

SCM /Tender Ref #:	4005
--------------------	------

Request for proposals for:	Implementation of the EPWP within the Environment and Culture Sector (DPME 04-2018/19)
----------------------------	--

## 1. BACKGROUND / CONTEXT

The Environment and Culture Sector (E&C) as one component of the Expanded Public Works Programme (EPWP) seeks to build and protect South Africa's natural resources and cultural heritage, and while doing so, dynamically use this preservation work to create both medium-term work and social benefits. The sector's contribution to the EPWP entails employing people to work on projects that improve their local environment through programmes spearheaded by numerous departments.

The aim of the E&C sector within EPWP is to deliver programmes that create work opportunities and link people in the marginalized 'second economy' with opportunities and resources to enable their participation in the developed 'first economy', and to do so by generating useful outputs and positive outcomes in the area of environment, heritage (including tourism development) and biodiversity.

In terms of employment, the sector seeks to – Increase the number of poor and unemployed South Africans who are able to access income through working in E&Cs EPWP projects. The objectives of the E&C sector within EPWP are aligned with the broader objectives of government such as poverty reduction, transformation, empowerment, urban and rural development, growth and job creation. The EPWP E&C sector sought to create 200 000 work opportunities within EPWP phase I (2004/05 – 2008/09), 1 560 000 work opportunities within phase II (2009/10 – 2013/14), and 1 151 150 work opportunities within phase III (2014/15 – 2018/19).

## 2. PROBLEM STATEMENT / PURPOSE

The purpose of the evaluation is to identify the factors and reasons behind the decline in performance between Phase 1 and its subsequent phases 2 and 3. To find the underlying cause of this, there is a need to holistically assess the implementation of the EPWP within the Environment and Culture Sector from its inception (Phase 1) to the current phase of implementation (Phase 3). To determine whether the existing programme design remains relevant for the future phases of the programme towards the achievement of its overall objectives and outcomes as specified in its inception documents with the goal of identifying any signs of success and/or failure and/or any necessary programme changes to be made for future phases in order to set the programme performance on-track in future phases to achieve its intended performance results. The evaluation will also review the programme's strategy and its risks to sustainability.

## 3. OBJECTIVES AND SCOPE OF PROJECT

### 3.1 Evaluation Questions

The key questions which the evaluation will seek to answer are as follows:

1. To what extent is the EPWP implementation design relevant and appropriate?
    - Is the theory of change relevant and credible?
    - Are the institutional configurations appropriate for operations?
  2. To what extent is the EPWP E&C implementation design relevant and appropriate?
    - Is the theory of change relevant and credible?
    - Are the institutional configurations appropriate for operations?
  3. To what extent is implementation of the EPWP E&C sector effective and efficient?
- 3.1.1 To what extent has the EPWP been effective in achieving its aims and objectives?
- What factors influence achievement, or non-achievement of the programme objectives?
  - What systems are currently in place to monitor and report on the E&C sector objectives?

## TERMS OF REFERENCE: ANNEXURE A

- To what extent are M&E systems effective?
- 3.1.2 To what extent has the EPWP-E&C sector been effective in achieving its aims and objectives?
- What factors influence achievement, or non-achievement of sector objectives?
  - What systems are currently in place to monitor and report on sector objectives?
  - To what extent are M&E systems effective?
- 3.1.3 To what extent has the EPWP-E&C sector programmes been effectively implemented? Is implementation relevant and appropriate in terms of the sector guidelines e.g. targeting approaches within the sector, equity and spatial distribution, environmental needs, etc.
- Are the implementation models of the programme suitable and relevant within the EPWP E&C sector in response to the South African context?
  - Has the Programme been cost-effective in terms of funds spent against the achievement of outputs and targets?
4. To what extent are the EPWP institutional arrangements appropriate for coordination and implementation of the programme?
- To what extent are the current institutional arrangements (governance and administration) relevant, effective and efficient?
  - Are the roles and responsibilities of nominated institutions clearly defined and applied by the respective institutions? How enforceable are roles and responsibilities?
  - To what extent is the EPWP coordination and implementation aligned to achieve EPWP targets?
  - How cost effective are institutional arrangements to coordinate the programme?
  - How cost effective are institutional arrangements to implement the programme?
- 4.1 To what extent are the E&C sector institutional arrangements suitable for implementation:
- To what extent are the current sector institutional arrangements (governance and administration) appropriate, effective and efficient?
  - Are the roles and responsibilities of sector institutions clearly defined and applied by the various institutions? How enforceable are roles and responsibilities?
  - To what extent is the sector coordination and implementation aligned to achieve EPWP E&C targets?
  - How cost effective are institutional arrangements to coordinate the sector?
  - How cost effective are institutional arrangements to implement the programme?
5. To what extent is the EPWP E&C sector sustainable?
- To what extent are the funding modalities suitable for the sustainability of the sector?
  - To what extent are the incentive grants enabling EPWP E&C sector programme sustainability?
  - What are the main reasons for the low uptake of beneficiaries in phases 2 and 3 as compared to phase 1 of the EPWP E&C sector?
  - What can be done to ensure sustainability of the sector in order to create more jobs?
  - Are the E&C sectors objectives and outcomes or outputs clear, practical, and feasible within its phasing time frames?
6. What are participants (and recipients of services') views and perceptions on the programmes and do these vary according to age, disability and gender?
7. What are the prevalent social and political conditions that possibly affect the performance of the sector? (possibly PESTEL analysis).
8. Project Implementation and Adaptive Management: Evaluate overall effectiveness of E&C sector programme management as outlined in the Programme Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.

## TERMS OF REFERENCE: ANNEXURE A

- Assess the quality of execution of the Coordination/National Coordination Function(s) and recommend any areas for improvement.
  - Assess the quality of support provided to the E&C sector by the National Department of Environmental Affairs (DEA) and recommend any areas for improvement.
  - Assess the effectiveness of the support from National Public Works (NDPW) to the E&C sector and recommend any areas for improvement.
9. What are the key lessons learnt for improvement and continuation of the EPWP- E&C sector? What best practices have emanated from the programme and to what extent are these replicable or scalable? What are the key recommendations for improvement?

### 3.2 Potential users of the evaluation

Table 1 summarises the main users and how they are likely to use the evaluation results. This is important in conceptualising the consultation during the evaluation and in dissemination of the results.

**Table 1: Main users and stakeholders of the evaluation results**

Stakeholder	Likely use of the results
Implementing bodies	<ul style="list-style-type: none"><li>• Improved planning and implementation of the EPWP E&amp;C</li><li>• Improved reporting on performance</li></ul>
Coordinating Departments	<ul style="list-style-type: none"><li>• Enhancing oversight</li><li>• Improved planning and implementation of the EPWP E&amp;C</li><li>• Improved reporting on performance</li><li>• Better understanding of roles and responsibilities</li><li>• Better understanding of factors that support success or failure of the sector performance</li><li>• Inform policy and decision-making</li><li>• Documentation and informed decision-making</li></ul>
Funding Departments	<ul style="list-style-type: none"><li>• Better understanding of sector performance for informed budget allocation</li></ul>

### 3.3 Scope of the evaluation

#### 3.3.1 Period of review

The evaluation will focus on the 3 Phases of the EPWP E&C implementation period, which is from 2004 to date.

#### 3.3.2 Programmatic themes to be covered

- Sustainable Land-based Livelihoods
- Waste Management
- Tourism and Creative Industries
- Parks and Beautification
- Coastal Management
- Sustainable Energy
- Governance

#### 3.3.3 Geographic coverage

The programme has a national coverage because it is implemented in all the 9 Provinces. Institutions that will be included in the sampling are those who contribute to the implementation of E&C sector objectives.

Given the period within which this evaluation is expected to have generated findings, (September 2018), it is envisaged that the service provider will sample accordingly. It is anticipated that data will be collected in all 9

## **TERMS OF REFERENCE: ANNEXURE A**

Provinces and national Departments to answer all the evaluation questions. Data should be collected at the same time by different teams in order to have finalised analysis and draft findings by September 2018.

This evaluation will be used to inform and design implementation of the fourth phase of the programme. In addition, results from this evaluation, will contribute to a more comprehensive picture of how public employment programmes have been implemented in the country, and the contribution to the outcome of poverty alleviation.

### **4. PROPOSED METHODOLOGY / APPROACH**

The prospective service provider/evaluator should propose an appropriate methodology to respond to the evaluation questions (above). The service provider/evaluator is expected to use both qualitative and quantitative methods to respond to the evaluation questions. The evaluation is expected to follow a collaborative and participatory approach ensuring close engagement with a representative sample of key stakeholders. The evaluation shall provide evidence based information that is credible, reliable, useful and amongst others, the approach should include the following:

#### **4.1 Workshops and development of the theory of change for the EPWP E&C sector**

- Participation in an inception workshop with the steering committee to develop a focused and detailed methodology to address key sub-questions. The service provider will be expected to revise their proposal following the inception workshop (if applicable) and prepare a final inception report for approval.
- Facilitation of a workshop with the steering committee on the theory of change and the development of a logical framework for the intervention as currently conceptualised.
- Test the theory of change in the evaluation to assess whether it is working as intended.
- Towards the end of the evaluation, revise the initial theory of change and logical framework and recommend how the implementation of the EPWP E&C sector should be revised /strengthened.
- Presentation of initial findings, analysis and recommendations to a steering committee, as and when it's necessary and subsequently, a stakeholder workshop. The service provider will utilise the feedback from the workshop to finalise the report and its recommendations.
- The service provider should note that the final report will be approved when all the steering committee members, and the peer reviewers, are satisfied with it.

#### **4.2 Document and literature review**

The document review will include an analysis of the (1) Grey and published literature on the programme, (2) Reports generated from the database and websites (including performance reports, incentives report, beneficiary information, annual reports, etc.), and (3) An analysis of the legislative and policy frameworks and guidelines pertaining to the programme.

These will be analysed in order to ascertain progress made since the inception of the programme, as well as show the contribution towards the overall objective of the programme.

The Department of Environmental Affairs and Department of Public Works will make the relevant EPWP data available to the appointed service provider.

A comparative literature review should be conducted. This should include a comparative analysis between South Africa and two other similar middle income countries implementing a similar programme. This should result in a suggested analytical framework to be used in the evaluation, guiding the report outline, and development of research instruments.

#### **4.3 Scoping/ Scoping Review**

Service provider to do a scoping of the sector challenges and identify the key issues that will include a validation workshop by the provinces and national departments; and produce a report.

#### **4.4 Piloting of data collection instruments**

The service provider to pilot the data collection instrument and provide a revised methodology including revised data collection instruments based on the piloting and outcome of the scoping exercise.

## TERMS OF REFERENCE: ANNEXURE A

### 4.5 Data collection

Service provider to collect data in all the 9 provinces as per the approved methodology and revised tools resulting from the pilot; and submit the fieldwork report. Data collection may include the following:

#### 4.5.1 Interviews

Conduct a number of face-to-face interviews, and focus groups with a range of stakeholders who are involved in the implementation of the EPWP E&C sector, or any other EPWP sector if necessary. A survey may be undertaken to collect data from other sector players and beneficiaries of the sector programmes.

#### 4.5.2 Quantitative and Qualitative analysis

Use quantitative analysis across all the sector programmes or thematic areas where possible. Detailed financial analysis will also be expected in order to track expenditure and its relation to performance of the sector. An expenditure analysis of other EPWP sectors may be necessary for a comparative analysis.

### 4.6 Learning processes

Reflective processes with interviewees, and a stakeholder validation workshop to reflect on lessons, emerging findings and how future planning and implementation for EPWP E&C sector can be improved.

Note: Though an evaluation approach has been suggested, this does not preclude a service provider from recommending a different methodological approach considered more responsive or more innovative. Should a service provider apply the approach provided in the ToRs, the service provider will be expected to propose a detailed methodology (innovation and creativity in this regard will be an added advantage).

## 5. DELIVERABLES AND TIME FRAMES

### 5.1 Products/ deliverables expected from the evaluation

The deliverables include the following:

- **Inception Report** by the service provider as a follow-up revised proposal with a revised evaluation plan, overall evaluation design and detailed methodology, including an analytical framework, and content structure for the final report. This forms the basis for judging the effective implementation of the intervention
- **Theory of change** for the intervention as it is currently operating and outline log frame –based on existing programme documents and on a workshop with relevant stakeholders
- **Document review** (collect information and data based on management monitoring reports, quarterly monitoring reports, relevant legislation, etc.)
- **Literature review** (including comparison with other developing countries, and review of policies and legislation)
- Report structure, analytical framework, final data collection instruments and other tools
- **1<sup>st</sup> Draft full evaluation report** for review with findings, recommendations and proposed revised theory of change and logframe, using the DPME template
- A workshop with stakeholders to discuss the draft report and refine recommendations
- The **2<sup>nd</sup> draft final evaluation report**, both full and the 1<sup>st</sup> draft of the 1/5/25 format –in Word format, using the DPME template
- The **final evaluation report**, both full and in 1/5/25 format – in Word and PDF format
- Provision of all **datasets**, metadata and survey documentation (including summaries of interviews) when data is collected, which has been anonymised for confidentiality
- A **PowerPoint** or audio-visual presentation of the results and the service provider will have to present the final report to the evaluation steering committee as well as senior management of DEA
- **Photographs** from the field visits indicating the activities of the intervention

The full report may be up to 100 pages in length excluding appendices. The 1/5/25 report includes a one page policy summary of implications for policy, a five page executive summary of the whole report and a 25-page main report (Arial 11 point, single space, exclusive of appendices). The 1/5/25 is what will be distributed widely, but

## **TERMS OF REFERENCE: ANNEXURE A**

both reports will also be posted on the website. There is a standard template which should be used for the reports. All deliverables will be subject to peer review and a post evaluation quality assessment process.

### **5.2 Budget and payment schedule**

Funding for this evaluation will be provided by DEA and DPME, and payments will be effected by the DPME. The payment schedule is illustrated in Table 2 below.

**TERMS OF REFERENCE: ANNEXURE A**

**Table 2: Deliverables and Timeframes**

The service provider should produce the implementation plan indicating the milestone against the deliverable. The evaluation will start October 2018 and should be completed by June 2019. The service provider should produce the implementation plan indicating the milestones against the deliverables in **Table 2** below.

<b>Deliverable</b>	<b>Outcome</b>	<b>Likely delivery date</b>	<b>% of project (Payment)</b>
1. Approved Inception report (including capacity development plan), and service provider contract signed	Service provider to provide an inception report on how the study will be conducted	October 2018	3%
2. Theory of Change developed	Service provider to engage with the provinces and national departments through a workshop to review and refine the TOC for the sector.	October/November 2018	
3. Approved Literature review and document review including international comparative study and analytical framework	Service provider to conduct a systematic literature review of the sector inclusive of international case studies.	November 2018	12%
4. Approved Scoping / Scoping Review	Service provider to do a scoping of the sector challenges and identify the key issues that will include a validation workshop by the provinces and national departments; and produce a report	November 2018	20%
5. Approved report structure, analysis plan, detailed methodology including final data collection instruments, and other tools	Service provider to provide a revised methodology based on what the outcomes of the scoping exercise was on how the project will progress going forward including the piloting of the tools that would be developed and training of fieldworkers.	December 2018	20%
6. Data collection and submission of fieldwork report	Service provider to collect data in all the 9 provinces as per the approved methodology and revised tools resulting from the pilot; and submit the fieldwork report	January-March 2019	
7. Submission of the 1 <sup>st</sup> draft full evaluation report	Service provider to conduct the analysis, writing up. Also the service provider needs to conduct the validation workshops and finalisation of the report and presentation of findings.	March 2019	
8. Validation workshop of the emerging findings and 1 <sup>st</sup> draft evaluation report		April 2019	
9. Submission of the 2 <sup>nd</sup> draft full and 1 <sup>st</sup> draft 1/5/25 evaluation reports including proposed revised theory of change and logframe		April 2019	

**TERMS OF REFERENCE: ANNEXURE A**

10. Approval of the final full and 1/5/25 evaluation reports including proposed revised theory of change and logframe		May 2019	30%
11. Service provider presentation to DEA EXCO or any other management forums		June 2019	
12. Project close out	Project close out meeting and handover of all datasets, metadata and survey documentation, PowerPoint presentation, photographs, etc.	June 2019	15%



## 6. PROJECT MANAGEMENT / REPORTING ARRANGEMENTS

### 6.1 Management arrangement

The bid proposal submitted by the bidder must include a detailed project plan. As summary of deliverable dates must be included in Annexure B3. The start of the project will depend on the DPME procurement process. The total duration of the project as indicated in the bidder's proposal is binding (except for delays due to circumstance beyond the bidder's control).

The service Provide shall be managed by DPME together with the Chairperson of the Steering committee supported by the Project Steering Committee that shall be responsible for the sign off for the deliverables submitted. The steering committee will be chaired by DEA and the secretariat role will be provided by DPME.

#### 6.1.1 The role of the steering committee:

- a. Recommend approval of the terms of reference for the evaluation
- b. Approve peer reviewers and technical resource persons to be co-opted into the steering committee through a formalised process and based on capacities and skills identified by the same
- c. Evaluate proposals and provide the assessment of these on functionality criteria to the commissioning department (DPME), recommending those who pass the minimum standard. The commissioning department will then complete the selection process
- d. During the inception phase, review the proposal by the service provider and recommend changes in approach, methodology and format
- e. Review the inception report, consider comments from peer reviewers, recommend changes if needed, and approve the inception report
- f. Approve the project plan for the evaluation
- g. Provide feedback on the methodology of the study
- h. Approve data collection instruments and tools
- i. Provide feedback on draft reports, including comments from peer reviewers to the service provider, and a workshop with stakeholders if appropriate
- j. Approve the final report as a satisfactory evaluation report that fulfils the requirements reflected in the terms of reference
- k. Provide feedback on recommendations emanating from the reports produced
- l. Report back to their principals on all key decisions made by the committee

### 6.2. Reporting arrangements

The evaluation project manager to whom the service provider will report is Ms Noqobo (Nox) Chitepo, [Nox@dpme.gov.za](mailto:Nox@dpme.gov.za) / 012 312 0204.

## 7. PEER REVIEW

National and/or international peer reviewers will be contracted to support the assignment. Refer to the DPME Guideline on Peer Reviewers; from the DPME website for more details.

## 8. QUALITY ASSESSMENT

Once the final evaluation report has been approved, the evaluation will be quality assessed by independent assessors, using a methodology based on the national evaluation standards. These standards and an example of the quality assessment can be found on the DPME website.

## 9. OTHER

None

