



THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION

Annual Report on National Evaluation System 2013-14

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Foreword

As part of its drive to improve service delivery, in 2010 government established the Department of Performance Monitoring and Evaluation in the Presidency, recently renamed the Department of Planning, Monitoring and Evaluation. Many monitoring systems have been established, and this is the first annual report on the National Evaluation System. The system began with approval by Cabinet of the National Evaluation Policy Framework in November 2011. The first National Evaluation Plan for 2012/13 was approved in June 2012 with 8 evaluations, the 2013/14 National Evaluation Plan was approved in November 2012 with 15 evaluations, and the 2014/15 National Evaluation Plan in November 2013, also with 15 evaluations. This annual report gives the picture of evaluations underway by March 2014, as well as the systems established to support evaluations.

Important findings are emerging from evaluations at a sectoral level such as on Grade R, as well as cross-cutting findings such as on Government's Coordination Systems. By the next annual report in 2015 many evaluation findings will be in the public domain. The report outlines some of the first emerging findings, as well as issues arising from establishing the system. There are important lessons we need to draw from the evaluations and we are already seeing impacts on policies and programmes including:

- A new Early Childhood Development (ECD) policy drafted responding to the ECD Diagnostic Review, including the need to target children from conception;
- A renewed focus on nutrition in children resulting from the evaluation of nutrition interventions for children under 5, and a stunting target in the Medium-Term Strategic Framework. The Improvement Plan will take this further;
- A renewed focus on quality of Grade R rather than just rollout.

There are also challenges emerging which this Annual Report identifies, which we need to address to ensure the impact and learning from these evaluations. We need to re-emphasise that the purpose of M&E is not to punish but to improve the effectiveness of our programmes. We do need to do this – 8 of the first 9 programmes evaluated need substantial redesign to maximise their effectiveness.

Many thanks to the development partners who have been assisting us over the last year, including the UK's Department for International Development, the International Centre for Learning on Evaluation and Results (CLEAR), GIZ, UNICEF and the World Bank. In addition I would like to thank the peer reviewers, steering committee members, evaluators at the design clinic, people who have taken the trouble to comment on documents, who have devoted their precious time to support this endeavour to bring learning into government.

Minister Jeffrey Thamsanqa Radebe
Minister of Planning, Monitoring and Evaluation
July 2014

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Glossary

| | |
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| 3ie | International Initiative for Impact Evaluation |
| AMTS | Advanced Manufacturing Technology Strategy (of DST) |
| APP | Annual performance plan |
| AVAWC | Audit for Violence Against Women and Children |
| BNG | Breaking New Ground |
| CASP | Comprehensive Agricultural Support Programme |
| CLEAR | regional Centre for Learning on Evaluation and Results (based at the University of Witwatersrand) |
| CRDP | Comprehensive Rural Development Programme |
| CSO | Civil society organisation |
| CWP | Community Works Programme |
| DAC | Development Assistance Committee of the OECD |
| DAFF | Department of Agriculture, Forestry and Fisheries |
| DBE | Department of Basic Education |
| DCOG | Department of Co-operative Governance |
| DDG | Deputy-Director General |
| DFI | Development Finance Institution |
| DFID | Department for International Development |
| DG | Director General |
| DHET | Department of Higher Education and Training |
| DOH | Department of Health |
| DPME | Department of Performance Monitoring and Evaluation (now Department of Planning, Monitoring and Evaluation) |
| DHS | Department of Human Settlements |
| DMV | Department of Military Veterans |
| DoL | Department of Labour |
| DPME | Department of Performance Monitoring and Evaluation |
| DRDLR | Department of Rural Development and Land Reform |
| DSD | Department of Social Development |
| DST | Department of Science and Technology |
| dti | Department of Trade and Industry |
| DWA | Department of Water Affairs |
| DWCPD | Department of Women, Children and People with Disabilities |
| ECD | Early Childhood Development |
| EEGM | Effectiveness of Environmental Governance in the Mining Sector |
| EIA | Environmental Impact Assessment |
| EMIA | Export Marketing Investment Assistance Incentive programme |

| | |
|--------|--|
| EPWP | Sector Expanded Public Works Programme |
| ERU | Evaluation and Research Unit, DPME |
| FLBP | Funza Lushaka Bursary Programme |
| FDI | Foreign direct investment |
| HDI | Historically Disadvantaged Individuals |
| HEI | Higher Education Institution |
| IKSP | Indigenous Knowledge Systems Policy |
| IRDPA | Integrated Residential Development Programme |
| MAFISA | Micro Agricultural Financial Institutions of South Africa |
| MEP | Metro evaluation plan |
| MPAT | Management Performance Assessment Tool |
| MTSF | Medium-Term Strategic Framework |
| NDP | National Development Plan |
| NEP | National Evaluation Plan |
| NEPF | National Evaluation Policy Framework |
| NES | National Evaluation System |
| NHFC | National Housing Finance Corporation |
| NHI | National Health Insurance |
| NSNP | National School Nutrition programme |
| PCETS | Policy on Community Education and Training Colleges |
| PHC | Primary health care |
| PSPDP | Programme to Support Pro-Poor Policy Development (a partnership between the Presidency and the European Union) |
| RADP | Land Recapitalisation and Development Programme |
| SALGA | South African Local Government Association |
| SAPS | South African Police Service |
| SAQA | South African Qualifications Authority |
| SHP | Social Housing Programme |
| SMMEs | Small, micro and medium sized enterprises |
| SPII | Support Programme for Industrial Innovation |
| THRIP | Technology and Human Resources for Industry Programme |
| ToRs | Terms of reference (for evaluations) |
| UCT | University of Cape Town |
| UISP | Upgrading of Informal Settlements Programme |
| UNICEF | United Nations Children's Fund |
| USDG | Urban Settlements Development Grant |
| VAC | Violence against children |
| VAW | Violence against women |
| VAWC | Violence Against Women and Children |

Executive summary

1 Introduction

1.1 The Department of Performance Monitoring and Evaluation in the Presidency was established in January 2010, and started operating from April 2010. The National Evaluation Policy Framework (NEPF) was approved on 23 November 2011. This set out the approach in establishing a National Evaluation System for South Africa leading to the development of annual National Evaluation Plans (NEP's) since 2012.

1.2 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 this annual report is timed to be able to report on the emerging lessons and findings from these evaluations. More departments are becoming involved in the evaluation system and the number of departments achieving level four of the Management Performance Assessment Tool for M&E (compliance plus planning or undertaking an evaluation) has risen from 13% in 2011 to 23% in 2013. In fact 15 of 46 national departments are now involved in NEP evaluations (see Annex 3). The prevailing M&E culture in government is one of compliance, and evaluation capacity is limited. Hence great efforts have been made to establish the conditions which would help enable a system which would support evaluations and the use of evaluation results. This includes establishing guidelines, evaluation standards, evaluation competency levels for programme managers,

M&E staff and evaluators, training, and quality assessment of evaluations.

1.3 The underlying purpose foreseen for evaluations is improving: policy or programme performance; accountability; decision-making; and increasing knowledge about what works and what does not in the public sector. The NEPF focuses on different government interventions including policies, plans, programmes and projects. It envisages evaluation as a process carried out throughout the intervention lifecycle. A key challenge is that where evaluations are done, they are often not used. Therefore great efforts have been made to ensure departmental ownership of evaluations to maximise the likelihood that evaluations are used to improve performance, and to ensure the credibility of evaluations. The latter involves promoting the independence of evaluations, and assuring minimum quality standards.

1.4 Evaluations are suggested by departments the year prior to implementation. During this year they can be put in the budget, the selection of evaluations completed and terms of reference (TOR) developed. Ideally the evaluations actually start just prior to the financial year they are allocated to.

1.5 DPME plays the role of evaluation custodian, and supports all evaluations that are approved for inclusion in the NEP. DPME also part-funds the evaluations, or where evaluations are large, seeks external funding to support these. Departments are the main owners of the evaluation as they have to implement the findings. The programme managers chair the

steering committees which manage the evaluations and departments also part-fund the evaluations.

2 Establishing the basics of the national evaluation system

2.1 DPME has developed 18 practical and use-friendly guidelines and templates on various components of the evaluation process to support departments undertaking evaluations.

2.2 Capacity in government departments to manage evaluations is limited. As such a number of activities have been carried out to diagnose the gaps and identify suitable capacity development mechanisms. DPME has developed a range of capacity development tools to build government capacity including: awareness raising sessions; learning-by-doing support through direct experience of undertaking evaluations; developing competencies for evaluation; provision of just-in-time short courses; building capacity of senior managers and MPs to demand and use evaluation results; and peer support. DPME's training has focused on staff involved in NEP evaluations directly, whether M&E staff or programme managers. There is also an issue of wider training and the intention is that appropriate training courses will be provided by the National School of Government, universities and the private sector to build evaluation capacity in the country.

2.3 Core to DPME's approach is ensuring quality. In 2012 DPME with the support of GIZ developed a set of evaluation standards, using

this to develop a quality assessment tool, which is applied to all evaluations once completed. Other aspects to improve quality are use of peer reviewers, design clinics to design evaluation methodology, and the start of annual reflection sessions to review how to improve the system. All evaluations (historic and current) are quality assessed and stored in an Evaluation Repository which had 101 evaluations in March 2014.

2.4/5 Communication is integral to the evaluation system, both communication of the evaluation system and communication of evaluation results. In terms of the overall system DPME has contributed widely to conferences and workshops to highlight the system, nationally and internationally. In addition a number of articles, and book chapters have been written, and a two monthly Evaluation Update is sent to around 500 national stakeholders and international contacts.

2.6 For evaluation evidence to inform programme management, budget decisions etc, it is important that senior managers are interested in using evidence to improve their performance and oversight bodies to strengthen accountability. In November 2013 a course has been run for directors general (DGs) and deputy-directors general (DDGs) on the use of evidence to improve policy-making and implementation. This was successful and will be run again in 2014/15. In addition a range of activities have been run with Parliament to improve MP's awareness of how evaluations can provide a resource for oversight. Evaluations are being tabled frequently at the Forum of South Africa's Directors General

(FOSAD) and increasingly at departmental clusters, which is helping to make DGs aware of the type of evidence emerging.

2.7 To simplify procurement, following an open tender, DPME has created a panel of 42 evaluation organisations, including five universities, science councils, institutes and consultants. DPME is partnering with the World Bank on a diagnostic process to identify the market for service providers and how their interest can be stimulated and quality enhanced.

2.8 An emerging problem is the poor quality of programme plans, which makes evaluation more difficult. Eight of the first nine programmes evaluated show the need for substantial redesign. This means that many government implementation programmes are not achieving what they intended (see table 2) and government is not getting the potential value for money from some programmes nor achieving the intended policy outcomes. A guideline on Planning Implementation Programmes has been developed with National Treasury (available on the DPME website), and a training course has been piloted. The intention is to roll out support in programme planning from 2014/15. Additional funding will be required for this. An audit of programmes will be carried out in 2014/15 which will help to assess the scale of the task.

2.9 To maximise the likelihood of success with evaluations DPME is seeking to build a coalition across government to promote evaluation. The key champion is an Evaluation

and Research Unit in DPME with 13 staff, which part-funds evaluations.

3 Progress with implementation of national evaluations

3.1 The ECD evaluation was the first evaluation used to pilot the evaluation systems, which started in October 2011 in parallel to finalising the Evaluation Policy Framework. A key finding was the need to expand ECD to include the first 1000 days from conception. As a result of the evaluation a new draft ECD Policy has been produced addressing many elements of the findings.

3.2 The 2012/13 National Evaluation Plan had 8 evaluations which have all completed except for those which were under the management of the DHS. These have been extensively delayed due to complexities in DHS's procurement system and procedural aspects related to approvals. In addition one on the National School Nutrition Programme was stopped, DBE requested to withdraw it, but Cabinet decided it should continue and it has been reinstated in 2014/15. Only one has so far been to Cabinet (Grade R) and the others will go to Cabinet in 2014/15. Table 1 lists the 2012/13 evaluations and their status,

Table 1: Evaluation status from the 2012/13 Plan as at 31 March 2014

| Name of Department | Title of evaluation | Status as at 31 March 2014 |
|---|--|---|
| Department of Trade and Industry | Implementation/ design evaluation of the Business Process Services Programme (BPS) | Final report approved and been to cluster. Awaiting Improvement Plan and submission to Cabinet. |
| Department of Basic Education | Impact Evaluation of Grade R | Final report approved and Improvement Plan requested. Report approved by Cabinet and sent to Parliament. |
| Department of Health (with Social Development, DAFF, DRDLR) | Implementation Evaluation of Nutrition Programmes addressing Children Under 5 | Final report approved. |
| Department of Rural Development and Land Reform | Implementation Evaluation of the Land Reform Recapitalisation and Development Programme (RADP) | Final report approved and been to FOSAD Manco. Ready to go to Cabinet. |
| Department of Rural Development and Land Reform | Implementation Evaluation of the Comprehensive Rural Development Programme (CRDP) | Final report approved and been to FOSAD Manco. Delays on finalising Improvement Plan and submitting to Cabinet. |
| Department of Human Settlements | Implementation Evaluation of the Integrated Residential Development Programme (IRDP) | Underway and at inception report stage. DHS procurement deliberations has delayed implementation. |
| Department of Human Settlements | Implementation Evaluation of the Urban Settlements Development Grant (USDG) | Evaluation underway. DHS procurement and approvals has delayed implementation. |
| Department of Basic Education | Impact Evaluation of the National School Nutrition Programme (NSNP) | DBE requested to drop. Cabinet disagreed and included in 2014/15 Plan. |

3.3 The 2013/14 National Evaluation Plan has 15 evaluations (See Table 2). Of these as at March 2014 three had an approved report (on Government Coordination Systems, Land Restitution, RECAP). Note three more were completed at the time of writing in July 2014 (Export Marketing Investment Assistance, Support Programme for Industrial Innovation, MAFISA). There is again a major problem with DHS evaluations (all of which are funded and procured by DHS).

Table 2: Status of evaluations from the 2013/14 National Evaluation Plan as at 31 March 2014

| Name of Department | Title of evaluation | Status as at 31 March 2014 |
|---|---|--|
| Presidency | Implementation Evaluation of Government's Coordination Systems | Report approved and being tabled at different clusters. |
| Department of Trade and Industry | Evaluation of Export Marketing Investment Assistance Incentive programme (EMIAI) | Likely to complete in June. |
| Department of Trade and Industry | Evaluation of Support Programme for Industrial Innovation (SPII) | Likely to complete in June. |
| Department of Trade and Industry | Impact Evaluation of Technology and Human Resources for Industry Programme (THRIP) | Likely to complete in June. |
| Department of Military Veterans | Evaluation of Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme. | Underway. Likely to complete in August. |
| Department of Science and Technology | Evaluation of National Advanced Manufacturing Technology Strategy (AMTS) | Underway but some issues with the service provider. Likely to complete in December. |
| South African Revenue Services | Impact Evaluation on Tax Compliance Cost of small businesses | Underway – likely to complete August |
| Department of Co-operative Governance | Impact evaluation of the Community Works Programme (CWP) | Underway after being delayed by corruption problems in CWP. |
| Department of Rural Development and Land Reform | Evaluation of the Land Restitution Programme | Report approved. To go to cluster. |
| Department of Agriculture, Forestry and Fisheries | Impact Evaluation of the Comprehensive Agricultural Support Programme (CASP) | Underway likely to complete July. |
| Department of Agriculture, Forestry and Fisheries | Implementation Evaluation of MAFISA | Underway likely to complete July. |
| Department of Human Settlements | Setting a baseline for future impact evaluations for the informal settlements targeted for upgrading | Second call for proposal out, but extremely delayed through DHS complex procurement processes. |
| Department of Human Settlements | Evaluating interventions by the Department of Human Settlements to facilitate access to the city. | Department and DPME deliberated the nature and intent of the evaluation requiring revisions to the ToRs, delaying the evaluation for several months. |
| Department of Human Settlements | Diagnostic of whether the provision of state-subsidised housing has addressed asset poverty for households and local municipalities | Service provider appointed and work currently underway. Project very delayed due to DHS' SLAs being unresolved. |
| Department of Performance Monitoring and Evaluation | Impact Evaluation of the Outcomes Approach | Underway – likely to complete in December. |
| Department of Basic Education | Evaluation of the quality of the National Senior Certificate (NSC) | Requested to drop and Cabinet agreed. |

3.4 There are 15 evaluations for 2014/15 (see Table 3). A broader range of departments are now involved including the first evaluation of a SAPS Programme (Forensic Laboratories) and the first environmental programme (Environmental Governance in the Mining Sector).

4 Issues and lessons emerging

4.1 Areas working well include a wide range of evaluations are now being undertaken in many sectors (eg education, rural development, employment, human settlements), and by an increasing number of departments (currently 15/46). The basis of a standard system with minimum standards has been developed including 18 guidelines; training of over 300 staff per year; standards; competencies etc, 39 evaluations are completed or underway and evaluation results are feeding into action in the first evaluations completed.

4.2 However some areas need strengthening. Some sectors still have few evaluations (eg health, energy, crime, infrastructure, local government, environment, international, social cohesion). There is inadequate supply of skilled evaluators and significant work is needed to address this, working with service providers and also with higher education institutions. Departments are delaying evaluations in some cases, sometimes where they are procuring (as in the case of DHS), or sometimes in taking evaluation results to cluster and Cabinet and implementing results. Some departments are reluctant to publicise results if they are not what they hoped. From a supply side, there are inadequate skilled

Table 3: Evaluations for 2014/15

| Name of Department | Title of evaluation |
|---|---|
| Department of Environmental Affairs | Evaluation of the Effectiveness of Environmental Governance in the Mining Sector (EEGM) |
| Department of Higher Education and Training | Design Evaluation of the Policy on Community Education and Training Colleges (PCETC) |
| Department of Human Settlements | Impact/Implementation Evaluation of the Social Housing Programme (SHP) |
| Department of Science and Technology | Evaluation of the Indigenous Knowledge Systems Policy (IKSP) |
| Department of Social Development | Diagnostic Evaluation/Programme Audit for Violence Against Women and Children (AVAWC) |
| Department of Social Development | Diagnostic Review of the Social Sector Expanded Public Works Programme |
| South African Police Service | Economic Evaluation of the Incremental Investment into SAPS Forensic Services (SAPS) |
| Department of Agriculture, Forestry and Fisheries/ Rural Development and Land Reform | Implementation Evaluation of the Ilima Letsema Programme and cost-benefit analysis of the revitalisation of existing Irrigation Schemes |
| Department of Agriculture, Forestry and Fisheries | Impact evaluation of MAFISA (quantitative) including establishing a baseline |
| Department of Agriculture, Forestry and Fisheries, with the Department of Rural Development and Land Reform | Policy Evaluation on Smallholder Farmer Support |
| Department of Basic Education | Evaluation of the Funza-Lushaka Bursary Scheme |
| Department of Basic Education | Evaluation of National School Nutrition Programme (depending on Cabinet decision to retain or drop) |
| Department of Rural Development and Land Reform | Impact evaluation of Land Restitution Programme (quantitative) including establishing a baseline |
| Department of Performance M&E | Impact/implementation evaluation of the MPAT system |
| Department of Performance M&E | Impact/implementation evaluation of the Strategic Planning/APP system |

evaluators to meet the increasing demand for evaluations, requiring significant work to be done with service providers and higher

education institutions to address this challenge. Evaluation is an emerging discipline in government, one which has to be advocated for

and advanced through a sensitive process of showcasing the benefits of learning and improving.

5 Widening the evaluation system to provinces and departments

5.1 In 2012/13 and 2013/14 DPME worked with Western Cape and Gauteng on provincial evaluation plans. Western Cape has already rolled their plan once. During the 2013/14 financial year, North West, Free State, Limpopo, Eastern Cape and Mpumalanga produced draft Concept Notes for Provincial Evaluation Plan. It is envisaged that once concept notes have been finalized, further Provincial Evaluation Plans will be developed.

5.2 Some departments have also expressed interest in the concept of departmental evaluation plans, including both NEP and internal evaluations. The dti, DST and DRDLR have developed departmental plans, DHET have developed a research agenda, for both research and evaluation. DHET has developed a research agenda for both research and evaluation. DSD has developed an Evaluation Strategy Document (2014/15 – 2016/17) and envisage conducting two evaluations in-house. Western Cape Department of Agriculture is an outstanding example, having completed four evaluations and with 8 planned for 2014/15. During 2016/17 DPME will make a major push on departmental evaluation plans, which is essential if most policies and programmes in government are eventually to be evaluated. Canada for example says that all programmes should be evaluated every five years.

5.3 In addition one metro, Tshwane, has taken the initiative to develop a metro evaluation plan (MEP). In 2016/17 DPME will also work with metros to see if they would like to develop MEPS, as well as working with DCOG on cross-cutting evaluations of local government.

6 International linkages

From the first time when the need to develop an evaluation system became clear, DPME has made efforts to learn from the experience of other countries, and subsequently to share SA's experience. In 2011 study tours were carried out to Mexico, Colombia, the US and Australia to learn from their experience in evaluation. DPME has established strong linkages with other African countries, particularly Benin and Uganda which are the only other countries in Africa which also have national evaluation systems. This has involved participating in each other's events, sharing training, and examples of our work. DPME helped to organise part of the African Evaluation Association (AFREA) conference in Cameroun in March 2014. In addition close links are maintained with Mexico, Colombia and to a lesser extent the US and Canada. DPME also has close relationships with 3ie (the International Initiative for Impact Evaluation), which has provided a lot of support, the Centre for Learning on Evaluation and Results (CLEAR), based at the University of the Witwatersand, DFID which has funded some of DPME's work, GIZ, UNICEF and the World Bank.

7 Emerging examples of influencing policy and implementation

A key to the evaluation system is the system of improvement plans produced after each evaluation has been completed. These have been produced for Early Childhood Development, Land Restitution, Grade R and Business Process Services. The first 6 monthly report has been received for ECD. Apart from the ECD evaluation, the next evaluation was only commissioned in October 2012 – ie 18 months prior to this report. It is therefore early days to see concrete impacts of the evaluations. Despite the early days, some examples of policy influence can already be seen:

- A new Early Childhood Development (ECD) policy drafted responding to the ECD Diagnostic Review, including the need to target children from conception;
- A renewed focus on nutrition in children resulting from the evaluation of nutrition interventions for children under 5, and a stunting target in the Medium-Term Strategic Framework. The Improvement Plan will take this further;
- A renewed focus on quality of Grade R rather than just rollout as a result of the Grade R evaluation.

8 Managing the evaluation system

8.1 The core to developing and managing the system has been an Evaluation and Research Unit in DPME, with four teams consisting of a Director and Evaluation Officer to support NEP evaluations, as well as provinces. DPME has had a significant budget to support

the Unit and to part-fund evaluations.

8.2 In addition a number of donors have supported part of DPME's evaluation work. These include:

- The Programme to Support Pro-Poor Policy Development (PSPPD), a partnership between the Presidency and the EU, which funded many of the start-up activities which led to the establishment of the evaluation system in 2011;
- The UK's Department for International Development (DFID) has been supporting DPME since 2012, with around R10 million for evaluation. Key elements supported by DFID around evaluation have been the annual training programme, development of a quality assessment system, a course in evidence-based policy making for DGs and DDGs. This support has now been extended to September 2015.
- GIZ has funded the development of evaluation standards, competencies, and a first evaluation course.

8.3 Another key management function has been developing project management systems for monitoring evaluations and problem-solving. DPME is currently working on developing an improvement plan tracking system, drawing from the experience of the Inter-American Development Bank.

9 Way forward

This annual report is initiated at a time where we start to see evaluation findings coming through, and in some cases first evidence of

impacts. It is also a time when we experience emerging challenges around the system which need to be addressed to enable the system to maximise its efficiency and effectiveness in improving government's performance. Key issues that need to be addressed are:

- Not getting evaluations from some sectors eg health, crime, local government, environment;
- Inadequate supply of skilled evaluators;
- Departments taking too long to take forward evaluations to cluster, to improvement plans;
- Insufficient funding for complex evaluations
- Some departments taking a very long time to procure, as in the case of DHS;
- Inadequate data for some evaluations to be viable ;
- Improving communication of evaluation findings.

How these are being addressed and further action needed is indicated. A key question which will emerge in 2014/15 is how best to widen capacity in national and provincial governments to undertake their own evaluations. This will require additional capacity in DPME to support the wider system.

1 Introduction

1.1 Introduction to the first Annual Report on the National Evaluation System

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. During 2011 a number of other systems started to emerge including Management Performance Assessments (MPAT), Front-line Service Delivery Monitoring (FSD). 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 this annual report is timed to be able to report on the emerging lessons and findings from these evaluations.

1.2 Evolution of the evaluation system

The development of the system was built on a study tour to Mexico and Colombia in June/July

2011, which included the Deputy Minister and Director General. This showed what comparable middle-income countries were doing in this regard, and there were tremendous learnings from this experience. Immediately after the trip a draft National Evaluation Policy Framework was drafted by the participants of the study tour, which was approved by Cabinet on 23 November 2011 (DPME, 2011a).

Meanwhile to test out how the system would operate, a pilot evaluation was started in October 2011, on Early Childhood Development, working closely with the Departments of Social Development, Basic Education and Health (DPME, 2012a). This allowed the development of the operational modalities on which the system was based through working in practice. This evaluation completed in June 2012, the Improvement Plan was drafted in October 2012, and the first report received on progress on the Improvement Plan in October 2013.

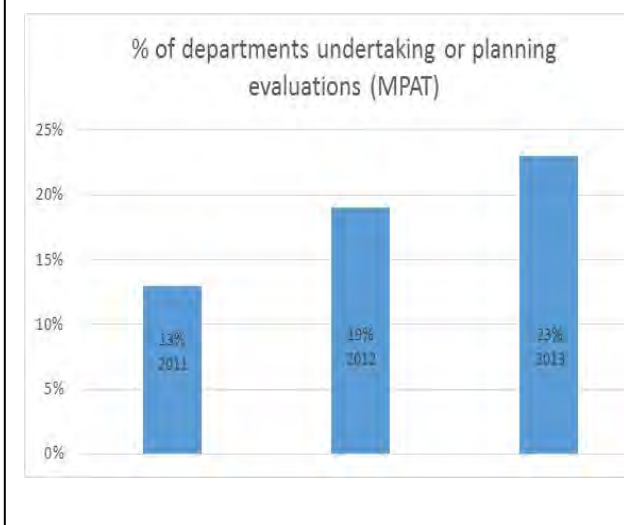
As mentioned above the first National Evaluation Plan for 2012-13 was adopted by Cabinet in June 2012 (DPME, 2012b). A second NEP for 2013-14 was approved in November 2012 with 15 evaluations, (DPME 2012c) and a third for 2014-15 in November 2013 (DPME, 2013a) with a further 15 evaluations. Evaluations from the NEPs started completing from June 2013 and as at 31 March 2014 seven evaluations had approved final reports (as at 31 July this is 11 approved reports).

The evaluation system started in an environment where little evaluation was being undertaken in government. The Management

Performance Assessment Tool has monitoring and evaluation as one of its indicators. A level 3 shows compliance with monitoring requirements, and a level 4 that an evaluation is being undertaken or planned. Figure 1 shows the results, so that in 2011 only 13% of departments were achieving level 4, but by 2013 this had risen to 23%. There are also very few people with formal training in evaluation in government. M&E units often have people with no M&E training, but even where there is some training it rarely includes evaluation.

In fact the prevailing culture in government is one where M&E is undertaken as a compliance exercise, and not for learning how to improve

Figure 1: National and provincial departments achieving level 4 (undertaking or planning evaluations)



performance. For example in a survey undertaken by DPME in 2013, 56% of departments said that problems were not treated as opportunities to learn. The main reason for evaluation is to learn how to improve performance and so the system is being established in an environment that is not conducive to learning and so evaluation.

For this reason great efforts have been made to establish the conditions which would help enable such a system.

- Development of guidelines to establish the basis for minimum standards. The first guideline (on developing TORs) was developed in February 2012, and formally approved in June. 18 guidelines and templates have now been approved.
- Evaluation standards were developed in August 2012.
- The competences required by government staff and evaluators were developed in August 2012.
- The first evaluation short course was developed using these competences in September 2012. Since then a suite of courses have been developed, with the main target group the staff from departments involved in evaluating particular programmes, so helping to build capacity to manage the evaluations.

During 2012-13 work also started on getting evaluations more widely embedded in the system. In 2012-13 Gauteng and Western Cape provinces were the forerunners in developing provincial evaluation plans. In 2013 some departments also started developing

departmental evaluation plans, including dti, Science and Technology and Rural Development. These point to areas which will become an increasing focus of DPME's work, getting evaluations embedded across government.

Key to the development of the system was the support of the Programme to Support Pro-Poor Policy Development (PSPPD), a partnership between the Presidency and the EU focusing on evidence-based policy-making. Flexible PSPPD support underlay much of the development of the evaluation system including funding the study tours, workshop, materials development etc.

1.3 Approach underlying the evaluation system

The underlying purpose foreseen for evaluations 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 projects. 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 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.

A key challenge internationally and historically in South Africa is that where evaluations are done, they are often not used – a waste of money and a waste of an opportunity to improve government's efficiency and effectiveness.

The first way to ensure use is promoting **ownership**:

- The organisations whose programmes or policies are being implemented must support the evaluations and implement the findings. Hence departments must own the evaluation concept and the process. For this reason the system was created so they request evaluations and they are not imposed on them;
- There must be a learning focus rather than punitive otherwise departments will just game the system – so the point is to learn from the evaluation how to improve and not to punish people because they make mistakes. However it is essential that government learns from the results of the evaluations so there must be pressure to learn from their mistakes;
- There must be a **coalition** to support the evaluation system, so broad government ownership. The demand-driven approach helps to create champions to support the system, and in addition a cross-government Evaluation Technical Working Group of key departments involved in evaluations has been established to support the system. This group also selects the evaluations.

The second factor is that evaluations are believed and seen as **credible**. The first issue in credibility is to ensure independence of the evaluations, so Cabinet can believe the results. To ensure this:

- Independent external service providers undertake the evaluation, reporting to the Steering Committee. These service providers are on a pre-qualified panel, and include universities, science councils, not-for-profit institutes and consultants;

- Evaluations are implemented as a partnership between the department(s) and DPME, so DPME brings a degree of independence;
- The Steering Committee makes decisions on the evaluation (eg approving reports) not the department alone so keeping some distance and objectivity in decisions.

Major efforts have gone to ensure **quality**:

- Establishing minimum standards for the evaluations, by providing guidelines and training;
- Having peer reviewers (normally 2) per evaluation
- A DPME evaluation director supports the whole process and provides the secretariat for the evaluation;
- The evaluations have to follow the national evaluation system – using the evaluation panel, standards, guidelines, training etc;
- A design clinic is provided once the evaluations have been selected using top national and international evaluators (unpaid) to assist in defining the evaluation purpose, questions and methodology;
- A quality assessment is undertaken once the evaluation is completed – and it must score over three out of a possible score of five. In fact the first evaluations scored 4.14, 4.45, 3.67, 4.1 3.71, so well above the minimum.

Obviously there can be no impact of the evaluation unless there is **follow-up**. The NES includes a system of improvement plans, where a plan is drawn up to respond to the findings and recommendations, which is then monitored

for two plus years, on a six monthly basis.

For the accountability objectives to be achieved an important factor is **transparency**. To ensure transparency all evaluation reports go to Cabinet and evaluations are then made public unless there are security concerns. There is usually a media briefing, the reports are put on the DPME website, they are sent to relevant Parliamentary portfolio committees, possible publication in journals is encouraged, and other communication mechanisms are being sought.

1.5 The evaluation cycle

Figure 2 shows the evaluation cycle. This shows that evaluations are proposed the year before they are undertaken, selected, then work starts on developing terms of reference, and they then start the following year. It takes a lot of work to get the evaluation appropriately focused, with the right methodology, procurement, actually undertaking the evaluation, and then there is the follow-up process.

1.6 Roles of DPME and departments

DPME is the custodian of the M&E system. It develops the systems for evaluation, and supports the rollout of these across government. On a specific evaluation it provides the secretariat, so ensuring that systems are followed with quality. DPME also part-funds the evaluations so providing “carrots” to encourage evaluations. Where evaluations are large, DPME also seeks external funding to support these, eg from the International Initiative for

Impact Evaluation (3ie), where DPME is both a member and on the Board.

Departments are the main owners of the evaluation, which after all address their programmes or policies, and they have to implement the findings. The programme managers normally chair the steering committees which manage the evaluations, and departments also part-fund the evaluations. Other departments that are involved may well

be part of steering committees, and may also have to implement the findings. National Treasury is invited to participate in all steering committees, and at least to comment on terms of reference and final reports.

The next section discusses the components of the national evaluation system and what has been achieved.

2 Establishing the basics of the national evaluation system

2.1 Guidelines

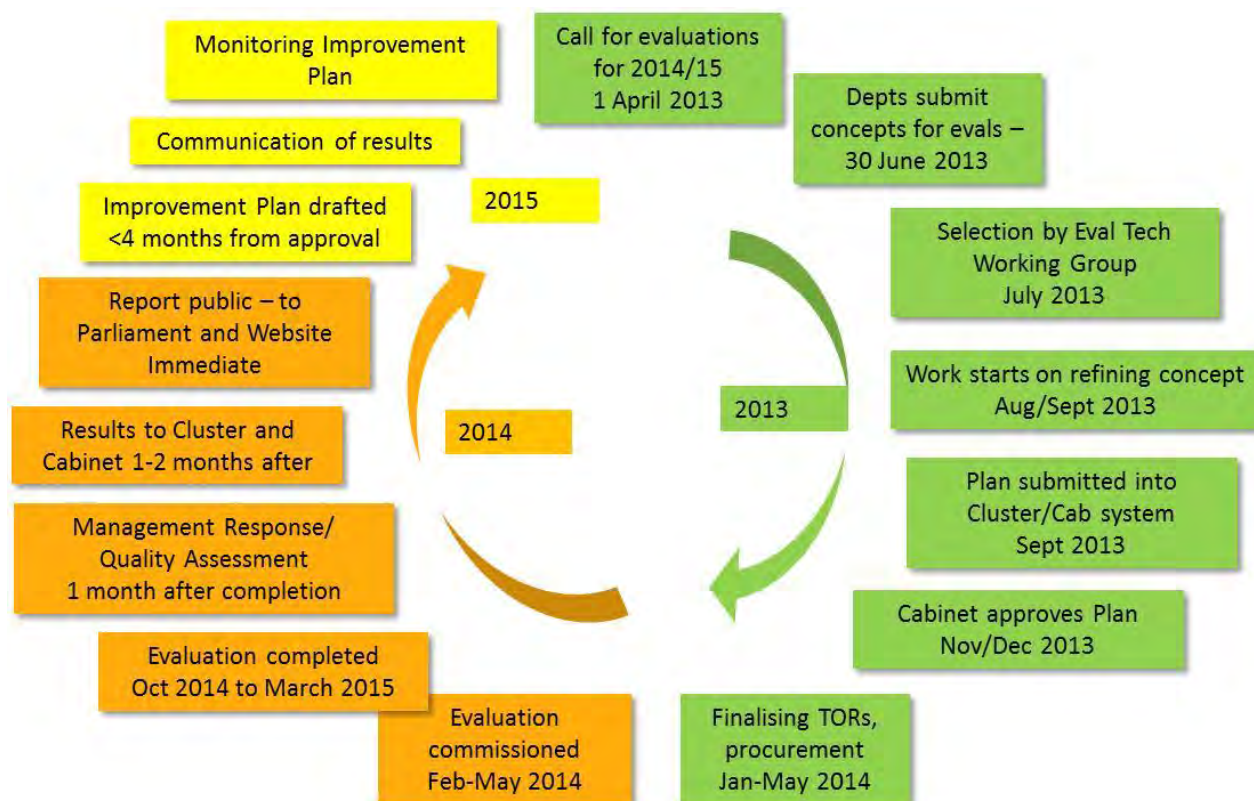
DPME has developed a set of practical and use-friendly guidelines and templates on various components of the evaluation process to support departments undertaking evaluations. As of the end of the 2013/14 financial year, 18 guidelines/ templates had been produced and posted on the DPME website, starting with a guideline on developing evaluation terms of reference, to developing an improvement plan. Annex 1 has a list of the approved policies, plans, guidelines, templates and other standard setting documents.

The guidelines are also used as resource documents for training. DPME will continue producing six guidelines over the next 3 years (2 per financial year).

2.2 Learning and capacity development

As indicated previously, the capacity in government departments to manage evaluations is limited. As such a number of activities have been carried out to diagnose the gaps and identify suitable capacity development mechanisms. DPME's Policy and Capacity Development Unit with the support of GIZ carried out a diagnostic assessment of M&E capacity and an audit of M&E training provision in the public service. This revealed that M&E practitioners consider themselves competent,

Figure 2: Example of evaluation cycle for 2014/15



national more so than provincial, Training is only one part of a broader set of capacity building measures that need to be implemented. Other factors impacting on M&E capacity building include: the organisational design of the M&E unit; the appointment of the right people/team for the job/s; defining the job/s; the management/leadership of managers in charge of M&E; the embracing and communicating of M&E as a strategic issue by the HOD; sorting out overlaps and contestations relating to M&E roles and responsibilities within departments; achieving coherence between DPME, National Treasury and DPSA in terms of their M&E mandate - particularly in the conceptualisation and communication of M&E.

DPME carried out a number of study tours to learn from the experience of others in evaluation: June/July 2011 to US, Colombia and Mexico; November 2011 to Australia; Oct 2012 to USA and Canada. These showed the need for dedicated staff and budget to support capacity development; the importance of guidelines; and the role of an annual plan.

DPME has developed a range of capacity development tools to build government capacity:

- **Awareness raising.** Two introductory sessions were organised in 2013 on the NEPF and NEP process with departments in order to elicit responses to calls for concept notes to be submitted in the NEP. Thereafter two training sessions were held on developing concept notes for proposed evaluations to be submitted for the NEP. In addition to the briefing sessions, DPME

conducted a workshop on the NES at the SAMEA conference in September 2013.

- **Learning-by-doing support** through direct experience of undertaking evaluations. DPME evaluation directors sit on Evaluation Steering Committees and support the whole evaluation process. Each director supports around 4 evaluations in a specific year (while also supporting implementation of the previous year's evaluations, and preparing for the next year's).
- **Developing competencies for evaluation** –defining evaluation competencies has assisted in developing job descriptions in recruitment, looking at career pathing, specifying competencies required in procurement of service providers, and in reflective programme management.
- **Provision of just-in-time short courses** which help staff working on evaluations to undertake each stage of the evaluation process. A suite of four training courses have been developed in collaboration with the Centre for Learning on Evaluation and Results (CLEAR), namely Managing Evaluation, Deepening Evaluation, Evaluation Methodology; Planning Implementation Programmes and Design Evaluation. These are typically 3 day courses at the moment in the evaluation cycle where the specific skills are needed. In addition courses have been run on demand in logframes. Details of the courses are in Annex 8.

- **Building capacity of senior managers and MPs to demand and use evaluation results.** As well as improving supply of evaluations it is important to develop the understanding of senior managers and Parliamentarians of how evaluation can assist in their work – improving oversight, improving understanding, and improving decision-making. We are undertaking evaluations to promote learning and use of the findings for continuous improvement, and contrary to common perceptions, not as a punitive exercise. A course has been developed for Directors General and Deputy Directors General in Evidence-Based Policy-Making and Implementation, which was piloted in November 2013/14. Some 37 participants attended including 3 DGs and it is planned to run the course again in 2014/15.
- **Peer support** across and within the system. This is something which has not yet been well developed, except in W Cape providing support to other provinces interested in developing a provincial evaluation plan.

DPME's training has focused on staff involved in NEP evaluations directly, whether M&E staff or programme managers. There is also an issue of wider training and the intention is that appropriate training courses will be provided by the National School of Government, universities and the private sector to build evaluation capacity in the country. DPME is developing relationships with these organisations to achieve this end. In addition DPME is seeking to work with those universities providing Masters in programme evaluation to ensure that

these courses can contribute most effectively to the capacity needed to support the system.

In total 367 government officials attended DPME's short training courses during the 2013/14 financial year (the target was 300).

2.3 Quality Assurance

Core to DPME's approach is ensuring quality. But how do we measure quality? In 2012 DPME with the support of GIZ developed a set of **evaluation standards**, building on international experience from the OECD, Germany, the US, Canada and Switzerland in particular, as well as the African Evaluation Standards developed by AFREA. In the end the OECD DAC standards were felt to be most practical and these were adapted for South Africa. These standards are available on the DPME website (see Box 1).

The standards intend to support the use of evaluations conducted through the national evaluation system, through setting benchmarks of evaluation quality. We have now applied these standards in developing a **quality assessment tool**, which is applied to all evaluations once completed. This involves around 4 days work by independent assessors, who look at the terms of reference, evaluation products, speak to stakeholders and give a score out of 5 for the quality of the evaluation.

The process was developed and refined as part of an assessment of government evaluations for the DPME in which 83 evaluative studies completed between 2006 and 2013 underwent retrospective quality assessments. Another 18 evaluations were quality assessed for the

2013/14 financial year, bringing the total number of evaluations to 101.

Of the 101 evaluations that were quality assessed, 21 obtained a score of 4 or more (score of 5 being the highest), which is considered to be a very good score, and a further 62 evaluations scored between 3 and 4 which is the minimum for evaluations to be considered as having reliable results. These assessments, including the executive summaries, as well as TORs, are available on the Evaluation Repository on the DPME Website. 13 evaluations scored below 3 and so are deemed not reliable and the evaluations are not being made public on the Repository. The Repository can be accessed at <http://evaluations.dpme.gov.za/sites/EvaluationsHome/SitePages/Home.aspx>

In addition DPME is supporting provinces by quality assessing their evaluations. This role may be expanded in future.

As mentioned earlier other aspects to improve quality are:

- **Peer review system** – where a methodology and content peer reviewer are involved in each evaluation. In academia peer review of journal articles is done unpaid, while DPME pays an honorarium. There are challenges at times of getting the system to work effectively. We wish to do a review in 2014/15.
- **Design clinics** – using top national and international evaluators to support evaluation teams to develop robust

Box 1: Sections of South Africa's evaluation standards

1 Overarching considerations

- 1.1 Partnership approach
- 1.2 Free and open evaluation process
- 1.3 Evaluation ethics
- 1.4 Co-ordination and alignment
- 1.5 Capacity development
- 1.6 Quality control

2 Planning, Design and Inception

- 2.1 Clear terms of reference for the evaluation
- 2.2 Evaluability
- 2.3 Resources
- 2.4 Stakeholder involvement, governance and management structures
- 2.5 Selection of evaluation service provider
- 2.6 Inception phase

3 Implementation

- 3.1 Independence of evaluators vis-à-vis stakeholders
- 3.2 Consultation of stakeholders
- 3.3 Protection of informants
- 3.4 Implementation of evaluation within allotted time and budget

4 Reporting

- 4.1 Intermediate reports
- 4.2 Evaluation products
- 4.3 The 1/3/25 report format
- 4.4 Coverage of the report
- 4.5 Incorporation of stakeholders' comments

5 Follow-up, use and learning

- 5.1 Timeliness, relevance and use of the evaluation
- 5.2 Systematic response to and follow-up on recommendations
- 5.3 Dissemination of evaluation results
- 5.4 Reflection on the evaluation process and product

Link:

<http://www.thepresidency-dpme.gov.za/keyfocusareas/evaluationsSite/Evaluations/DPME%20Standards%20for%20Evaluation%20in%20Government%20v2%2014%2003%2006.pdf>

evaluation purpose, questions and methodology. This has been done for two years and is improving.

- **Annual reflection session** – as the system has now been operating for 18 months, what will become an annual reflection session with stakeholders was held in March 2014. This included programme managers, M&E staff, DPME staff, service providers, Evaluation Technical Working Group members. The session provided rich feedback on the operation of the system which is being incorporated in revisions to the system in 2014/15.

2.4 Communication

Communication is integral to the evaluation system, both broad/general communication of the evaluation system and communication of evaluation results.

As evaluation is undeveloped in South Africa it is important to profile the evaluation system nationally, as well as sharing experience internationally through presentations in conferences/seminars, publications on different elements of the national evaluation system chapters in books or journal articles and the website. During 2013/14 the work of the ERU was presented internationally in London at the Overseas Development Institute (ODI); Washington at the American Evaluation Association (AEA); Brazil at the United Nations Development Programme Evaluation Capacity Development event; London at an Institute of Medicine event; and in Cameroun at the African Evaluation Association (AfrEA) Conference.

Figure 3: SAMEA Conference

Ian Goldman thanking Sulley Gariba of Ghana for his contribution.



Furthermore, the Unit organised a study tour by Parliament's Standing Committee on Appropriations to Kenya/Uganda, co-organised and hosted a 7 country roundtable around evidence, and organised part of the South African Monitoring and Evaluation Association (SAMEA) conference in September 2013 on Meaningful Evaluation.

Lessons learned have been published in books and journal articles. The following chapters are to be published in the book "Monitoring and Evaluation in South Africa and Africa":

- Chapter 1: Context of evaluation management.
- Chapter 8: Development and functioning of the national M&E System in South

Africa;

- Institutionalising monitoring and evaluation in South Africa, in an annex;

Articles:

- Developing a National Evaluation System in South Africa, published in Evaluation Matters; a publication of the African Development Bank (AfDB);
- Growing Demand for monitoring and evaluation in Africa, published in the inaugural edition of the African Evaluation Journal, Vol 1, No 1 (2013), 9 pages. doi: 10.4102/aej.v1i1.25
- "Evaluator Competencies: The South African Experience", Canadian Journal of Programme Evaluation (with Donna Podems and Christel Jacob). Volume 28: 3, Special edition 2014, p71-86, Toronto, University of Toronto Press. <http://cjpe.journalhosting.ucalgary.ca/cjpe/index.php/cjpe/issue/view/22>

The Unit has also kept between 200 and 300 international and national stakeholders updated bimonthly on the implementation of the system through a publication called Evaluation Update

Figure 4: Evaluation Update



Evaluation Update is a summary of progress on establishing the South African National Evaluation System, led by the Evaluation and Research Unit of the Outcomes M&E Branch of the Department of Performance M&E in the Presidency (DPME). It is intended to keep stakeholders updated on progress. These three months have seen the approval of the 2014/15 National Evaluation Plan, most evaluations for 2013/14 well underway, and the TORs for the 2014/15 evaluations being developed. A total of 38 evaluations are completed, underway, or about to start. Two significant events were co-organising a South-South Roundtable with 6 other countries on the use of evidence, including MPs, and a course for DGs/DDGs on evidence.

Evaluations being taken forward

4 of the 2012/13 evaluations are complete (so 5 completed to date), and on their way to cluster and Cabinet. 3 will finish in the next few weeks and 15 other evaluations are underway including 3 from the 2012/13 National Evaluation Plan, and 12 from the 2013/14 National Evaluation Plan. TORs have been developed for most of the 2014/15 evaluations and the assignments will be started by April 2014. This means the cycle will have been brought forward so these can complete within the 2014/15 financial year. Annex 1 has the status on each of these.

Development of policies and guidelines

• Version 2 of 8 draft guidelines have been produced on Diagnostic Evaluation, Design Evaluation,

(see Figure 4) which is also available on the DPME website.

As a number of evaluations are completing, communication of evaluation results is becoming increasingly important, to inform relevant stakeholders, influence policy and practice and keep government accountable to the wider public. This will require a diverse set of tools and media, which will be explored in 2014/15.

2.5 Evaluation Repository

For information from evaluations to inform diverse stakeholders they must have access to the results of evaluations. DPME has created on the DPME website a centralised web-based repository of evaluation reports, which have been quality assessed (see Figure 5). The Evaluation Repository was officially launched at the SAMEA conference in Johannesburg in September 2013. As at 31 March 2014, there are 101 evaluations that have been quality assessed with 88 evaluations having a score between 3 and 5. For older evaluations the only document may be the final report. However for new evaluations a wide variety of documents are available including the TORs, intermediate reports, final reports, management response, improvement plan and progress reports on the improvement plan.

92% of the visitors to the Repository have been from South Africa, with hits also from the UK, USA, Australia, Switzerland, France, and the Netherlands.

The Evaluation Repository can be accessed at:

<http://evaluations.dpme.gov.za/sites/EvaluationsHome/SitePages/Home.aspx>

2.6 Building demand for evaluation evidence

For evaluation evidence to inform programme management, budget decisions etc it is important that senior managers are interested in using evidence to improve their performance. Supported by the DG in the Presidency, DPME organised with the University of Cape Town and PSPPD a first course for DGs/DDGs in evidence-based policy-making and implementation in November 2013. 37 DGs/DDGs participated, including most of the senior management team from DCOG. Resource people included Dr Phil Davies formerly of the UK Cabinet Office and now of 3ie. The programme was dynamic and involved a lot of practical exercises, variety of inputs from different speakers, and highlighted how

Table 4: Number of programmes having specific design elements

| Total | Numbers of programmes with: | | |
|-------|-----------------------------|------------------|--------------|
| | clear design document | clear indicators | clear budget |
| 24 | 15 | 13 | 15 |
| | 62.5% | 54% | 62.5% |

evidence can be used in different parts of the management process. The course will be repeated in October 2014.

In addition evaluations are being tabled frequently at the Forum of South Africa's Directors General (FOSAD) and increasingly at departmental clusters, which is helping to make DGs aware of the type of evidence emerging.

Figure 5: Screenshot of the Evaluation Repository

| Evaluations Home | | List of Evaluations | Search | Search this site... | | | | | | |
|------------------|--|------------------------------------|--------------|------------------------------------|----------------------|--|------|-------|--|--|
| Type | Evaluation Name | Dept | Dept Acronym | Organization Undertaking | Keywords | Related Words | Year | Score | | |
| | A Gendered Review of South Africa's Implementation of the Millennium Development Goals | Gender Commission | GC | Gender Commission | Gender | Gender | 2010 | 3.5 | | |
| | A profile of social Security beneficiaries in South Africa | Department of Social Development | DSD | Department of Social Development | Social development | Social development | 2006 | 3.7 | | |
| | A Review of the Impact of the National Credit Act One Year After its Implementation | National Credit Regulator | NCR | National Credit Regulator | Credit | Credit | 2009 | 3.9 | | |
| | An Analysis of the Macroeconomic and Sectoral Impact of the Capital Expenditure Programmes of Transnet and Eskom | Industrial Development Corporation | IDC | Industrial Development Corporation | Industrial | Industrial | 2010 | 3.8 | | |
| | An Evaluation of Integration and Coordination in the Integrated Sustainable Rural Development Programme | PSC | PSC | PSC | Rural development | Rural; Rural Housing Programme; Planning | 2010 | 3.9 | | |
| | An Evaluation of the Comprehensive Agricultural Support Programme (CASP) | Public Service Commission | PSC | PSC | Communal land tenure | Agricultural Support | 2011 | 3.2 | | |

However there are cases where departments are reluctant for evidence to be made public, which is delaying publication of some evaluations.

DPME has also been working with portfolio committees and MPs to increase awareness of how M&E evidence can inform committees' oversight roles. Particular efforts have been made with the Standing Committee on Appropriations, whom DPME reported to prior to the 2014 elections, including organising two study tours in the period, to the US/Canada, and to Kenya/Uganda. This helped to build better understanding and trust with the committee.

After the elections this work will need to be reinforced with the new committees, including the Public Services Committee that DPME now reports to.

2.7 Building supply capacity

To simplify procurement processes, a **National Evaluation Panel** was developed in January 2012. The panel of service providers includes universities, science councils, not-for-profit institutes as well as consultants. Service Providers have to be registered within the DPME system as preferred suppliers, as well as security vetted, and vetting can be conducted prior to any specific evaluations being bid for. The immediate outcome of this process was a set of experienced evaluators with skills needed to support evaluations in SA, which could be contracted speedily to undertake or support evaluations.

Table 5: Proportion of evaluations showing programmes require redesign (first evaluations to have reports)

| Programme being evaluated | Outcome from evaluation results | | | |
|---|---------------------------------|----------------------|----------------------|-------------------|
| | Close | Major changes needed | Minor changes needed | No changes needed |
| Pre National Evaluation Plan | | | | |
| Early Childhood Development (ECD) | | X | | |
| NEP 2012-13 | | | | |
| Business Process Services Programme | | | X | |
| Grade R | | X | | |
| Nutrition Programmes addressing under 5s | | X | | |
| Land Recapitalisation and Development (RECAP) | | X | | |
| Comprehensive Rural Development Programme (CRDP) | | X | | |
| NEP 2013-14 | | | | |
| Export Marketing Investment Assistance Incentive Programme (EMIA) | | X | | |
| Support Programme for Industrial Innovation (SPII) | | X | | |
| Military Veterans Economic Empowerment , Skills Transferability and Recognition Programme | | X | | |
| Land Restitution Programme | | X | | |
| Government Coordination System | | X | | |
| MAFISA | | X | | |

The first call that went out in January 2014 resulted in the selection of 24 service providers. The second call went out in January 2013 which produced 18 more, so a total of 42 service providers including 5 universities (Stellenbosch, UCT, Free State, Wits and Pretoria). One university is bidding regularly and winning a number of contracts, but DPME is not accessing the wide skills base available at other universities.

DPME has been trying to promote the involvement of **universities and science**

councils. Contact has been made with the five universities on the panel (Pretoria, Stellenbosch, UCT, Free State and Wits) and presentations made highlighting the importance of them playing a more active part in evaluation bids, as well as discussing postgraduate training in evaluation. This has stimulated much more active engagement from the universities.

As at May 2014 of these 42 service providers, 32 had bid and 13 had been successful This means the active group is somewhat smaller, and the successful group smaller still. In

practice evaluations are not receiving enough good proposals. In addition the quality of work of some service providers that do win bids is less than expected bearing in mind they have a track record of evaluations. DPME is partnering with the World Bank on a diagnostic process to identify the market for service providers and how their interest can be stimulated and quality enhanced. In addition DPME is taking the initiative to stimulate competent service providers to team up with emerging evaluators to help stimulate greater participation from black South Africans.

2.8 Improving programme planning

The 39 evaluations currently underway account for around R50 billion of government expenditure across a three year MTEF period. Improving the performance of these programmes therefore represents an opportunity for a major improvement in the effectiveness of the state, and improvements in its impacts on the lives of citizens.

Implementation of the national evaluation system is showing that many government implementation programmes are not achieving what they were meant to achieve, and need substantial redesign (see table 5). This means that in many cases government is not getting the potential value for money from the programmes nor achieving the intended policy outcomes. A major cause appears to be weak planning of the programmes that are being evaluated. In many cases there are no proper plans or planning documents underlying the

programmes, and where they exist they are often poorly thought through (see table 4).

Another weakness is that in many cases no proper diagnosis is undertaken and so the design of the programme is not based on a good understanding of the root causes of the problem being addressed, and is rather addressing symptoms. A critical conclusion that has been reached based on this experience is that a support programme needs to be developed to improve programme planning, both for new and existing programmes. This provides an opportunity for significant improvement in service delivery using existing budgets.

Key developments in this regard are:

- A guideline on Planning Implementation Programmes has been developed with National Treasury (available on the DPME website), and a training course has been piloted.
- A Guideline on Design Evaluation has been developed (available on the DPME website) and a training course based on this will be developed in 2014/15. This will train departmental M&E units to check the designs of programmes and policies before they are implemented.
- During 2014/15 a project funded by DFID will identify implementation programmes in a number of government departments (an audit of programmes). This will give an understanding of the number and range of implementation programmes across government, as well as the state of their plans.

Later an intervention will be needed to build planning capacity building programme across government. A further step that is needed is improving programme budgeting, building on the work being undertaken by National Treasury and DPME on Expenditure Reviews.

3 Progress with implementation of national evaluations

This section highlights status and emerging findings from evaluations in the 2012/13 and 2013/14 National Evaluation Plans. Other evaluations are listed in Annex 2. It aims to give a flavour of the emerging findings and recommendations.

3.1 The initial pilot - Early Childhood Development (ECD)

The ECD evaluation was the first evaluation and was used to pilot the evaluation systems. It started in October 2011 in parallel to finalising the Evaluation Policy Framework. It was a Diagnostic Review, seeking to get an overview of the sector and to link with a review that was happening of the National Integrated Plan for ECD. Rather than primary research it drew from 112 existing studies. A key finding was the need to expand ECD to include the first 1000 days from conception, the need for a comprehensive set of services, and with more focus on ensuring access by poorer children. An important process outcome was an improved relationship between the three key departments involved, Social Development, Basic Education and Health. The final report was approved in June 2012, and the results were combined with those of an ECD Conference organised by the Minister, and a National Action Plan for ECD was developed to take the work forward. As a result a new draft ECD Policy has been produced addressing many elements of the findings.

3.2 2012/13 National Evaluation Plan

Evaluation of Nutrition Interventions for Children under 5

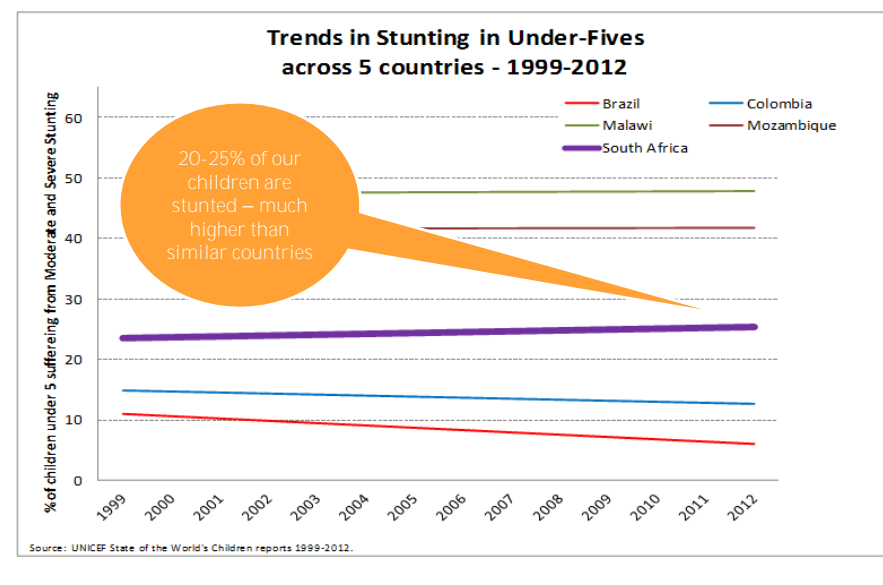
This evaluation arose from the ECD evaluation, with a realisation that the nutritional component of ECD was insufficiently developed. It focused on four high impact interventions and field work was in four provinces, KZN, W Cape, Free State and Eastern Cape. Rather than just focusing on Health's Integrated Nutrition Programme, it also looked at backyard food production initiatives by DAFF and DRDLR, as well as other food security initiatives. The evaluation completed in March 2014.

A key finding is the importance of nutrition in contributing to child mortality, and that 21% of children under 5 are stunted, much higher than for similar countries like Brazil and Colombia (see Figure 6). The stunting can never be recovered, and also affects their children, resulting in intergenerational transfer of poverty.

A key recommendation is for an output of the health outcome to be on nutrition and in practice as a result the Medium-Term Strategic Framework

incorporates several targets on nutrition in outcomes 2, 7 and 13. Other recommendations were higher level champions in national and provincial departments, to improve training of nurses and community health workers as is already happening in KZN, and to pursue the primary health care model in KZN where a community worker is trained as a nutrition advisor. In addition an overarching coordination mechanism is recommended through a mechanism such as a National Nutrition Council, with an overarching nutrition plan. This requires greater emphasis for the Department of Health on health promotion rather than clinical interventions, as well as DAFF taking a proactive role in promoting household food production, eg through NGOs.

Figure 6: Stunting in South Africa compared to 5 other countries



Evaluation of the Business Process Services (BPS) incentive scheme

The Business Process Services (BPS) incentive scheme was launched by the Department of Trade and Industry (the dti) in 2011 to enhance South Africa's position as a world class outsourcing destination for international investors and service providers. The purpose of the evaluation was to investigate the extent to which the BPS incentive scheme is achieving its main objectives of job creation and attracting foreign direct investment (FDI). The evaluation assessed the efficiency, effectiveness, impact and sustainability of the design and implementation of the BPS incentive scheme.

3,807 jobs have been created since the start of the incentive scheme, and the estimated investment to date is approximately R2.7 billion, primarily operational expenditure. 50% of firms stated that their investment in the industry was strongly influenced by the presence of incentives. This implies that the incentive scheme has catalysed significant additional activity and investment. A challenge is that there has been no communication from the government regarding the future of the scheme, resulting in increasing uncertainty. Key recommendations were that the dti should review the design of the scheme and address the skills pool in the South African BPS industry, firms must be encouraged to more accurately project the number of jobs they expect to create, and that a target for FDI and job creation must be provided.

The evaluation report was approved by the evaluation steering committee in June 2013 and the improvement plan was finalized in

November 2013 and by March 2014 was still awaiting approval from the DG (this happened in June 2014).

Impact evaluation of the introduction of Grade R on learning outcomes

The Department of Basic Education (DBE) defines Grade R as a "formal" education programme attended by children the year before Grade 1. Grade R was introduced to prepare learners for school and to improve academic performance and retention and decrease repetition among learners. There has been massive expansion of provision of Grade R. Between 2001 and 2012 Grade R places expanded more than threefold, from 242 000 to 768 000. A further 55 000 children attend Grade R in ECD centres meaning a total of 804 000 Grade Rs.

The evaluation used a very large dataset of 18 102 schools, which allowed precise measurement of the impact of Grade R on test performance in mathematics and home language for Grades 1 to 6. This indicates that the impact of Grade R is small, with virtually no measurable impact for the poorest three school quintiles, with some impacts for quintiles 4 and 5. Results are better in higher quintiles, better performing schools, and educationally stronger provinces (Gauteng, Northern Cape and Western Cape). Thus Grade R is not having the impact that was hoped for in poorer schools. Despite the massive expansion poor quality of provision seems to be limiting impact. The evaluators recommend that DBE pursue the target of 100% Grade R coverage while focusing on improving quality. The evaluation

report was approved by the evaluation steering committee in June 2013 and was presented to Cabinet in March 2014. A management response and improvement plan have been developed.

Implementation evaluation of the Recapitalization and Development Programme (RADP)

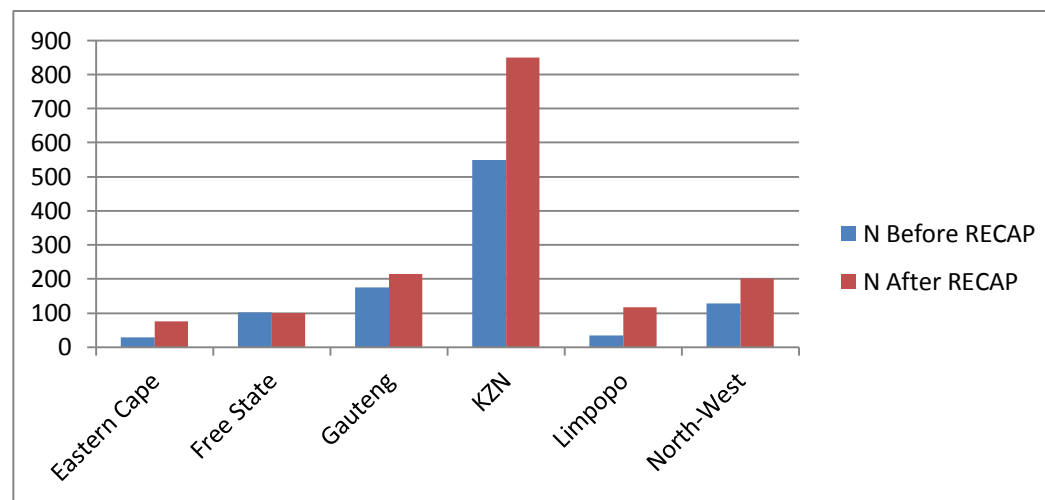
RADP was launched in 2010 to focus on struggling land reform farms acquired since 1994 that have received little or no support, but have the potential to become successful, if assisted. The main purpose of the evaluation was to establish whether RADP is on track to achieve its objectives and to advise on how to strengthen implementation of the Programme. Findings indicate that RADP has made some progress towards achieving its intended objectives, but there is room for significant improvement. About 540 additional jobs were created on the 98 farms included in the evaluation after RADP was implemented, varying across provinces with KZN much more successful (see Figure 7). However, the number of jobs created is too small to justify the amount of investment in RADP given the high levels of job losses in the agricultural sector. Most RADP stakeholders interviewed believe that food security has improved after RADP. As regards agricultural production, it is on-going on 70% of the projects included in the evaluation. An area in which RADP does not seem to have made much progress is facilitation of market access for farmer – a finding highly consistent with conclusions on national agricultural surveys as conducted by Statistics South Africa. There are questions as whether the grant funding

approach in RADP is sustainable given the limited resources available and the suggestion that it promotes dependency on state funding among beneficiaries. In addition, the same beneficiaries are targeted repeatedly, over time. The evaluation recommends a redesign and overhaul of public agricultural support programmes and doing away with existing silos of funding agricultural support services. The evaluation steering committee approved the report in October 2013. The management response and the improvement plan were received from DRDLR in February 2014. The evaluation report should be presented to Cabinet in July 2014.

Implementation evaluation of the Comprehensive Rural Development Programme (CRDP)

CRDP was launched by DRDLR in 2009 to improve access to basic services, promote enterprise development and village industrialisation. The purpose of the evaluation was to assess whether the CRDP is achieving its policy goals and how the Programme can be strengthened and up-scaled and whether the institutional arrangements that were set in place to support the implementation of the CRDP are appropriate. The evaluation found that there has been mixed progress in achieving CRDP goals. It is a high cost intervention with investment per ward of up to R42 million which will be difficult to scale-up as currently designed. The modalities for strengthening coordination across the spheres of government and developing capacity of local institutions, especially local municipalities and the Council of Stakeholders, so as to ensure comprehensive delivery on rural

Figure 7: Number of jobs created through RECAP per province



development, are weak. The evaluators recommend ways of strengthening the CRDP's Institutional Arrangements and Integrated Planning Process and of improving the CRDP's attainment of its programme goals. The model itself need to be reviewed with clear norms and standards on rural development. The evaluation report was approved by the steering committee in October 2013. The Department of Rural Development and Land Reform has finalised the Improvement Plan and the report should be presented to Cabinet in August 2014.

Evaluation of the Integrated Residential Development Programme (IRDP)

The Integrated Residential Development Programme (IRDP) was introduced in the 2009

revised National Housing Code. Responding to some of the challenges facing housing in the country, the Programme presented a shift from beneficiary-focused subsidy funding for housing to settlement-wide developments that cater for mixed land uses and different income category housing in a single project. As the Programme accounts for the bulk of housing delivery in the country and has never been evaluated, the Department of Human Settlements (DHS) commissioned a review of its design and implementation. The project aims to evaluate the implementation of six priority projects to identify policy components that needs to be revised and draw out lessons for the successful implementation of these complex integrated projects. This evaluation is still at an inception phase with the inception and design review

reports submitted. The evaluation was procured by DHS and is extensively behind schedule due to complexity of the approvals and procurement process in DHS. It took nearly a year and a half for the service provider to commence work.

Evaluation of the Urban Settlements Development Grant (USDG)

The USDG is a schedule four grant established in 2011 to fund the development of land and infrastructure to support human settlements in metropolitan municipalities. Cities are facing a number of challenges including proliferation of informal settlements, rising cost of well-located land, and fragmented human settlements investments. Given its novelty in funding of infrastructure for human settlements DHS commissioned an evaluation of the grant to analyse the theory of change, inner logic and consistency and implementation of the Programme to strengthen its design and performance.

The evaluation interrogates the use of direct financial transfers to supplement cities' capital budgets to address human settlements challenges, considering issues of effectiveness, efficiency and value for money. The evaluation also interrogates the quality of the M&E framework for the grant which is of interest to DHS in view of the imminent assignment of the housing function from provinces to metros, which will require the Department to directly monitor performance at municipal level. To date a design and literature review report has been completed and four draft Metro Case Study Reports have been produced. It is envisaged

that the project will be completed by August 2014. The evaluation is co-managed between DHS and DPME but procurement by DHS has been extensively delayed due to delays in approvals and signing the service level agreement by DHS.

3.3 2013/14 National Evaluation Plan

Diagnostic Evaluation of the Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme (MVEESTRP)

This evaluation was a diagnostic assessment to determine how Military Veterans should be reintegrated into, and influence civilian life which would inform the development of an Empowerment and Skills Transferability and Recognition Programme. The evaluation was based on the Department of Military Veterans' objective to provide skills development, employment creation and services to honor contributions made by Military Veterans, irrespective of their party political, and/or association affiliation. The draft final report was submitted in March 2014.

The evaluation made a number of "new discoveries" about military veterans and their capacity building priorities in South Africa. A profile of the group was established. An international review showed that a key principle for successful reintegration strategies must include employment, combined with training and development. Current government offerings include: bursary programmes, support to small businesses, training opportunities (linked to

SASSETA), and work opportunities (such as Working for Fisheries, and Working for Water). However very few military veterans were aware of these opportunities. The evaluation strongly recommends a stratified approach in terms of an empowerment strategy, directed at specific groups within the broader group of military veterans, based on an understanding of "vulnerability". The study also strongly recommended an inter-departmental and coordinated set of interventions spearheaded by the DMV.

Implementation and Outcomes Evaluation of the National Advanced Manufacturing Technology Strategy (AMTS)

The AMTS was initiated in 2002 after being identified as a priority technology mission in the Department of Science and Technology's (DST's) National Research and Development Strategy (NRDS). The objective of the evaluation was to assess progress made with AMTS, and whether the intended outcomes have been achieved. The findings of the evaluation will be used to improve the performance of the programme going forward. The time under review is the period from the 2001/02 financial year to the 2012/13 financial year. The service provider was appointed in November 2013 and a draft literature review had been submitted by March 2014.

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. 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. The final report is being tabled at other clusters and then will be taken to the G&A Cabinet Committee in August.

Evaluation of the cost of tax compliance for small businesses

Governments globally are under pressure to rationalise administrative burdens and to create an enabling regulatory environment that fosters economic and social advancements at a time when businesses, individuals and governments are forced to do more with limited resources.

The basic administrative goal of tax policy is that it should be easy to understand and to comply and that it should be administered in a competent and fair manner. The purpose of the evaluation is to assess the gross tax compliance costs incurred by small business to meet their tax obligations, the impact of reform measures on these costs and provide recommendations for changes to the tax reforms. A survey has been undertaken of small businesses to assess the cost of tax compliance, and to compare with

a previous survey carried out in 2011. The evaluation is underway and the final report is expected to be completed in August 2014.

Impact assessment of the Micro Agricultural Financial Institutions of South Africa (MAFISA)

MAFISA was established by DAFF in 2005 to improve access to finance by smallholder farmers. Mafisa was planned as an independent final institution underwritten by the state and implemented through financial intermediaries. R1 billion was made available for MAFISA. MAFISA was piloted between 2005 and 2007 as a production and small equipment loan with a maximum loan of R100 000 per person, and the interest rate was 8% (below commercial). In 2009 the pilot was expanded accrediting 9 financial intermediaries and increasing the limit to R500 000. The purpose of the evaluation was to assess whether MAFISA is achieving its policy goals and to establish the effects of MAFISA on its beneficiaries. Over 400 recipients have been surveyed and case studies undertaken on 15. There have been considerable problems in the quality of data which has hampered the evaluation. The final report is expected in July 2014.

Implementation evaluation of the Restitution Programme

The Restitution Act of 1994 as amended enables all those who lost their land under the repressive land legislation of the past to lodge land claims before 31 December 1998. The Restitution Programme is the vehicle for implementing this. The evaluation is based on a

process assessment of the Programme's implementation (from the lodgement of claims through to their finalisation), and covers the period from January 1999 to 31 March 2013, i.e. since the completion of the first Ministerial Review. The purpose of the evaluation was to assess whether the Restitution Programme has been implemented efficiently and effectively, and to identify how the Programme can be improved in time for the next phase of the restitution process. The Programme has settled over 85% of the claims lodged since its inception. However, the findings of the evaluation reveal a range of systemic and operational weaknesses which compromise its efficiency and effectiveness, and undermine the achievement of its developmental purpose. Recommendations include developing a clear definition of the function of the Commission as an independent entity dedicated exclusively to the administration of the restitution process. The evaluation report was approved in February 2014. This evaluation will be presented at the Economic Cluster in July 2014.

Impact evaluation of the Comprehensive Agricultural Support Programme (CASP)

CASP was established in by DAFF in 2004 to provide post-settlement support to targeted beneficiaries of land redistribution and reform and other previously disadvantaged producers who have acquired land. The purpose of the evaluation was to assess the extent to which CASP is achieving its policy goals, establishing its effects on its beneficiaries. The evaluation is intended to determine the impact of CASP on food production, livelihoods of rural communities and inform how the Programme can be

strengthened. Significant challenges have been encountered by the service provider in accessing data from provincial departments and so they have only completed primary data collection in May 2014. The draft report is expected in July 2014.

Setting a baseline for future impact evaluations for informal settlements targeted for upgrading

More than 2 million households are said to be inadequately housed and of these 1.4 million reside in about 2 700 informal settlements in South Africa's urban areas. Upgrading of informal settlements is a complex process and has been subject to numerous research studies but limited evaluations. This project aims to develop a baseline for future impact evaluations, part of the suite of evaluations intended to inform a new strategic direction for human settlements in the country. The current project will fulfil two objectives: assess the design of the Programme to make explicit the theory of change and test its logic and appropriateness while also developing a baseline for future evaluations based on a set of indicators. The current project therefore establishes a medium to short term M&E framework for UISP, providing DHS with a defined set of indicators to collect performance and process data during the upgrading process. The plan is to do an implementation evaluation within 2 years and an impact evaluation in 5 years' time. The project is procured by DHS and is behind schedule due to procurement deliberations resulting in delays. It remains at the inception stage.

Evaluating whether interventions by the Department of Human Settlements have facilitated access to the city for the poor

The housing White Paper committed government to the creation of "viable, socially and economically integrated communities, situated in areas allowing convenient access to economic opportunities as well as health, educational and social amenities. Within these communities all South Africa's people should have access on a progressive basis to: a permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements; potable water; adequate sanitary facilities including waste disposal; and domestic electricity supply. 20 years after democracy and 18 years since the establishment of the housing policy,

DHS aimed to evaluate the extent to which the different housing programmes have contributed to inclusive urban growth, development and management, where the poor are integrated to a broader urban environment with access to economic and livelihoods opportunities, basic services, adequate housing, etc.

The evaluation is procured by DHS and is seriously delayed due to an inability to reach agreement on the conceptualisation of the TORs (drafted in 2012 but still not finalised and approved).

Diagnostic review of whether the provision of state subsidised housing has addressed asset poverty for households and local municipalities

Part of the vision of housing for the country has been the notion of redistribution of wealth by creating systems that will enable the previously marginalised to participate in the workings of the property market. The housing programme has thus predominantly endorsed the provision of a capital subsidy that offers ownership of free-standing houses to new home owners or transfer of state-owned housing to individual ownership. In recent years rental housing has been brought back to the fore of housing policy, but generally it remains subsidiary to the ownership programme. A number of scholars in the country have been critical of this model and its ability to build the capabilities of the poor to participate in the property market and transcend poverty. However this has been based on limited scientific evidence. Therefore DHS wished to undertake a policy evaluation to review and use existing literature and data to establish the performance of the housing programme in relation to the notion of asset creation. This evaluation is procured by DHS and has been delayed due to disagreements on the SLA. It is underway and should be completed within the 2014/15 financial year. Deliverables submitted to date include the inception report, conceptual overview report and data collection tools.

Implementation/Impact Evaluation of the Support Programme for Industrial Innovation (SPII)

In April 1993, the dti introduced the Support Programme for Industrial Innovation (SPII) to promote the development of commercially viable, innovative products and/or processes and facilitate the commercialisation of such technologies, through the provision of financial assistance. The IDC was appointed by the dti to administer the programme on its behalf.

The purpose of the evaluation of SPII was to provide insight into the effectiveness and efficiency of the current model of implementation, assess the impact of the Programme and to determine how the beneficial impacts can be strengthened.

The evaluation found that SPII contributes to specific stages in the innovation cycle (the end of basic research to the development of a pre-commercialisation prototype). It is estimated that SPII-funded projects have directly created or retained approximately 3000 permanent jobs. R622,6 million was contributed by SPII to projects, which equates to approximately R207 560 per job. The majority of interview respondents believe that SPII's role is critical as traditional sources of funding are difficult to obtain at these stages.

Amongst others, the evaluation recommended that SPII should clearly define its objectives, with corresponding targets, its achievement of these should be measured annually, and that SPII's mandate to support and enhance

innovation in business/industry should not be overwhelmed by a mandate to address direct job creation. The final report was approved on 14 April 2014.

Implementation Evaluation of the Export Marketing and Investment Assistance (EMIA) Programme

The South African Export Marketing and Investment Assistance Programme (EMIA) was established in 1997 and is administered by the Department of Trade and Industry (dti). It is a key component of government's support to export and investment activity. The evaluation focused on the implementation of EMIA through a review of the available documentation, interviews with programme staff and other stakeholders, and a comprehensive firm-level survey of EMIA beneficiaries and non-beneficiaries. In general, the results are encouraging. Users of the scheme are satisfied with the administration and implementation of the scheme, and clear guidelines are in place for the application, selection and disbursement of funds. However, there are two main areas of improvement. Firstly, it would seem that the monitoring and evaluation of the scheme is not a current priority, with little attention given to the detailed measurement of outputs, outcomes and impact. Secondly, the available evidence suggests that the programme is not well-targeted as many of the firms that access EMIA incentives are not export ready and are therefore, in practice, not able to make use of the support that is provided. The final report was approved on 26 May 2014.

The key recommendations include the

establishment of electronic monitoring system and processes, improved adherence to procedural guidelines, focused selection of export-ready firms, moving programme administration into single structure and setting explicit targets for the EMIA programme. The final report was approved on 26 May 2014.

Evaluation of the Technology and Human Resources for Industry Programme (THRIP)

The Technology and Human Resources for Industry Programme (THRIP) was introduced in 1992 to respond to the challenges of skills development in science, engineering and technology. It is funded by the dti and managed by the National Research Foundation (NRF). THRIP strives to improve the competitiveness of South African industry by supporting research and technology development and enhancing the quality and quantity of appropriately skilled people. The purpose of the evaluation was to assess the impact of THRIP over the review period, and to determine how the beneficial impacts can be strengthened. The first draft report was submitted on 28 April 2014.

3.4 2014/15 National Evaluation Plan

The evaluations in the 2014/15 plan are listed below. Most of these should be underway by July 2014.

1. Impact Evaluation of the Social Housing Programme (SHP)

2. Diagnostic Evaluation /Programme Audit for Violence Against Women and Children (VAWC)
3. Diagnostic Review of the Social Sector Expanded Public Works Programme
4. Design Evaluation of the Policy on Community Colleges (PCC)
5. Evaluation of the Indigenous Knowledge Systems Policy (IKSP)
6. Impact Evaluation of the Funza-Lushaka-Bursary Scheme
7. Economic Evaluation of the incremental investment into the SAPS Forensic Services
8. Implementation Evaluation of Management Performance Assessment Tool (MPAT)
9. Implementation/Impact Evaluation of Effectiveness of Environmental Governance in the Mining Sector
10. Implementation Evaluation of the Ilima Letsema Programme
11. Impact evaluation of MAFISA (quantitative)
12. Policy Evaluation of Small Farmer Support
13. Impact Evaluation of Land Restitution Programme
14. Implementation/Impact Evaluation of Departmental Strategic Planning and APP Process
15. Implementation/Impact Evaluation of the National School Nutrition Programme

4 Issues and lessons emerging

4.1 Areas which are working well

Some lessons which emerge around areas which are working well include:

- 39 evaluations are completed, underway or starting in many but not all sectors (notably education, employment and rural having the most);
- An increasing number of departments are using evaluations;
- The basis of a standard system with minimum standards has been developed including 18 guidelines, training of over 300 staff per year, standards, competencies etc;
- Evaluation results are feeding into action in the first evaluations completed.

4.2 Areas needing strengthening

However there are a number of areas where problems have emerged and where the system could be strengthened:

- Some key outcomes have had few evaluations since 2009, notably Health, Criminal Justice, Local Government, Environment, International, Social Cohesion (see Table 6). This means that some sectors have insufficient information on the performance of their programmes.
- Inadequate capacity of service providers, and too few evaluation service providers. This is resulting in too few bids for

Table 6: Distribution of evaluations in the Repository from 2009 (as at 30 June 2014)

| Outcomes | No of evaluations |
|----------|-------------------|
| 1 | 13 |
| 2 | 3 |
| 3 | 2 |
| 4 | 14 |
| 5 | 8 |
| 6 | 1 |
| 7 | 11 |
| 8 | 7 |
| 9 | 2 |
| 10 | 4 |
| 11 | 0 |
| 12 | 8 |
| 13 | 6 |
| 14 | 2 |

evaluations, and inadequate performance of some service providers;

- Departments are delaying evaluations in some cases – sometimes where they are procuring (notably DHS), or sometimes in taking evaluation results to cluster and Cabinet and implementing results.
- Departments are reluctant to publicise evaluations with less than favourable results. This is especially true of departments who are constantly in the media. Although DPME is committed to a

transparent, accountability based evaluation process, it may not be in a position to buffer departments being evaluated from negative press. It is early days for the communications strategy of the NES and time will tell how we effectively manage this process going forward.

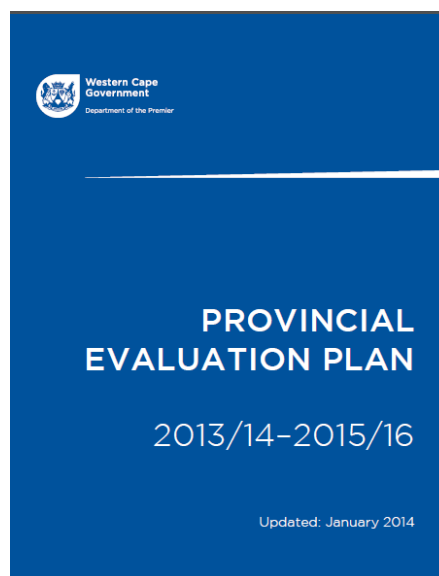
- Some evaluation systems can be improved.
- The poor quality of programme monitoring data making it difficult to ensure credible, verifiable findings. A number of evaluations are taking longer than initially anticipated due to having to sort out the data. In some cases this has resulted in some redesign challenges mid-way through the evaluation process in order to still achieve the required evaluation outcome.
- Departments not planning impact evaluations when programmes were designed. This makes the possibility of doing quantitative impact evaluations much harder.

Evaluation is an emerging discipline in government, one which has to be advocated and advanced through a delicate process of showcasing benefits of learning and improving. This advocacy project is important to the long-term growth of the field of evaluation within government. Officials have to see the demonstrated value of doing evaluations and start demanding evaluation of their policies and implementation programmes. Currently the government system is not conducive to learning, the dominant culture is to hide problems and those who open up about challenges are often ostracised. Even when evidence is produced through research and evaluations it rarely influences practice.

Within this context communication of evaluation results requires careful management to balance the need for accountability, protecting an infant practice and prioritising learning and improvements in government performance, particularly when results reflect negative outcomes.

In the current financial year more must be done to encourage lead departments to present the evaluation within the existing departmental management structures as the evaluation is being implemented. This has the potential to improve buy-in and support for both the process and the outcome of the evaluation and might reduce the tension around the need to objectively communicate evaluation results, particularly when the results are negative.

Figure 8; Western Cape PEP



5 Widening the evaluation system to provinces and departments

5.1 Provincial Evaluation Plans

In 2013/14 DPME discussed with Gauteng and Western Cape the possibility of piloting a model of provincial evaluation plans. This has happened in both provinces and initial work has started with other provinces.

5.1.1 Western Cape

The Western Cape Government Provincial Evaluation Plan (WCG PEP) 2013/2014 – 2015/2016, was approved by the Provincial Cabinet in March 2013. This framework addresses the use of evaluation to promote improved impact of government programmes, and to focus on the importance of evaluation in policy-making as well as linking evaluation to the planning and budgeting processes.

An audit of evaluations commissioned during the period 2006 – 2011 was conducted in 2012 by DPME and the Western Cape Government (WCG). The audit process identified 118 evaluations that were submitted to DPME. The roll-out of the NEPF was piloted in the Western Cape Province and Gauteng in 2012/13 and in this regard, the first WCG PEP was developed for implementation over a three-year period.

The initial focus of the WCG PEP was on 10 evaluations agreed upon as provincial priorities. This PEP was amended in 2013/14 to include

two concept notes which were late submissions by the DHS. An updated WCG PEP was developed in 2013/14 was approved in March 2014. The following evaluations were undertaken by the WCG during 2013/14:

- Evaluating the impact of Agricultural Learnerships Training in the Western Cape;
- Evaluating the implementation of the Transversal Skills Intervention in supporting economic growth and job creation;
- Impact evaluation of the Provincial Literacy and Numeracy Programme;
- Impact of the Safely Home Campaign on road crash fatalities in the Western Cape;
- A diagnostic evaluation of factors contributing to diarrhoeal disease in children under five years living in the Western Cape;
- Evaluation of the implementation of the upgrading of the Informal Settlement Programme;
- Evaluation of the impact of the People's Housing Project;
- Evaluation of the implementation and impact of the Environmental Impact Assessment;
- Evaluation of the implementation of the Mass Participation, Opportunity and access, Development and growth (MOD) Programme;
- Evaluating the impact of the Food Garden Programme on household food security;
- Evaluating the impact of the Market Access Programme;
- Evaluation of the implementation of Provincial Strategic Objective 12 as it relates to good governance.

All implementing departments are currently concluding the evaluations contained in the 2013/14 PEP. The draft final evaluation reports are either in the process of conclusion or have been concluded. The management responses for the draft evaluation reports are now being requested and this will lead to the compilation of the final evaluation reports. These final evaluation reports will then be subjected to a quality assessment process.

The following evaluations will be implemented during 2014/15:

- Evaluating the impact of the Safely Home Campaign on road crash fatalities in the Western Cape to be implemented by the Department of Transport and Public Works;
- Evaluating the impact of Fatigue Management to be implemented by the Department of Transport and Public Works;
- Evaluating the Expanded Partnership Programme to be implemented by the Department of Community Safety;
- Evaluating the impact of crop rotation trials to be implemented by the Department of Agriculture;
- Evaluating the impact of abattoir inspections conducted to be implemented by the Department of Agriculture; and
- An impact evaluation on the annual Western Cape Farm Worker of the Year Competition to be implemented by the Department of Agriculture.

5.1.2 Gauteng

The Gauteng Evaluation Framework was approved by the Executive Council in 2012 and

it mandates the establishment of a 3-year rolling Provincial Evaluation Plan (PEP) as a focus for priority evaluations of the provincial government. Reports on Food Gardens, Gauteng Master Skills Plan and Expanded Public Works Programme (EPWP) evaluations were completed and tabled at EXCO. A request for a management response to the evaluation findings and recommendations was also solicited from the responsible departments.

The 2013/14 – 2015/16 Provincial Evaluation Plan (PEP) was developed in 2012/13 and approved by the Gauteng Executive Council. Implementation of the Plan was undertaken through completion of the Maternal Mortality (Phase 1) evaluation, Violence against Women and Children synthesis evaluation as well as initiation of the Young Women's Development Programme (YWDG), Frontline Service Delivery Monitoring Programme (FSDM) and Maternal Mortality Phase 2 evaluations in 2013/14.

The 2014/15 – 2016/17 Provincial Evaluation Plan (PEP) was developed in 2013/14. In September 2013, Heads of Departments (HODs) were invited to submit evaluation concept notes proposing evaluations to be included in the Provincial Evaluation Plan (PEP) for this period. On the basis of the draft concept notes and further engagement and refinement a draft Provincial Evaluation Plan was developed in 2013/14, incorporating 5 possible evaluations.

5.1.3 Other provinces

During the 2013/14 financial year, North West, Free State, Limpopo, Eastern Cape and

Mpumalanga produced Draft Concept Notes for Provincial Evaluation Plan. It is envisaged that once concept notes have been completed, Provincial Evaluation Plans will be developed and submitted to the Provincial Executive Councils for approval. By 31 July the Free State had approved the Concept for a PEP.

5.2 Departments

No formal process has started yet on promoting departmental evaluation plans. However departments have expressed interest and DPME has developed a template. This is seen as a high priority for 2016/7 onwards as part of embedding evaluation in the work of government.

National departments that have produced departmental evaluation plans include dti, DST and DRDLR. DRDLR has developed a departmental evaluation plan for the period 2013-16 approved by their Director-General in June 2013 and are currently completing their first evaluation, an implementation evaluation of the NARYSEC programme due mid-2014. Other planned evaluations include an implementation evaluation of the Proactive Land Acquisition Strategy (PLAS) due mid-2015; an assessment of the impact of CRDP on its pilot sites due mid-2015 and an implementation evaluation of new CRDP sites due mid-2016.

DHET have developed a draft research agenda. Evaluations are included in the research agenda. They are expecting to finalise it by July 2014. The DSD have developed an Evaluation Strategy Document (2014/15 – 2016/17) and envisage conducting two evaluations in-house

Box 2: Implementing evaluations in a provincial department – Western Cape Department of Agriculture

During the 2013/14 financial year the Western Cape Department of Agriculture internalised the systematic evaluation of interventions. A key principle was of officials responsible for particular interventions driving the evaluation of their project, reducing the possibility of the evaluation being a threat to their careers. A rolling three-year Departmental Evaluation Plan was developed with the following evaluations completed in 2013/14:

- Land reform support;
- FET Learnerships;
- Smallholder market access;
- Dyssselsdorp CRDP Node.

Positive results in terms of redress, household wealth formation and job creation were revealed. However, failures were also exposed. Interventions were appropriately adapted to address the latter and particularly heartening were the positivity with which managers and line officials embraced the changes. In the words of one official; “I am now making a real contribution”. A similar range of projects will be evaluated in the 2014/15 financial year and training to support this is scheduled. The evaluations proposed for 2014/15 include:

- Agricultural scenarios;
- Service needs of farmer categories;
- Alternative uses for water and water-use efficiency (grape/look / fruit/look);
- Commodity approach;
- Meat safety;
- Rate of return on crop rotation research;
- Agribusiness Investment Unit;
- Matzikamma CRDP;
- Farm worker competition.

Some changes have already been made to programmes resulting from evaluations, some drastic. For example the whole approach to learnerships has changed with a much more integrated approach between us and farmers employing the learners. Similarly, the focus of the market access intervention will change to reflect the department’s mandate.

namely; administrative processes regarding Foster Care; and an implementation evaluation of the Isibindi Model.

There is also an example of a provincial department which has taken evaluation seriously, the Western Cape Department of Agriculture (See box 2).

5.3 Local government

Over the past year, Tshwane Metro through the office of the Executive Head: Performance Monitoring & Evaluation has drafted their own Evaluation Plan based on the National Evaluation System. They have engaged an academic institution to assist in the formulation of the plan, and it is in the process of approval. In the meantime they have been doing internal process evaluation, and compliance evaluation and are now focusing on capacity development to get more experience on evaluations. Again municipal evaluation plans are not a focus of DPME at present, but attention will be paid to the metros in 2016/17. Priority should be given to cross-cutting evaluations in local government.

6 International linkages

6.1 Approach

From the first time when the need to develop an evaluation system became clear, DPME has made efforts to learn from the experience of others, and in the same vein to share our experience. In 2011 study tours were carried out to Mexico, Colombia, the US and Australia to learn from their experience in evaluation. Many lessons were learned which allowed us to progress much more quickly. Those relationships have continued since then and have proved very valuable when developing systems. For example the concept for design evaluation and the guideline have drawn heavily from the Mexican version. This speeds up system development enormously.

6.2 Africa

DPME was asked to organise support to Burundi in 2011. This eventually become a wider process, linking with 6 other African countries involved in M&E (Burundi, Uganda, Kenya, Senegal, Benin, Ghana), and exploring what each was doing and where there were lessons to learn from each other, which culminated in an African M&E Workshop in March 2012. DPME collaborated with the Centre for Learning on Evaluation and Results (CLEAR) Anglophone Africa on this. GIZ funded the workshop as well as prior research which looked at each country and the lessons to be learned. In the end there proved to be a lot to share on evaluation between Benin, Uganda and South Africa, and that relationship has been

taken forward since then. Some activities undertaken have been:

- Sharing examples of guidelines and systems;
- Supporting Benin and Uganda to participate in training being run in South Africa;
- Each attending each others' national evaluation weeks (in South Africa's case SAMEA);
- Running a joint session on national evaluation systems at the African Evaluation Association conference in Cameroun in March 2014;
- Encouraging Benin to join 3ie (Uganda was already a member), as an opportunity to learn and also to make our networking easier.

6.3 Peer countries outside Africa

DPME continues to network with other countries that are supporting government evaluation systems. DPME are members of 3ie (see below) along with Mexico and Colombia (and now Benin and Uganda) and this enables regular follow-ups. DPME has also visited Canada's Centre of Excellence in Evaluation (in October 2012) and also Australia which had a world beating evaluation system up to 1996. Relationships are maintained with the US Government Accountability Office.

6.4 International organisations

DPME is a member of 3ie (the International Initiative for Impact Evaluation). Minister Chabane visited a 3ie event in April 2012, at

which point the decision was taken to become a member, and Ian Goldman, DPME's Head of Evaluation and Research, became a 3ie Board member at that time. The relationship with 3ie has been beneficial in a number of ways:

- Exposing South Africa to international good practice, particularly around impact evaluation;
- Funding DPME and partner departments to attend evaluation events, as well as events related to systematic reviews;
- Giving feedback on DPME guidelines and systems;
- Contributing to design clinics where DPME develops the outlines for evaluation TORs
- Funding impact evaluations. 3ie funded a scoping of the Grade R evaluation (which DPME then took forward) and the National School Nutrition Programme (which showed it was too difficult to do). In 2014/15 3ie is providing about R7m to support impact evaluations of MAFISA and Land Restitution.

Another key link has been with CLEAR Anglophone Africa, collaborating with them on development and rollout of training and in many other areas.

DFID has provided around R10 million of funding for evaluation through the Strengthening Performance M&E Project. This has particularly supported training, quality assessment and some evaluations.

GIZ funded several projects including the African M&E Workshop as well as the development of standards, competences and

the first training course.

The World Bank has provided technical support, eg in organising study tours, commenting on guidelines. DPME has contributed to seminars in Washington, and maintains close links with the World Bank's Independent Evaluation Group, which also hosts CLEAR.

UNICEF has supported evaluations in South Africa, in some cases with funding, in others providing advocacy and technical support, eg on the nutrition evaluation.

Figure 9: Members of the Evaluation Technical Working Group meeting to select evaluations



7 Emerging examples of influencing policy and implementation

Apart from the ECD evaluation, the next evaluation was only commissioned in October 2012 – ie 18 months prior to this report. It is therefore early days to see concrete impacts of the evaluations. Despite this examples can be seen.

7.1 Improvement plans (lan)

A key to the evaluation system is a system of improvement plans produced after each evaluation is completed. These have been produced for Early Childhood Development, Land Restitution, Grade R and Business Process Services, and the first 6 monthly report has been received for ECD. The system is not working ideally and departments are very slow in producing these reports. In DSD's case the second progress report was requested in January 2014 and it has still not been received, despite repeated requests.

The system is important as this is the way to ensure that evaluation recommendations are being followed up, and this can be tracked. In some cases departments would prefer not to follow up on these recommendations

7.2 ECD

There has been significant movement on the ECD front. A draft ECD Policy has been produced addressing many of the findings of the

evaluation. In addition partly as a result of the ECD evaluation an evaluation of nutrition interventions for children under 5 has also been undertaken, as well as an evaluation of Grade R, all components of ECD. However there have been six month delays by DSD in submitting the progress reports on the improvement plans

7.3 Nutrition

An evaluation of nutrition interventions for under 5s was included in the 2012/13 national evaluation plan. The final report was approved in March 2014. By 30 June 2014 the recommendations from the evaluation have already had results, with an indicator on stunting now included in the MTSF, as well as other targets. The Department of Health is looking at its structure on how best to address the findings..

7.4 Grade R

The impact evaluation of the introduction of Grade R on learning outcomes recommends that the focus of foundation phase education be on increasing the quality of the Grade R programme prior to investing in the development and roll out of a further year of pre-Grade R programme. Meanwhile the NDP recommended introducing a second year of pre-Grade R (RR) to all schools in South Africa, In response to this evidence DBE have decided to hold off on a second year and commit to the improvement of quality in their extension of reach of Grade R over the coming year as outlined in their improvement plan.

8 Managing the system

8.1 Collaborative approach to managing the system

8.1.1 Building a learning coalition

DPME is seeking to build a coalition across government to promote evaluation. The initial study tour to Mexico and Colombia included officials from the Public Service Commission, Department of Basic Education, Department of Social Development and Government Communication and Information System (GCIS). All these departments participated in writing the National Evaluation Policy Framework (NEPF). To support the system DPME has established a cross-government Evaluation Technical Working Group (ETWG) including officials from centre of government departments, sector departments and provincial offices of the premier. The ETWG met twice in 2013/14, once to select evaluations and once in the annual reflection session in March 2014 (see Figure 9).

8.1.2 Building partnerships to take forward each evaluation

Steering Committees are established for all evaluations in the National Evaluation Plan to oversee and take decisions on the overall evaluation process. A senior programme manager of the custodian department chairs the Steering Committee whilst DPME provides secretariat support and technical advice to the Steering Committee. The strategic value of involving programme managers in their own evaluations is to build ownership of the evaluation process and it is hoped that this

would translate into utilisation of evaluation results by custodian departments. In practice in some departments the evaluations are left to M&E staff and the programme managers do not attend regularly, which creates problems later.

8.1.3 A support team – the Evaluation and Research Unit

The National Evaluation System is led by the Evaluation and Research Unit (ERU) in DPME, supported by the ETWG. ERU is the champion and drives development of the evaluation system. The Unit consists of a core team of 13 Officials, namely the Head of the Unit, (at Deputy-Director-General level), 4 Directors (this includes 4 Evaluation Directors), 1 Deputy Director, 4 Evaluation Officers supporting the Directors, 2 Administration Officers and 1 Intern (see Annex 6).

The ERU's key roles include leadership, promotion of evaluation in government, standard setting and quality assurance, technical support to departments/ Evaluation Steering Committees and Provincial Offices of the Premier. .

Whilst the main focus of the Unit since its inception in September 2011 has been on setting up the National Evaluation System for South Africa, over the next three years, the target for evaluations in the National Evaluation Plan will be reduced from 15 to 8 evaluations, partly to ensure that the pipeline of evaluations are completed and to dedicate more time in supporting provinces and departments in setting up their own evaluation systems. In addition a role is developing of support the use of research to inform policy and a research director started

work in May 2014.

8.1.4 Co-funding model

Evaluations are implemented as a partnership between the department(s) concerned and DPME, and DPME part-funds the evaluations (with an average of R750 000 per evaluation). This has partly contributed in stimulating demand for evaluation and provided incentives to departments who undertake evaluations. As a standard procedure, a co-funding arrangement is formalised in writing by DPME and the custodian department before the commencement of the evaluation process. DPME usually commissions evaluations and therefore the department would transfer the co-funding amount to DPME. On rare occasions DPME has fully funded critical evaluations where funding was not evaluable from the custodian department and there was an urgent need to undertake those evaluations.

With DHS, the evaluations have been fully funded by DHS and procured through their systems which has taken 12+ months to procure, leading to extensive delays. Based on this experience DPME would like to undertake procurement of all NEP evaluations from 2015/16.

8.2 Donor funding

The establishment of the evaluation function in DPME has a lot to owe the Programme to Support Pro-Poor Policy Development (PSPPD), a partnership between the Presidency and the EU, which funded many of the start-up activities which led to the establishment of the evaluation system in 2011. Donor funding has

had an important role to play, particular as government resources become tighter following the global recession. The UK's Department for International Development (DFID) has been supporting DPME since 2012, with a government-to-government agreement signed in November 2012 for the Strengthening Performance M&E (SPME) project. This is providing 2 million pounds sterling to DPME, of which around 660 000 pounds or around R10 million is for evaluation. Key elements supported by DFID around evaluation have been the annual training programme, development of a quality assessment system, and a course in evidence-based policy making for DGs and DDGs. This support has now been extended to September 2015.

GIZ has also provided important support to DPME for evaluations, notably funding the development of evaluation standards, competencies, and a first evaluation course.

8.3 Tracking evaluations and improvement plans

As progress reports come in from Improvement Plans, a system is needed to track these reports. DPME has looked at such systems from the World Bank and Inter-American Development Bank, and the latter looks useful. This model is being adapted and a system designed

9 Way forward

This annual report is initiated at a time where we start to see a pipeline of evaluation findings coming through, and in some cases first evidence of impacts.

It is also a time where we can see challenges emerging around the system which need to be addressed to enable the system to maximise its efficiency and effectiveness in improving government's performance.

Key issues that need to be addressed are:

- Few evaluations from some sectors eg health, crime, local government;
- Inadequate supply of strong evaluators;
- Departments taking too long to take forward evaluations to cluster, to improvement plans;
- Insufficient funding for complex evaluations;
- Some departments taking a very long time to procure, eg DHS;
- Inadequate data for some evaluations to be viable;
- Improving communication of evaluation findings;
- Delays in departments submitting progress reports on improvement plans.

A key question will emerge in 2014/15 of how best to widen capacity in national and provincial governments to undertake their own evaluations. This will require additional capacity in DPME from 2015/16 to support the system.

Table 1: Key issues arising and how these are being addressed

| Issue | How this is being addressed | Further action needed |
|---|--|---|
| Not getting evaluations from some sectors eg Health | Raising with FOSAD and Cabinet gaps and proposing possible evaluations for them to select from. | Cabinet to consider priorities they would like to be evaluated. |
| | Targeted work with areas of low uptake eg Health, local government and public service | Discuss with DCOG what cross-cutting evaluations are key for local government |
| Insufficient funding for complex evaluations | Raising DPME's contribution to an average of R1 million (ie total of R2 million) with possibility of some at double this | Departments to reserve 0.1-5% of programme budgets. |
| | Getting donor (eg 3ie) support for complex impact evaluations | Continue |
| Some departments taking a very long time to procure, eg DHS | DPME to procure wherever possible | Evaluations where departments procure not prioritised in the NEP but rather included in departmental evaluation plans |
| Inadequate supply of strong evaluators | Advocacy work at universities to encourage them to participate | Develop course to assist researchers to understand evaluation |
| | Capacity building work with service providers | Developing training courses and briefings in 2014/15. Undertake rating system of service providers, and publicise the results |
| | Diagnostic on the supply of qualified evaluators | Fundraising for this |
| | New call for evaluation panel in August 2014 to expand the group to draw from | In process |
| Inadequate data for some evaluations to be viable | Developing model for evaluability assessment and apply in 2014/15 | Work to improve administrative data quality, and also programme data collection |
| | Encourage all first evaluations to be implementation evaluations, only after which do we consider an impact evaluation | Departments to plan impact evaluations at programme inception |
| Departments taking too long to take forward evaluation results | Standard now being applied that if departments don't take to Cabinet within 4 months, DPME takes the evaluation | Cabinet to note the problem. Include this in AG monitoring and MPAT standards |
| Improve communication of evaluation findings | Testing out with next evaluations including policy briefs, seminars etc | See how this works and additional inputs needed |
| Departments slow to produce improvement plan progress reports | Repeated requests and highlighting the problem. | See whether the Auditor General can audit reporting on improvement plans. Also include in MPAT standards. |
| Additional capacity needed to support provincial and departmental evaluations | Supported two provincial evaluation plans in WC and GP to test the system. Now working with 5 other provinces | Strengthen imperative to take forward. In 2016/17 major focus on DEPs |

Annexes

Annex 1: List of policies, guidelines, templates etc

Guidelines

- 2.2.1 Guideline on How to develop Terms of Reference for Evaluation Projects
- 2.2.2 Guideline on Peer Review for Evaluations
- 2.2.3 Guideline for the Planning new Implementation Programmes
- 2.2.4 Guideline for Inception Phase of Evaluations
- 2.2.5 Guideline on How to Develop Management Response to an Evaluation Report
- 2.2.6 Guideline on How to develop an Improvement Plan to address Evaluation
- 2.2.7 Recommendations
- 2.2.8 Guideline on How to develop Provincial Evaluation Plans
- 2.2.9 Guideline on Communication of Evaluation Results
- 2.2.10 Guideline on Diagnostic Evaluation
- 2.2.11 Guideline on Design Evaluation
- 2.2.12 Guideline on Implementation Evaluation
- 2.2.13 Guideline on Impact Evaluation
- 2.2.14 Guideline on Economic Evaluation
- 2.2.15 Guideline on Synthesis Evaluation

Templates

- 1. Template for Evaluation Project Plan
- 2. Template for Evaluation Proposals
- 3. Score-sheet / Template for selecting evaluation in the National Evaluation Plan
- 4. Outline Terms of Reference for Evaluation Steering Committees

Policies and Plans

- 1.20 National Evaluation Policy Framework approved on 23 November 2011
- 1.21 National Evaluation Plan, 2012, approved on 13 June 2012
- 1.22 National Evaluation Plan, 2013/14 – 2015/16, approved on 21 November 2012
- 1.23 National Evaluation Plan, 2014/15 – 2016/17, approved on 4 December 2013

Annex 2: Publications

DPME Publications

| | |
|-------------|---|
| DPME, 2011a | National Evaluation Policy Framework 2011 |
| DPME, 2012a | National Evaluation Plan 2012/13 |
| DPME, 2012c | National Evaluation Plan 2013/14 |
| DPME, 2013a | National Evaluation Plan 2014/15 |

Evaluations (those marked * have not yet been to Cabinet and are not yet public)

| | |
|------------|---|
| DPME, 2012 | Report of Diagnostic Review of Early Childhood Development* |
| DPME, 2013 | Evaluation of Business Process Services Programme* |
| DPME, 2013 | Impact Evaluation of Grade R |
| DPME, 2013 | Implementation Evaluation of Land Recapitalisation and Development Programme* |
| DPME, 2013 | Implementation Evaluation of Comprehensive Rural Development Programme* |
| DPME, 2014 | Implementation Evaluation of Nutrition Programmes for Children under 5s* |
| DPME, 2014 | Formative Evaluation of Presidential Intervention within King Sabatha* |
| DPME, 2014 | Implementation Evaluation of the Export Marketing Investment Assistance Incentive Programme (EMIA)* |
| DPME, 2014 | Evaluation of the Support Programme for Industrial Innovation (SPII) * |

Articles or book chapters

- Goldman, I. (2013). Developing a National Evaluation System in South Africa. eValuation matters, Vol , Year, 41-49, Tunis, African Development Bank. <http://operationevaluation.afdb.org/evaluations-publications/evaluation/evaluation-matters-how-can-we-strengthen-national-evaluation-systems-september-2013-347>
- Stephen Porter, Ian Goldman, (2013). A Growing Demand for Monitoring and Evaluation in Africa. African Evaluation Journal, 1(1) pp. 1-9. <http://www.aejonline.org/index.php/aej/article/view/25/10>
- Goldman, Ian; Engela, Ronette; Akhalwaya, Ismail; Gasa, Nolwazi; Leon, Bernadette; Mohamed, Hassen; Phillips, Sean. (2012). Establishing a national M&E system in South Africa. PREM Notes; no. 21. Special series on the Nuts and Bolts of Monitoring and Evaluation (M&E). Washington D.C.: The Worldbank. <http://documents.worldbank.org/curated/en/2012/09/17451373/establishing-national-system-south-africa>
- Donna Podems, Ian Goldman, Christel Jacob. (2014). Evaluator Competencies: The South African Government Experience. The Canadian Journal of Program Evaluation, 28(3) pp. 71-85. <http://cjpe.journalhosting.ucalgary.ca/cjpe/index.php/cjpe/article/view/173/pdf>
- Evaluation Management in South Africa and Africa
- Context of Evaluation Management
 - Public Sector Evaluation in South Africa and Africa
 - The Institutionalisation philosophy and approach underlying the GWM&ES in South Africa (Annex)

Annex 3: Departments involved in the system

Departments involved in evaluations using the national evaluation system to date (out of 46 national departments):

- Agriculture, Forestry and Fisheries
- Basic Education
- Co-operative Governance
- Environmental Affairs
- Health
- Higher Education & Training
- Human Settlements
- Military Veterans
- Rural Development and Land Reform
- Science & Technology
- Social Development
- South African Police Services
- South African Revenue Services
- The Presidency
- Trade and Industry

Departments involved in the evaluation system but not specific evaluations:

- Auditor General
- National Treasury
- Public Service and Administration
- Public Service Commission
- StatsSA

Annex 4: Strategic partners

Development partners

World Bank

| | |
|-------|---|
| 3ie | International Initiative for Impact Evaluation |
| CIDA | Canadian International Development Agency |
| CLEAR | Regional Centers for Learning on Evaluation and Results |
| DFID | Department for International Development |
| GIZ | Internationale Zusammenarbeit |
| EU | European Union |
| PSPPD | Programme to Support Pro-Poor Development |

Evaluation Associations

| | |
|-------|--------------------------------------|
| AFREA | African Evaluation Association |
| SAMEA | South African Evaluation Association |

Research organisations

| | |
|------|---|
| CSIR | Centre for Scientific and Industrial Research |
| HSRC | Human Science Research Council |

Peer countries in regular contact

Benin
Canada
Colombia
Ghana
Uganda
Mexico

Universities

University of Cape Town (training in evidence-based policy-making, evaluations)
University of Free State (evaluations)
University of Johannesburg (BCURE project)
University of Stellenbosch (evaluations)
University of Witwatersrand (evaluations, CLEAR initiative)

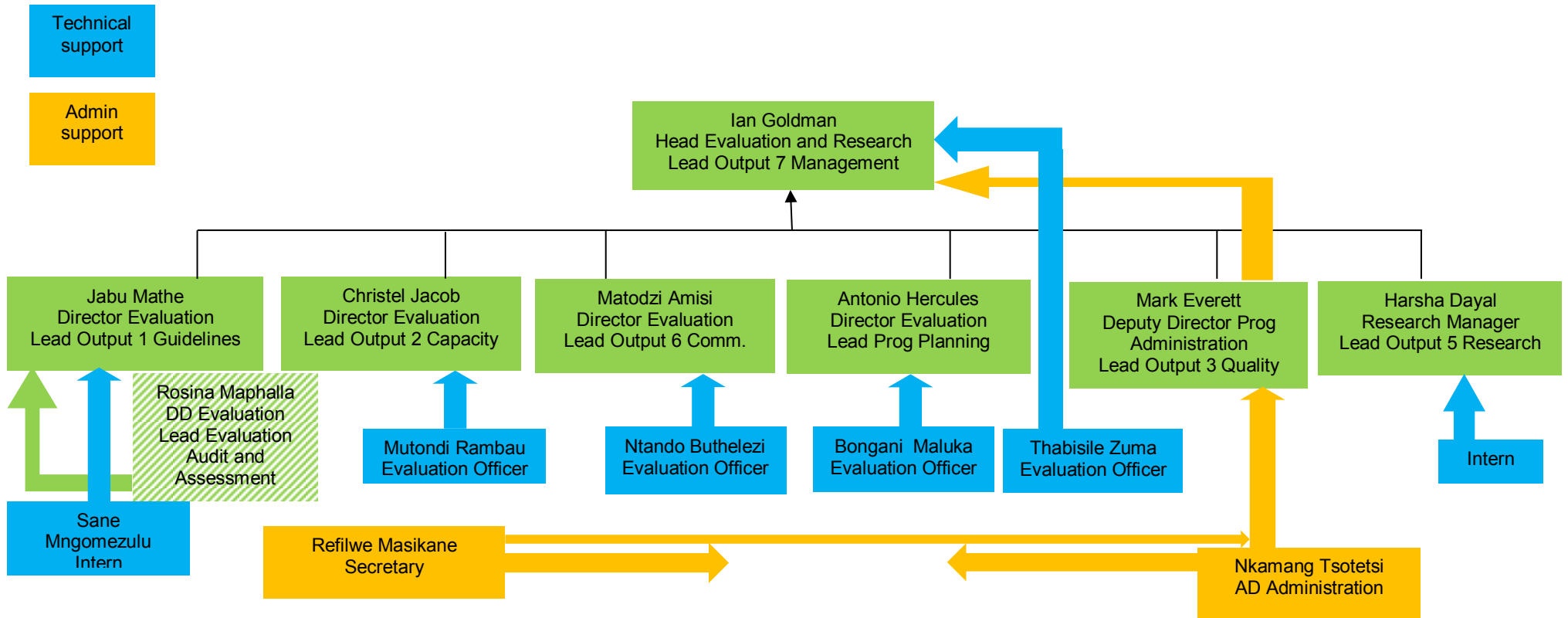
Annex 5: Panel of service providers as at 31 March 2014

| Evaluation panel | Research panel | Year joined panel | Name of company |
|------------------|----------------|-------------------|---|
| X | | 2012 | Dr R B Basson |
| X | | 2012 | ECl Africa Consulting (Pty) Ltd |
| X | | 2012 | Genesis Analytic |
| X | | 2012 | Infusion Knowledge Hub (Pty) LTD |
| X | | 2012 | Jet Education Services |
| X | | 2012 | Khulisa Management Services |
| X | | 2012 | Outsourced Insight |
| X | | 2012 | Oxford Policy Management |
| X | | 2012 | Shanil Haricharan |
| X | | 2012 | University of Pretoria |
| X | | 2012 | Unleash Potential HR cc t/a Unleash Potential Unlimited |
| X | | 2012 | Wits Health Consortium Pty LTD |
| | | 2014 | University of Witwatersrand |
| X | | 2012 | Wolpe Strategic Economic Consulting trading.as. Impact Economix |
| X | X | 2012 | CASASP Oxford University (UK) |
| X | X | 2012 | Centre for Education Policy Development |
| X | X | 2012 | Dr Kevin John Kelly/ Evaluaid |
| X | X | 2012 | McIntosh Xaba and Associates (Pty) Ltd |
| X | X | 2012 | Mthente Research and Consulting Services |
| X | X | 2012 | Open Space Consultants T/A Southern Hemisphere |
| X | X | 2012 | Palmer Development Group (Pty) Ltd |
| X | X | 2012 | Rhizome Management Services CC |
| X | X | 2012 | University of Stellenbosch |
| | X | 2012 | Dr Marinda Weideman |
| | X | 2012 | University of Cape Town |
| X | | 2013 | Tsimeni Coaching & OD Services |
| X | X | 2013 | HSRC |
| | X | 2013 | Health Systems Trust |
| | X | 2013 | Fresh Thinking Capital |
| | X | 2013 | Isandla Institute |
| | X | 2013 | Africa Scope |

| Evaluation panel | Research panel | Year joined panel | Name of company |
|------------------|----------------|-------------------|--|
| X | X | 2013 | Universalialia |
| X | X | 2013 | DNA Economics |
| X | | 2013 | Mbumba Development Services |
| X | | 2013 | Kayamandi Development Services |
| X | X | 2013 | Economic Policy Research Institute |
| X | X | 2013 | Trade and Industry Policy Strategies |
| | X | 2013 | Isambulo AMI |
| X | X | 2013 | DL Consulting |
| X | X | 2013 | University of the Free State |
| X | X | 2013 | SA Institute for Distance Education |
| X | X | 2013 | Community Agency for Social Enquiry (CASE) |
| | X | 2013 | Public Affairs Research Institute |
| | X | 2013 | Lamokete and Mtshali-Lawrence Consultants |
| X | X | 2013 | Masazi Development |
| | X | 2013 | Shisaka Development Management Services |
| X | X | 2013 | Podems Consulting T/A Otherwise |
| | X | 2013 | Grant Thornton |
| X | | 2013 | Singizi Consulting |
| X | | 2013 | Cathexis Consulting |
| X | | 2013 | Goss Gilroy Inc |

Annex 6: Structure of Evaluation and Research Unit

Structure of Evaluation and Research Unit



Annex 7: Status of evaluations as at 31 March 2014

| NEP/ Reference | Name of evaluation | Department(s) responsible for the programme being evaluated | Date of contract, Service Provider undertaking evaluation | Current stage | Anticipated or actual date of receipt of final report | Anticipated or actual date of Cabinet approval or presentation to Parliament |
|-------------------|---|--|---|--|--|--|
| No NEP | | | | | | |
| 2011-1 (11/11033) | Diagnostic Review of Early Childhood Development (ECD) | Social Development Basic Education Health | 27 October 2011 - HSRC | Evaluation completed in June 2012. Improvement Plan completed in October 2012. First progress report on improvement plan received from DSD and second requested. | Final report approved 15 June 2012 and report on DPME website. | Presented to Basic Education Portfolio Committee in June 2013 |
| 2012-13 | | | | | | |
| 2012-1 (12/0288) | Evaluation of Business Process Services Programme | Trade and Industry | 3 October 2012 - Genesis Analytics | Evaluation report approved by Steering Committee. Management response received 12 August 2013. Improvement Plan completed on 18 November 2013 and awaiting approval by DG dti. Report presented at Economic Cluster on 12 Feb 2014 | 16 May 2013 | July 2014 |
| 2012-2 (12/428) | Impact Evaluation of Grade R (reception year of schooling) | Basic Education | 12 December 2012 - Stellenbosch University | Final Report approved by Steering Committee. Management response requested 29 July 2013. Improvement Plan workshop held on 10 December 2013. Cabinet approved. Not yet received Management Response & Improvement Plan. | Final report approved 15 June 2013 | Cabinet approval 19 March 2014 |
| 2012-3 (12/0287) | Implementation Evaluation of Nutrition Programmes addressing under 5s | Health Rural Development Social Development Agriculture | 06 November 2012 - Khulisa Management Services | Literature review completed. Provincial and thematic case studies approved. Final evaluation report approved. | 31 March 2014 | August 2014 |
| 2012-4 (12/410) | Implementation Evaluation of Land | Rural Development | 11 December 2012 - | Final report approved by Steering Committee 27 Oct 2013. Management Response and | Final report approved 27 | 5 March 2014 (FOSAD) |

| NEP/ Reference | Name of evaluation | Department(s) responsible for the programme being evaluated | Date of contract, Service Provider undertaking evaluation | Current stage | Anticipated or actual date of receipt of final report | Anticipated or actual date of Cabinet approval or presentation to Parliament |
|--------------------------------|--|--|--|--|--|--|
| | Recapitalisation and Development (RECAP) programme | | University of Pretoria | Improvement Plan received on 11 February 2014. | September 2013 | |
| 2012-5 (12/409) | Implementation of Comprehensive Rural Development Programme (CRDP) | Rural Development | 11 December 2012 – Impact Economix | Final report approved by SC 16 Oct 2013. 1 st draft management response and improvement plan received 11 th of Feb 14. Revision requested. Awaiting revision with DPME (Management plan/ Improvement plan) | Final report approved 1 November 2013 | Presented to FOSAD on 5 March 2014 |
| 2012-6 (Procured by DHS) | Implementation of Integrated Residential Development Programme (IRDP) | Human Settlements | ADEC (African Development Economic Consultants) | 1 st draft inception report submitted for review. Work is currently underway to complete the design review phase of the evaluation. 1 st Draft Design review report to be submitted on 4 April. | December 2014 | November 2014 |
| 2012-7 (Procured by DHS) | Implementation of Urban Settlements Development Grant (USDG) | Human Settlements | PDG. SLA waiting for signature of DG DHS. | Design review has been completed. Data collection is completed. Four case study reports have been submitted. Three validation workshops for 3 metros (CT, Ekurhuleni, and Johannesburg) took place in March and Buffalo City Metro will take place on 2 April. | August 2014 | April 2015 |
| 2012-8 (12/427) | Impact evaluation of National School Nutrition Programme | Basic Education | The evaluation started & it was stopped due to poor quality | First evaluation stopped and DBE requested to be dropped. Cabinet decided it should continue and included in 2014/15 Plan | N/A | N/A |
| Other | | | | | | |
| 2012-9 (12/0468) | Formative Evaluation of the Presidential Intervention within the King Sabata | DPME | 1 March 2013 - Impact Economix | Intermediate reports submitted. Draft final report submitted. Being considered at PMU meeting in May. | June 2014 | August 2014 |

| NEP/ Reference | Name of evaluation | Department(s) responsible for the programme being evaluated | Date of contract, Service Provider undertaking evaluation | Current stage | Anticipated or actual date of receipt of final report | Anticipated or actual date of Cabinet approval or presentation to Parliament |
|---------------------|---|--|--|---|--|--|
| | Dalindyebo Municipality (KSD) | | | | | |
| 2013/14 | | | | | | |
| 2013-1 (12/0536) | Implementation of Government Coordination System (clusters/ MinMECs and Implementation Forums) | Presidency | 20 March 2013 - Impact Economix | Draft report submitted and presented to FOSAD on 7 October 2013. Final evaluation report approved and being discussed at different clusters – so far Social, Economic. Management Response and Improvement Plan to be drafted | 24 January 2014 | September 2014 |
| 2013-2 (13/0836) | Implementation of the Export Marketing Investment Assistance Incentive Programme (EMIA) | Trade and Industry | 16 August 2013: DNA Economics (Pty) Ltd | Field work completed and draft Report received on 19 March 2014 | 26 May 2014 | September 2014 |
| 2013-3 (13/0934) | Evaluation of the Support Programme for Industrial Innovation (SPII) | Trade and Industry | 4 October 2013 Genesis Analytics | Draft Evaluation Report received on 18 December 2013. Stakeholder workshop on draft report 21 January 2014. Revised Report received 28 March 2014. | 21 May 2014 | September 2014 |
| 2013-4 (13/0933) | Evaluation of Technology and Human Resources for Industry Prog- ramme (THRIP) | Trade and Industry | 11 October 2013 Business Enterprises and University of Pretoria | Fieldwork Report received on 27 March 2014 and circulated to the Steering Committee for comments | September 2014 | January 2015 |
| 2013-5 (13/0856) | Evaluation of Military Veterans Economic Empowerment and | Military Veterans | 28 August 2013 Singizi Consulting | Evaluation behind schedule. Draft Evaluation report has been delivered in February 2014. Initial feedback has been provided on the draft report. The draft final evaluation report | August 2014 | November 2014 |

| NEP/ Reference | Name of evaluation | Department(s) responsible for the programme being evaluated | Date of contract, Service Provider undertaking evaluation | Current stage | Anticipated or actual date of receipt of final report | Anticipated or actual date of Cabinet approval or presentation to Parliament |
|----------------------|---|--|--|--|--|--|
| | Skills Transferability and Recognition Programme | | | has been submitted for review and feedback.. | | |
| 2013-6 | Evaluation of Advanced Manufacturing Technology Strategy (AMTS) | Science and Technology | 3 March 2014 Business Enterprises (University of Pretoria) | Evaluation behind schedule. Draft literature review submitted for feedback, as well as draft data analysis plan. Initial workshop on theory of change and logframe have taken place. Data collection scheduled for April 2014. | November 2014 | March 2015 |
| 2013-7 (13/0926) | Evaluation of Tax compliance cost of small businesses | SA Revenue Service | 11 November 2013 Genesis Analytics | Evaluation behind schedule due to internal SARS issues. All qualitative research is completed (individual interviews, tax practitioner and SMME focus groups). The tax practitioner survey link has been distributed to relevant associations and bodies. The small business survey was to be circulated by SARS on 31 March 2014 after internal approval processes were finalised. By end-April the two surveys are scheduled to be closed. | September 2014 | November 2014 |
| 2013-8 | Evaluation of Community Work Programme (CWP) | Cooperative Governance | SLA to be signed April 2014. Southern Hemisphere | Evaluation delayed due to issues around CWP. Service Provider appointed, and due to start evaluation in April 2014. | November 2014 | January 2015 |
| 2013-9 (13/0766) | Evaluation of Land Restitution Programme | Rural Development and Land Reform | 28 June 2013 Genesis Analytics | Final evaluation report approved by steering committee on 28 February 2014. Management response requested 11 March 2014. Evaluation submitted for quality assessment 11 March 2014. | 18 February 2014 | July 2014 |
| 2013-10 (13/0958) | Evaluation of Comprehensive | Agriculture, Forestry and | 6 September 2013 | Pilot undertaken 17-21 Feb 2014. 1 st draft report due 6 June 2014 | 29 August 2014 | September 2014 |

| NEP/ Reference | Name of evaluation | Department(s) responsible for the programme being evaluated | Date of contract, Service Provider undertaking evaluation | Current stage | Anticipated or actual date of receipt of final report | Anticipated or actual date of Cabinet approval or presentation to Parliament |
|----------------------|--|--|--|---|--|--|
| | Agricultural Support Programme (CASP) | Fisheries | Business Enterprises at University of Pretoria. | | | |
| 2013-11 | Evaluation of Upgrading of informal Settlement | Human Settlements | 27 March 2014 HSRC | SLA has been concluded. SP is currently consolidating information to finalise their methodology. An information sharing session by DHS, DPME, NUSP and municipalities was held in Feb. sharing available information and data related to informal settlements. SP currently busy with the inception report. | February 2015 | April 2015 |
| 2013-12 | Evaluation of Access to the City | Human Settlements | Not yet appointed | ToRs previously tentatively approved by SC. However DHS wants to review the ToRs. Meetings were held with DHS to unlock the evaluation. Comments were made on existing ToRs and there is a plan to rework them during the month of April. | November 2014 | February 2015 |
| 2013-13 | Evaluation of Provision of State Subsidised Housing (Assets) | Human Settlements | No contract yet University of Free State | Inception report submitted and presented to Steering Committee plus a conceptual framework for understanding assets in housing. Field work currently on hold and SP is waiting for SLA to be signed before they continue. Negotiations held between DHS and SP to resolve the SLA blockage. | October 2014 | February 2015 |
| 2013-14 (13/1010) | Implementation Evaluation of the Outcomes System | DPME | 8 January 2014 HSRC | Literature review and instruments submitted. Methodology workshop held 7 February 2014. | December 2014 | March 2015 |
| 2013-15 (13/0812) | Impact Assess- ment of the Micro Agricultural Financial Institution of SA (MAFISA) | Agriculture | 5 August 2013 Business Enterprises - University of Pretoria | Stakeholder consultation on findings of the report held 14 March 2014. Service provider in the process of incorporating steering committee comments. Final report version 1 is due 11 April 2014 | 21 July 2014 | December 2014 |

| NEP/ Reference | Name of evaluation | Department(s) responsible for the programme being evaluated | Date of contract, Service Provider undertaking evaluation | Current stage | Anticipated or actual date of receipt of final report | Anticipated or actual date of Cabinet approval or presentation to Parliament |
|---------------------|---|--|--|---|--|--|
| 2014/15 | | | | | | |
| 2014-1 | Impact Evaluation of the Social Housing Programme (SHP) | DHS | Not yet advertised | Currently busy with the ToRs. 1 st draft discussed by steering committee. Evaluation delayed due to DHS splitting the ToRs into two focus areas: Restructuring Zones and Social Housing Institutions and Sector Review. A working session between DHS and DPME was held to resolve the matter. The matter has not been resolved. | November 2015 | February 2016 |
| 2014-2 (13/1712) | Diagnostic Evaluation /Programme Audit for Violence Against Women and Children (VAWC) | DSD | 2 nd Call for proposals went out | ToRs were re-advertised. SP presentations were 14 March 2014 and process is underway to appoint a successful service provider. | February 2015 | June 2015 |
| 2014-3 | Diagnostic Review of the Social Sector Expanded Public Works Programme | DSD | Not yet advertised | ToRs approved by SC and work is currently underway to procure a SP. | January 2015 | March 2015 |
| 2014-4 | Design Evaluation of the Policy on Community Colleges (PCC) | DHET | Not yet appointed | Evaluation TORs approved by the Steering Committee. Bids too high and the evaluation will be re-advertised in a new Call For Proposals April 2014. | September 2014 | January 2015 |
| 2014-5 | Evaluation of the Indigenous Knowledge Systems Policy (IKSP) | DST | Not yet appointed | Call For Proposals to be issued in April 2014. Evaluation is expected to kick off in April 2014. | November 2014 | February 2015 |

| NEP/ Reference | Name of evaluation | Department(s) responsible for the programme being evaluated | Date of contract, Service Provider undertaking evaluation | Current stage | Anticipated or actual date of receipt of final report | Anticipated or actual date of Cabinet approval or presentation to Parliament |
|-------------------|--|---|--|--|--|--|
| 2014-6 | Impact Evaluation of the Funza-Lushaka-Bursary Scheme | DBE | Not yet appointed | Call For Proposals issued February 2014. Appointment of a service provider is likely April 2014. | November 2014 | March 2015 |
| 2014-7 | Economic Evaluation of the incremental investment into the SAPS Forensic Services | SAPS | Not yet signed | Compulsory briefing held 25 March 2014 | March 2015 | June 2015 |
| 2014-8 | Implementation Evaluation of Management Performance Assessment Tool (MPAT) | DPME | Not yet signed | Inception meeting held 31 March 2013. Revised proposal expected 16 April 2014. | December 2014 | February 2015 |
| 2014-9 | Implementation/Impact Evaluation of Effectiveness of Environmental Governance in the Mining Sector | Environmental Affairs | Not yet signed | Compulsory briefing held 20 March 2014 | May 2015 | August 2015 |
| 2014-10 | Implementation Evaluation of the Ilima Letsema Programme | Agriculture, Forestry and Fisheries (DAFF), Rural Development and Land Reform (DRDLR) | Not yet signed | Steering committee to approve the TOR on 10 April 2014 | March 2015 | June 2015 |
| 2014-11 | Impact evaluation of MAFISA (quantitative) | Agriculture, Forestry and Fisheries | Not yet signed | 3ie sent out call for submission and now in the process of reviewing the submission. Few submissions received. 3ie may resend a call for submission again. | 3ie to confirm 2 year evaluation | Unknown at this stage |

| NEP/ Reference | Name of evaluation | Department(s) responsible for the programme being evaluated | Date of contract, Service Provider undertaking evaluation | Current stage | Anticipated or actual date of receipt of final report | Anticipated or actual date of Cabinet approval or presentation to Parliament |
|-------------------|--|--|--|---|--|--|
| 2014-12 | Policy Evaluation of Small Farmer Support | Agriculture, Forestry and Fisheries /Rural Development and Land Reform | | Steering committee meeting to approve the TOR 10 April 2014 | February 2015 | May 2015 |
| 2014-13 | Impact Evaluation of Land Restitution Programme | Rural Development and Land Reform | | 3ie sent out call for submission and now in the process of reviewing the submission. Few submissions, received 3ie might resend a call for submission again. | 3ie to confirm 2year evaluation | Unknown at this stage |
| 2014-14 | Implementation/Im pact Evaluation of Departmental Strategic Planning and APP Process | DPME | | Initial consultations are being prepared towards development of the evaluation concept. Meeting to plan the evaluation scheduled for April 2014. | March 2015 | June 2015 |
| 2014-15 | Implementation/Im pact Evaluation of the National School Nutrition Programme | Department of Basic Education | | Two workshops held to draft Theory of Change and TORs | April 2015 | July 2015 |

Annex 8: Details of courses

Course 1 – How to Manage an Evaluation

The objective of the course is to equip departments whose evaluations are selected to manage their evaluations utilising the national evaluation system (NES). This course is offered at the appropriate time in the evaluation cycle each year to equip departments with the necessary skill to manage their evaluation on the NEP utilising the relevant system. Included is developing a Terms of Reference for an evaluation. This course is run at national level once the evaluations for the financial year NEP have been selected and with provinces who are deciding to develop their Provincial Evaluation Plans (PEPs). There is an opportunity for provinces to run this course through a co-sponsorship agreement between DPME and the relevant Offices of the Premier. To date, 5 provinces (Gauteng, Western Cape, Limpopo, North West and Free State) have had the opportunity to run this course in partnership with the Offices of the Premier.

Course 2 – Deepening Evaluation

This is an intermediary course targeting officials who have attended course one. Therefore this course involves departments who have already been through the evaluation process during the previous year. The emphasis is on critiquing and analysing evaluation reports, quality assurance process in the design and conduct of evaluations and the applications of key concepts in the NES process. The course also covers evaluation review and validation processes, communication in evaluation, management response and

improvement plan as the final stage in the evaluation process. To date, 2 provinces have run this course (Gauteng, Western Cape), led by the Offices of the Premier. Limpopo, North West and Free State will follow this financial year 2014/15 as they have gone through course 1.

Course 3 – Evaluation Methodology

The National Evaluation Policy Framework (NEPF) identifies six types of evaluations: Diagnostic, Design, Implementation, Impact, Economic and Synthesis. Based on these types of evaluations guidelines have been developed to provide technical guidance to departments on how different methodologies and approaches apply to each type of evaluation. This training aims to help departmental M&E officers suggest different research methodologies as they apply to evaluations within the NEPF, to help guide them in thinking through which methodology may be relevant for particular evaluations. It was piloted during the last quarter of the 2013/14 financial year. In 2014/15 this course will be run nationally and within the pilot provinces (Gauteng and Western Cape) which have developed and implemented their PEPs.

Course 4 – Planning implementation programmes and design evaluation

This training targets the Planning and M&E Units of all national departments, as well as programme managers, so that they are able to plan implementation programmes effectively, and undertake design evaluations internally. The first part of this course was developed and piloted in 2013/14. Part of the course on Planning Implementation Programmes was piloted in

November 2013, but the Design Evaluation part was postponed as the guideline for design evaluation had not been completed (it has now been completed). A plan will be developed for large scale rollout of the course.

Course 5 - Course for Senior Managers on Evidence-Based Policy-Making

Evidence-based policy-making is an approach to policy making that has become increasingly prevalent in recent years and that seeks to 'help people make well informed decisions about policies, programmes and projects by putting the best available evidence from research at the heart of policy development and implementation' (Davies, 2004: 3). One of the challenges being experienced in the M&E system is for senior managers at Director General, Deputy Director General and Chief Director level to see how using evidence to improve decision-making can improve performance of their departments, branches and units. During the financial year 2013/14 a course was designed and piloted at University of Cape Town (UCT) with 37 senior managers from 10 departments at national level, including 3 DGs. The course was a success and the unit will be run again in 2015/15 in partnership with Programme to Support Pro-poor Policy Development (PSPPD). The aim of course on EBP for senior management is to:

- Familiarise top management with EBP concepts and tools, so that they can better understand what EBP is and is not;
- Help leaders understand the strengths and limitations of EBP tools and equip them to mainstream the appropriate tools within their departments;

- Help top management to ensure that their institutions build the collection and management of evidence into policy and programme design and modification;
- Help leaders monitor the extent to which policy, programme and budget decisions are evidence-based;
- • Help leaders understand the role of evidence as a tool for managing political and other influences in the policy processes.

Implementation Guideline logframe template to guide development of programme results and present logic associated with it, the understanding of what is meant by inputs, activities, outputs, outcomes and impact. The logframe is a component of the Programme Planning course

Theory of Change (ToC) course

This course was (developed by Patricia Rogers, and modified by Donna Podems) was initially implemented at the South African Monitoring and Evaluation (SAMEA) conference in September 2013. The DPME requested that Dr Podems repeat the same course for DPME and its partners. This initial course was developed as an advanced course for programme evaluators. For the DPME course, the facilitator modified the course by keeping discussions at a more basic level, and included additional slides that addressed particular concerns often found in government evaluations that use ToC.

Logframe Course

The overall aim of the course is to increase knowledge and skills of budget analysts to develop an implementation programme, by understanding how to create a good planning logframe, using the model of the DPME Implementation Programme Guidelines, comment on departmental logframes; Identify different types of indicators at different levels and have a common language for engaging departments. The course used the Planning

Annex 8: Key contributors

A number of people have contributed their time to support the evaluation system. This includes the Evaluation Technical Working Group (ETWG), Steering Committee members and peer reviewers. There are too many steering committee members to mention, but the ETWG members are listed below, and peer reviewers in Box 2.

The Evaluation Technical Working Group members have included: Hersheela Narsee (DHET), Thabani Buthelezi (DSD), Dibolelo Ababio (DSD), Carmen Domingo–Swartz (PSC), Stephen Taylor (DBE), Rashkika Danilala (Auditor General), Tini Laubscher (Auditor General), Annette Griessel (Gauteng Office of the Premier), Zeenat Ishmail (W Cape Office of the Premier), Hellen Kekana (Free State Office of the Premier), Kay Brown (National Treasury), Kefiloe Masiteng (Statistics South Africa), Ben Morule (DPSA), Nonceba Mashalaba (the dti), Zoleka Sokopo (DHS), Pulane Kole (DPME), Stanley Ntakumba (DPME), Stephen Porter (CLEAR), Tsakani Ngomane (DPME), Ahmed Vawda (DPME), Thabo Mabogoane (DPME).

Peer reviewers have dedicated many hours of their time to support evaluations. Particular thanks are due to Gareth Roberts of the University of the Witwatersrand who has acted as an Impact Evaluation Advisor supported by CLEAR. He has provided invaluable advice on a number of evaluations. Those people who have contributed their valuable time as peer reviewers are shown in the box.

Other people who have contributed their time to design clinics include Professor Howard White (3ie), Andy Rowe, Professor Servaas van der Berg (Stellenbosch), Professor Michael Noble (SASPRI), Octavia Mkhabela (Unleashed Potential), Edward Addai (UNICEF), Stephen Porter (CLEAR), Patricia Rogers (RMIT), Professor Ingrid Woolard (UCT), Laura Poswell (J-PAL).

In addition there are many people who have dedicated their time to steering committees, too many to name individually. Their time has been essential to the effective working of the evaluation system.

Box 2: Peer reviewers

| Peer reviewer | Evaluation |
|------------------------------|------------------------|
| Dr Michael A. Aliber | CASP/ Land Restitution |
| Prof Doreen Atkins | CRDP |
| Ms Linda Biersteker (Travis) | Grade R |
| Ms Karen Deirdre Harrison | USDG |
| Mr Roland Hunter | USDG |
| Prof Sarah Howie | USDG |
| Dr Peter Jacobs | Restitution |
| Mr Rod Jones | BPS |
| Mr Marcel T Korth | Assets |
| Mr Mike Leslie | KSD |
| Dr Moroka Makhura | CASP/Ilima-Letsema |
| Dr Sonali Das | Ilima/Letsema |
| Prof Julian May | Nutrition |
| Dr Mark Napier | IRDP |
| Mr Gareth Roberts | BPS/Tax compliance |
| Prof Aldo Stroebe | ReCAP |
| Mr Tshenesani Tapela | Assets |
| Prof Este Vorster | Nutrition |
| Mr Terence Beney | SPII |
| Dr Michael Noble | CWP |
| Mr Eddie Rakabe | EMIA |
| Angela Bester | MPAT |
| Johann van Rooyen | MAFISA |
| Dr Neville R Comins | AMTS |
| Dr Anne Letsebe | Coordination systems |
| Mr Joel K Netshitenzhe | Coordination systems |
| Prof Jackie Galpin | Tax compliance |
| Mr Graeme Hall | Funza-Lushaka |