



THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION

Draft DPME Guideline 2.2.3 Guideline for the planning of new implementation programmes

Created 30 July 2013

Addressed to	Programme staff and planning sections of national and provincial departments
Purpose	The purpose of this guideline is to give practical guidance on minimum standards for designing implementation programmes and setting up the logical framework ¹ and performance indicator matrix for M&E.
Reference documents	Guidelines on Budget Programmes (National Treasury) National Evaluation Policy Framework (DPME)
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1 Introduction

This guide for implementation programmes is designed for adaptation and use by government departments in designing new implementation programmes, or revising the designs of existing implementation programmes. Implementation programmes have coherent programmes of work, which may cross sections of a department and departments (eg Expanded Public Works Programme, Integrated Nutrition Programme, Business Process Outsourcing Incentive Scheme). This guideline is initially being provided to pilot the approach for planning and designing implementation programmes and to see if it achieves its aim and whether it will be relatively easy to implement across the whole of government. It has been developed by DPME with National Treasury. It is being launched as a draft to be piloted and at this stage it is not obligatory and so should not be audited.

Note that when the word programme is used in this guideline it refers to an implementation programme, unless specifically mentioned otherwise (eg a specific reference to a budget programme).

Chile has implemented a nationwide evaluation system for some time. Table 1 shows the impacts of this on subsequent changes to the implementation programmes.

Table 1: Utilisation of government evaluations in Chile 2000-2005²

Effect on programme	Minor adjustment of programme, for example improved processes or information systems	Major adjustment of management processes for example targeting criteria or new information systems	Substantial redesign of programme or organisational structure	Institutional relocation of programme	Programme termination
% of programmes	24	38	25	5	8

¹ Hereafter referred to as the logframe.

² Source Guzman 2007, quoted in Mackay (2007) "How to Build M&E Systems to Support Better Government", Independent Evaluation Group, Washington, World Bank.

What Table 1 indicates is that 8% of programmes had to be terminated, and 38% had to have a major redesign, and so were not performing optimally. In South Africa the figure is likely to be significantly higher as until recently we have not had a nationwide evaluation system. This implies that if we can improve programme design, we are likely to both save money and improve government's impact. Better planned implementation programmes based on a good understanding of the problem through a thorough diagnosis, with strong theories of change, strong plans including logic models, should have higher success rates, be much easier to monitor and evaluate, and have much greater impacts on citizens.

2 What is the issue?

The term 'programme' is used in different ways in government depending on the context. Budget programmes have specific meaning and are used as the basis for departmental budget structures and strategic plans (see below from the Guidelines on Budget Programmes). More detail on this understanding of programmes, and how National Treasury defines budget programmes can be found in National Treasury's Guidelines for Budget Programme Structures, available at www.treasury.gov.za/publications/guidelines. The definition of Budget Programmes in these guidelines is in line with the Public Finance Management Act (PFMA).

A budget "**programme**" is a main division within a department's budget that funds a clearly defined set of objectives based on the services or functions within the department's constitutional and legislative mandates. It also constitutes a management unit established within a department responsible for the delivery of that defined set of services and functions. While the term "programme" is often loosely used in many situations, in these guidelines the use of "programme" is confined to the functional divisions created within the context of the budget and designated as a "programme" in the budget estimates, that is, main division in terms of Section 27(3)(b) of the PFMA.

A "subprogramme" is a constituent part of a programme, that defines the services or activities which contribute to the achievement of the objective(s) of the programme of which it forms a part. Some of the defined services or activities could include key projects identified by a department.

The focus of the budget programme structure is to facilitate thinking around allocative efficiency and also operational efficiency (value for money) in the allocation of funds between the competing constitutional and legal mandates and objectives of government. This budget programme structure is relatively stable and provides a framework for the allocation of funds to all activities of an institution in line with broad government goals, and provides for the management of core functions and activities within departments, and promotes accountability.

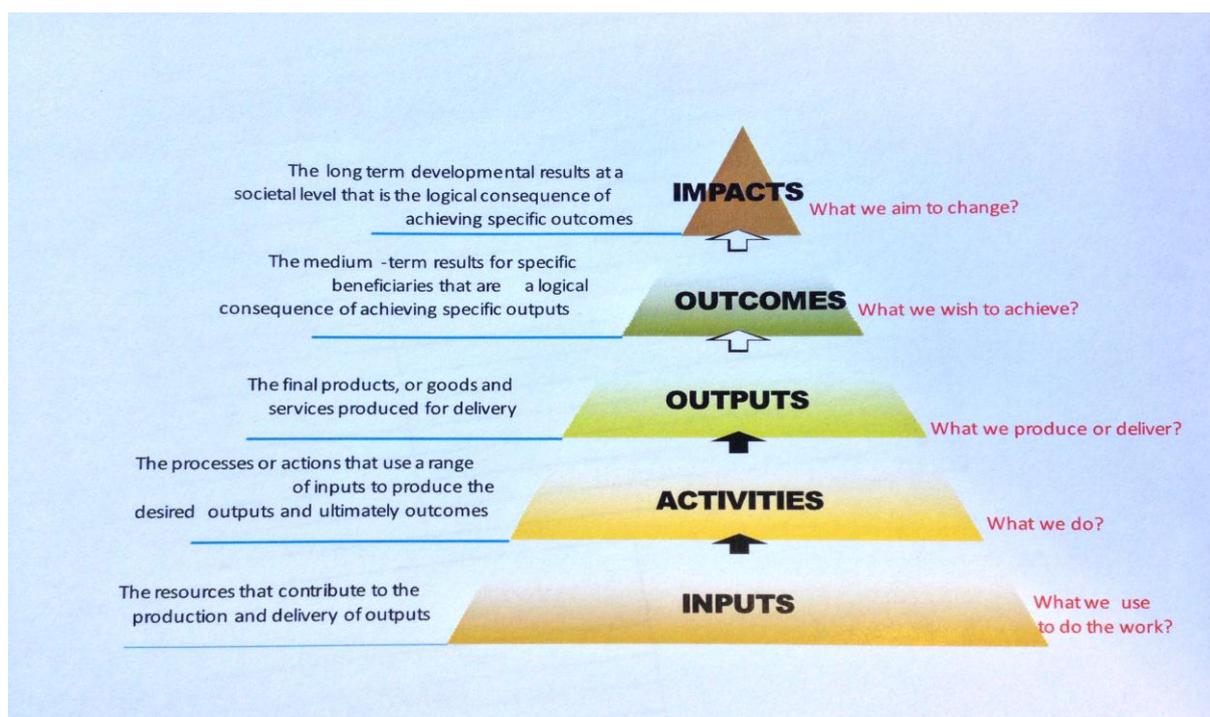
In the sectoral policy environment, an implementation programme is a set of organized but often varied activities, directed towards the achievement of specific policy aims. A programme linked to a policy initiative may encompass several different projects, activities and processes that logically cohere. Such a programme seeks to either deliver new services within a mandate or to improve the delivery of existing services within a mandate. Programmes linked to policy initiatives are in response to shifting policy goals and needs, and are required to change with shifting political and policy priorities.

The term "**Implementation Programme**" will be used to 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 subprogramme level). These may focus on delivering services to the public (eg the Expanded Public Works Programme, Integrated Nutrition Programme, National Integrated Plan for Early Childhood Development, Maternal Health Programme), or be more internally focused (eg improving supply chain management in local government). Budget programmes are high level, and too high for planning practical

implementation. Implementation programmes need to be planned at a lower level in order to guide implementation in a practical way.

Most departments have implementation programmes such as the School Health Programme. However, there is no standard definition in South Africa of what such an implementation programme means. There is also no knowledge of how many such implementation programmes exist across government. There is no standardisation in approach and no minimum standards about how such implementation programmes are planned and designed.

Figure 1: Diagram showing results-based management logic model (Guide to the Outcomes Approach, DPME)



Often little diagnosis is available on what guided programme design, and so there is not a robust theory of change regarding how the intervention will work, which is substantiated by evidence. This creates a difficulty in conducting evaluation of results against projected targets when the plan was not necessarily clear to begin with. Improving the planning of implementation programmes upfront should assist in ensuring that they ultimately achieve their aims more effectively. If such detailed planning is done, it will also assist in formulating the delivery agreements to implement specific outcomes in the National Development Plan, as well as contribute to better defined budget programmes and/or sub/(sub) programmes which will then be reflected in Annual Performance Plans.

As with budget programmes as defined above, implementation programmes should have:

- a clearly defined **theory of change** which shows the core logic of the process assumed in the intervention, as well as the critical assumptions.
- a **logframe** (impact, outcomes, outputs, activities, inputs, and their associated assumptions) as well as explanation of the causal mechanism of how these activities and outputs will result in the intended outcomes;
- a management unit within the department responsible for the delivery of that defined set of services and functions; and

- a clear budget allocation which can be tracked, eg at the sub/(sub) budget programme level.

This does not mean that new management positions should be created for implementation programmes, instead, individuals who will be responsible and accountable for such programmes should be identified. Without a clear results chain, resources may be inefficiently allocated to activities that in turn may not lead to desired outcomes. In practice often the understanding of the sequencing of processes is challenging. The results-based logic model is shown in Figure 1.

DPME has undertaken a study looking at implementation programmes and their relationship to budgets in a number of departments. This study demonstrated a large gap between policy development and implementation, and in particular in implementation planning. Some of the findings include that:

- Without a clear results chain, resources may be inefficiently allocated to activities that in turn may not lead to desired outcomes;
- Costing often is not regarded by departments as part of the policy development process. In certain instances, partial costings were done later for purposes of submitting requests to the relevant treasury for funding. However, there may even be little sense of what the full cost of implementation programmes are and whether they are even affordable, or how they can be made more cost effective;
- A robust monitoring system, which provides disaggregated information and tracks performances at input, activity and output level, is needed for better managerial performance and accountability.

Another weakness in many implementation programmes which cross departments or spheres is poor coordination. A robust arrangement is needed which ensures the appropriate level of coordination and also makes accountability clear.

3 Defining an implementation programme

An implementation programme can be defined in several ways. Here we define it as:

“an **implementation programme** is a set of organized but often varied activities directed towards the achievement of specific policy aims. An implementation programme may encompass several different projects, activities and processes and may cross departments or spheres³. Implementation programmes usually have a plans, clear delivery milestones and ideally there is an indicative budget (possibly across spheres).

A **project** is a single, non-divisible public intervention directed towards the attainment of operational objectives, with a fixed time schedule and a dedicated budget”. Projects may well be at output level of an implementation programme (adapted from Evaluating EU Expenditure Programmes: A Guide - Ex post and Intermediate Evaluation, EU, 1997).

Implementation programmes can be of a number of types including:

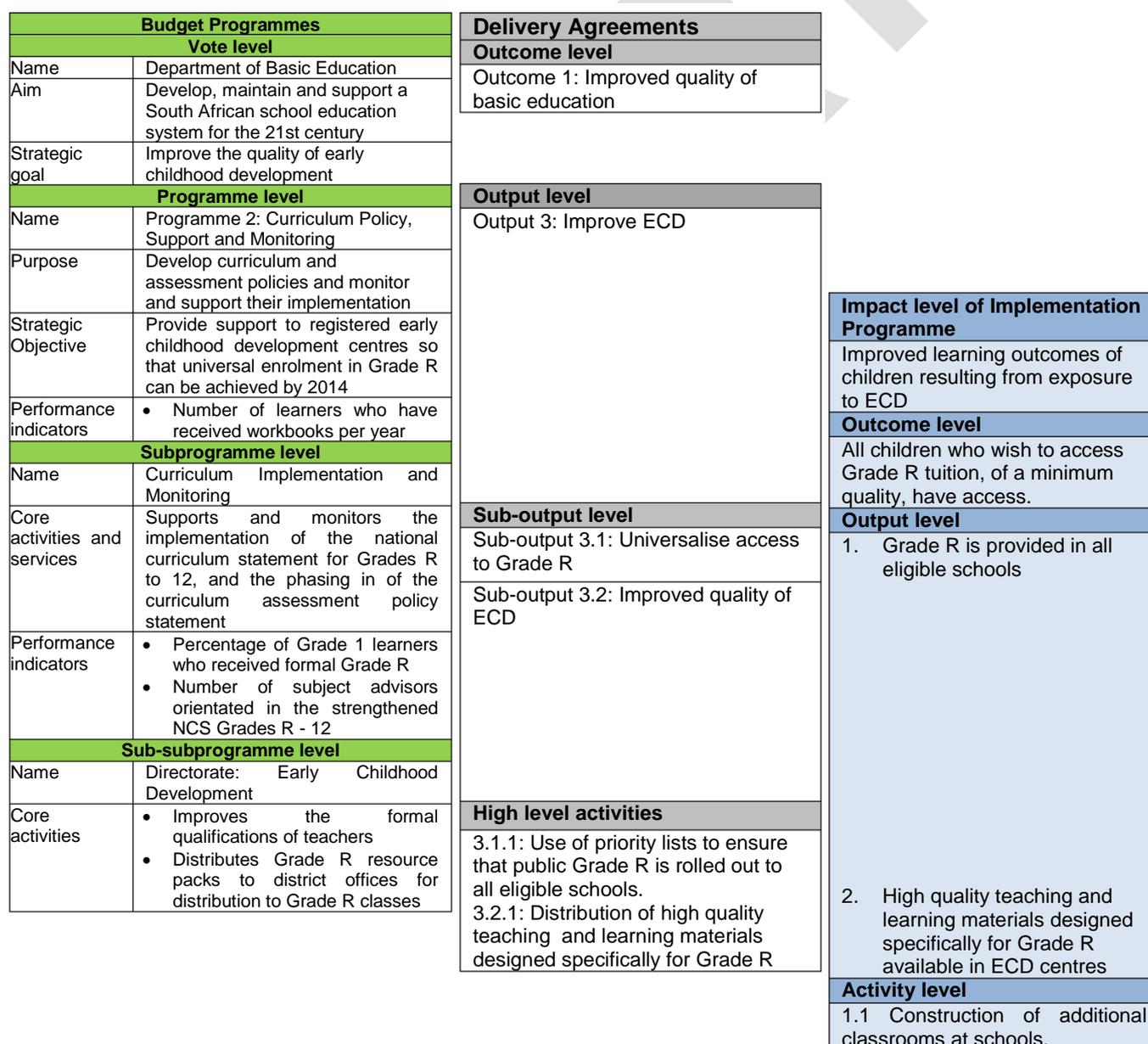
- Grants (eg the Business Process Outsourcing Incentive Scheme);
- Regional programmes (eg Urban Renewal Programme, focusing on 8 urban nodes);
- Content programmes (eg Early Childhood Development); and
- Portfolio of projects with common mechanisms (eg Expanded Public Works Programme).

³ An example would be Early Childhood Development which crosses several departments and where the budget is mainly held by provinces.

The implementation programme will be at a lower level than a budget programme, typically at budget sub (or sub-sub) programme level. It often corresponds to suboutput level in the outcome delivery agreements. An example of the relationship is shown in Figure 2, which relates the use of terms like outputs and outcomes in the budget programmes, in the delivery agreements, and in the design of individual implementation programmes, using the example of Early Childhood Development (ECD), which is currently defined through the National Integrated Plan for ECD.

It is clear that for budget programme structures and delivery agreements to be effective, efficient and cost-effective; implementation programmes must also be properly planned and designed (including a performance indicator matrix and targets). Without this, they are not likely to succeed, and monitoring and evaluation (M&E) becomes difficult. The National Evaluation Policy Framework approved by Cabinet on 23 November 2011 highlights the need for an effective theory of change in interventions; that DPME will issue guidance for implementation programme design; and that standards for planning programmes would be prepared by the end of 2011/12 by DPME. This Guideline provides the basis for planning implementation programmes and will be piloted in 2013/14.

Figure 2: Relationship between budget programmes, delivery agreements and implementation programmes using the example of Early Childhood Development (ECD)



4 Guidance for a plan of a new Implementation Programme

The plans for all implementation programmes should eventually have the following elements (and particularly for significant programmes with budgets of over R100 million). These elements will be piloted in 2013 and a revised guideline issued later in the year:

- 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:
 - 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.
- 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 outcome statements of the projects should relate to output 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).

Action Points:

- | | |
|-----|---|
| 4.1 | Training will be organised for departments to assist them in implementation programme planning using this model. The course will be piloted in 2013/14 and rolled out in 2014/15. |
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5 Strengthening the programme logic in existing implementation programmes

A model for Design Evaluations will be piloted in 2013, building on the programme plan approach in this Guideline, which will enable departments to review the robustness of existing or new implementation programme plans and develop them in this format. DPME will assist departments to develop the capacity to undertake these.

Action Points:

- | | |
|-----|---|
| 5.1 | Note at this stage there is no formal process for approving the design of an implementation programme, or making changes to the design. In practice any changes to the programme plan should be formally approved by an authorised person, and there will have to be a formal process for approval of changes to programmes. Implementation programmes should be traceable at least at the sub-sub programme level to enable budgets to be tracked. |
|-----|---|

6 Undertaking M&E of implementation programmes

During implementation of any programme, the body or bodies responsible for managing the implementation programme, for example the programme manager and the subprogramme manager, must also:

- 6.1 Continuously **monitor** the programme based on the indicators at activity and output level, which are expressed in the logframe.
- 6.2 Provide regular progress reports on performance indicators related to implementation programmes, which should ideally be informed by formalised institutional discussions on performance within the department. Where implementation programmes cross departments, the components which each department is responsible for should be clear, and which they are required to report on. This should make clear if the programme is being implemented in terms of the timeframes in the plan;
- 6.3 Carry out periodic independent **evaluations** of the implementation programme as per the evaluation life cycle in the plan. This should assist in determining whether:
 - i. The intended outputs, outcomes and impacts are being achieved and whether there are any unintended consequences;
 - ii. The theory of change and the logical links between the inputs, activities, outputs, outcomes and impacts of the programme appear to be working and the assumptions are holding;
 - iii. Unforeseen factors are inhibiting the successful implementation of the programme and how these should be managed;
 - iv. The programme is still aligned to and is not duplicating or contradicting other government programmes or policies;
 - v. The programme is resulting in the efficient and effective use of resources and the potential economies of scale of the programme are being achieved;
 - vi. Whether the programme should be continued and if so, any ways of improving either the design or the implementation of the programme can be identified and corrective actions taken, including adjusting the plan for the programme in accordance with a formal process for approving changes to the programme.

Signed

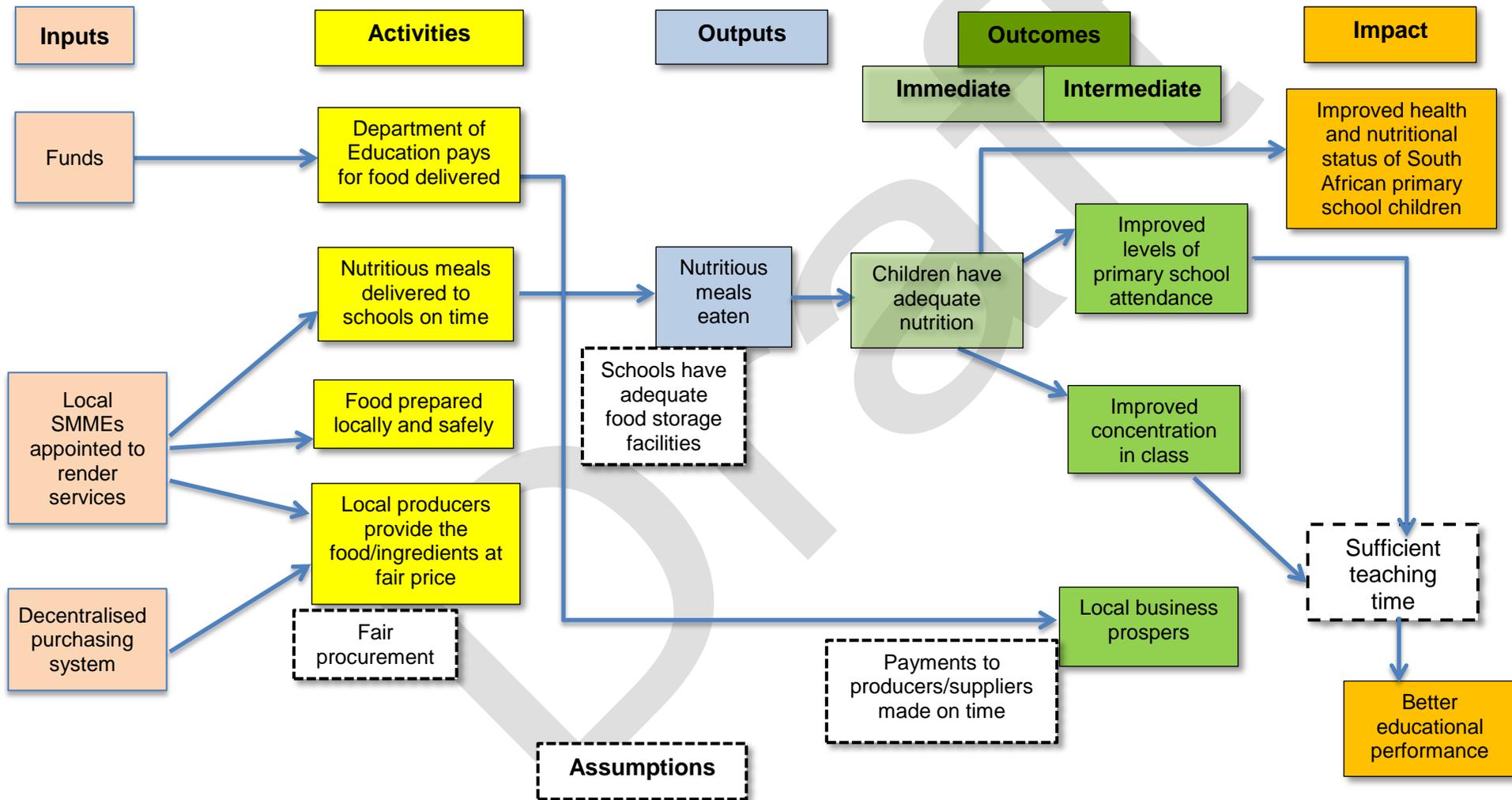


Dr Sean Phillips
Director General

The Presidency: Performance Monitoring and Evaluation

Date: 30 July 2013

Annex 1: Example of part of a Theory of change for the National School Nutrition Programme



Annex 2: Logframe structure for use in plans, programmes and projects

Note if the implementation programme is a unit at a very aggregated level there may be two levels of outcomes, **intermediate** (eg changes in the systems) and **final** (eg improvements in service delivery), where **impact** would then be impacts on livelihoods.

Narrative summary	Performance indicators ⁴				Means of verification	Assumptions
	Indicator	Baseline 2010/11	Target 2011/12 (SMART)	Target 2012/13 (SMART)		
Impact (the development results of achieving specific outcomes)						
Outcome (the medium-term results for specific beneficiaries , "what we wish to achieve")						Assumptions for outcomes to lead to Impacts
Outputs (the main products/services/building blocks towards achieving the outcome)						Assumptions for outputs to lead to outcomes
O1						
O2						
O3						
O4						

Activities to achieve the outputs
O1
1.1.
1.2.
O2
2.1 etc

Resource considerations
<ul style="list-style-type: none"> Main implementation components
<hr/> <ul style="list-style-type: none"> Summary budget for at least 3 years

⁴Performance indicators must demonstrate the scale of the programme

Annex 3: Logframe for Evaluation and Research Unit in DPME

Narrative summary	Performance indicators					Means of verification	Assumptions
	Indicator	Baseline 2010/11	Target 2011/12 (SMART)	Target 2012/13 (SMART)	Target 2013/14 (SMART)		
Impact							
Improved performance and accountability of government programmes and policies as a result of evaluation	Achievement of targets in percentage of programmes targeted by NEP rises	Not applicable	Not applicable	80%	80%	Evaluation of Evaluations conducted in 2015/16	
	Percentage of programmes that have been evaluated by government under the NEP showing improvements in outcome indicators	Not applicable	Not applicable	80%	80%	Evaluation of Evaluations conducted in 2014/15	
Outcome							Assumptions for outcomes to lead to Impacts
Evaluation and research evidence informs changes to government interventions	Percentage of recommendations accepted from government evaluations in the Management Response	Not applicable	Not applicable	50%	50% of recommendations accepted	Management response on DPME website (Annual Report also on website)	<ul style="list-style-type: none"> Recommendations from evaluations are appropriate and so do result in improved performance Other factors such as budget reprioritisation do not adversely affect the programmes and override any improvements
	No. of evaluations for which there are changes in the purpose, outputs or activities of the programmes in the national evaluation plan as a result of the evaluations	Not applicable	Not applicable	1	22	Reports on progress in implementing Improvement Plans Evaluation of Evaluations conducted in 2015/16	
Outputs							Assumptions for outputs to lead to outcomes
1: National Evaluation Policy & Guidelines developed	National Evaluation Framework approved by Cabinet and national and provincial	No National Evaluation Policy Framework in place and number of national and provincial	NEPF approved	2012/13 National Evaluation Plan approved by Cabinet by 30 June	2013/14 National Evaluation Plans approved by Cabinet by	National Evaluation Plan documents on DPME website	<ul style="list-style-type: none"> Cabinet continues to support the system and

Narrative summary	Performance indicators					Means of verification	Assumptions
	Indicator	Baseline 2010/11	Target 2011/12 (SMART)	Target 2012/13 (SMART)	Target 2013/14 (SMART)		
	evaluation plans approved by Cabinet and Provincial Executive Councils respectively	evaluation plans in place		2012	December 2012		unblock issues which emerge. <ul style="list-style-type: none"> • DGs actively buy in and support the process. • Making evaluations public increases transparency • There is sufficient capacity in service providers to undertake evaluations • Other stakeholders cooperate with DPME playing a role in research
		No. of Provincial Evaluations Plans		2 Provincial Evaluation Plans approved by provincial EXCO by March 2013	3 additional Provincial Evaluation Plans approved by the Provincial Executive Councils by March 2014	Check PEPs on DPME website	
	No of guidelines and templates to support evaluations across government produced and approved by Director-General and put on DPME website	No. of evaluation guidelines and templates in place	1 (TORs)	11	5	Check guidelines and templates on DPME website	
	Minimum competency standards for government staff related to evaluation developed and approved by Director General and put on website	No. of competency standards regarding M&E in place	None	One competency standard for government evaluation staff to manage evaluations, one competency standard for government programme management staff, one competency standard for people who do evaluations	Competency standards finalised after consultation processes	Competency standards on DPME website	
2: Enhanced capacity of stakeholders to manage and use evaluation and research evidence	Number of government staff completing at least one course commissioned by DPME and approved by head of DPME evaluation unit	None	None	200	300	Attendance registers in evidence for APP	
	% of evaluations in the national plan that comply with 80% of minimum standards in	Not applicable	Not applicable	100%	100%	Quality Assessment Reports on DPME website	

Narrative summary	Performance indicators				Means of verification	Assumptions
	Indicator	Baseline 2010/11	Target 2011/12 (SMART)	Target 2012/13 (SMART)		
	quality assessment					
3: Evaluation quality assurance system is operating effectively	Percentage of all NEP evaluations assessed against minimum standards	None	50%	70%	100%	Quality Assessment Reports on DPME website
4: Evaluations designed, implemented and supported effectively	Number of evaluation reports approved by evaluation steering committees in which DPME is a member	None	None	1	22	Evaluation reports on DPME website
	% of evaluations in the national plan that comply with 80% of minimum standards in quality assessment	See above				
	% of evaluations managed by evaluation steering committees in which DPME is a member which produce improvement plans within four months of the final evaluation reports being accepted by the Evaluation Steering Committees	Not applicable	None	100%	100%	Improvement Plans on DPME website
5: Research role for the Unit developed	Number of research reports	None	One research report	20 inputs for 20 Year Review	20 Year Review Synthesis Report One other research project	Research reports on DPME website
6 Evaluation and research evidence shared	Hits per year on the evaluation section of DPME website	Did not exist			At least 5000 in 2013/14	
	Nos of evaluations quality assured and made available on the DPME website (including non-NEP evaluations)	None	None	One	150 by March 2014	
	Numbers of people	None	100	200	500	Annual Reports on

Narrative summary	Performance indicators				Means of verification	Assumptions
	Indicator	Baseline 2010/11	Target 2011/12 (SMART)	Target 2012/13 (SMART)		
	participating in events organised by DPME on evaluation (training, workshops, conferences)					DPME website
7: Evaluation and Research Unit managed collaboratively	% of matching funding from partners for national evaluation plan against DPME contribution.	No national evaluation system	Zero	50%	75%	Annual Reports of Evaluations & Research Unit
8 Donor coordination						

Activities	Resource considerations
<p>O1 Policy and guidelines</p> <p>1.1. Disseminate policy framework and get examples of others' policy frameworks and plans 1.2. Develop and refine guidelines and templates on components of the system 1.3. Develop incentives system for evaluation</p> <p>O2 Capacity</p> <p>2.1. Analysing capacity needs for evaluation 2.2. Embedding competences in the government system 2.3. Development of evaluation courses 2.4. Support rollout of capacity development activities (training 300 people) 2.5. Study tours 2.6. Support to Capacity Development Section 2.7. Capacity development for ERU</p> <p>O3 Quality assurance</p> <p>3.1. Develop Minimum standards guidelines: 3.2. Embed system of standards for government evaluations 3.3. Develop robust evaluation design 3.4. Implement peer review system 3.5. Implement objective end of assignment quality assessment system for evaluations (product and process) 3.6. Provide technical support to evaluations outside the NEP 3.7. Consider professionalising of evaluation (eg developing professional registration) 3.8. In the NEP take forward planning for impact evaluations on the performance of programmes and policies</p>	<p>Main implementation components</p> <ol style="list-style-type: none"> 1. Funding of Evaluation and Research Unit to provide technical support to the system. 2. Grade 15 appointed to lead the programme. In 2013/14 11 staff plus plan for 2 interns, rising to 16 in 2014/15. 3. Outcome Facilitators play key role in requesting and supporting evaluations 4. Cross-government Evaluation Technical Working Group supports system and selects evaluations 5. Development of Policy Frameworks, guidelines, templates, standards and competences 6. Part-funding of evaluation and research projects 7. Part-funding of training for government staff with evaluations approved under the national/provincial evaluation plans <p>Budget – see below</p>

Activities	Resource considerations
O4 Evaluations	
4.1-8 Complete 2012/13 Evaluations	
4.9 Undertake other evaluations (KSD)	
4.10-25 Undertake 2013/14 evaluations	
4.26 Pilot the design evaluation methodology	
O5 Develop research system	
5.1 Develop research strategy for DPME	
5.2 Outcome facilitators identify suitable research topics	
5.3 Establish research capacity within DPME	
5.4 Develop and populate a platform for research around the outcomes on DPME website	
O6 Evaluation and research evidence shared	
6.1 Advocacy and communications internally and externally	
6.2 Communication of evaluation results	
6.3 Participate in or organise conferences and exchanges	
6.4 Networking nationally and internationally	
6.5 Develop and support community of practice on evaluation	
6.6 Development of publications on evaluation	
6.7 Develop and maintain the evaluation and research component of the DPME website	
6.8 Refining and maintaining platform for evaluation reports on DPME website	
O7 Evaluation and Research Unit managed collaboratively	
7.1. Strengthen capacity of Evaluation Unit	
7.2 Operation of Evaluation technical working group	
7.3 Developing/rolling National Evaluation Plan 2014/15 to 2016/17	
7.4 Supporting provincial evaluation plans	
7.5 Supporting departmental evaluation plans	
7.6. Manage panel of evaluators	
7.7. Run monitoring/tracking system for implementation and follow-up of evaluation improvement plans	
7.8. Monitoring and reporting on the evaluation system	
7.9 Unit management	
O8 Donor coordination	
8.1 Managing the DFID support to DPME;	
8.2 Maintaining links with International Development Cooperation in National Treasury;	
8.3 Reporting on donor support to DPME;	
8.4 Serving on the Steering Committee of PSPPD and ODAP.	

SCOA Item group	2012/13	2013/14	2014/15	2015/16
	Revised Budget	Estimate (R000)	Estimate (R000)	Estimate (R000)
TOTAL BUDGET	17 013	20 115	24 053	30 132
COMPENSATION OF EMPLOYEES	4 155	6 040	6 701	7 665
GOODS AND SERVICES	12 858	14 020	17 297	22 412
PAYMENTS FOR CAPITAL ASSETS	-	55	55	55

Annex 4: Example of risk matrix

Risk Description	Contributory Factor(s)	Consequences	Existing Controls (policies/procedure to mitigate the risk)	Inherent Impact	Inherent Impact (value)	Inherent Probability	Inherent Probability (value)	Inherent Risk Rating	Control Adequacy Rating	Control Adequacy Rating (value)	Residual Risk Rating	Risk Acceptability	Control Improvement Plans (ways to improve controls)
Evaluation plan does not include key important/ strategic programmes	Reluctance by depts to include programmes that are not performing well. Wariness about evaluations being public. Not compulsory to submit. May not have budget.	Performance of important programmes is not improved. Non-performing programmes not changed/stopped .	National Evaluation Policy Framework. Delivery agreements. Ideas for Evaluations (generated by Outcome facilitators)	Significant	2	Almost certain	5	10	Partially adequate	50%	5		DPME/NPC/NT propose evaluations for National Evaluation Plan. Engaging clusters, FOSAD Manco and departments on NEPF/National Evaluation Plan process.
Evaluation delays	Difficult to establish Steering Committees. Methodology difficult for what is hoped for. Departments ambivalent about evaluation. Departmental procurement process much slower than DPME	Evaluation not completed in year, and underspend	Bringing forward cycle to start by beginning of financial year	Significant	2	High	4	8	Adequate	80%	1.6		Brought forward evaluation cycle so start by 1 April. As far as possible DPME does procurement.
Evaluation quality inadequate	Inadequate capacity of service providers. Data may not be available and may require sophisticated design which service providers don't know.	Evaluation has to be stopped.	Inception phase for all evaluations. Evaluation panel. Training and design clinics . Guidelines.	Significant	2	High	4	8	Adequate	80%	1.6		Design clinics to strengthen TORs. Training for service providers
	Department not sure on DPME's role in the evaluation and does not follow the DPME procedures and systems	Evaluation may be poor and not sufficiently independent	Partnership managed through Steering Committee	Major	3	High	4	12	Adequate	80%	2.4		Communication using training, guidelines etc

Risk Description	Contributory Factor(s)	Consequences	Existing Controls (policies/procedure to mitigate the risk)	Inherent Impact	Inherent Impact (value)	Inherent Probability	Inherent Probability (value)	Inherent Risk Rating	Control Adequacy Rating	Control Adequacy Rating (value)	Residual Risk Rating	Risk Acceptability	Control Improvement Plans (ways to improve controls)
Minister or Departmental management reject evaluation findings	Principals not involved enough in the evaluation. Principals not adequately briefed on ongoing basis.	Difficult to move forward with addressing evaluation findings	To ensure ownership evaluation requested by dept and department chairs Steering Committee.	Critical	4	High	4	16	Adequate	80%	3.2		Ensure principals adequately briefed.
Improvement plans not developed	Reluctance from department. DPME role not recognised. Managing transition between Steering Committee and departmental management	Difficult to ensure that evaluation is followed up	NEPF. Guideline on Improvement Plans. Role of Steering Committee in developing	Major	3	High	4	12	Adequate	80%	2.4		Communication using training, guidelines etc
Improvement plans developed but not implemented	As above	Evaluation has limited impact on improving the programme	None	Major	3	High	4	12	Partially adequate	50%	6		Develop monitoring system for Improvement Plans

KEY TO RISK TABLE

Impact	Meaning	Financial Impact	Score
Catastrophic	Total shutdown of the programme in question	Can lead to termination of Business Operation	5
Critical	Requires complete redesign or high level intervention in the service/programme	Cost increase > 10%	4
Major	Requires major redesign or intervention in the service/programme	Cost increase > 5%	3
Significant	Requires redesign or intervention in the service/programme	Cost increase < 1%	2
Negligible	Requires ongoing monitoring and minor changes	Minimal or no impact on cost	1

Likelihood	Occurrence	Description	Score
Almost Certain	The risk is almost certain to occur in the current circumstances	The risk is almost certain to occur in the current circumstances	5
High	More than an even chance of occurring., 1 out of 10 times	More than an even chance of occurring	4
Medium	Could occur sometimes, 1 out of 100 times	Could occur often	3
Low	Will seldom occur, 1 out of 1000 times	Low likelihood, but could happen	2
Minimum	Will almost never occur, 1 out of 10 000 times	Not expected to happen - event would be a surprise	1

Adequacy Factor	Adequacy Qualification Criteria	Rating
Over-controlled	The risk is adequately controlled and managed, but in some regards over-controlled	90%
Adequate	The majority of risk exposure is adequately controlled and managed	80%
Partially adequate	Some of the risk exposure appears to be adequately controlled, but there are major deficiencies	50%
Inadequate	Control measures are mostly inadequate	20%