

# Approach to National Evaluation ( 2019-2024)

3 October 2018



planning, monitoring  
& evaluation

Department:  
Planning, Monitoring and Evaluation  
REPUBLIC OF SOUTH AFRICA



# Presentation Outline

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# Background

- (NEPF) was approved by Cabinet on 23 November 2011 ***to improve the relevance, effectiveness, efficiency, impact and sustainability of government's interventions***



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# Processes leading to the development of NEPF

## 2007: Policy framework for the GWM&E system approved

- The GWM&E consisted of three areas of work, of which one was evaluation.

## 2010: DPME was established in the Presidency

- Ministry established in 2009, DPME established in 2010 as custodian of M&E .

## 2011: DPME's services expanded to include an evaluation system

- An initial consultation held with departments already undertaking evaluations.
- Study tour to Mexico, Colombia and the United States of America (USA), included (DBE, DSD, PSC), the DPME's Deputy Minister, and the DPME's DG.
- "Write shop" was held with the travel team and key evaluation figures
- Draft Policy framework was sent out for consultation in September 2011.

## NEPF Approved by Cabinet in November 2011.

DPME's Evaluation and Research unit (ERU) was established in September 2011

## 2011 -12 :Pilot evaluation conducted on Early Childhood Development

Evaluation completed in June 2012 with the first guideline drafted, on TORs)

## 2012 : First National Evaluation Plan approved in June 2012 ( with 8 evaluations)

# Why Review the National Evaluation Policy Framework

- South Africa's National Evaluation System has evolved significantly since its formal inception in 2011
- There is a need to revise the policy in the light of the experiences/ learnings over the past seven years;
- To implement key findings of the NES study;
- To keep abreast of new methodologies and developments
- Other components of the NES will be reviewed too, such as guidelines.

# Current Approach – ownership, credibility, learning and use



## To ensure **ownership and use**:

- Departments participate in the evaluation process, from the design to the validation of findings , recommendations and improvement plans
- System largely voluntary : DPME issues a call for proposals and departments propose evaluations.
- Evaluations are managed collaboratively and in partnership with departments through Steering Committees (collaborative mechanism)
- Partnership includes co-funding
- Improvement plan system – tracked every 6 months

# Current Approach – ownership, credibility, learning and use

## To ensure **independence**:

- Independent external service providers undertake the evaluation, reporting to the Steering Committee
- The Steering Committees makes decisions on evaluation not department

## To ensure **learning and not punishment**:

- Emphasis on promoting learning not compliance, fault finding and punishment
- The problem is not to make mistakes but not learning from your mistakes

# Current Approach – ownership, credibility, learning and use

## Ensure **quality**:

If the evaluation is technically and methodologically sound and generally of good quality, programme owners are likely to believe in the findings and therefore use the evaluation;

- Design clinic with top national and international evaluators ;
- Peer reviewers (normally 2) per evaluation
- Comments by DPME evaluation team and entire Steering Committee
- Panel of service providers (now abolished)
- Conduct Evaluation Quality Assessment once completed – must score  $>3/5$



# Achievements and benefits to date

- The National Evaluation System has evolved over the past 7 years and generally entrenched in some departments – also recognized as one of the best in Africa
- Evaluation findings are discussed at Cabinet – positive feedback received;
- Some evaluations at improvement development stage have been used – policy guidelines have been reviewed.
- 67 NEP evaluations commissioned, linked to government priorities and National Development Plan
- 8 provinces have Provincial Plans covering 181 evaluations;
- 60 departments have Departmental Plans;
- A suite of 8 courses offered to more than 5000 officials
- **27 Guidelines and templates** on various components of the system developed

# Limitations and challenges

**Heavy reliance on outsourcing model .**

**Delays with evaluations.**

**Inadequate supply of skilled evaluators within and outside government**

**Departments fearing the findings**

**System voluntary** Some departments/ sectors not proposing evaluations

**impact evaluations failing to take off**

**Evaluations not used, weak improvement plan system**

**Very few Economic Evaluations, Synthesis and Impact Evaluations.**

**Poor programme planning, design and implementation .**



# New Approach: Key Features

- Retention of elements of the system that are working for example:
  - Quality of evaluations (peer review mechanisms, steering committees, quality assessment system, use of guidelines)
  - Management response and Improvement plan mechanism (but needs to be strengthened)
  - Suite of evaluations

# New Approach: Key Features

Refining areas that are not working/ introducing new operating mechanisms, based on past experiences and the NES evaluative evidence .

1. **Hybrid model** (which includes the old and new approaches). Examples:
  - **Insource model:** evaluations to be undertaken by internal departmental staff - particularly in implementing **rapid evaluations** so as to be responsive to urgent/burning issues
  - **Outsource** (or partially outsource) a few large National Evaluation Plan Evaluations;
  - **Select/identify evaluations centrally** (shouldn't be purely voluntary ) - DPME will however still invite proposals from departments (hybrid). Clear selection criteria to be based on the approved NDP 5 year plan, developmental priorities and other relevant plans at various spheres of government

# New Approach: Key Features

## 2. Need a broad picture:

- Participate in developing Sectorial Reviews.
- Undertake evaluation synthesis:
  - within each sector
  - cross cutting issues: e.g. what are the common factors affecting policy implementation and use
  - Use evidence based on DPME's proposed Integrated M&E System to inform synthesis
- Increase impact evaluations & economic evaluations

## 3. Improve use:

- Link up evaluation to planning, monitoring & budgeting (integration critical for effectiveness), including:
  - Ensuring that evaluations inform the mandate paper (budget prioritisation and allocation); and a portion of programme budgets to be earmarked for evaluation

# New Approach: Key Features

## 3. Improve use (continuation):

- Strengthen improvement plan (IP) system (integrate with planning and reporting) and shorten finalisation. Timing of evaluation essential for use.
- Incorporate IP actions in performance agreements
- **Use legislation** to support efforts to use evaluations, for example:
  - current legislation, Section 38(a)(4) of the PFMA states that “every accounting officer must establish evaluation systems to evaluate all major capital projects.”
  - The Integrated Planning Framework Bill (currently provides for evaluations)

# New Approach: Key Features

## 4. Extend scope and applicability:

- Introduce the NES at local government and SOEs
  
- Proposal:
  - COGTA to lead on Municipal Evaluation Plans and
  - Department of Public Enterprises, National Treasury and “mother departments” to lead on SOE Evaluation Plans.
  - DPME is to provide support to these departments

# New Approach: Key Features

## 5a. Capacity Development (internal):

- Aim for developing **internal capacity** within departments to undertake evaluations – need a **Capacity Development Strategy**
- Use **innovative & latest methodologies** “Fourth Industrial Revolution” over and above traditional courses e.g. virtual courses
- Promote **sustainable learning**:

*“If you give me a fish you have fed me for a day  
If you teach me to fish then you have fed me until the river is  
contaminated ...*

*But if you work with me to organize, then whatever the  
challenge, I can join together with my peers and we will fashion  
our own solution” Stephen Porter*

This also applies to Evaluation ...



# New Approach: Key Features

## 5b. Capacity Development (external):

Support initiatives to **transform and increase access into the evaluation sector/expertise** for the following groups:

- SMMEs in the evaluation sector in collaboration with DSDB, SEDA and SEFA;
- Graduates/ postgraduate students (including the unemployed graduates);
- Women and people with disabilities; and
- Retired former senior public servants e.g. DDGs, DGs and Ministers
- **Form linkages/partnerships/coalitions** (locally and internationally) around capacity development
- Community of Practice and peer to peer learning critical

## 6. Gender Responsiveness:

- Refine various elements of the system to be gender responsive

***Immediate capacity implications for implementing new methodologies eg Rapid evaluations? Insourcing model/undertaking internal evaluations?***

***Stakeholder buy in and Funding***  
***Implications regarding evaluations that are identified centrally by DPME, NT and OTPs and PTs (Issues around authority to accept or reject proposed evaluations & availability of funding?) How to ensure cooperation and use? , Will these be managed by Steering Committees? etc***

**New approach: Key areas for consideration**

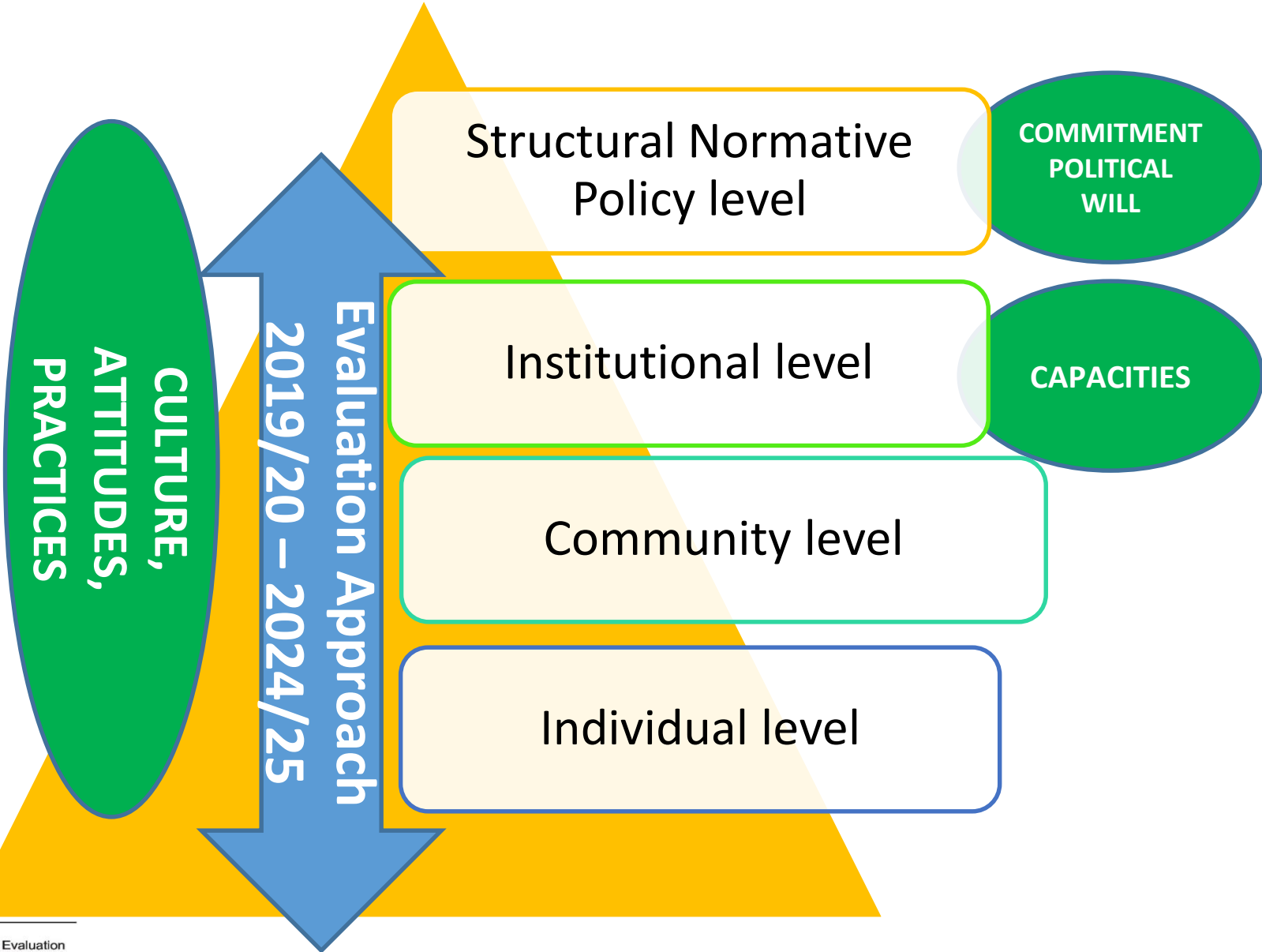
***Implications (and feasibility) for extending the scope and applicability of the Policy to local government and SOES?***

***Implementation of the best model for linking up evaluation to planning, monitoring and budgeting (integration)***

***Strategies for increasing access to women, youth/unemployed graduates, retired senior managers and people with disabilities.***

***Practical steps to ensure that the system is gender responsive***

# Change Management: requirements



# Critical success factors

## Warnings for a successful Evaluation System (Mckay, 2007)

### Enabling Conditions

(Infusing evaluative thinking and culture), address resourcing and capacity to undertake evaluations

**Importance of incentives, including using hard, soft authority effectively to enforce change**

**Utilisation is the measure of success**

Substantive government demand as a prerequisite for institutionalisation

**Be careful not to reengineer the system;**

Courage to re-think processes completely

**Clear and effective implementation Strategy (phased approach)**

Experimenting, piloting and upscaling



# Questions for the Forum

## Three thematic areas:

- Strengthening use of evaluations
  - Undertaking evaluations
  - Capacity development within government
1. What worked well and how?
  2. What do we need to take forward from our experiences from 2011 – 2018? What is it that we need to improve on?
  3. How do we work together to improve on these challenges? How the members of the forum plan to collaborate with DPME in taking evaluations forward?

NGIYATHOKOZA DANKIE KE A LEBOGA  
NGIYABONGA  
NDIYABULELA  
INKOMU NDI KHOU  
LIVHUHA

*Thank you*



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