



planning, monitoring
and evaluation

Department:
Planning, Monitoring and Evaluation
REPUBLIC OF SOUTH AFRICA

Department of Planning, Monitoring and Evaluation Departmental Evaluation Plan 2016/17 – 2019/20

30 September 2015

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Foreword

Evaluations are important if departments are to learn which of their interventions are working and what are not, what impacts these interventions are having, and how they can be strengthened. As such they need to be part of their standard operating procedures. Evaluations should be used to inform ongoing strategic management and decision-making of departments around policy implementation, programmes and projects, and should inform plans and budgets.

Previously we have included DPME evaluations in the National Evaluation Plan. This is our first departmental evaluation plan, where we also systematically think through what evaluations we want to undertake across DPME over the next few years. We look forward to an exciting year of learning from our own evaluations to improve our performance.



Mr Tshediso Matona
Acting Director-General of Planning, Monitoring and Evaluation
30 September 2015

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Glossary

3ie	International Institute for Impact Evaluation
DDG	Deputy Director-General
DEP	Departmental Evaluation Plan
DEWG	Departmental Evaluation Working Group
DG	Director-General
DPME	Department of Planning, Monitoring and Evaluation
ERU	Evaluation and Research Unit, DPME
MPAT	Management Performance Assessment Tool
NEP	National Evaluation Plan
NEPF	National Evaluation Policy Framework
PEP	Provincial Evaluation Plan

1 Introduction

1.1 Background

The Departmental Evaluation Plan (DEP) has been prepared to outline the priority evaluations to be undertaken in the next three years i.e. 2016/17 to 2017/18 in the Department of Planning, Monitoring and Planning (DPME). The plan is in line with the new Management Performance Assessment Tool (MPAT) requirement for all national and provincial departments to have a formalised and structured evaluation process. All departments are required to develop a DEP that will outline the extent of capacity, organisation and implementation of evaluations that inform programme, policy, plans and system design. The standard is in its piloting phase and as the custodian of the National Evaluation System (NES) we are driving the process forward and providing what we hope will be a model DEP.

The NEPF envisages a National Evaluation Plan (NEP) which is updated annually including the key interventions across government which are seen as a national priority. These are those that are large (in budget or footprint), link closely to the priority outcomes, are strategic or innovative, or address topics which are of considerable public interest. Selection in the Plan means support from Cabinet that the topic is important, that the guidelines and minimum standards being developed for the National Evaluation System must be used (for an example that an improvement Plan must be produced), that the evaluation will be made public, and that DPME will support the department concerned to ensure that the findings are implemented. Selection of the evaluations is undertaken by a cross-government Evaluation Technical Working Group. The first National Evaluation Plan developed for 2012/13 covered eight evaluations, the 2013/14 and 2014/15 National Evaluation Plans each had 15 evaluations.

A National Evaluation Plan summarises the evaluations to be taken forward as national priorities. Provinces are also developing Provincial Evaluation Plans (PEPs) to support provincial priorities, and national and provincial departments are developing departmental evaluation plans (DEPs). Some evaluations in departmental evaluation plans may also be proposed for support under provincial or national evaluation plans.

In all cases departments and provinces are using the guidelines and minimum standards as part of the National Evaluation System (NES).

Evaluations can focus on policies, plans, programmes, projects, systems.

1.2 The main functions of the Department of Planning, Monitoring and Evaluation

DPME has the following key mandates:

- Long-term and medium-term planning to develop and support implementation of the National Development Plan and Medium-Term Strategic Framework
- Monitor and evaluate the implementation of the NDP and MTSF
- Monitor the performance of individual national and provincial government departments and municipalities
- Monitor frontline service delivery
- Manage the Presidential Hotline
- Carry out evaluations
- Promote good monitoring and evaluation practices in government

As well as being the custodian of evaluation nationally, evaluations of DPME's own programmes can contribute to the fulfilment of the departmental mandate.

1.3 DPME's approach to evaluation – using the National Evaluation System

The Department's approach to evaluations is guided by the National Evaluation Policy Framework (NEPF) which was approved on 23 November 2011. This set out the approach in establishing a National Evaluation System for South Africa. It sought to address the problem that "evaluation is applied sporadically and not informing planning, policy-making and budgeting sufficiently, so we are missing the opportunity to improve government's effectiveness, efficiency, impact and sustainability". The underlying purpose is:

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

The NEPF focuses on different government interventions including policies, plans, programmes and systems. The general term used is an intervention, which can be any of these. It envisages evaluation as a process carried out throughout the intervention lifecycle, including prior to development of an intervention (a diagnostic evaluation), to confirm the design (design evaluation), to assess progress and how implementation can be improved (implementation evaluation), to assess impact (impact evaluation), and to see the relationship between costs and benefits (economic evaluation).

The rest of this section summarises some key elements of the NES which DPME is using as its approach to evaluation. There are 19 guidelines developed by DPME which support each of the different stages. There is considerable emphasis on independence and quality, so that evaluations are credible. This happens through the use of steering committees, evaluators selected from a panel, peer reviewers, role of departmental evaluation staff to ensure quality; independent quality assessment on completion. Evaluations (and research) may be done externally through contracted service providers (more credible as distanced from management), or internally through departmental evaluation

staff. If done internally it is very important that systems are put in place to ensure they are not unduly influenced by management, who may not like the findings. At this stage it is proposed to do all evaluations externally.

Once completed reports are tabled at strategic management or Exec meetings. Once the evaluation is completed, an official management response to the recommendations should be obtained from management, and an improvement plan drawn up, implementation of which is then monitored for at least two years to ensure that changes are being made. They will be monitored by the Evaluation and Research Unit of DPME. In principle evaluations are made public, will be tabled at the portfolio committee and placed on the departmental website.

The DEP will be rolled annually, with the timing linked to the budget process to enable budgeting for evaluations, at the same time as considering any to submit to be considered for the multiannual National/Provincial Evaluation Plan.

2 Purpose of the Departmental Evaluation Plan (DEP)

The purpose of DPME's Departmental Evaluation Plan is to provide details of evaluations approved by the department as priority evaluations to undertake over a four year period i.e. 2016/17 to 2018/19, which are linked with the budget process.

3 Linkages to wider evaluation plans and systems

3.1 Linkage to national evaluation plans

DPME evaluations may also be part of national evaluation plans, in which case they are also identified as national priorities, and funded by the DPME, who are partners throughout the evaluation. Criteria for selection in the NEP include their importance in terms of the 14 outcomes of the medium-term strategic framework (MTSF), as well as departmental priorities.

3.2 Linkage to planning

The Department will ensure that evaluations are used to inform planning and budgeting. The Evaluation and Research Unit will collaborate with the Office of the Director-General in the development of the department's strategic plan and annual performance plan to ensure evidence from the evaluations is used to inform planning.

4 Departmental evaluation system

4.1 Roles in the department to support evaluation

In terms of the DEP Guideline, key to the successful implementation of the departmental evaluation plan is to put in place an evaluation system. The Evaluation and Research Unit will be the custodian of the system. A Departmental Evaluation Working Group (DEWG) will be established to oversee the evaluation system and support it across the department.

The DEWG will be chaired by the DDG: Outcome Monitoring and Evaluation, with secundo the Head of Evaluation and Research. It will include officials from the DG's office responsible for planning, programme managers, the CFO, ERU staff who will offer evaluation technical support.

The DEWG will be responsible for:

- Launching the annual process for selection of evaluations;
- Undertaking the selection and proposing to Exec and DG for approval;
- Ensuring that there is departmental buy-in and support for the evaluation system;
- Ensuring that appropriate resources are made available to support the system, and that part of implementation programme budgets are being allocated to regular evaluations; Ensure that the types of evaluation proposed are appropriate and balanced for departmental needs;
- Consider progress reports on implementation of the improvement plans;
- Make proposals for changes to plans and budgets based on evaluation findings.

The Evaluation and Research Unit will be responsible for the following:

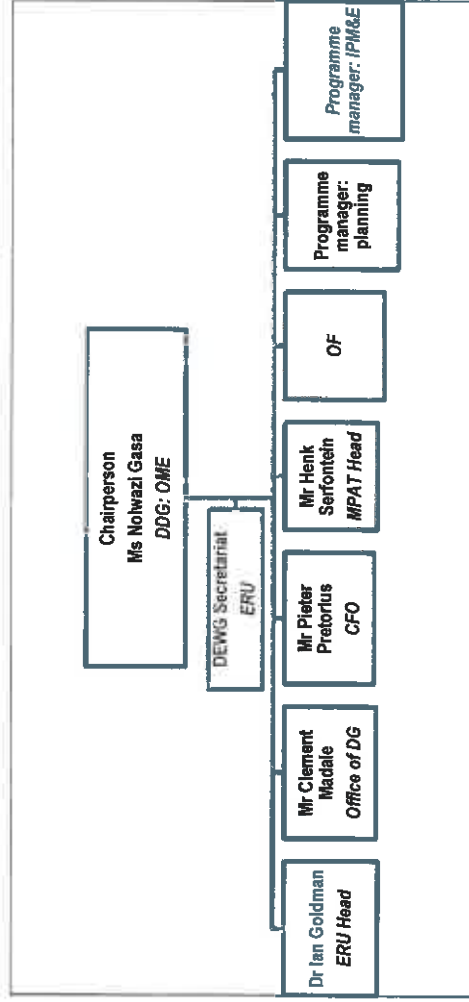
- Perform the secretariat function for the DEWG;
- Develop and update on an on-going basis the systems for the departmental evaluation system, starting with the Call/Concept;
- Issue a call/concept for evaluations and assist branches to prepare concept notes;
- Draft the Departmental Evaluation Plan;
- Maintain a repository of evaluations undertaken in the department;
- Provide the secretariat for all evaluations, with the relevant programme manager chairing a steering committee which could involve external stakeholders for purposes of oversight and project management;
- Undertake quality control of all evaluations undertaken for the Departmental Evaluation Plan
- Part-fund evaluations in the DEP and possibly fund evaluation capacity development ;
- Ensure that evaluations are planned in line with the programme life cycle and aligned with the departmental planning processes (Strategic plan, annual plans, etc.);
- Ensure that evaluation data sets are centrally stored for access (information management).

Departmental programme managers shall:

- Propose policies, programmes or systems to be evaluated;
- Chair evaluation steering committees;
- Support the process of evaluation, providing suitable respondents, data, access to reports etc;
- Develop a management response to the findings of the evaluations;
- Decide on modalities for, and encourage wider dissemination of evaluation results;
- Develop improvement plans and implement the findings of the evaluation.

Figure 1 illustrates the proposed structure for the DEWG and Annex 1 has the proposed TORs. Annex 2 has a responsibility matrix indicating the roles of a range of departmental stakeholders. Annex 3 has the proposed template for concept notes, to be used in 2016 for evaluations proposed for the 2017/18 plan and after.

Figure 1: Structure of DEWG



4.2 Departmental evaluation cycle

The annual cycle for developing the evaluation plan is shown in Figure 2 below. For the first year the cycle has had to be in time for the MPAT assessment process. Table 1 below, provides a detailed outline of the cycle for the 2017/18 financial year.

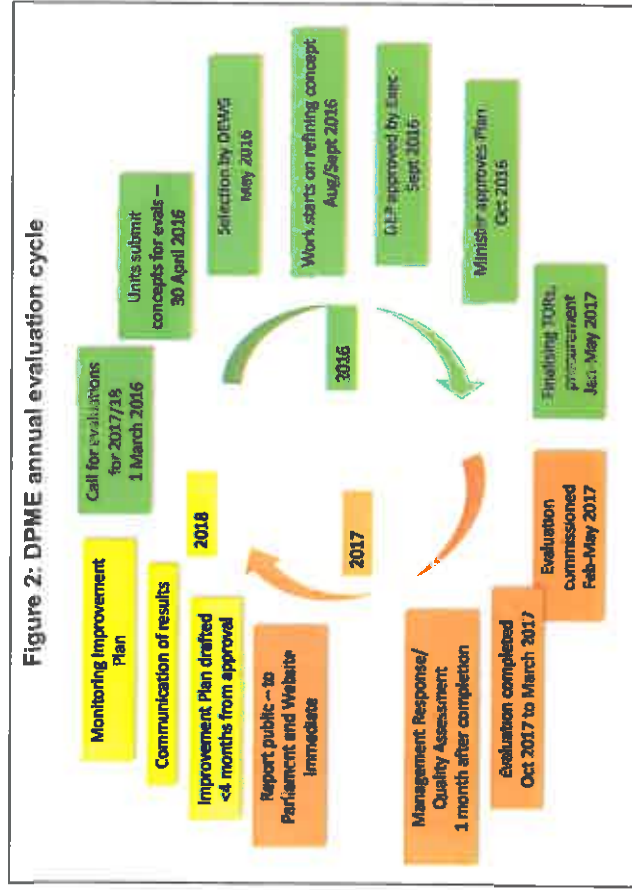


Table 1: Unpacking the evaluation cycle

Phase 1: Preparing the DEP			
Action	Responsibility	Timeline	
Call for proposals	ERU	1 March 2016	
Writing workshop for concept notes	ERU	1 April 2016	
Concept notes received	ERU	30 April 2016	
Concept notes prioritised/selected	DEWG	15 May 2016	
Meet with Exco to agree	DEWG	30 May 2016	
Departmental evaluation plan drafted	ERU	Mid June 2016	
DEP submitted to EXCO for approval	ERU	End June 2016	
Evaluation included in budgets	CFO	30 June 2016	
DEP signed off by DG	DG	End July 2016	
Theory of change workshops/design clinics	ERU	August/Sept 2016	
Phase 2: Undertaking the evaluation (assuming external)			
Action	Responsibility	Timeline	
Terms of Reference completed	Programme manager	January 2017	
External SPs	SCM	1 February 2017	
Call for proposals from service providers out	Programme manager	8 February 2017	
Bidders briefing	SCM	22 February 2017	
Bids received	SCM	8 March 2017	
Bidders presentation	Programme manager/M&E	8 March 2017	
Service provider selected	Bid Committee	8 March 2017	
Service provider appointed	DDG/PM	15 March 2017	
Inception report submitted (for an internal evaluation this will still be needed but may be different)	Evaluator	29 March 2017	
Draft report	Evaluator	30 September 2016	
Stakeholder validation workshop	Programme Manager	30 September 2016	
Final report	Evaluator	15 November 2016	
Final report approved	Steering Committee	30 November 2016	

Phase 3: Follow-up		
Action	Responsibility	Timeline
Management response	DDG/Head of the unit/CD	15 January 2018
Recommendations workshoped and improvement plan developed	DDG/Head of the unit/CD	31 March 2018
Communication plan developed	DDG/Head of the unit/CD	31 March 2018
Improvement plan signed off	DG	31 March 2018
Recommendations included in budget	DDG/Head of the unit/CD	30 June 2018
Improvement Plan implemented		2 years following approval of Improvement Plan

5 Departmental evaluations undertaken in the last 3 years

There are four evaluations that have been undertaken by the Department/Presidency in the past three years which in the absence of a DEP were included in the three NEPs.

5.1 Evaluation of Government Coordination Systems

The Presidency commissioned the evaluation of the performance of coordination systems in government, both technical and ministerial, and to see how to strengthen their effectiveness. It was part of the 2013/14 NEP. The evaluation focused on clusters, MinMECs and outcome Implementation Forums (IFs). The evaluation pointed to significant problems in the performance of these structures, with too much time spent on reporting and process issues and not enough on problem solving, and insufficient attendance by DGs. Recommendations included reducing the number of meetings, strengthening secretariat capacity, strengthening the role of the Presidency, refining the TORs of the structures and strengthening leadership. The final report was approved on 27 January 2014 and tabled at FOSAD in February 2014. The final report was approved by Cabinet in October 2014 and the improvement plan by FOSAD Manco in June 2015.

5.2 Evaluation of the Presidential Intervention in King Sabata Dalindyebo municipality

DPME supported a Presidential Intervention in KSD municipality in 2013, which included a range of interventions in the area, including water, roads etc. This evaluation was not part of a NEP. The report was approved in 2014.

5.3 The Implementation Evaluation of the Outcomes System

This evaluation was part of the 2013/14 NEP. The purpose of the evaluation was to assess whether there are early indications that the outcomes system is having an effect on service delivery and the performance of government and why. It aimed to understand, how implementation is happening, internal and external factors promoting or limiting proper operation of the Outcomes System, and how it can be strengthened, including changes to the system design and key linkages, how linkages with other cross government priorities can be improved. The evaluation also assessed whether government is focused on achieving the expected real improvements in the lives of citizens rather than just carrying out functions and delivering outputs. The evaluation had to be terminated for contractual reasons with the service provider but may be included later.

5.4 Evaluation of Management Performance Assessment Tool (MPAT)

MPAT is an institutional self-assessment tool applied by DPME, to assess the quality of management practices in all 156 national and provincial departments. MPAT supports the achievement of Outcome 12 'An Efficient, Effective and Development Orientated Public. The assumption is that improved management practices are the key to improving government performance and service delivery. There are 31 standards in four management performance areas namely, Strategic Management, Governance and Accountability, Human Resource Systems and Financial Management. Lessons from international experiences indicate that such methodologies can make a significant contribution to improving the performance of government, particularly if the leadership of the departments being assessed take ownership of the assessment process and implement and monitors improvement plans. The evaluation was part of the 2014/15 NEP and drew on lessons of the first 3 cycles of implementation of MPAT to see how to improve its operation and impact. The report was approved X and went to Cabinet in October 2015.

5.5 Impact/implementation evaluation of the Strategic Planning/APP system

The strategic plan/APP system is the basic system underlying all national and provincial departments' planning and reporting and DPME has been responsible for the system since 2014. The system was implemented at national level in 2010, and does not fit smoothly with some of the other systems that have been developed, such as the outcomes. Some departments report problems with the system. This evaluation aims to inform ways to strengthen the system. It started in September 2015. The evaluation is part of the 2015/16 NEP.

5.6 CBM

There is growing distance between citizens and the government. This is seen through the outbreaks of violence in some community protests. There are also concerns that communities are not being listened to seriously." (NDP:37). Involving citizens and civil society in monitoring service delivery has the potential to create spaces for this 'listening' to happen, and for this to incentivize improved performance in the state system.

How to do this at scale is a question that DPME is trying to answer through its emerging citizen-based monitoring programme. This was conceptualised in the Framework for Strengthening Citizen-Government Partnerships for Monitoring Frontline Service Delivery, approved by Cabinet in 2013. It aims to support government to strengthen the involvement of citizens in monitoring service delivery. The three focus areas are: (i) policy interventions to support take-up of citizen-based monitoring (ii) a pilot/prototyping process to develop a citizen-based monitoring method for frontline service delivery and (iii) a knowledge sharing focus that aims to provide platforms and opportunities for government and civil society. The pilot is in its second phase and will conclude in September 2015. The suitability of DPME's approach, and whether this should be taken to scale, is being assessed through an implementation evaluation, which started in January 2015 and the draft report was received in September 2015.

Table 2: Evaluations undertaken in the past three years

Table 2: Evaluations undertaken in the past three years

Programmes	Title (include type of evaluation in the title)	Focus (purpose) of evaluation	Status	Date of Completion	Implementation of findings (progress)
	Evaluation of Government Coordination Systems	Clusters, MinMecs & IFs	Completed	2014/15	Improvement Plan Progress Report due December 2015
2 Outcomes Monitoring and Evaluation					
Outcomes monitoring	Implementation Evaluation of the Outcomes System	Assess the effect of the system on service delivery	Terminated		
Siyahlola	Evaluation of the Presidential Intervention in King Sabata Dalindyebo municipality	Interventions in the KSD Municipality	Completed	2014/15	
3 Public Sector Oversight					
MPAT	Implementation Evaluation of Management Performance Assessment Tool (MPAT)	Draw on lessons of the first 3 cycles of implementation of MPAT	Completed	2015/16	
FSD	Implementation Evaluation of the Citizen Based Monitoring Model	Assess the suitability of DPME's approach, and whether this	Underway	2015/16	

Programmes	Title (include type of evaluation in the title)	Focus (purpose) of evaluation	Status	Date of Completion	Implementation of findings (progress)
4 Planning M&E Systems Coordination and Support	Impact/Implementation evaluation of the Strategic Planning/APP system	should be taken to scale Inform ways to strengthen the system	Underway	2015/16	

6 Summary of evaluations proposed for 2016/17 to 2017/18

6.1 Criteria and process used for selection for the Departmental Evaluation Plan

The Department uses the following criteria for selecting evaluations indicated in Box 1.

Box 1 : Criteria used for selecting evaluations for the DEP

- 1 Interventions are a departmental priority.
 - Linked to the Departmental Mandate
 - Linked to the MTSF.
 - Strategic, where it is important to learn
2. Have not been evaluated recently;
3. Are at a critical stage where decisions are to be taken for which an evaluation is needed, and so it is important that it is evaluated now?
4. Ideally have monitoring data that can be used including background and previous documented performance, current programme situation;
5. Have a potential budget for evaluation from DPME or donors.

6.2 Summary of evaluations proposed for the Departmental Evaluation Plan

Table 3 summarises the evaluations that are proposed for the four financial years covered by this Plan, those which are submitted for the National Evaluation Plan and those which are undertaken internally. These should be budgeted for in the budgets of the respective programmes.

Table 3: Summary of proposed evaluations for 2016/17 to 2019/20

Branch/ champion	Name of intervention to be evaluated	Title of evaluation (include the type)	NEP	Commissioned or internal	Linkages to other evaluations
2016/17 ERU	Evaluation system	Implementation evaluation of the evaluation system	NEP	Commissioned	
2017/18 SEIAS	SEIAS	Implementation		Commissioned	
Phakisa Planning	Operation Phakisa QPR and POA reporting systems	Implementation Implementation evaluation of the QPR and POA reporting systems		Commissioned Commissioned	Strategic Planning/APP evaluation
Planning	Role of national concurrent departments in provincial planning	Implementation evaluation on the role of national concurrent departments in the provincial planning		Commissioned	
IPM&E	Operation Sukhuma Sakhe	Implementation/design evaluation of Sukhuma Sakhe model and relevance for national War Room		Commissioned	
2018/19 OME	Youth Policy	Implementation	NEP	Commissioned	
2019/20 Phakisa	Operation Phakisa	Impact		Commissioned	Link to implementation evaluation
2020/21	Youth policy	Impact	NEP		Link to implementation evaluation

7 Detailed concepts for evaluations for 2016/17

7.1 Implementation/design evaluation of the Evaluation of the Evaluation System

Approved for NEP:

Implementing Branch: OME

Background to the evaluation

The Department of Performance Monitoring and Evaluation in the Presidency was established in January 2010, and started operating from April 2010. The initial rationale for the Department was the establishment of 12 priority outcomes, development and monitoring of plans against those priority outcomes. In 2011 DPME also started to develop the concept for a National Evaluation System, and a National Evaluation Policy Framework was approved by Cabinet on 23 November 2011. It was decided to focus on a limited number of strategic priorities through a National Evaluation Plan. The first NEP for 2012-13 was approved by Cabinet in June 2012, and the first evaluations from this started in October 2012. In total some 39 evaluations have been completed or are underway and some 11 evaluations have completed. This evaluation is intended to see the impact on performance of the first evaluations supported by DPME.

The National Evaluation System sought to address the problem that “evaluation was applied sporadically and not informing planning, policy-making and budgeting sufficiently. DPME recognised a missed opportunity to improve government’s effectiveness, efficiency, impact and sustainability”. The underlying purpose is:

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

Importance of the evaluation

The basic evaluation system is now fairly well established based on national and provincial evaluation plans. However it needs to expand to further provinces and departments during 2015/16 and 2016/17, and it is important to be able to be clear on the benefits from the system in advocating this expansion. In addition it is important to reflect on areas the system could be strengthened.

Purpose of the evaluation

To assess the uptake of evaluation findings/recommendations, wider impacts of the evaluation system and how the system can be strengthened.

Key questions to be addressed

1. How much have programmes changed what they do as a result of evaluations?

2. Is there early evidence that performance of programmes has improved as a result of evaluations?
3. How far have decision-makers used the results of evaluations in decision-making processes?
4. Are there any unintended costs or benefits from the evaluation system?
5. How is the evaluation system working as a whole and how can it be improved, as well as specific components of the system (eg training, guidelines)?
6. What appears to be the cost-benefit of establishing an evaluation system, and what are the implications for expanding the system to provinces, departments and municipalities?
7. What changes need to be implemented to improve the effectiveness and value-for-money of the evaluation system, including rolling it out to provinces, departments and municipalities?

Principle audience:

The Presidency, all governments departments, Parliament, Cabinet and FOSAD

Type of evaluation:

Implementation evaluation (but also showing whether there are early signs of impact)

High-level methodology

This should give a feel and not be in detail. It should also indicate whether the evaluation will lead to a follow up evaluation e.g. if it is a baseline for an endline which needs to be done five years later.

A mixed method consisting of literature review, review of the theory of change and logical framework, cost-effectiveness analysis, interview with internal and external stakeholders and site visits.

Change management strategy:

The evaluation steering committee will be drawn from the Evaluation Technical Working Group which supports the National Evaluation System. Recommendations for improvement in the evaluation Improvement Plan will be used to strengthen the National Evaluation System and to assist in planning how to roll it out more widely to provinces, departments and municipalities.

Resource implications

The evaluation is estimated to cost R2 million, funded by the Department of Planning, Monitoring and Evaluation.

Timing and duration:

The evaluation will take 12 months, starting in January 2016 and should be completed by December 2017

8 Key implementation issues**8.1 Capacity to undertake the evaluations**

ERU will play a lead role in undertaking the evaluations and providing project management and technical support for all evaluations. Officials who submit evaluation proposals will be invited to attend the following courses being rolled out within the NES:

- Course 1a – How to manage an evaluation on the NEP
- Course 1b – Commissioning evaluation
- Course 2 – Deepening evaluation
- Course 3 – Evaluation Methodology
- Course 4a – Planning Implementation Programs
- Course 4b – Design evaluation
- Course 5 – Evidence-Based Policy Making
- Course 6 – Theory of Change

8.2 Institutional arrangements

A departmental evaluation working group (DEWG) will be established to support evaluations in the department, so that it is seen as a department-wide initiative, not just the responsibility of the Research and Evaluation Unit.. The TORs are in Annex 1.

Steering Committees will be established for each evaluation. These can be existing committees where they exist, but if so they should have sufficient time to supervise the evaluation. They should be chaired by the programme manager as the key owner of the evaluation, with the evaluation unit providing the secretariat, preparing for meetings, doing minutes etc.

DPME's evaluation panel will be used to select external service providers to undertake evaluations. This is a group of organisations (universities, research institutions, consultants) selected through a tender process as having evaluation expertise. Performance agreements of programme managers as well as evaluation staff should include both the conducting of specific evaluations as well as the improvement plans. The members of the DEWG should also have this in their performance agreements.

8.3 Funding of the evaluations in the Plan

The ERU has an average of R1 000 000 to support evaluations in the Departmental Evaluation Plan. Typically this is half the amount needed, and the remaining half will need to be in the custodian unit's budget, or donors. The proposed funding is shown in the table below (and the departmental allocations have been submitted in the MTEF process). The custodian unit contribution will be made available from Finance for the year concerned, and will not be part of the main budget for that unit.

Table 4: Summary of budget needed for evaluation

Name of intervention	Title of evaluation	Approx budget (R)	ERU	Source of funds Programme	Other (specify who)
2016/17 Evaluation system	Implementation evaluation of the evaluation system	R3 million	R1 million	R2 million	
2017/18 SEIAS	Implementation evaluation of the SEIAS system	R2 million	R1 million	R1 million	
Operation Phakisa	Implementation evaluation of Operation Phakisa	R2 million	R1 million	R1 million	
QPR and POA reporting systems	Implementation evaluation of the QPR and POA reporting systems	R1,5 million	R750 000	R750 000	
Role of national concurrent departments in provincial planning	Implementation evaluation on the role of national concurrent departments in provincial planning	R2 million	R1 million	R1 million	
Operation Sukhuma Sakhe	Implementation/design evaluation of Sukhuma Sakhe model and relevance for national War Room	R2 million	R1 million	R1 million	
2018/19 Youth Policy	Implementation evaluation of the Youth Policy	R2 million	R1 million	R1 million	
2019/20 Phakisa	Impact evaluation of Operation Phakisa	R3 million	R1 million	R2 million	
2020/21	Impact evaluation of Youth policy	R3 million	R1 million	R2 million	

8.4 Follow-up to the evaluations

The stress in the National Evaluation System is to ensure that evaluations are used to improve performance. All evaluations should have Improvement Plans which are sent to senior management. These will be monitored by the department.

The relevant branch/programme manager will be expected to report every 6 months, sending the report to the Evaluations and Research Unit. Successful implementation of improvement plans should be in the performance agreements of relevant programme managers

Annex 1: Terms of Reference for Departmental Evaluation Working Group

1 Background

Departmental Evaluation Working Groups are envisaged so that the system is owned by the department as a whole, and draws on the range of expertise available across the department. This is important to ensure that the evaluation system is seen as strategic, owned by management, is of high quality and is likely to lead to use.

2 Objective

To support the establishment, operation and effectiveness of DPME's departmental evaluation system.

3 Specific tasks

- 3.1 Develop/review plans for rollout of the evaluation system.
- 3.2 Develop/review specific methodological inputs for the evaluation system, eg Call for a Departmental Evaluation Plan, competencies, standards, guidelines.
- 3.3 Select evaluations for the three year and annual evaluation plans based on inputs from branches.
- 3.4 Review the technical quality of evaluations conducted under the departmental evaluation plan, ensuring the overall system is working well.
- 3.5 Members act as the evaluation champions within their respective branches, and are likely to be involved in steering committees of individual evaluations relevant to their branches.
- 3.6 In time specific task teams may emerge on specific issues, eg impact evaluations, and these may involve other people.

4 Members

Consistent members are needed, not delegates. The proposed members are indicated earlier.

5 Roles

- Chair: DDG OME
- Secretariat: ERU.

6 Meetings

- Will meet as needed, based on key milestones in the system, but likely to be a day a month for the first 6 months, then every three months.

Annex 2: Responsibility matrix for DPME evaluation system

The objective of the matrix is to clarify the roles played by different stakeholders and structures in the departmental evaluation system.

Stakeholder or structure	Key role	Members	Further information
ERU	<p>Champion for departmental evaluation system</p> <p>Support the system</p> <p>Support training in evaluation for departmental staff</p> <p>Part-fund evaluations</p> <p>Secretariat for DEWG</p> <p>Issue call for departmental evaluations</p> <p>Assist branches to prepare concept notes</p> <p>Develop the departmental evaluation plan and take to EXCO</p> <p>Participate in development of the national/provincial system</p>	ERU	Section 7 of Guideline on DEPs
Departmental Exec meeting	<p>Approve the Call for the evaluation system</p> <p>Provide political oversight and support for evaluation.</p> <p>Approve the Departmental Evaluation Plan</p> <p>Consider evaluation reports</p> <p>Ensure that blockages identified by evaluations are addressed</p>	Exec members	
Departmental Evaluation Working Group	<p>Support the evaluation system in the department</p> <p>Agree systems for the department</p> <p>Select evaluations for the departmental plan</p>	See proposed list	Annex 1 of DEP Guideline
Panel of evaluation service providers	<p>Group to which calls for proposals are sent (so a restricted tender)</p>	Service providers including universities, consultants	
Evaluation Steering Committee (for each evaluation)	<p>Oversight of the specific evaluation process, including approving TORs, selecting service provider if external (as bid adjudication committee), reviewing instruments, approving reports.</p>	<p>Custodian branch (chair)</p> <p>ERU (secretary)</p> <p>Other departments involved in the specific intervention being evaluated</p> <p>Potentially external experts or stakeholders</p>	Template on DPME website
Custodian branch	<p>Propose evaluations (developing evaluation concept notes) for consideration for the DEP</p> <p>"owner" of the specific policy/programme being evaluated</p> <p>Chair Steering Committee (see above)</p> <p>Consider findings in management structures</p> <p>Provide Management Response to the findings and recommendations of the evaluation</p> <p>Lead on the improvement plan to address the findings (with other stakeholders needed)</p>		Guideline on management response Guideline on Improvement Plan

Stakeholder or structure	Key role	Members	Further information
Finance	Participate in departmental EWG Could participate in evaluation steering committees (at least in development of TORs and reading final reports) Ensure funds available from programme budgets for evaluation		

Annex 3: Concept Note Template for motivating for an evaluation in the departmental evaluation plan, for calls from 2016

This concept motivates why a particular intervention is a priority for evaluation under the National Evaluation Plan. It is not a plan for the evaluation which will be done later.

Part A: Key contact details

Name of proposed evaluation		Year proposed to be implemented	201_-201_
Branch proposing evaluation	<i>Could be suggested by a strategic section but custodian will normally be an implementation branch, or possibly a strategic unit if cross-department.</i>		
Branch that is custodian (and will implement the improvement plan arising from the evaluation)	<i>Should not be exclusively the responsibility of a state-owned enterprise. If several branches/departments, then list these here, and suggest who would coordinate</i>		
Programme Manager		Title	
Telephone		Email	
M&E person		Title	
Telephone		Email	
Other key departments/agencies involved in the intervention			

Part B: Background to the intervention being focused on

Note this section is **not about the evaluation**, but the **policy/plan/programme/system** that the evaluation proposes to focus on.

Specific unit of analysis of the evaluation (should be a policy, plan, programme, project or system)	<i>Eg ECD Policy, X programme, Y project etc</i>
Summary description of the intervention	<i>Give some background to the intervention</i>
The problem or opportunity the intervention focuses on	<i>For example the National School Nutrition Programme focuses on disadvantaged learners coming to school without having eaten which undermines their ability to learn</i>

Objective or outcomes of the intervention (specify which)	<i>These should not be general but should be taken from the original programme plan, policy document etc.</i>			
Key components of the intervention (eg outputs in a logframe or programme plan)	1			
	2			
	3			
	4			
Is there a logframe?	<i>If yes please attach</i>			
Programme document	<i>Please attach the key programme document describing the specific programme or policy to be evaluated, along with its indicators, and theory of change.</i>			
Duration and timing of the intervention	Started (or proposed to start)		Ends	

Part C: Motivating for the evaluation of this intervention being considered in the Departmental Evaluation Plan

Why is this evaluation a priority for the Departmental Evaluation Plan? Note the evaluation does not have to score high on all of these.

How is this linked to the 14 outcomes/MTSF? <i>Show how this links to specific outputs/suboutcomes in the MTSF.</i>
If a provincial department, how is this linked to the Provincial Development Plan and departmental strategic plan? <i>Be specific of how this links to specific sections and recommendations in the Provincial Development Plan or departmental strategic plan (give page number).</i>
Innovative <i>Is the intervention innovative (eg testing out a new model of service delivery)? Note this is not a requirement and many interventions that are not innovative still need to be evaluated. Is it important to do an evaluation to learn the lessons which can be applied more widely?</i>

How large is the intervention?			
Budget for intervention (not for the evaluation) for 2015/16 financial year	R	Estimated total budget for the intervention (over 3 year MTEF period)	R
			Period
Nos of people directly affected or enrolled (eg service users, beneficiaries)	<i>If this does not directly serve citizens, then it should be a measure of coverage, eg if the proposed evaluation is of whether to lease buildings or to own, then this could be the number of buildings covered.</i>		

<p>Is this an area of substantial public interest? <i>This is not about whether the intervention is important but if it is very much in the public eye and if so how this is shown. Write here some common sense observations here.</i></p>
<p>Is the intervention at a critical stage where decisions need to be taken, and when? <i>Please indicate any key decision points the evaluation needs to feed into eg proposals for expansion, decisions whether to continue. When will these decisions be taken?</i></p>

Part D: Details on the evaluation proposed

In this section you give some idea on the type of evaluation being proposed, **not the intervention that the evaluation is focusing on**. Note we want to understand what you are trying to get out of the evaluation, but are not expecting you to know what methodology is needed.

Key focus of the evaluation	<i>For example the evaluation may only focus on part of a programme or policy or system</i>
Type of evaluation	<i>Write here one or more of the options below. Some evaluations can combine these. Look at the Guidelines on the different evaluation types available here: http://www.thepresidency-dpme.gov.za/keyfocusareas/evaluationsSite/Pages/Guidelines.aspx</i>
Diagnostic	<i>Analyses the situation, brings out root causes, considers options. Used prior to design or replanning an intervention</i>
Implementation	<i>Used during implementation to understand how the intervention is working and how it can be strengthened</i>
Economic	<i>To understand how cost effective the intervention is – often combined with implementation or impact</i>
Impact	<i>To understand what impact the intervention has had and why. Note this often needs either existing data or to collect data (expensive) on what are the impacts of people impacted by the intervention, and similar people not impacted by the programme. Do you have this data?</i>
Synthesis	<i>Rather than undertaking primary data collection this synthesises data from across a range of existing evaluations</i>

Suggested purpose of the evaluation	<i>Look at DPME's Guideline on TORs for how to define the purpose – available at http://www.thepresidency-dpme.gov.za/keyfocusareas/evaluationsSite/Pages/Guidelines.aspx</i>
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<p>What are the main evaluative questions you will be asking (maximum 5) – use the Guideline on TORs to help you think these through, or the guidelines on specific evaluation types</p>
1
2
3
4
5

Likely duration (months)	<i>Indicate when the evaluation needs to start and when to end</i>
How recently was this intervention evaluated – if not for a long time then it is a higher priority	<i>Date and type of evaluation and what it focused on (attach copy to this submission)</i>
Do you have an estimate for what the evaluation may cost?	<i>If you are not sure discuss with DPME around likely cost.</i>
What budget for the evaluation has been allocated by the department or donors – note this must come from existing budgets	<i>You are expected to at least half-fund the evaluation. If in the PEP or NEP then OTP or DPME will part-fund</i>

Part E: Approval by sponsoring branch(es) and partner departments

Name of relevant DDG of custodian branch	
Signature	
Name of HoD or relevant DDG of partner department	
Signature	
Name of DG or relevant DDG of partner department	
Signature	