee in April 2016 and the improvement plan is being drafted.

3.10 Outcome 10: Environment

Evaluation of the Effectiveness of Environmental Governance in the Mining Sector (EEGM) (2014/15)

The public costs of dealing with mining-related environmental impacts are substantial. The environmental governance

regime for the mining sector is in a position to ensure effective management of the potential negative impacts of mining activities to mitigate harm to the environment and the ill-effects on citizens' health and well-being.

The purpose of this evaluation was to assess the relevance and effectiveness of the environmental governance legislation in mining, as well as how it has been implemented since its promulgation in 1991 up to the legislation in place as of March 2014. After amendments to the legislation were implemented on 8 December 2014, a postscript was appended to the evaluation that details the context of the amendments and how they relate to the evaluation analysis and recommendations.

The findings and analysis of the evaluation illustrated that, in theory, the environmental governance framework is appropriate for promoting good governance in the mining sector. However, in practice, the inadequate implementation and enforcement of the framework seriously compromises its efficacy and ability to ensure environmental sustainability.

The report was approved in August 2015 and the improvement plan was produced in January 2016. The report was presented at the Economic Sectors, Employment and Infrastructure Development (ESEID) Cluster in March 2016. Following recommendation by the Cluster, a meeting was convened by the DPME to strengthen the evaluation improvement plan.

Implementation evaluation of the environmental impact assessment system (2016/17)

The National Environment Management Act (NEMA), 1998 (No 107 of 1998) introduced the environmental impact management regime, in particular the environmental impact assessment (EIA) process. The EIA process is a tool which requires the integration of social, economic and environmental factors in the planning, implementation and evaluation of decisions to ensure that development serves the present and future generations. The EIA is South Africa's key regulatory instrument to mitigate and/or manage the impacts of new developments and activities that are considered to potentially impact on the right to an environment that is not harmful to health and well-being.

The EIA is sometimes cited as a key barrier to development due to its requirements for rigorous participatory processes and scientific investigation which may often be viewed as time-consuming and expensive. The evaluation aims to assess whether or not the EIA process contributes to sustainable development and to provide recommendations on how the implementation of the process can be strengthened. This will also involve the development of indicators for reporting on the economic impact of the EIA process on identified sectors.

The evaluation was delayed due to difficulties in finding a suitable service provider and is anticipated to commence in July 2017.

3.11 Outcome 11: International

DPME has not undertaken an evaluation on this outcome.

3.12 Outcome 12: Public Service

Evaluation of government coordination systems (2013/14)

This evaluation was commissioned by the Presidency and sought to assess the performance of coordination systems in government, both technical and ministerial, and to see how to strengthen their effectiveness. The evaluation focused on clusters, Ministers and Members of Executive Councils (MinMECs), and outcome implementation forums. The evaluation pointed to significant problems in the performance of these structures, with too much time in meetings spent on reporting and process issues and not enough on problem-solving, as well as insufficient attendance by DGs (See Figure 3).

Recommendations included reducing the number of meetings, strengthening secretariat capacity, strengthening the role of the Presidency, refining the ToR of the structures, and strengthening leadership. The final report was approved in January 2014 and approved by Cabinet in October 2014. The improvement plan was approved by the FOSAD management committee in June 2015, and the findings are being linked to work on the role of DGs. There has still been no progress in the implementation of the recommendations of the improvement plan. This is partly due to internal processes between the Presidency and the DPME DG offices.

Impact/implementation evaluation of the MPAT system (2014/15)

The MPAT is an institutional self-assessment tool applied by the DPME to assess the quality of management practices in all 156 national and provincial departments in four management performance areas, namely, strategic management, governance and accountability, human resource systems and financial management. The DPME believes that improved management practices are the key to improving government performance and service delivery, and measures management performance against 31 standards. Lessons from international experiences indicate that such methodologies can make a significant contribution to improving the performance of government, particularly if the leadership of the departments being assessed take ownership of the assessment process and implement and monitor improvement plans.

The MPAT system evaluation report was approved in March 2015, and the overarching recommendation was to continue with this programme and build on the energy and momentum it had developed. It suggested that improvements be made to how moderation of self-assessments work, as well as to the technology that facilitates the MPAT assessments. Some recommendations were also made regarding programme design, system development, and institutional arrangements.

Impact/implementation evaluation of the Strategic Planning/Annual Performance Plan (APP) system (2014/15)

The Framework for Managing Programme Performance Information was issued by National Treasury in 2007. This framework outlines key concepts regarding the design and implementation of management systems to define, collect, report on and use performance information in the public sector. It also clarifies standards for performance information in support of the audit of pre-determined objectives. This framework was implemented by all national and provincial departments in 2007.

The Framework for Strategic and Annual Performance Plans (FSAPPs) was issued by National Treasury in 2010 to provide guidance for departmental planning, strengthen accountability and align plans to budgets. Provincial departments began with the implementation of this framework in the 2010/11 financial year. The national sphere of government began implementing the Framework for Strategic and Annual Performance Plans in 2010/11 and it was fully implemented in 2011/12. The FSAPPs has contributed to the alignment and synchronisation of plans that are linked to outcomes, aligned to budgets and resulted in greater accountability within departments.

The evaluation aimed to determine how effective the FSAPPs had been at guiding departments in their service delivery, particularly in responding to government's priority outcomes, and in holding departments accountable for performance. The evaluation is expected to provide guidance in how the FSAPPs can be improved to maximise the utility of the planning and reporting processes, while minimising the administrative load created by the system.

The evaluation was part of the 2014/15 NEP although actual implementation began in the 2015/2016 due to delays in procurement and appointment of the service provider. The service provider is currently busy with the second draft report.

Impact/implementation evaluation of the NES (delayed to 2016/17)

The purpose of this evaluation is to understand how the NES is working, what difference it is making, and where it can be strengthened – particularly widening its reach and strengthening the quality. The evaluation will assess whether implementation of the NES is having an impact on the programmes and policies evaluated, as well as the departments involved, and determine how the system needs to be strengthened to maximise its impact across government. The evaluation will cover how the ToC is working in practice and whether the outcomes and impacts look likely to be achieved. It will also consider the implications for expanding the system, for example, to all departments, metros and public entities. The changes needed to improve the effectiveness and value-for-money of the system will feed into changes to

the NEPF if necessary, as well as potentially into broader M&E policy. The existing ToC has been developed through extensive consultation and the evaluation is underway.

Implementation evaluation of the Citizen-Based Monitoring (CBM) Programme (2015/16)

The DPME's CBM Programme was proposed in the framework for strengthening citizen-government partnerships for monitoring frontline service delivery, approved by Cabinet in 2013. The programme aims to strengthen the involvement of citizens in monitoring service delivery and currently has three focus areas: (i) policy interventions to support take-up of citizen-based monitoring; (ii) a pilot/prototyping process to develop a citizen-based monitoring method for frontline service delivery; and (iii) a knowledge sharing focus that aims to provide platforms and opportunities for government and civil society.

The purpose of this evaluation was to assess the implementation of the programme to inform development of a five-year strategy for CBM going forward. The evaluation found that the CBM pilot was successfully tested and had evolved into an inclusive, credible, yet resource-intensive approach and methodology for CBM across four services (Health, Social Development, Social Security, and Police Services). Despite clear value and the success of various process elements, there was lingering ambiguity as to how the third and final step of the three-step model, ongoing monitoring of commitments, should occur to ensure sustainability and the realisation of intended outcomes. In order to secure the gains of the pilot processes tested to date, it was recommended that the DPME follow up and conclude the pilot at the nine participating sites. In doing so, the department should pay special attention to clarifying, formalising, and communicating arrangements for the ongoing monitoring of the commitments that have been made at these sites to ensure improvements are secured and maintained.

The evaluation report was approved by the steering committee in December 2015 and the management response was received in February 2016. The report and draft improvement were presented at the CBM Stakeholder Learning Network on 25 February 2016 and the improvement plan was approved in March 2016.

Implementation evaluation of the NPOs Regulatory Framework and legislation (2015/16)

NPOs in South Africa contribute significantly to the social, economic and political development of the country as they often play an integral role within society. With high levels of inequality and underdevelopment NPOs are critical in fulfilling constitutionally enshrined socio-economic rights for the poor. In addition to being critical in service provision, NPOs are a significant employer. Currently, they employ 9% of the total

non-agricultural, formal workforce and 1.5 million volunteers (often unemployed youth seeking work experience), and serve approximately 72% of welfare services sector clients. Although referred to as a sector, this should not be taken to suggest homogeneity. The sector is made up of diverse institutions of varying capabilities, ranging from CBOs and faith-based organisations (FBOs), to professional NGOs with international reach. Most of these organisations can be characterised into two broad service categories: organisations providing goods and services in various sectors on behalf of government; and those that advocate for the protection of human rights of the underprivileged and monitor the impact of state and private sector activities.

The purpose of this evaluation was to assess the effectiveness of the NPO regulatory system in creating an enabling environment for NPOs to deliver services, and how this can be strengthened.

The findings of the evaluation confirm that NPOs play an important role in the delivery of a range of services to vulnerable populations in South Africa, and as a result are central to government's poverty and income inequality alleviation strategies. The importance of NPOs is reflected in the large number of pieces of legislation which have been enacted in the sector. However, legislation can also have a dampening effect on the level of activity in the sector, particularly if its net effect is to increase the regulatory burden on sector participants, rather than facilitate their operations.

Evaluations findings show that there is a need to rethink part of the design of the regulatory framework and its administration. This is particularly important if the NPO sector is to continue partnering with government to achieve desirable outcomes and impacts. The regulatory reforms proposed focus on streamlining the regulatory system and reducing the red tape burden. Ultimately, these proposals will contribute to create

the enabling environment envisioned by legislation, through establishing a sound regulatory system that strikes the right balance between risk mitigation and facilitating sector activity.

Service Delivery Improvement Planning System (2015/16)

The Service Delivery Improvement Planning (SDIP) Systems are mechanisms used by departments to assess identified gaps between the set service standards and actual performance levels. It is a process informed amongst others, by complaints received from service beneficiaries, citizen satisfaction surveys, the measurement of set against achieved service standards, government priorities, the executive authorities' performance agreements, etc. SDIPs further seek to provide a strategic focus on improving specific services supported by an appropriate allocation of human and financial resources, as well as strengthened systems and processes whilst leveraging on technology to ensure efficiency and effectiveness in the delivery of quality services.

The evaluation examined whether national and provincial departments had been implementing the SDIPs in terms of the Public Service Regulations (PSR) and Directive 2008 and assessed the systems' appropriateness as a means to ensuring responsive sustainable, effective and efficient service delivery. The evaluation focused on the challenges faced with regards to: the level of compliance in submitting SDIPs; the quality of the submitted SDIPs; implementation and monitoring thereof by management; submission of annual progress reports against the SDIPs; and the impact of the SDIPs to service delivery improvement; to mention a few.

Undertaking this evaluation has experienced a number of delays due to challenges in securing of co-funding, as well as capacity limitations. The evaluation is at the ToR development stage.

Table 3: NPOs per 1 000 population

Province	Number of registered NPOs	Proportion of NPOs registered in the social services sector	Population estimates	NPO per 1 000 population
Eastern Cape	13 148	9.3%	6 916 200	1.9
Free State	7 471	5.5%	2 817 900	2.7
Gauteng	47 987	29.5%	13 200 300	3.6
KwaZulu-Natal	28 641	19.8%	10 919 100	2.6
Limpopo	15 273	12.1%	5 726 800	2.7
Mpumalanga	10 988	8.3%	5 726 800	1.9
North West	8 553	5.7%	5 726 800	1.5
Northern Cape	3 055	2.0%	3 707 000	0.8
Western Cape	15 337	7.8%	6 200 100	2.5
Total	150 453	100.0%	60 941 000	2.5

Source: Statistics SA (2015) and NPO Database (February 2016)

Note: The cells highlighted show the provinces selected for this evaluation.

3.13 Outcome 13: Social Protection

Implementation evaluation of the Expanded Public Works Programme Social Sector (EPWP-SS) (2014/15)

EPWP-SS plays an important social protection role for unemployed able-bodied adults by drawing them into productive work where they receive a monthly stipend of R1 517.69. The sector is coordinated by the DSD. Most of the social sector programmes provide specialised services to vulnerable and poor communities, e.g. ECD, the NSNP, and home community-based care (HCBC). The EPWP-SS has shown the capacity to expand, with work opportunities rising five times from around 176 000 in phase one to over 866 000 in phase two. Over the past five years on average 71% of participants were women and 51% were young people. This means that the programme is offering income support to vulnerable women, who because of the gendered nature of the work in EPWP-SS were very likely to have been doing this work (in turn subsidising government services) without any pay before introduction of the EPWP-SS programme. However, the programme has repeatedly failed to achieve the 2.14% target for employment of people with disabilities.

In 2010, the Minister of Labour introduced a Ministerial Determination (MD) on EPWP which stipulates standard employment conditions for EPWP workers to protect them against exploitation and offer a level of protection appropriate for their employment. The evaluation found limited compliance with the MD. By 2013/14, only 62% of programmes were compliant with the minimum stipend of R70.59 per day or R1 517.69 per month. There are programmes that are paying significantly lower rates than the MD stipulations, such as most DSD ECD practitioners who are paid less than R500 per month. Likewise, the NSNP food handlers are underpaid at a rate of R39 per day or R840 per month. Non-compliance is mainly a result of constrained human resources to support the programme and hence, in some cases, it is not clear who is responsible to ensure compliance. This responsibility is not clearly defined as belonging to the state which owns the programme or NPOs, both vehicles used for delivery of the programme. Notably, non-compliance has ethical and legal implications for government which in the end fails to meet its own regulations.

The evaluation attempted to understand the likely impact of the EPWP-SS on poverty and unemployment. The evaluation found that the stipend is playing an important social protection function for participants. The stipend had contributed to reducing the number of participants living below the food poverty line from 55% to 40%. When the minimum stipend is paid this reduces further to 33%. However, it was also found that due to late payments and in some cases non-compliance

with Ministerial determined daily rates, the impact of the stipend is eroded.

Overall DSD was not adequately resourced to lead and coordinate the sector and to address some of the challenges faced by implementing departments. The evaluation found it difficult to conclusively determine performance of EPWP-SS as a result of weak monitoring of both financial and non-financial performance. The sector mainly tracked work opportunities and full-time equivalent work opportunities and did not have proper measuring and monitoring at outcomes level.

The evaluation was presented and supported by Cabinet and the improvement plan was developed. Two progress reports have been received showing that as a result of the evaluation a new M&E framework specific to the social sector EPWP was developed and the DSD's APP now reflects the department's role as a coordinator of the EPWP social sector.

Implementation evaluation of the Older Person's Act (2016/17)

According to Statistics South Africa, there are 4.2 million older persons in the country and the number is predicted to grow. It is estimated that by 2030 the number of older persons would have increased to 6.8 million which will constitute 9.3% of the total population. The burden of the HIV/AIDS pandemic has not only changed the roles of older persons to being providers of care, it has also left them with significant psychological trauma. As a consequence of the HIV scourge, many households consist of members who depend on the older person financially. This places additional responsibilities on older persons, including in many cases, the upbringing of young children.

In response to the challenges faced by older persons, the DSD developed the Older Persons Act, 2006 to protect and empower older persons. It calls for a developmental framework in dealing with issues affecting the aged – including the promotion and maintenance of their status, rights, well-being, safety and security; and to provide for matters connected therewith. The Act and its regulations only came into effect on the 1 April, 2010. The Act introduces an important paradigm shift from emphasis on the state provision of institutional care to community-based care and support services which can ensure that older persons remain in their homes and communities for as long as possible.

The evaluation aims to assess the extent to which the Older Person Act, 2006 (No 13 of 2006) is being implemented as intended and how can it be strengthened. Furthermore, the evaluation will inform the appropriate revision or amendment of the act. The evaluation is currently underway with the first report expected in 30 July 2017.



4 Research

4.1 Research strategy (2015 – 2018)

4.1.1 Tabling and approval

The research strategy was approved in March 2015 and established the role of the department in the generation, intermediation and use of research and other forms of evidence in decision-making. The strategy serves to respond to the department's mandate to support the 14 outcomes of the NDP with rigorous evidence for influencing policy across government. It was designed with the purpose of supporting the department's ToC on the importance of effective and evidence-based planning, as well as the use of evidence generated from M&E to improve government services and performance.

During the 2016/17 financial year, DPME's ERU was responsible for spearheading the implementation of the strategy on behalf of the department, by working in partnership with other government departments, research institutions, academia, NGOs, civil society, as well as other relevant stakeholders who are active in the wider system of research and innovation.

4.1.2 Operationalising key components

Similar to previous years, the research team has continued to embed a standardised system of research within the DPME over the 2016/2017 financial year.

Components of the system which have been operationalised include:

- Centralised research support across DPME programmes.
- Research competencies and capacity building.
- Data and information access, quality and integration.
- Coordinated stakeholder engagement in research environment.
- Agenda-setting and promoting research synthesis in policy spaces.

4.2 Understanding the research system, internally and externally

4.2.1 DPME and government-wide research diagnostics

Two diagnostic studies – one internal within DPME; and another external, inclusive of selected national departments and provinces – were conducted in 2015 and 2016 respectively,

to understand the capacity of government officials to use evidence. These studies investigated what their understanding is of what evidence entails, what access they have to different forms of evidence within the system, as well as what their current use of evidence is in their daily practice and policy decision-making roles.

One of the key findings with respect to research infrastructure and capacity was notably the limited access to resources from which evidence can be accessed. In order to address this, three years' access to the Thomson Reuters Web of Science database was secured. The database continued to be used throughout the 2016/17 financial year by internal and external officials for purposes of searching for available research.

4.3 Undertaking strategic research assignments 2016/17

In addition to the above, the research team has also undertaken some strategic research studies, regarded as integral to understanding and building the research system during the 2016/17 financial year. These included:

- The Microdata Review Study
- Analysis of the Human Settlements Evidence Map

4.3.1 South Africa Microdata Scoping Study 2016

This report provided information on the availability of social and economic microdata resources in South Africa up until the end of 2016. The objective was to collate information on the main data holders and data sets that are available in South Africa – both those that are easily accessible, as well as those that need a bit more negotiation for access. Whereas macrodata are data aggregated to a country or regional level with estimated values of statistical characteristics concerning sets of objects or "populations", microdata are data about individual objects (such as persons, companies, events and transactions). Objects have properties which are often expressed as values of variables of the objects. National microdata is usually available from censuses, surveys and administrative and register data and are collected at an individual, household, or institution level. Prior to release to researchers for analytical purposes, microdata are typically anonymised to prevent the identification of individual objects. This Microdata Review Study is of relevance to researchers who actively use (or who want to use) macrodata statistics, as well as individual-level microdata.

The report discusses census and survey data in broad terms, while highlighting key data producers and data repositories. The census/survey datasets are categorised into a number of policy themes. Furthermore, the report focused on administrative data and included a discussion of how this data differs from census and survey data (including strengths and weaknesses). An overview of the administrative data landscape in South Africa was given, and three case studies discussing selected administrative datasets in more detail were included. The report gave a number of recommendations, namely:

- Further efforts should be made to clarify primary contact points for each administrative dataset.
- Continued collaborations to undertake linkages in data.
- SAPS should strive to highlight the potential value of its recorded crime microdata for research purposes and also further strive to make these data available for appropriate research projects.
- The Microdata Review Study to be regularly updated – and to establish lines of communication with data experts through ongoing liaison and partnerships.

4.3.2 Final pre-consultation report – Analysis, Interpretation and Use of the Evidence Map developed by the DPME

During the second half of 2015, the research team in the DPME initiated an evidence mapping exercise in the human settlements sector with the dual intention of assisting the process of policy formulation, as well as using the experience as a pilot to test the usefulness of, and challenges associated with, such a method for policy formulation in government. This final, pre-consultation report contained an analysis of the content and usefulness of this Human Settlements Evidence Map that was developed. A high-level peek of the map, challenges in using it, and proposals to improve it, were made.

After the evidence map was populated and data gathered in the process, a number of questions was raised regarding the human settlements sector. These included reasons for and implications of the relatively high volumes of research/evidence in some thematic areas on the one hand, and the relatively low volumes (or even voids) in others. It further looked at the relevance of topics, themes and outcomes as used in the construction of the evidence map; the agenda, culture, and practices of researchers in the sector in the South African space, as well as ways in which these can be transformed towards more collaborative learning and sharing “research communities” that span first, the public sector, and second those involved in research in the sector, and third the wider community. Ways in which research endeavours could be sparked in or directed at addressing gaps in the map were also explored, together with the limited use of evidence, such as that gathered in the process in the specific sector, and ways to attending this.

At the same time, the project also initiated a set of emerging thoughts and discussions amongst those involved with the evidence map for the human settlements sector on ways in

which the method of evidence mapping, together with the DPME’s Socio-Economic Impact Assessment System (SEIAS) and the department’s processes of monitoring and review, could all be aligned. This report sought to provide a platform on which to engage sector specialists in the housing and human settlements sector on the map, in consultations set to take place in the near future.

The next step would be to move towards a consultation stage, during which experts in the human settlements sector can engage with the contents of the report and then aligning of the evidence maps with the work of the SEIAS team.

4.4 Piloting research tools (mapping, repository)

The research unit has successfully introduced two tools which form part of the building blocks for a system in which evidence-informed decision-making becomes embedded within the DPME. The first is the Research Repository, a management tool; and the second is the evidence map platform, an internal online database which provides officials with access to knowledge products generated by DPME, as well as knowledge gathered from external sources.

These tools are an internal response to an increasing demand to know what evidence exists on what works and in what contexts. These are continually updated.

4.4.1 Research Repository

The Research Repository is continuously being used to share and sustain research commissioned by the DPME that is relevant to current policy issues. It is available on the DPME intranet for DPME officials.

4.4.2 Evidence mapping

Integrating diverse sources of evidence requires robust, yet innovative approaches to making it accessible for decision-making and policy development. The DPME is promoting new methodology in research synthesis, namely the method of evidence mapping. During this process systematic searching for evidence is adopted and applied to every piece of evidence sourced. Published and unpublished literature undergo strict criteria before it gets included in the map, after which it is visually displayed in a matrix developed to inform policy decision-making. Evidence maps are thus intended to assist policymakers to understand the body of evidence available on a defined area of work, and to identify gaps from existing knowledge. The 2016/17 financial year saw some further exploration into using the evidence maps for other sector subjects and introducing it to other government departments as well, thereby exploring the use of evidence maps in the wider research system.

5 Widening the evaluation system to provinces and departments

5.1 Provinces

PEPs were first piloted in 2012/13 in the Western Cape and Gauteng, facilitated by the DPME's ERU. Mpumalanga approved their PEPs in 2014, the Free State and Limpopo in 2015, and the Eastern Cape in April 2016. North West has developed an Evaluation and Research Plan, but it has not yet been approved. Northern Cape and KwaZulu-Natal have produced draft concept notes for their PEPs, but they are not approved yet. In September 2015, DPME organised a one-day workshop, aimed at supporting OTPs in evaluation and addressing challenges experienced by provinces.

In 2016, DPME created a database of evaluations in the PEPs. Following the verification process of the evaluations in the database, an online monitoring system will be tested and rolled out to track implementation of evaluations in the database. In total, there were 103 evaluations in PEPs at various stages of implementation as at 31 March 2017. The database will be published on the DPME website.

In 2017/18, DPME is aiming at promoting national-provincial linkages on evaluation to avoid duplications, overlaps, save costs and to improve efficiency. National departments are encouraged to collaborate with their provincial counterparts in planning evaluations and knowledge sharing on the evaluation results. A guideline will be produced on strategies for promoting such linkages. All national departments with concurrent powers will be encouraged to organise workshops with their provincial counterparts to discuss ways of collaboration. The first workshop of this kind was organised by the DBE with support from DPME on 24 March 2017. All nine provincial education departments participated and formally adopted DPME guidelines as guiding documents on evaluation.

5.2 Departments

In 2014/15, the DPME linked up with departments who had developed DEPs using a draft template created by DPME in 2012/13. These departments included the KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs (COGTA) and the Western Cape Department of Agriculture. On finalisation of the guidelines in July 2015, a workshop was held the same month, attended by 200 officials from national and provincial departments. Following the workshop, a list of FAQs was produced. The new MPAT standard on evaluation was piloted in 2015/16. It included a requirement for departments to do DEPs for level 3 compliance. This became high priority for 2016/17 onwards as part of embedding evaluation in the work of government. The number of approved multiyear DEPs increased from 29 in 2015/16 to 57 in 2016/17, which effectively meant that 37% of the departments have produced approved DEPs.

Planned support for departments during the 2016/17 financial year

Based on the MPAT findings and recommendations, DPME hosted an Evaluation seminar at Sheraton Hotel from 28–29 September 2016 to reflect on evaluations and share knowledge on emerging issues.

Some key elements for compliance (level 3) of the new MPAT standard on evaluation include :

- Some basic capacity in evaluation (not just M&E)
- Adoption of the NES
- Development of a DEP.

The aggregate departmental MPAT scores are:

- Eastern Cape: 1.3
- Free State: 2.4
- Gauteng: 2.4
- KwaZulu-Natal: 2.2
- Limpopo: 1.2
- Mpumalanga: 1.8
- North West: 1.5
- Northern Cape: 2.2
- Western Cape: 2.6
- National departments: 2.0

5.3 Local government

There has been an increased interest in evaluation from metropolitan municipalities. It is unclear how DPME should proceed in providing support to this sphere of government and whether the current approach used with departments and OTPs will be suitable for municipalities. To address this, DPME is working with CLEAR-AA on a diagnostic review of capacities and state of M&E in four metropolitan municipalities. This short research will inform the way forward in this sphere of government.

DPME is also working with the Johannesburg Road Agency, an entity of the City of Johannesburg, to test the system at local government. eThekweni Municipality has also requested support as they set up an evaluation unit for the city.



6 International linkages

6.1 Approach

DPME continues to learn from exchanging experience and lessons learnt in evaluations by other countries. The NES was informed by lessons learnt from study tours undertaken to Mexico, Colombia, the US and Australia. It is important to maintain these relationships to encourage learning from different countries' experiences. These proved to be very valuable when developing systems.

6.2 The Twende Mbele programme – an African M&E partnership

Twende Mbele – Moving Africa Forward

A range of other African countries have made significant inroads to improve performance through investment in monitoring and evaluation systems. Twende Mbele is an initiative to link three leaders in Africa, Benin, South Africa and Uganda. It was established in 2016 with the aim share experiences and collaborate in strengthening their respective country monitoring and evaluation systems. This should lead to more appropriate and robust M&E systems, which in turn improves government performance and accountability mechanisms. There are also two regional partners, the Centre for Learning on Evaluation and Results (CLEAR) Anglophone Africa, and the African Development Bank. South Africa is represented in the programme by the Department of Planning, Monitoring and Evaluation. The first phase has funding of about £1.6 million (around R27 million) from the UK's Department for International Development, and \$400 000 from the Hewlett Foundation, from September 2016 to August 2019.

The name "Twende Mbele" is derived from a Swahili term meaning "moving forward together" and this embodies the essence of collaboration and partnership. Credible M&E systems, along with dependable leadership, are critical elements in achieving the much needed developmental outcomes on the continent. What is unique about Twende Mbele is that it is country-driven, and focuses on active collaboration, encouraging countries to collaborate and learn from each other.

The Twende Mbele M&E Partnership programme was formally launched on 28 March 2017 at the African Evaluation Association (AfrEA) Conference in Kampala, Uganda. The

Prime Minister of Uganda, H.E. Ruhakana Rugunda, presided over the launch and gave insight on how the Programme aims to stimulate demand for M&E. He emphasised how M&E is a useful instrument which can be used by policymakers including Parliaments to promote learning, catalyse demand for evaluation, and top-up existing capacity development efforts.

Some of the activities of this programme so far include the adaption of South Africa's management performance assessment tool (MPAT) in Benin and Uganda, seeing how to strengthen the role of civil society organisations in government accountability, strengthen the gender responsiveness of national M&E systems, and training of Parliamentarians in how to use M&E.

On the supply side, Twende Mbele is working to create a shared postgraduate M&E curriculum across Africa, undertaking a diagnostic study to strengthen the supply and quality of evaluators and providing training opportunities, for example, sending delegates to the CLEAR AA Winter School.

The programme continues to extend its footprint on the African continent, and has just included Ghana, Kenya and Niger as new collaborators.

Activities in the initial six months have included:

- Sharing the MPAT experience with Benin and Uganda and them planning how to adapt and use MPAT.
- Research on gender responsiveness of the three countries' M&E systems.
- Training Parliamentarians.
- Sharing experience at the African Evaluation Association (AfrEA) conference in March 2017.
- Initiating a performance culture survey which will serve as a baseline.
- Developing concept notes for major streams of work around collaborative curriculum development on M&E across Africa, diagnostic on the supply and market of evaluators (a major constraint), assessing the potential role of CSOs in enhancing national M&E systems.

First contacts have been made with countries to start collaborating with among others Ghana, Kenya, Niger, Zambia, Senegal, Cote d'Ivoire, Tanzania, Botswana. Some of these will start participating in some activities in 2017/18.

6.3 Peer countries inside and outside Africa

In an effort to continue to strengthen the evaluation system the DPME maintains its network with other countries that are supporting government evaluation systems. Membership of 3ie, along with Mexico, Colombia, Benin and Uganda, has enabled regular follow-ups and relationships have been maintained with Canada's Centre of Excellence, Chile's Department of Finance, and the US Government Accountability Office. DPME has extended its evaluation reach to other countries, such as Kenya and Ghana as part of peer learning and sharing, as well as encouraging institutionalisation outside the borders.

6.4 International organisations

The DPME is a member of the 3ie and continues to be supported by other international bodies, such as CLEAR-AA, DFID, UNICEF and GiZ. Such international relationship is beneficial to DPME by:

- Exposing South Africa to international good practice, particularly around impact evaluation.
- Funding the DPME and partner departments to attend evaluation events, as well as events related to systematic reviews.
- Giving feedback on DPME guidelines and systems.
- Contributing to design clinics where the DPME develops the outlines for evaluation ToR.
- Funding impact evaluations, including the scoping study of the Grade R evaluation (which the DPME then took forward), and the NSNP (which showed it was too difficult to do).

In 2016/17, we have moved forward with 3ie support on a very large evaluation of the Restitution Programme (covering both land and financial restitution) which is now currently underway.

7 Emerging examples of influencing policy and implementation

7.1 Departments that are institutionalising evaluations for improvement

A national department that has institutionalised evaluation: DSD

The DSD is one of the pioneer departments in institutionalising government evaluation function as it has been conducting several evaluations prior to the establishment of the NES. In 2011, DSD partnered with DPME, DBE and DoH in piloting the NES through the evaluation of ECD.

The department has a multi-year evaluation strategy which the DG signs off annually. By actively including the DG, evaluation is driven from the top and more likely to be demanded and used. Consequently, the department has undertaken seven evaluations in all six NEPs consecutively. Currently, this is the highest number of NEP evaluations undertaken by a single department since the inception of the NES. The department has consistently scored 3 and above out of 4 in the MPAT Evaluation Standard. Overall, the department has scored an average of 3.74 out of 5 in terms of the evaluation quality assessment tool for all evaluations in the DPME repository, which is good performance.

Evidence from evaluations have provided programme managers critical information needed to make decisions. One example of evidence of use in DSD is the Isibindi project. It was reported that due to the evaluation, other services for orphans and vulnerable children were improved. An evaluation of ECD also resulted in the development of a new Early Childhood Development Policy approved by Cabinet with a conditional grant. The evaluation of the NES found that DSD's evaluation plans are linked to the MTSF and the Annual Performance Plans (APP). These linkages are positive, and essential to embedding evaluation in the department.

A provincial department that has institutionalised evaluation: Western Cape Department of Agriculture

This department has institutionalised the evaluation function through the inclusion of the DEP as an 'annual strategic objective' performance indicator, and the number of evaluations completed is included as a province-specific indicator. Currently, more than 20 evaluations have been undertaken by the department since 2011, which is one the highest undertaken by a single department.

The department has shown innovation by contracting an external expert on evaluation as the resource person to support the evaluations process. Officials, especially programme managers, utilise the services of the resource person at key points in the evaluation process. This has contributed to improving the quality of evaluation in the department. This novel approach can be followed by other departments to address the shortage of skilled evaluators in the country.

A provincial department that has institutionalised evaluation: Kwa-Zulu Natal Department of Cooperative Governance and Traditional Affairs (COGTA)

The department has institutionalised the evaluation function. Currently, 24 evaluations have been undertaken/are at various stages of implementation since 2012/13, which is one the highest undertaken by a single department.

KZN COGTA is amongst a few departments in the country that has an established and dedicated evaluation unit, consisting of a senior manager, two deputy managers and two assistant managers responsible for evaluation of departmental programmes.

An office of the premier that has institutionalised evaluation: Gauteng OTP

The Gauteng OTP initiated evaluations linked to the Mid-term Review in 2011/12 and completed two evaluations that year. In 2012, the Provincial Executive Council adopted the NEPF, as well as the Provincial Evaluation Framework and Plan. Gauteng is amongst the first provinces to develop a provincial evaluation plan. Overall, the province is performing well in evaluation. Nine out of 14 departments have approved DEPs of which six scored 4 out of 4 in the MPAT 1.6 Evaluation Standard, which is excellent performance.

An office of the premier that has institutionalised evaluation: Western Cape Department of the Premier

The Western Cape Department of the Premier was one of the two selected provinces used to pilot the provincial evaluation plan together with Gauteng. The department received a 2016 MPAT average score of 3.3 which is good performance. The use of evaluation champions has been crucial to the province's success in institutionalising the provincial evaluation system. The continued engagement and stewardship of these champions, both in terms of the PEP and DEPs, is crucial to maintain momentum and build on early successes.

The PEP is developed and implemented within an integrated planning and budget approach, which is an innovative and best practice model. In terms of this model, the budget votes per department account for evidence-based planning and the annual call for evaluations is done via the Joint Budget Circular issued by the Provincial Treasury department.

7.2 Stories of influence

Many programme evaluations are already providing policy direction, for example:

- Seven evaluations and an expenditure review have been undertaken on the Human Settlements outcome area, and

a synthesis is now being written to inform the new Human Settlements White Paper.

- Five evaluations and a synthesis evaluation have been completed for the Rural outcome area, which have produced some challenging findings and are informing policy on smallholders.
- National Treasury has become a strong supporter of the evaluations system and has advocated for and funded an evaluation of business incentives across government.
- A design evaluation of the PCC has led to changes in the policy before being published.

Cross-cutting findings are also emerging from across the range of evaluations, including that:

- Coordination across departments is a major problem and there is a need to find good practice mechanisms.
- There is often poor planning and a poor link from high-level plans or frameworks to operational planning and budgeting, e.g. the PCC and NDMP.
- Sometimes the lack of consensus on design leads to tensions between stakeholders, e.g. the USDG.
- Initiatives are sometimes too comprehensive, not targeted enough, and resources get spread too thinly, e.g. the CRDP and CASP.
- While frameworks may be good, they are not always enforced, e.g. the EEGM.
- Scaling-up is often not well thought through.
- Overall, there is poor management of implementation and many operational challenges.
- Poor administrative data and data management is a major problem, and there is inadequate use of IT platforms, e.g. the BPS, EMIA and Restitution Programme.
- M&E is largely inadequate and sometimes targets are not set in advance.

8 Managing the system

8.1 Collaborative approach to managing the system

8.1.1 Building a learning coalition

The DPME has sought to build a coalition across government to promote evaluation, for example, the initial study tour to Mexico and Colombia included officials from the Public Service Commission (PSC), DBE, DSD and the Government Communication and Information System (GCIS), all of whom participated in writing the NEPF. In addition, in order to support the NES, the DPME established a cross-government national ETWG, including officials from the centre of government departments, sector departments, and provincial OTPs. The ETWG met three times in 2015/16, including to select evaluations. In 2016/17, the ETWG was highly involved in the evaluation of the NES with some of the ETWG members acting as chair on the evaluation steering committee. Members of the ETWG were also invited to the Evaluation Seminar of July 2016 where they made presentations on various aspects of the system and how they are institutionalising evaluations.

8.1.2 Building partnerships to take each evaluation forward

Steering committees are established for all evaluations in the NEP to oversee and take decisions on the overall evaluation process. A senior programme manager of the custodian department chairs the steering committee, while the DPME provides secretariat support and technical advice. The strategic value of involving programme managers in their own evaluations is the building of ownership of the process, and it is hoped that this translates into use of evaluation results by the custodian departments. In practice, however, in some departments the evaluations would be left to M&E staff, and the programme managers' lack of involvement would create problems later. As evaluations continue to gain momentum, programme managers are increasingly becoming more involved in managing evaluations.

8.1.3 A support team – the ERU

The NES is led by the DPME's ERU, supported by the ETWG. The ERU is the champion of the system and drives its development. The unit consists of a core team of 15 officials, namely the head of the unit (at DDG level), five directors

(including four evaluation directors), one deputy director, two assistant directors, four evaluation officers supporting the directors, two administration officers, and five interns.

The ERU's key roles include leadership, promotion of evaluation in government, standard setting and quality assurance, and technical support to departments, evaluation steering committees and provincial OTPs.

In 2014/15, a research component was added to the ERU, which started work on developing a research strategy for the DPME, managing some strategic research assignments, creating a research panel, and undertaking training of DPME staff on research issues.

While the main focus of the unit since its inception in September 2011 has been on setting up the NES for South Africa, over the years, the target for evaluations in the NEP has been reduced from 15 to eight evaluations, partly to ensure that the pipeline of evaluations are completed, but also to dedicate more time to supporting provinces and departments in setting up their own evaluation systems.

8.1.4 Co-funding model

Evaluations are implemented as a partnership between the department(s) concerned and the DPME, which part-funds the evaluations. In 2015/16, this funding was for an average of R1 million per evaluation. This co-funding model has contributed to stimulating demand for evaluations and provided incentives to departments who undertake them.

As a standard procedure, a co-funding arrangement is formalised in writing by the DPME and the custodian department before the commencement of the evaluation process. The DPME usually commissions the evaluations and therefore the department would transfer the co-funding amount to the DPME. On rare occasions, the DPME has fully funded critical evaluations where funding was not available from the custodian department and there was an urgent need to undertake those evaluations.

Based on its experience with the DHS, where the evaluation was fully funded by DHS and procured through its systems and which took more than a year with extensive delays, the DPME will no longer support any evaluations it does not commission in future.

8.2 Donor funding

Donor funding has played an important role in supporting the DPME's evaluation work, particularly as government resources become tighter following the global recession.

The establishment of the evaluation function in the DPME was made possible largely through the PSPPD, a partnership between the Presidency and the European Union, which funded many of the start-up activities that led to the establishment of the evaluation system in 2011.

Since 2012, valuable support has also been received from DFID, with a government-to-government agreement signed in November 2012 for the SPME project, which provided £2 million to the department, of which around £660 000, or around R10 million, was for evaluation. Key elements supported by DFID around evaluation have been the annual training programme, development of a quality assessment system, and a course in EBPM&I for DGs and DDGs. This support came to an end in September 2015, however, DFID is still providing donor support to the Twende Mbele programme, which is managed by CLEAR-AA. The programme will provide support for collaborative development of evaluation systems, as well as other M&E systems.

GIZ has provided important support to DPME for evaluations as well, notably funding the development of evaluation standards, competencies, and a first evaluation course.

8.3 Evaluation Management Information System

The tracking of evaluations is becoming more complex and therefore, a number of elements are being brought together in an EMIS, including quality assessment, evaluation tracking, the Evaluation Repository, and tracking of improvement plans.

The EMIS was completed and went live in 2015/16, and will potentially be available for other partners to use in the future, with specific focus on the tracking and reporting of improvement plans. The use of the system has had a huge impact on the automation of reports, which is used not only for reporting purposes, but also for the analyses of data, enabling management to make informed decisions with regard to improving the evaluation system. The EMIS also helps analyse the quality of assessments, allowing directors to gauge gaps within the system, as well as have an overview in identifying problematic areas, which could then be mitigated.

The use of MS project software for financial management and tracking of activities has also proved to be useful, allowing financial reports to be easily generated for donor funding projects, which are usually complex to report on as these reports are normally tracked in at least two currencies (Rand and Pounds).

9 Issues and lessons emerging

9.1 What is working well

The evolution of the NES has been somewhat intriguing. The past six years have been about creating a practice and discipline that was not systematised in government. This is part of a broader change process to increase the use of evidence in planning and management.

The NES set up a standard system with minimum standards including 27 guidelines, standards, competencies, etc. More than that, there was a concerted effort to make sure that there is capacity to manage evaluations in the system through various capacity building initiatives.

Many departments are not only undertaking evaluations; but they are also using them to inform strategic policy imperatives. Departments are now seeing the value of evaluations and are becoming champions in their own right. This is true in both national and provincial departments. Most provinces have finalised their PEPs and are driving their own evaluation agenda linked to their provincial development plans.

The introduction and implementation of the MPAT evaluation standard has also contributed to the continued rise in DEPs in national and provincial departments. This is also indicative of a growing recognition of evaluations within government.

Partnerships with other African governments on strengthening M&E systems has been welcomed as a positive innovation in the system. Quite a sizeable number of African countries know about South Africa's evaluation system and have been keen to participate in our platforms for mutual peer learning and sharing. This African footprint is also appreciated by DPME principals who consider this a positive advancement.

In the main, the system is growing and maturing. Officials are more familiar with the system and driving their own evaluations without the involvement of DPME. They are becoming champions in their own right and in their own professional spaces. The system is gaining momentum in a way that will not only shape evaluations in the future, but also transform and reform how we plan, make decisions, manage, and monitor.



Lessons
Learned

9.2 Areas needing strengthening

There are a number of areas where problems have emerged and some where the system could be strengthened.

Systemic weaknesses within the state administration are reflected in how departments participate in evaluations. Internal administrative and management problems result in delays in submitting co-funding letters, nominating people for steering committees, and commenting on evaluation reports. Where other departments have commissioned evaluations, there have often been additional problems of procurement delays. The completion and use of evaluations is a lot more difficult to achieve within a weak governance system. With strong departments, the system runs more easily and smoothly.

Although measures have been introduced to try and mitigate prior issues, some still exist. The main issues are:

- Poor programme planning, which means time has to be spent building the ToC at the beginning of the evaluation, and has wider implications for the likelihood of success in implementation of poorly designed programmes.
- Inadequate capacity and too few evaluation service providers. This is resulting in too few bids for evaluations, and inadequate performance of some service providers. The introduction of a revised evaluation panel has helped, but as the use of evaluation scales up, the number of service providers will become more of a constraint.
- Departments delaying evaluations in some cases, either through the procuring of service providers or in taking evaluation results to Cluster and Cabinet and implementing results.
- The reluctance, understandably, of departments to publicise evaluations with less than favourable results. This is especially true of departments who are constantly in the media. Although the DPME is committed to a transparent, accountability-based evaluation process, it may not be

in a position to buffer departments being evaluated from negative press. It is early days for the communications strategy of the NES and time will tell how effectively this process is managed going forward.

- The few evaluations some key outcomes have had since 2009, notably Health, Local Government, International, and Social Cohesion. This means that some sectors have insufficient information on the performance of their programmes.
- The poor quality of programme monitoring data, making it difficult to ensure credible, verifiable findings. A number of evaluations are taking longer than initially anticipated due to having to sort out the data. In some cases, this has resulted in redesigning challenges mid-way through the evaluation process in order to still achieve the required evaluation outcome. An evaluability assessment process has been developed to assist in developing appropriate methodologies for the data available.
- Not all departments planned impact evaluations when programmes were designed, making the possibility of doing quantitative impact evaluations much harder.

These issues result in evaluation processes taking much longer than expected, meaning that the DPME can handle fewer evaluations than anticipated. As the department leverages more evaluations at provincial and departmental level, this could increase the scale at which evaluation is happening.

Apart from the existing issues, new issues are emerging. For example, the DPME has an important role to play in instigating public debate on some of the pertinent issues facing the country using evaluation findings, but this area does need careful management, given the reluctance of other departments to publicise evaluation results. If managed correctly, this could contribute greatly for the state to lead in initiating, strengthening, and enriching debates on policy issues.

10 Way forward

The pipeline of evaluation findings are now coming through, and in most cases evidence of impacts of the evaluation on the programmes or policies are already being seen. At the same time, challenges are emerging around the system which need to be addressed in order to maximise its efficiency and effectiveness in improving government's performance.

The widening of the system to provinces and departments means that evaluations are happening across government, although not yet with local government. A research project is starting to look at how to interact with metros (cities), as the largest local governments. However, with a core team of only 16 in the DPME on evaluation, this means DPME needs to find many support systems for departments, as it does not have the capacity to provide one-on-one support. This requires mobilising training from the NSG and other training providers, and departments must consider procuring some technical assistance, if needed.

Other key issues to take forward include:

- Developing a range of evaluative tools (particularly to provide rapid and cheap evaluative exercises)
- Strengthening capacity development around evaluation
- Widen sharing of evaluation findings, combined with research as appropriate
- Strengthen follow-up on improvement plans
- Strengthen provincial/national linkages
- Evaluation at metro level
- Enhance Quality Assurance
- Strengthening evaluation methodology.



Table 3 has a number of proposed responses to take these forward, most of which are part of the 2017/18 operational plan for the unit.

Area for change	Proposal	Discussion	Way forward	Budget implications
Develop new evaluative tools (particularly to provide rapid and cheap evaluative exercises)	Rapid evaluations/diagnostics	There is a need for responsive exercises to be conducted as well as the large evaluations which are programmed so less responsive, more expensive and slower. These can be done.	Pilot in 2016-17. Included in operational plan for 2017/18, with Mid-Term Review of Youth Policy as one component.	If done internally no implications EU?
	Evaluative thinking	Where there is no time for a rapid diagnostic, or at an interim stage where a reflection process is needed to judge how things are going and how they can be strengthened, an evaluative workshop with stakeholders could make a useful contribution, if the right people are there and a good process is run.	We should test out a process and develop a guideline. Need to find real example to test on. Included in operational plan for 2017/18.	If done internally no implications
Strengthen capacity around evaluation	Government internship scheme	DPME developed a proposal which was sent to NYDA.	Follow up	NYDA to cover
	Establish competences	DPME has developed competences but not recognised by DPSA, nor agreement on structures and job descriptions. Also processes underway by SAMEA, etc.	Meet DPSA and SAMEA to discuss way forward.	No implications
	Courses running with NSG and others	We have no funds to subsidise training and so have to get others to run courses. Wits is accrediting some courses.	Follow up with NSG. Included in operational plan for 2017/18. Check Stellenbosch for how far courses address competencies/guidelines.	None
	Develop course in evidence for management	We have a DG/DDG course but plan to have a technical course for managers. An initial concept has been developed and discussions are underway.	Develop model and curriculum. Pilot in April/May with PSPPD funds. Included in operational plan for 2017/18.	PSPPD funds to pilot. Mainstream in NSG.
	Ensure HR budgets available for evaluation/evidence courses	There are substantial HR budgets in departments that could be used for training in evaluation and research.	Finalise courses with NSG. Discuss with DPSA.	None
	Diagnostic on evaluator supply and demand	This is an activity to be funded under the Twende Mbele programme in the three countries.	Finalise concept note and ToRs and issue call for proposals. Included in operational plan for 2017/18.	Twende

Area for change	Proposal	Discussion	Way forward	Budget implications
Strengthen capacity around evaluation	Assess quality of service provider input	Our quality assessment system does not grade SPs as such, but also input from DPME and others. A limited set of indicators has been selected to assess SPs and will be piloted.	Complete pilot and institutionalise. Included in operational plan for 2017/18.	None
	Emerging evaluators	We have expanded PDI minimum to 40% and looking for senior PDI evaluators to get a score of 4. It is making a difference but need to do more. Also issue of limited companies getting contracts.	Develop emerging evaluator panel and consider using for small contracts. Follow up on limit on evaluations to encourage joint ventures. Develop capacity building intervention. Included in operational plan for 2017/18.	None
	Widen pool of evaluation and research partners	We need to widen the pool of evaluation and research organisations. There is a group of institutes that could both undertake evaluations in their areas of expertise, as well as serve as collaborators in dissemination.	Expand links with institutes – develop platform to share with them when call goes out. Expand links with universities – continue to present and encourage especially around call for panel.	Some travel to universities. Cost of workshop with institutes?
Widen sharing	Seminars where clusters of evaluations and research	There are now clusters of evaluations and research emerging, which can be shared to help build a body of evidence. Ideally we would do an evidence map/synthesis in all areas but we can also showcase a range of these evaluations and research and emerging issues. This would need to be driven by the sector teams in DPME.	Discuss with sector teams/ Outcome Facilitators (OFs) where they would like to showcase a range of evaluations/research and when. 3 included in PSPPD plan. Included in operational plan for 2017/18.	Cost of workshop (PSPPD)
	BBLs on evaluations and research	We are not sharing enough emerging results of evaluations and research. It would be good to set up a regular session for just 1 hour of sharing on results, informal, but frequent, so not a lot of organisation.	Organise schedule. Encourage OFs to play key role. Included in operational plan for 2017/18.	

Area for change	Proposal	Discussion	Way forward	Budget implications
Strengthen follow-up on improvement plans	Strengthen IP reporting	Reports we are getting are too generic. We need to strengthen our follow-up, and track which IPs are being followed-up or not.	Check if can have departments access directly the MIS to input their reports. Produce monthly reports to inform directors of reminders needed. Plan to report to Clusters/Cabinet on progress and issues.	Amend the system? (EU?)
	Improve quality of reporting and ensure follow-up is happening	As above, reports are sometimes too generic and we need to be clear if we progress is being made.	Have meetings with departments after one year to check real progress is happening and agree on actions needed.	
Strengthen provincial/national linkages	System for linking provincial/national evaluations	There is overlap between provincial and national evaluations, particularly for concurrent functions. There is the potential of collaboration to assist in reducing the burden for each and maximising value.	Come up with proposed way forward. Included in operational plan for 2017/18.	
Metro evaluation plans	Metro evaluations	Metros have large budgets and merit evaluation. However, capacity varies. There is also some sensitivity from OTPs about their role.	Do research project with CLEAR-AA on metros. See if can encourage some evaluations as pilots.	Research project funded
QA	Expand QAs	We are doing a number of QAs outside the NEP but it is more of a challenge with constrained budgets. However doing this keeps us on top of what is happening around the country as well as around quality.	Include in budget. See if can get additional funding, e.g. CIDA.	R1, 1m this year
Strengthening methodology	Strengthening methodology	We may be using too limited or inappropriate methodologies. It would be good to expose us and the panel to different approaches, or to critique what we are doing.	Develop thinking on way forward.	?
	Support on impact evaluations (IE)	We are collaborating with 3ie and are providing a large chunk of the money on evaluations like restitution. It could be useful to have a formalised collaboration, eg supporting 2IEs a year, which could help develop capacity in SA on IE.	Follow-up with idea with 3ie – possible link to Gates funding with Twende Mbele.	

Table 4: Key issues arising and how these are being addressed

Issue	How this has been addressed	Further action needed
Inadequate supply of strong evaluators	Advocacy work at universities to encourage them to participate.	Develop course to assist researchers to understand evaluation.
	Capacity building work with service providers, e.g. around ToC.	Continuing with training courses and briefings in 2015/16. Undertake rating system of service providers, and publicise the results.
	Diagnostic on the supply of qualified evaluators.	Undertake through collaboration with World Bank and the new Twende Mbele Programme with Uganda and Benin.
Insufficient funding for complex evaluations	New call for evaluation panel in August 2014 created a stronger (if smaller) group to draw from and more bids being received.	Continue to add qualified members to panel.
	Seeking funding from Treasury for some evaluations.	Departments to allocate 0.1-5% of programme budgets.
Some departments taking a very long time to procure, e.g. DHS	Getting donor (e.g. 3ie) support for complex impact evaluations.	Continue.
	DPME to procure otherwise don't include in NES.	Evaluations where departments procure not prioritised in the NEP but rather included in DEPs.
Not getting evaluations from some sectors, e.g. Public Service	Using training of DGs/DDGs to motivate why evaluations are important. This has resulted in new departments entering the system including Treasury, Justice and Home Affairs. Targeting work with areas of low uptake. e.g. Health and DPSA.	Continue.
Inadequate data for some evaluations to be viable	Developing model for evaluability assessment and pilot in 2015/16	Work to improve administrative data quality, and also programme data collection.
	Encourage all first evaluations to be implementation evaluations, only after which do we consider an impact evaluation.	Departments to plan impact evaluations at programme inception.
Improve communication of evaluation findings	Developed policy briefs and electronic newsletter, Twitter.	See how this works and adapt. Test out thematic seminars, printing reports.
Improve involvement of local government		Discuss with DCOG what cross-cutting evaluations are key for local government.
Additional capacity needed to support provincial and departmental evaluations	Supported two provincial evaluation plans in WC and GP to test the system. Now working with 5 other provinces,	Strengthen imperative to take forward. In 2016/17 major focus on DEPs.
Departments slow to produce improvement plan progress reports	Repeated requests and highlighting the problem.	Get the Auditor-General to audit reporting on improvement plans. Seek to include in MPAT standards.

Annexes

Annex 1: List of policies, guidelines and templates

Templates

Template for Full Report Structure
Template for Evaluation Score Sheet
Logframe template
SC Appreciation Certificate
Steps in Commissioning an Evaluation by DPME
Template for Evaluation Project Plan
Terms of Reference for Evaluation Steering Committees
NEP Concept Note Template
1/5/25 Report Structure

Guidelines

GL 2.2.1 How to Develop TOR's for Evaluation Projects (Revised)
GL 2.2.2 Peer Review of Evaluations
GL 2.2.3 Implementation Programmes
GL 2.2.4 Inception Phase
GL 2.2.5 Management Response
GL 2.2.6 Improvement Plan
GL 2.2.7 Provincial Evaluation Plans
GL 2.2.8 Communication
GL 2.2.9 Diagnostic Evaluation
GL 2.2.10 Design Evaluation
GL 2.2.12 Impact Evaluation
GL 2.2.13 Economic Evaluation
GL 2.2.14 Synthesis Evaluation
GL 2.2.15 Departmental Evaluation Plans
GL 2.2.16 How to Develop Actionable Recommendations
GL 2.2.17 Toolkit for MPAT Evaluation Standard
GL 2.2.18 Quality Assessment of Government Evaluation

Policies and Plans

1.20 National Evaluation Policy Framework approved on 23 November 2011
1.21 National Evaluation Plan, 2012, approved on 13 June 2012
1.22 National Evaluation Plan, 2013/14 – 2015/16, approved on 21 November 2012
1.23 National Evaluation Plan, 2014/15 – 2016/17, approved on 4 December 2013
1.24 National Evaluation Plan 2015/16 – 2017/18, approved in October 2014

Annex 2: Strategic partners

Development partners

3ie	International Initiative for Impact Evaluation
CLEAR-AA	Regional Centres for Learning on Evaluation and Results

DFID	UK Department for International Development
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (but not in 2015/16)
EU	European Union
PSPPD	Programme to Support Pro-Poor Policy Development
World Bank	

Evaluation associations

AfrEA	African Evaluation Association
SAMEA	South African Monitoring and Evaluation Association

Science councils

CSIR	Council for Scientific and Industrial Research
HSRC	Human Sciences Research Council

Peer countries in regular contact

Benin; Canada; Colombia; Ghana; Mexico; Uganda; United States

Universities

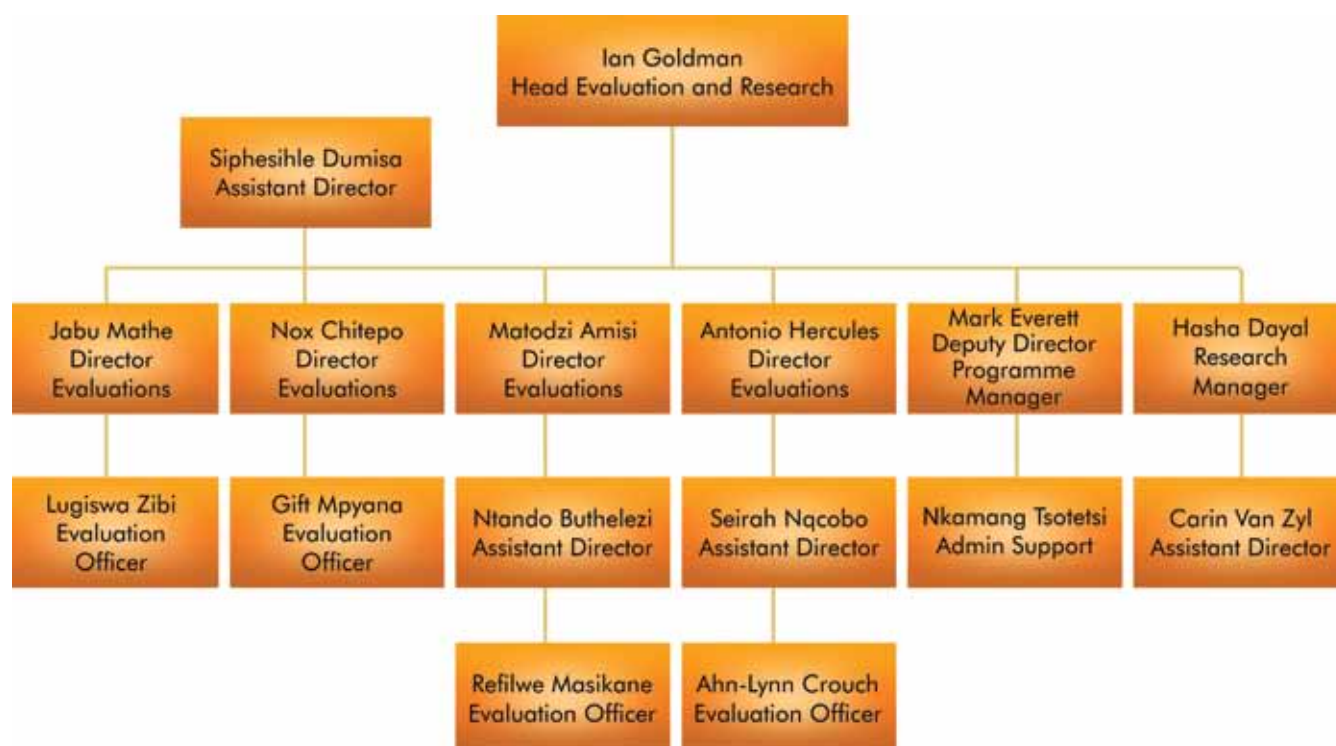
University of Cape Town (training in evidence-based policymaking, evaluation)
 University of Free State (evaluations)
 University of Johannesburg (BCURE project)
 University of Stellenbosch (evaluations, evaluation capacity development/professionalisation)
 University of Witwatersrand (evaluations, CLEAR-AA initiative)

Annex 3: Updated MPAT Standard (1.3.2 Evaluation)

Standard name: Integration of evaluation strategic management	
Standards definition: The extent of capacity, organisation and implementation of evaluations that inform programme/policy/plans or systems design, planning and improvement.	
Importance of the standards: Departments are using evaluations to inform the design, management and/or improvement of programmes/policies/plans or systems, and so undertaking continuous improvement.	
Relevant legislation and policy: National Evaluation Policy Framework (2011)	
Standards	Evidence documents
LEVEL 1:	
<ul style="list-style-type: none"> Evaluations in the department is not formalised and implemented.0 	
LEVEL 2:	
<ul style="list-style-type: none"> Department has planned capacity to manage/conduct evaluation. 	<ul style="list-style-type: none"> Function with specific evaluation mandate and expertise. Job description or current performance agreement includes evaluation.
LEVEL 2+:	
<ul style="list-style-type: none"> Relevant staff are in place. Department has approved or adopted guidelines that follow the national evaluation system. 	<ul style="list-style-type: none"> Filled position (Evidence of appointed staff with an evaluation responsibility). Approved departmental document using DPME evaluation guidelines that indicates how they undertake evaluations.

LEVEL 3: <ul style="list-style-type: none"> Multi-year evaluation plan that follows the national evaluation system. 	<ul style="list-style-type: none"> Current approved multiyear departmental evaluation plan (DEP) that follows the guidelines on the DEP.
LEVEL 4: <ul style="list-style-type: none"> Department has undertaken at least 1 evaluation of a programme, policy, plan, project or system in the previous 2 years, or is currently undertaking one. Each evaluation has a steering committee ensuring effective oversight of the evaluation process. Each completed evaluation has an approved management response and improvement plan. Departmental evaluations are made public on departmental websites. Departments slow to produce improvement plan progress reports 	<ul style="list-style-type: none"> Evidence of approved terms of reference or proposal and budget is allocated. An approved evaluation report from the last 2 years (not a research report, i.e. has recommendation for specific policies or programmes). Approved minutes of steering committee including the final meeting which approved the report or if approval was via email, then another meeting). Copy of management response and improvement plan for each evaluation and evidence of approval (e.g. minutes, signatures of DG, etc.). URL link and screenshot of website showing availability of evaluation reports on the departmental website. Repeated requests and highlighting the problem.

Annex 4: Structure of evaluation and research unit





ANNUAL REPORT
ON NATIONAL EVALUATION SYSTEM
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