THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION

DPME Evaluation Guideline No 2.2.11
Guideline on Design Evaluation

Created 20 March 2014

Addressed to	Government departments who are undertaking evaluations (programme managers and M&E staff) as well as evaluators of government programmes and policies.
Purpose	The purpose of this Guideline is to provide technical guidance on undertaking and managing Design Evaluations.
Policy reference	This Guideline should be read in conjunction with the National Evaluation Policy Framework approved by Cabinet on 23 November 2011 (available on the DPME website). It should also be read in conjunction with Guideline 2.2.3 on Planning Implementation Programmes.
Contact person for this guideline	Ian Goldman, Evaluation and Research Unit (ERU) E-mail: ian@po-dpme.gov.za Tel: 012 312 0155

1 Introduction

This Guideline is designed to assist government departments to effectively undertake design evaluations. Design evaluation is a rapid precautionary exercise conducted after an intervention has been designed, but ideally before it has been implemented. It can also be used for existing programmes as part of an implementation evaluation to check on the design.

The Guideline provides a definition and description of design evaluation, key questions that should be addressed, and an outline methodology. It is focused on providing an overview for government staff undertaking design evaluations and is not targeted as a manual for an evaluator on how to undertake a design evaluation, but training will provide detail on undertaking the evaluation. Hence it does not go into detail into the different tools that are introduced. Note the word programme is used here but the evaluation could equally apply to a policy, or plan – we use intervention to cover any of these.

The Guideline should be read in conjunction with Guideline 2.2.3 on Planning Implementation Programmes. The latter gives guidance on how these programmes should be designed. This Guideline uses the concepts in Guideline 2.2.3 retrospectively, to ask whether these elements are included in new (or reviews of existing) programmes. Annex 4 has the main components of the design of an implementation programme. The Guideline includes an example of a theory of change, and a format for a logframe.

The first 22 evaluations undertaken under the National Evaluation System are pointing to significant problems in a number of programmes. For example it is often difficult to trace programme documents, precise definitions of the programme, clear objectives, indicators and a theory of change (for example in the Support Programme for Industrial Innovation of **the dti,** or the Integrated Nutrition Programme in the Department of Health). This makes it difficult to evaluate these programmes, but also means that the design of the intervention is

unlikely to be robust. Poor programme design is also coming through as a common problem, which is limiting the impact of government's investment on citizens, as well as the value for money from the interventions. The aim of the design evaluation is to ensure that before money is spent on the programmes, the design is as robust as possible, and the likelihood maximised that it will make a significant difference to the target beneficiaries, efficiently and sustainably.

2   Definition of Design Evaluation

The National Evaluation Policy Framework (NEPF, 2011) describes this type of evaluation as analysing the theory of change, inner logic and consistency of a programme, either before a programme starts, or during implementation to see whether the theory of change appears to be working. It also assesses the quality of the indicators and the assumptions. This is quick to do and uses only secondary information and should be used for all new programmes. DPME will develop the capacity of all government departments to undertake design evaluations internally.

Figure 1 shows the position of design evaluation in relation to implementing results-based management.

Figure 1: Relationship of evaluations to results-based management
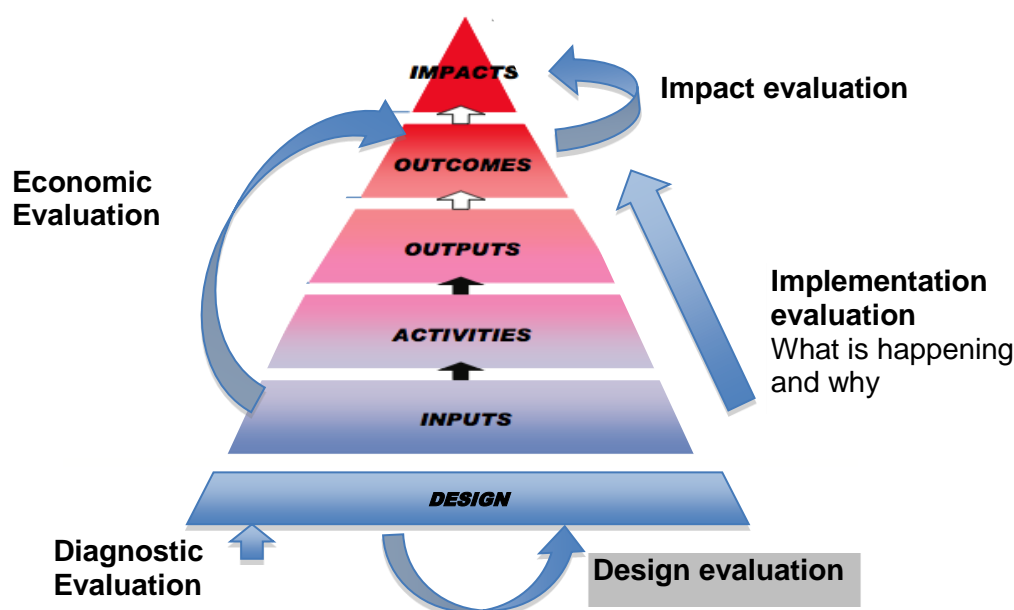
Design evaluation can happen as a stand-alone evaluation before the programme has been implemented, to refine the design prior to implementation. It will also be undertaken as part of significant implementation evaluations, where the design of the intervention will be reviewed.

Design evaluation is an important part of effective programme management. Often the design of programmes is subject to a range of pressures which means that the design is not done optimally. The design evaluation allows an objective assessment to ensure that the design is likely to work. Guideline 2.2.3 on Planning Implementation Programmes provides an indication of what a good design would cover.

3   Purpose of design evaluations

The purpose of a design evaluation is to ensure that the design of an intervention is robust before it is implemented. The design evaluation focuses on the elements shown in Table 1 and Annex 2, to see whether they are present, and if present whether they are well defined and likely to result in an intervention which works.

Other questions that can be asked are the adequacy of human resources and administrative capacity for management of the programme. The design evaluation also ensures that the key indicators and sources of evidence are available for subsequent monitoring and evaluation activities, and that the system is adequate to provide the data needed to assess the programme's results and impacts. This prepares the basis for reliable monitoring and evaluation throughout the programming period.

4   Main questions

Table 1 show the main components of the design of an intervention and the key questions which need to be asked. These are based on:

A: Is there a thorough diagnostic analysis of the status quo
B: Have different options been properly considered?
C: Is there a strong theory of change?
D: Is the target group clearly identified and how they can be defined?
E: Is there a good logframe?[1]
F: Is implementation properly planned?
G   Summary: Will it work?
H   Decision

A full rubric is attached in Annex 2 which should be worked through.

5   The evaluation process

5.1   Who undertakes the evaluation

The Design Evaluation should be undertaken for all programmes in government. Departments may have from 10 to 100 programmes, and so the capacity has to be built in government to undertake these evaluations (or departments can decide to contract them out in early stages of building capacity). It is also possible to undertake a design evaluation for policies if the implementation of these is also spelt out.

It is important that those undertaking the design evaluation are independent from the intervention concerned. A strong planning capacity needs to be developed in departments to undertake these, with a good understanding of theories of change, planning using logframes, and also an understanding of evidence. This capacity is most likely to be present in strategic planning, M&E or policy units. This capacity will need to be built and so DPME is rolling out training in Planning of Implementation Programmes for a wide range of government staff, with a second module on design evaluations for those expected to undertake these.

---

[1] in initial stages there may not be a formal logframe but there should still be a hierarchy of activities, outputs, outcomes and impacts. A logframe could be constructed as part of the evaluation but more time will then be needed.

Table 1: Summary of questions and methodology for different diagnostic questions

Element	Design evaluation questions	If yes	If no
A: Diagnostic analysis of status quo	Is the need or problem the intervention addresses clearly defined and the nature and scale of the problem clear and substantiated by good evidence?	Answer next question	Revise
	Is there a convincing analysis of the root causes of the problem substantiated with strong evidence e.g. from research or diagnostic evaluation	Answer next question	Revise
	Is there a strong rationale of why this is a government priority - is this part of the National Development Plan/Outcomes or departmental strategic plan	What outcome/output does it relate to	Is it a priority for the department but outside the outcomes?
B: Consideration of options	Are the different options for addressing the root causes made clear and is there evidence presented that these options are appropriate?	Answer next question	Revise
	Are the cost/benefits of the different options made clear and the justification for selection of the preferred implementation option convincing?	Answer next question	Revise
C: Theory of change	Is there a clear Theory of Change explaining the causal mechanism for achieving the desired outcomes and impacts	Is the Theory of Change convincing? Is it missing anything important?	Revise
D: Target group	Is the target group clear and are there clear measures to see who is in/out, and progress?	Answer next question	Revise
E: Logframe	Is there a logframe?	Are the **impacts** clear and appropriate	Revise
		Are the planned **outputs** clear, appropriate and important and not just products but the key building blocks needed to achieve the outcomes	Revise
		Are the **outputs** sufficient and necessary for achieving the outcomes	What is missing - revise
		Are the **activities** appropriate, sufficient and necessary for achieving the outputs	Revise
		Are the **assumptions** appropriate at each level, can they be managed and is management included in the actions?	Revise
		Are the **indicators** appropriate and SMART	Revise
		If needed, are component **projects** clear, and who is responsible for these?	Revise
	Does what is proposed contradict or duplicate any existing	Why and what is proposed?	

Element	Design evaluation questions	If yes	If no
	institutional arrangements and roles and responsibilities in government, in which case there must be explanation of how this will be addressed;		
	Does the design consider any upscaling or replication needs?	Is the design upscaleable or replicable?	Revise
F: Planning implementat ion	Is there an appropriate activity schedule for the activities	Answer next question	Revise
	Is the human resource required to implement the intervention clear, realistic and available?	Answer next question	Revise
	Are the finances well planned and the link to the activities to be undertaken clear?	Answer next question	Revise
	Are there appropriate management arrangements within the department for running the intervention?	Answer next question	Revise
	Are there roles that have to be played by other roleplayers in or outside government and are all of the roles envisaged funded mandates?	Is there a commitment from partners in or outside government to play these roles?	Revise
	If needed is there a coordination mechanism established to link with partners?	Answer next question	Revise
	Is there a M&E capacity established including a budget for evaluations and have these been programmed?	Answer next question	Revise
	Is there a risk management plan	Does this take into consideration the assumptions in the logframe? Does the risk management look appropriate?	Develop
G Summary: Will it work?	Based on the theory of change, logframe, and implementation arrangements does it look like the intervention is likely to work?	➢ Indicate approval ➢ Indicate areas where the intervention should be strengthened ➢ Indicate whether it needs to come back for final review or proceed with these amendments to be done	➢ Indicate more work needed: ➢ Should be dropped, or ➢ plan should be revised and the ways it should be revised are specified

Two staff should undertake each design evaluation and programme staff should work closely with the M&E people during the process, and so need to make themselves available during the key two weeks of the design evaluation.

5.2 The main work involved in the design evaluation

5.2.1 Checking documents
The first steps in Table 1 involve checking programme documentation (A-B, D).

5.2.2 Analysing the Theory of Change (C)
A critical part of the design evaluation is checking the theory of change of the intervention and that it looks likely to work.

The Theory of Change (TOC) or programme theory describes the causal mechanism of how activities and outputs (such as meals delivered to needy school children) will result in the anticipated outcomes (eg improved concentration in school), and impacts (eg improved grades) and the assumptions involved. There can be multiple TOCs that describe the programme. For example different theories can show how the intervention works in different contexts, or at different stages of the intervention, or even for different intended impacts (Interaction: 6-7). The ToC should be established during the early planning stages of a policy or programme.

A ToC can help to identify which impacts are likely to be achieved during the timeline of an evaluation, and what else should be examined in the evaluation – activities, context, and intermediate outcomes. Also the ToC helps to identify what needs to be in place – people, agencies, activities, mechanisms, resources – for the impact to be achieved. It can also be used to analyse the evaluation results. If a programme has not worked, the ToC can help to identify whether this is due to failures in implementation or because the theory of change does not work. If a programme has worked, the ToC can help to identify what is needed to repeat this success at another time or another site.

Developing a TOC is best done through a combination of a desk review of existing documentation, a literature review of research and evaluations of similar programmes including systematic reviews, observing the programme (if it is already running) or similar programmes, and talking with stakeholders about how they think it works. It often involves an iterative, participatory process with programme developers and/or staff and other relevant stakeholders.

The Theory of Change can be represented in the form of a logframe, a results chain or an outcomes hierarchy.

Outcome Mapping is a particular approach to developing a Theory of Change which is particularly suitable when a programme does not directly produce the intended results but works through influencing the behaviour of people in another organisation[2].

Useful Tip
For more information on different approaches for developing a TOC, check out
http://betterevaluation.org/plan/define/develop_logic_model

For evaluations under the National Evaluation Plan, the theory of change should also be expressed in the form of a **logframe**. Annex 1 of Guideline 2.2.3 on Planning Implementation Programmes provides an example of a theory of change for the National School Nutrition Programme, as well as a model of a logframe. The logframe should include:

---

[2] For further information go to http://www.outcomemapping.ca/

i.   Indicators at different levels, baselines and SMART targets, where appropriate, as part of the logical framework;
ii.   The key assumptions and risks which underlie the results chain;
iii.   Key outputs and related activities required to achieve the desired outcomes;
iv.   A summary of the human and financial resources (inputs) needed to achieve the outcomes and impacts.

If a theory of change and logframe does not exist, then one of the first activities in the design evaluation should be to derive one, based on the understanding of how the programme or policy was established. The design evaluation needs to be clear that the Theory of Change is Robust.

5.2.3 Logframe (E)

The logframe will need to be reviewed to check that it is adequate and gives a realistic picture of a robust programme.

5.2.4 Reviewing documents on planning implementation (F)

The evaluators need to be clear that the implementation plan is realistic and the scheduling, resources are appropriate for the outcomes and outputs planned.

5.3 How long should the design evaluation take

It is important to separate two processes – potentially facilitating the development of a good programme plan (design process), and then the assessment of the quality of the plan (the design evaluation). The former could take 2 weeks to 2 months depending on how much data is available. The latter is estimated to take 10 days, and can involve minor facilitation of improvement, but is mainly to identify the strengths and weaknesses, decide if the intervention appears strong enough to proceed or not, and if not yet to point out deficiencies which need strengthening. In later evaluations such as implementation evaluations further improvements to the design will be identified, so it becomes an ongoing learning and improvement process.

An outline schedule is shown in Table 2.

Table 2:   **Outline schedule for design evaluation**

Day	Activity	With
2 weeks prior	Request key documentation: • Diagnostic • Feasibility study • Theory of Change • Programme Plan • Logframe	Programme staff
1 week prior	Follow up on missing documents	
Week 1		
Monday/Tuesday	Read background documentation. Identify questions or missing documents	
Wednesday	Meeting discussing: • Diagnostic including root cause analysis, and options • Link to government priorities and strat plan • Identification of target group	Programme team
Thursday	Meeting on the theory of change (refining it if appropriate) Identify evidence for the ToC	Programme team and potentially stakeholders eg implementors

Day	Activity	With
Friday	*Other work*	
Week 2		
Monday	Work on logic of the logframe – checking it matches the theory of change (narrative summary and assumptions)	Programme team
Tuesday	Work on indicators	Programme team
Wednesday	Work on implementation plan	
Thursday	Work on implementation plan	
Friday	Meeting of evaluators to finalise report and findings.	
Week 3		
	Meeting with programme staff on overall results to discuss how design needs to be strengthened, and perhaps what issues to follow up in subsequent evaluations.	Programme staff

5.4 Drafting an evaluation report

There is a standard format for the reports which is shown in Annex 3. For open questions there are 4 levels, of which level 3 is adequate compliance (but often that evidence could be strengthened) while 4 means full compliance with the question including strong evidence for the plan. The evaluators must provide justification for their statements. The format includes the levels for each question.

At early stages of using the design evaluation there may not be a formal logframe but there should still be a hierarchy of activities, outputs, outcomes and impacts. A logframe could be constructed as part of the evaluation but more time will then be needed

An average of 3 is needed for the project to proceed (with some improvement possible).

5.5 Result of the design evaluation

The process of the design evaluation is as important as the product as it provides an opportunity for the programme staff to review their understanding and the logic of the programme, and to make changes as they go.

However at the end of the evaluation some decisions are needed. These are:

1. Minor changes made during the design evaluation process and proceed to implementation.
2. Further minor changes needed and proceed.
3. Some changes needed and these need to be reviewed by evaluators.
4. Major changes needed and to resubmit for full design evaluation.
5. Rethink the programme completely as the logic and evidence are weak.

6 Critical issues when planning and managing design evaluations

This section covers particular challenges that may be encountered in relation to design evaluations. It draws on the quality criteria set out in the NEPF, specifically: relevance and timeliness, legitimacy, credibility, ethics and trade-offs.

6.1 Relevance and timeliness

The key point for a design evaluation is once the programme or policy has been designed (hopefully using the Guideline 2.2.3 on Planning Implementation Programmes), but before it

is implemented, and ideally before there is a commitment in the APP to which principals may feel committed, even if the design is poor.

6.2 Legitimacy

Many programmes are initiated by senior managers and political principals. It is very important that they understand the purpose of the design evaluation and the role of evidence, and that the design evaluation is not to question the political objective, but to ensure that the mechanisms that will be implemented to achieve these are likely to work, and provide value for money, hence maximising the likelihood of achievement. It is in everyone's interest to have programmes that work, not those that don't work.

DPME is rolling out training in evidence for senior management teams, to widen the understanding of why good evidence can assist in ensuring good development outcomes.

6.3 Credibility

While of a different nature to evaluations of programmes underway, the design evaluation needs to comply with the evaluation standards to be credible. In particular they need to follow the following standards (see table 3).

Table 3: Standards for design evaluations

Standard	Implication for design evaluation
4.4.5 Clarity of analysis of conclusions	
The evaluation reports present findings, conclusions, recommendations and lessons separately and with a clear logical distinction between them. Findings flow logically from the analysis of the data, showing a clear line of evidence to support the conclusions. Conclusions are substantiated by findings and analysis. Recommendations and any lessons follow logically from the conclusions. Any assumptions underlying the analysis are made explicit.	The findings of the design evaluation need to be carefully recorded showing what was submitted, changes made during the evaluation process, and evidence to support the submission as well as findings
4.4.6 Acknowledgement of changes and limitations of the evaluation	
Any limitations in process, methodology or data are reported and explained. The full report indicates any obstruction of a free and open evaluation process which may have influenced the findings. Any discrepancies between the planned and actual implementation and products of the evaluation are explained.	Any issues about the process need to be recorded.
4.4.7 Validity and reliability of information sources	
The full evaluation report describes in an annex the sources of information used (e.g. documents, respondents, administrative data, literature) in sufficient detail so that the adequacy of the information can be assessed. The evaluation report explains the selection of case studies or any samples. Limitations regarding the representativeness of the samples are identified.	The design evaluation lists the sources of information used.
The evaluation cross-validates the information sources and critically assesses the validity and reliability of the data.	As per standard, particularly re the diagnostic
Complete lists of interviewees and other information sources consulted are included in the full report, to the extent that this does not conflict with the privacy and confidentiality of participants.	List included
4.4.8 Acknowledgement of disagreements within the evaluation team	
Evaluation team members have the opportunity to dissociate themselves from particular judgments and recommendations on which they disagree. Any unresolved differences of opinion within the team are acknowledged in the report.	Disagreements are noted.

6.4   Ethical Issues

The DPME standard on ethics states that evaluations abide by relevant professional and ethical guidelines and codes of conduct for individual evaluators. Evaluation is undertaken with integrity and honesty. Programme managers, M&E advisors and evaluators respect human rights and differences in culture, customs, religious beliefs and practices of all stakeholders. Evaluators and M&E advisors are mindful of gender roles, ethnicity, ability, age, sexual orientation, language and other differences when designing and carrying out the evaluation".

DPME guidelines on ethics clearance and other ethics procedures for evaluation should be followed at all times. Special ethical considerations should be considered for evaluations conducted by internal team members. For example when choosing team members and assigning tasks, power relationships should be considered. Having junior team members interviewing their supervisor or analysing their mentor's programme is loaded with ethical challenges. These same ethical challenges do not exist when hiring an external evaluator or evaluation facilitator. For any evaluation team, careful attention should be given to the evaluation process, in particular data collection, analyses, and interpretation of the data.

6.4   Trade-offs

The critical trade-off is on whether perceived deficiencies of design are sufficient to require replanning, or whether deficiencies are minor and can be amended during the evaluation process. There is a trade-off between the perfect design, and a design that is good enough to start implementation, but has learning and evaluation built into the design so that emerging changes can be accommodated.

7   Typical costs

In principal design evaluations should be carried out by internal M&E or planning staff, However it will take time to build capacity and so departments may wish to outsource this role initially. DPME is supporting training for departments to build this capacity.

In general terms the budget is likely to be based on 12-15 days for two people, although more days will be needed if re-planning is carried out in the process (eg generating a logframe).

Signed

_____

Dr Sean Phillips
Director-General
The Presidency: Department of Performance Monitoring and Evaluation
Date:

Annex 1:   Glossary

Credibility:	Credibility is defined as "the quality or power of inspiring belief". Credible sources, therefore, must be reliable sources that provide information that one can believe to be true.
Design Evaluation:	Type of evaluation that is used to analyse theory of change, inner logic and consistency of the programme, either before a programme start or during implementation to see whether theory of change appears to be working.
Implementation Programme:	cover programmes addressing coherent areas of work which are usually at a much lower level than the high level budget programmes or sub-programmes (for example at the sub sub-programme level.
Log-frame:	A tool for improving the planning, implementation, management, monitoring and evaluation of projects. The log frame is a way of structuring the main elements in a project and highlighting the logical linkages between them.
Programme Design:	The systematic application of scientific methods to assess the design, of a program
Programme Theory:	The causal mechanism of how activities and outputs will result in the anticipated outcomes, and impacts and the assumptions involved.
Reliability	Consistency or dependability of data with reference to the quality of the instruments, procedure and analysis used to collect and interpret data.
Theory of Change:	An explicit presentation of the assumption about how changes are expected to happen within any particular context and in relation to a particular intervention.
Validity:	The extent to which data collection strategies and instruments measure what they purport to measure.

Annex 2:   Useful web resources

- Approaches for developing a Theory of Change:
  http://www. betterevaluation.org/plan/define/develop_logic_model

- Outcome Mapping:
  http://www.outcomemapping.ca/

Annex 3: References and Resources

DPME (2011):	*National Evaluation Policy Framework,* Pretoria, Department of Performance Monitoring and Evaluation*.*
DPME (2012):	*Standards for evaluation in government,* Pretoria, Department of Performance Monitoring and Evaluation*.*
DPME (2013):	*Guideline 2.2.3 Planning Implementation Programmes*, Pretoria, Department of Performance Monitoring and Evaluation*.*

Annex 4: Main elements of the design of an implementation programme (from Guideline 2.2.3 Planning Implementation Programmes)

4.1   A **diagnostic analysis** of the status quo, referring to the results of relevant research, evaluations, or other evidence. This should indicate the problem or opportunity being focused on and the root causes of the problem. The clients of the programme must have been consulted in the diagnostic phase and the results of this should be shown. This could be undertaken as part of a diagnostic evaluation.

4.2   A high-level analysis of **options** for addressing the problem, possibly the cost benefits of different options, and motivation for the mechanisms in the programme which have been selected as the preferred options.

4.3   Description of how the programme contributes to the organisation's strategic objectives/plan and the government's strategic objectives/plans (such as described in the national outcomes, where appropriate, or the National Development Plan) and the relationship with the objectives of any other existing or planned programmes.

4.4   The **target groups** of the programme. If these are defined in some quantitative way, eg by income, then the basis for measurement should be clarified.

4.5   The **theory of change** required to address the problem or opportunity, explaining the causal mechanism of how activities and outputs (such as meals delivered to needy school children) will result in the anticipated outcomes (eg improved concentration in school), and impacts (eg improved grades) and the assumptions involved. The relationship to specific suboutputs and activities in relevant delivery agreements should be indicated, and the sub/(sub)programme linkages in departmental strategic plans and budgets. Annex 1 provides an example of a theory of change for the National School Nutrition Programme.

4.6   The expression of the theory of change **in the form of a logframe**. Annex 2 has the structure of logical framework that should be used and Annex 3 an example of a real logical framework, for the Evaluation and Research programme in DPME. This should include:

   v.   Indicators at different levels, baselines and SMART targets, where appropriate, as part of the logical framework;

   vi.   The key assumptions and risks which underlie the results chain;

   vii.   Key outputs and related activities required to achieve the desired outcomes;

   viii.   A summary of the human and financial resources (inputs) needed to achieve the outcomes and impacts.

4.7   The **activities** in some detail required to implement the programme (as outlined in the logframe) and a schedule (sometimes referred to as a GANTT chart) for undertaking them.

4.8   Identification of component **projects** if such will exist, and who will take responsibility for these. In project logframes, the <u>outcome</u> statements of the projects should relate to <u>output</u> statements of the programme.

4.9   If the programme covers a number of similar projects, then identify and describe the measures to be put in place to capture the potential **economies of scale** of the common aspects or components of similar repetitive projects, including the human and financial resources required for these measures, and how these will be supplied.

4.10   Identification of the **roles and responsibilities** of different stakeholders within a department and also of national and provincial departments, local government or other agencies in undertaking the programme and confirm their commitment to the roles proposed. Include an assessment of whether or not the identified roles and responsibilities:

   i.   contradict or duplicate any existing institutional arrangements and roles and responsibilities in government, in which case there must be explanation of how this will be addressed;

   ii.   result in any unfunded mandates for any government bodies, in which case there must be explanation of how this will be addressed;

    iii.   result in any government bodies being expected to perform functions which are not part of their mandated functions, in which case there must be explanation of how this will be addressed;

    iv.   result in any government bodies being requested to perform functions which they do not currently have the capacity to perform (in which case the plan should realistically and practically describe how this capacity constraint is going to be addressed).

4.11   Details of the arrangements for **managing** the programme, both internally within the department and across departments if the programme crosses departments, and how the programme fits into broader systems within the department, or across departments. This should include the roles and responsibilities of different parties. If the programme crosses departments a robust management arrangement for coordination or integration must be provided. This means individual(s) who will be responsible and accountable for such programmes should be identified. This responsibility need not necessarily take up 100% of the time of the identified individual.

4.12   Include a **risk management plan** (see Annex 4) which:

    i.   identifies risks of unintended consequences of the programme;

    ii.   identifies the key risks to the success of the programme, their probability and impact;

    iii.   identifies the assumptions underlying the design of the programme and the risk of these assumptions not holding (which should be the same as those in the logframe);

    iv.   provides credible risk management measures to mitigate the identified risks.

4.13   **Cost estimates** of the inputs required to achieve the outputs, in a format providing at least a three year budget, relating to at least 3 year targets in the logframe - indicating which departments, provinces, municipalities or other agencies (including donors) will be responsible for which inputs and outputs.

4.14   A plan for life-cycle evaluation for the programme (potentially baseline evaluation, implementation evaluation, impact evaluation, depending on the size of the programme).

Signed

_____

Dr Sean Phillips
Director-General
The Presidency: Department of Performance Monitoring and Evaluation
Date: 31 March 2014

Annex 3:   Structure of Design Evaluation Report

Report on Design Evaluation

Name of intervention		
Department		
Date of design evaluation		
Name of evaluators	1	2
Email for evaluators		
Telephone for evaluators		
Signed		

A   Diagnostic analysis of status quo

1. Is the need or problem the intervention addresses clearly defined?

Level	Statement	Score
1.	The problem or need is identified but is not very clear	
2.	The problem or need is identified and clear but there is no evidence to understand it in more depth	
3.	The problem or need is very clear and there is limited evidence which shows the nature and scale of the problem	
4.	The problem or need is very clear and there is strong high quality evidence which shows the nature and scale of the problem	

Rationale for answer

2. Is there a convincing analysis of the root causes of the problem substantiated with strong evidence eg from research or diagnostic evaluation

Level	Statement	Score
1	The root cause of the problem is not shown or not clear	
2	The root cause of the problem is indicated but without any evidence to support the analysis	
3	The root cause of the problem is indicated with limited evidence to support the analysis for the context in which it will be applied	
4	The root cause of the problem is indicated with strong research evidence to support the analysis for the context in which it will be applied	

Rationale for answer

3. Is there a strong rationale of why this is a government priority - is this part of the National Development Plan/Outcomes

Level	Statement	Score
1	There is no apparent link to a government priority	
2	The problem or intervention is a priority in the departmental plan but not linked closely to the NDP or outcomes - if so indicate exactly where it is included in the departmental strategic plan or APP	
3	The problem or intervention is a priority in the departmental plan and is inferred but not specifically mentioned in the NDP or outcomes - if so indicate exactly where it is inferred	
4	The problem or intervention is a priority in the departmental plan and is specifically mentioned in the NDP or outcomes - if so indicate exactly where it fits	

Further comment

B   Consideration of options

4. Are the different options for addressing the root causes made clear and is there evidence presented that these options are appropriate

Note evidence can be from theory or from existing research or evaluations

Level	Statement	Score
1	Alternative options are not shown nor the evidence of why the proposed intervention is appropriate	
2	Alternative options are shown but there is no evidence of why the proposed intervention is appropriate	
3	Alternative options are shown and there is limited evidence of why the proposed intervention is appropriate and the evidence is consistent with the diagnostic	
4	Alternative options are shown and there is strong evidence of why the proposed intervention is appropriate which is consistent with the diagnostic	

Rationale for answer

5. **Are the cost/benefits of the different options made clear and the justification for selection of the preferred implementation option convincing?**

Level	Statement	Score
1	No options are shown	
2	Alternative options are shown and there is limited cost data of the different options	
3	Good cost data of different options are shown and there is limited evidence of benefits	
4	Strong costs and benefits data of different options are shown	

Rationale for answer

C   Theory of change

6. **Is there a clear Theory of Change explaining the causal mechanism for achieving the desired outcomes and impacts?**

Level	Statement	Score
1	No theory of change can be deduced from the design	
2	A clear theory of change can be deduced from the programme documents, but there are significant questions about it	
3	A clear theory of change is shown in the programme documents, but there are some questions around the theory of change	
4	A clear theory of change is shown in the programme documents, and it looks realistic and robust and likely to result in the outcomes and impacts	

Rationale for answer

D   Target group

7. Is the target group clear and are there clear measures to see who is in/out, and progress?

Measurement of beneficiaries can include who is eligible for what support, how it will be measured, using what source of data, and when it will be measured.

Level	Statement	Score
1	The target group is identified but there are no specific definitions	
2	The target group is identified, there are specific definitions of who qualifies but there is limited data to identify beneficiaries	
3	The target group is identified, there are specific definitions of who qualifies, and there is strong data available to do the identification and the mechanisms for identifying beneficiaries are clear	
4	The target group is identified, there are specific definitions of who qualifies, and there is strong data available to do the identification and the mechanisms for identifying beneficiaries are clear	

Rationale for answer

E   Logframe

Is there a logframe? Yes/No

In either case the following questions need to be answered. If not it would be sensible to develop one based on existing programme documents. This will require more time.

8. Are the impacts clear and appropriate

The impact statement should:

- May be a change in the situation of the target group (unless the programme is quite a low level programme in which case it may be a lower level)
- Be phrased as a situation achieved
- Is not under the control of the programme but the programme contributes to achieving it, and the planned outcomes should directly contribute to it
- Clearly relates to the objectives of the department

Level	Statement	Score
1	The impact statements are inappropriate	
2	The impact statements are appropriate in terms of level (not too high), but could be formulated better. An example would be:	
3	The impact statements are appropriate in terms of level (not too high), formulated appropriately, but it is not completely clear how they derive from the analysis	
4	The impact statements are appropriate in terms of level (not too high), formulated appropriately, and supported by the evidence from the analysis.	

Rationale for answer

9. Are the planned outcomes clear, appropriate and important

Outcomes may be at two levels, intermediate and wider. There should ideally be one outcome statement, but sometimes there can be two.

The outcome statement should:

- Will normally be a change in behaviour, systems or capacities
- Be phrased as a situation achieved
- Is not under the control of the programme but the programme influences it
- Is a likely result of the outputs being achieved

Level	Statement	Score
1	The outcome statement(s) is inappropriate/or not important	
2	The outcome statement(s) is appropriate in terms of level (not too high), but could be formulated better and there is no clear link with the evidence Example	
3	The outcome statement(s) is appropriate in terms of level (not too high), formulated appropriately, but could be strengthened to lead to the impacts, and could be better supported by the evidence from the analysis.	
4	The outcome statement(s) is appropriate in terms of level (not too high), formulated appropriately, clearly important and likely to lead to the impacts, and well supported by the evidence from the analysis.	

Rationale for answer

10. Are the planned outputs clear, appropriate and important and not just products but the key building blocks needed to achieve the outcomes

The outputs should meet the following characteristics:
- Are products of the programme, but are key building blocks to achieve the outcomes
- Are phrased in the past tense as product or deliverable achieved (eg system developed)
- Are necessary to achieve the outcome
- Should with the assumptions result in the achievement of the outcome

Level	Statement	Score
1	The output statements are inappropriate/or not important	
2	The output statements are appropriate in terms of level (not too high), but could be formulated better and there is no clear link with the evidence Example	
3	The output statements are appropriate in terms of level (not too high), formulated appropriately, but could be strengthened to lead to the outcome, and could be better supported by the evidence from the analysis.	
4	The output statements are appropriate in terms of level (not too high), formulated appropriately, clearly important and likely to lead to the outcome, and well supported by the evidence from the analysis.	

Rationale for answer

11. Are the activities appropriate, sufficient and necessary for achieving the outputs

The activities should:
- Be packaged so that the group required to achieve each output is clear
- Be expressed in the present tense – do X
- Are in approximate chronological order within each output
- The set of activities should be sufficient to achieve each output

Level	Statement	Score
1	The activities are inappropriate to achieve the outputs and poorly formulated	
2	The activities are appropriate in terms of level (not too high), could be formulated better, but more or different activities are needed and there is no clear link with the evidence Example	
3	The activities are appropriate and formulated appropriately, but could be strengthened to lead to the outputs, and could be better supported by the evidence from the analysis.	
4	The activities are appropriate, formulated appropriately, clearly link to the outputs, and are well supported by the evidence from the analysis.	

Rationale for answer

12. Are the assumptions appropriate at each level, can they be managed and is management included in the actions?

Level	Statement	Score
1	The assumptions are very poor	
2	The assumptions are reasonable and formulated appropriately, but could be strengthened (some are inappropriate, or some may be missing). Example	
3	The assumptions are reasonable and formulated appropriately, but could be better supported by the evidence from the analysis.	
4	The assumptions are carefully thought through, formulated appropriately, clearly link to the different levels, and are well supported by the evidence from the analysis.	

Rationale for answer

13. Are the indicators appropriate and SMART?

The indicators and targets should:
- Clearly provide a measure for the output, outcome or impact
- Cover the key concepts in the output, outcome or impact
- Be SMART (specific, measurable, appropriate, relevant and time-bound)

Level	Statement	Score
1	The indicators are very poor and need to be completely redone	
2	The indicators are reasonable and formulated appropriately, but could be strengthened (some are inappropriate, or some may be missing, need to be SMARTer). Example	
3	The indicators are good, appropriate measures of the outputs/outcomes/impacts and SMART but there is limited data on which they are based, and to monitor or evaluate progress	
4	The indicators are good, appropriate measures of the outputs/outcomes/impacts and SMART and there is good data on which they are based, and to monitor or evaluate progress	

Rationale for answer

14. If needed, are component projects clear, and who is responsible for these?

Level	Statement	Score
1	Component projects are not clear.	
2	Component projects are identified but it is very unclear how these will be followed up.	
3	The component projects are clearly identified, as are those responsible for implementing the, The plans for these are also clear and where they will be funded from.	
4	The component projects are clearly identified, as are those responsible for implementing the, The plans for these are also clear and where they will be funded from.	

Rationale for answer

15. Does what is proposed contradict or duplicate any existing institutional arrangements and roles and responsibilities in government, in which case there must be explanation of how this will be addressed?

Level	Statement	Score
1	There are important or many contradictions/duplication arising from this intervention but this is not clarified at all in the design	
2	There are some contradictions/duplication arising from this intervention but this is not clarified at all in the design	
3	There are limited overlaps which are carefully teased out in the design and very clear boundaries suggested for what the different actors should do, and how this should be managed.	
4	There are no significant overlaps	

Rationale for answer

16. Does the design consider any upscaling or replication needs?

In many cases programmes will have a scaling up process that is explicit or implicit. This question is to unpack how well this has been thought through.

Level	Statement	Score
1	The design looks difficult to replicate or upscale due to the nature of the investment or support required	
2	There are questions about the replicability of the design and more work is needed to look into this	
3	Some thought has been given to upscaling modalities and overall it looks replicable. More work could be done on this.	
4	The design either doesn't need upscaling or has carefully through through upscaling modalities and designed this into the programme (eg training, development of standard operating procedures and manuals, training of trainers, institutional mechanisms)	

Rationale for answer

F   Planning implementation

17. Is there an appropriate activity schedule for the activities

Level	Statement	Score
1	No schedule is provided.	
2	A very basic schedule is provided	
3	The activities have all been carefully scheduled, the schedule looks realistic but the link to human resources and budget is not clear	
4	The activities have all been carefully scheduled, the schedule looks realistic and these have been linked to human resources and budget	

Rationale for answer

18. Is the human resource required to implement the intervention clear, realistic and available?

Level	Statement	Score
1	There is no clarity on what the human resource requirements are.	
2	The human resource requirements have been thought through, but are not clear whether they are appropriate, and/or it is not clear who will provide these	
3	The human resource requirements have been carefully thought through, seem appropriate, who will provide these is identified, but no commitments have been obtained.	
4	The human resource requirements have been carefully thought through, seem appropriate, who will provide these is identified, and the commitments have been obtained.	

Rationale for answer

19. Are the finances well planned and the link to the activities to be undertaken clear?

Level	Statement	Score
1	There is only very basic clarity on what the financial requirements are.	
2	The human resource requirements have been thought through, but it is not clear who will provide these	
3	The financial requirements have been carefully thought through in operational and capital terms, seem appropriate, who will provide these is suggested, but no commitments have been obtained.	
4	The financial requirements have been carefully thought through in operational and capital terms, seem appropriate, who will provide these is identified, and the commitments have been obtained.	

Rationale for answer

20. Are there appropriate management arrangements within the department for running the intervention?

Level	Statement	Score
1	The management requirements for running the intervention in the department are not identified.	
2	The management requirements have been thought through, but it is not clear how these will be provided	
3	The management requirements have been carefully thought through for the department, seem appropriate, who will provide these is suggested, but no commitments have been obtained.	
4	The management requirements have been carefully thought through for the department, seem appropriate, who will provide these is identified, and the commitments have been obtained.	

Rationale for answer

21. Are there roles that have to be played by other roleplayers in or outside government and are all of the roles envisaged funded mandates?

Level	Statement	Score
1	Roles are needed by other roleplayers, this is not a funded mandate and there are no commitments for them to play these roles Roles Organisation	
2		
3		
4	Roles are needed by other roleplayers, this may not be a funded mandate but there are no commitments for them to play these roles Roles Organisation Commitments	

Rationale for answer

22. If needed is there a coordination mechanism established to link with partners?

Level	Statement	Score
1	A coordination mechanism will be needed but this has not been thought through	
2	A coordination mechanism will be needed and some thought has gone into it	
3	A coordination mechanism is envisaged involving key partners and a plan is in place (eg TORs)	
4	A coordination mechanism is already established and operating involving key partners	

Rationale for answer

23. Is there a M&E capacity established including a budget for evaluations and have these been programmed?

Level	Statement	Score
1	The M&E of the programme has not been though through	
2	The indicators in the logframe have been defined but not how the information will be collected	
3	The indicators in the logframe have been defined and some monitoring mechanisms have been defined but not evaluation	
4	A detailed M&E plan is in place linked to the logframe indicators, including budgeting for implementation and impact evaluations.	

Rationale for answer

24. Is there a risk management plan

Level	Statement	Score
1	There is no risk matrix	
2	There is a risk matrix and there is some effort to mitigate risks. There are a number of high risks but the management of these is not convincing	
3	A detailed risk plan is in place with some mitigation measures embedded in the activities of the programme. There are a some high risks and these are all managed reasonably. There is a link between the assumptions in the logframe and the risk matrix.	
4	A detailed risk plan is in place with good mitigation measures embedded in the activities of the programme. There are few high risks and these are all managed. The assumptions in the logframe are all included in the risk matrix.	

Rationale for answer

G Summary

Element	Design evaluation questions	Score	Comment
A: Diagnostic analysis of status quo	1. Is the need or problem the intervention addresses clearly defined and the nature and scale of the problem substantiated by good evidence? ?		
	2. Is there a convincing analysis of the root causes of the problem substantiated with strong evidence eg from research or diagnostic evaluation		
	3. Is there a strong rationale of why this is a government priority - is this part of the National Development Plan/Outcomes		
B: Consideration of options	4. Are the different options for addressing the root causes made clear and is there evidence presented that these options are appropriate		
	5. Are the cost/benefits of the different options made clear and the justification for selection of the preferred implementation option convincing?		
C: Theory of change	6. Is there a clear Theory of Change explaining the causal mechanism for achieving the desired outcomes and impacts		
D: Target group	7. Is the target group clear and are there clear measures to see who is in/out, and progress?		
E: Logframe	8. Are the impacts clear and appropriate		
	9. Are the planned outcomes clear, appropriate and important		
	10. Are the planned outputs clear, appropriate and important and not just products but the key building blocks needed to achieve the outcomes		
	11. Are the activities appropriate, sufficient and necessary for achieving the outputs		
	12. Are the assumptions appropriate at each level, can they be managed and is management included in the actions?		
	13. Are the indicators appropriate and SMART?		
	14. If needed, are component projects clear, and who is responsible for these?		
	15. Does what is proposed contradict or duplicate any existing institutional arrangements and roles and responsibilities in government, in which case there must be explanation of how this will be addressed;		
	16. Does the design consider any upscaling or replication needs?		
F: Planning implementation	17. Is there an appropriate activity schedule for the activities		
	18. Is the human resource required to implement the intervention clear, appropriate and available?		
	19. Are the finances well planned and the		

Element	Design evaluation questions	Score	Comment
	link to the activities to be undertaken clear?		
	20. Are there appropriate management arrangements within the department for running the intervention?		
	21. Are there roles that have to be played by other roleplayers in or outside government and are all of the roles envisaged funded mandates?		
	22. If needed is there a coordination mechanism established to link with partners?		
	23. Is there a M&E capacity established including a budget for evaluations and have these been programmed?		
	24. Is there a risk management plan		
G Summary: Will it work?	Based on the theory of change, logframe, and implementation arrangements does it look like the intervention is likely to work?		

H   Decision

Decision	Tick	Comment
1. Minor changes made during the 2 weeks and proceed to implementation.		
2. Further minor changes needed and proceed.		
3. Some changes needed and these need to be reviewed by evaluators.		
4. Major changes needed and to resubmit for full design evaluation.		
5. Rethink the programme completely as the logic and evidence are weak.		

Annex 1:   **Attached documents**

Document	Attached (tick)
Diagnostic	
Theory of change	
Logframe	
Implementation plan	
Budget	
Risk matrix	

Annex 2:   **List of people consulted**

Annex 3:   **Process of the evaluation**

Annex 4:   **List of documents consulted**