



# NATIONAL EVALUATION PLAN

2014/15 - 2016/17

4 DECEMBER 2013



THE PRESIDENCY  
REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION



THE PRESIDENCY | REPUBLIC OF SOUTH AFRICA  
DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION

Our vision  
is to strive for continuous improvement in service delivery through  
performance monitoring and evaluation



# FOREWORD

This National Evaluation Plan has been prepared as we start to get the results from our first evaluations coming through. The improvement plan for the very first evaluation on Early Childhood Development which completed in 2012 has been approved by Cabinet, and the team of departments led by Social Development is actively taking forward the recommendations. Two more reports have been finalised and are on their way to Cabinet with a number of other draft final reports already received.

There are important signals coming from these evaluations, demonstrating areas where we need to improve if we want to have the impacts on citizens that we were elected to achieve. These evaluations will be part of ensuring better services, and that these services have bigger impacts on people's lives. We are doing around 15 evaluations a year and as we feed these systematically in we will cumulatively start to improve some of our main programmes and policies.

We now have two National Evaluation Plans (NEPs) approved by Cabinet being implemented, with this National Evaluation Plan for 2014-5 to 2016-17 the third NEP. We are using these Plans to focus on strategic evaluations for important government programmes. In the process we are also establishing the wider National Evaluation System with over 12 approved guidelines and templates, evaluation standards, competencies for evaluators and government staff managing evaluations, a suite of courses being developed and over 250 people trained so far, 70 evaluations across government quality assessed and placed in a publically accessible Evaluation Repository etc. Two provinces now have approved Provincial Evaluation Plans (Western Cape and Gauteng) and a number of other provinces are developing these.

Three departments now have approved departmental evaluation plans. This demonstrates evaluations becoming institutionalised in government. This can be seen in the Management Performance Assessment Tool (MPAT) results for 2012/13 which showed a rise from 13% in 2011/12 to 19% in departments planning or undertaking evaluations.

We have also established strong links with peer countries in Mexico, Colombia, Uganda and Benin, where we are actively sharing experiences and tools around evaluation. We are hosting a South-South Roundtable with 8 other countries in November 2013 where we are sharing experiences on using M&E and other evidence to improve policy-making and implementation. We have also published a number of articles, chapters of books etc, so documenting and communicating what we are learning.

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.



**Minister Ohm Collins Chabane,**  
Minister of Performance Monitoring and Evaluation  
and Administration  
November 2013



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# GLOSSARY

3ie	International Institute for Impact Evaluation	EEGM	Effectiveness of Environmental Governance in the Mining Sector
AET	Adult education and training	EIA	Environmental Impact Assessment
AMTS	Advanced Manufacturing Technology Strategy (of DST)	EMIA	Export Marketing Investment Assistance Incentive Programme
APP	Annual performance plan	EPWP	Sector Expanded Public Works Programme
AVAWC	Audit for Violence Against Women and Children	ERU	Evaluation and Research Unit, DPME
BNG	Breaking New Ground	FLBP	Funza Lushaka Bursary Programme
CASP	Comprehensive Agricultural Support Programme	FDI	Foreign direct investment
CJS	Criminal Justice System	HDI	Historically Disadvantaged Individuals
CLEAR	Regional Centre for Learning on Evaluation and Results (based at the University of Witwatersrand)	HEI	Higher Education Institution
COGTA	Department of Cooperative Governance and Traditional Affairs	ICDM	Integrated Chronic Disease Management
CRDP	Comprehensive Rural Development Programme	IDC	Industrial Development Corporation
CSO	Civil society organisation	IKSP	Indigenous Knowledge Systems Policy
CWP	Community Work Programme	IMC	Inter-ministerial committee
DAC	Development Assistance Committee of the OECD	IRDP	Integrated Residential Development Programme
DAFF	Department of Agriculture, Forestry and Fisheries	MAFISA	Micro Agricultural Financial Institutions of South Africa
DBE	Department of Basic Education	MDGs	Millennium Development Goals
DCOG	Department of Co-operative Governance	MoA	Memorandum of Agreement
DDG	Deputy-Director General	MPAT	Management Performance Assessment Tool
DFI	Development Financial Institution	MRPDA	Mineral and Petroleum Resources Development Act
DFID	Department for International Development (UK)	MTSF	Medium-Term Strategic Framework
DG	Director General	NACI	National Advisory Council on Innovation
DOH	Department of Health	NARYSEC	National Rural Youth Service
DHET	Department of Higher Education and Training	NDP	National Development Plan
DHS	Department of Human Settlement	NEMA	National Environmental Management Act
DMV	Department of Military Veterans	NEP	National Evaluation Plan
DoL	Department of Labour	NEPF	National Evaluation Policy Framework
DPME	Department of Performance Monitoring and Evaluation	NES	National Evaluation System
DRDLR	Department of Rural Development and Land Reform	NHFCC	National Housing Finance Corporation
DSD	Department of Social Development	NHI	National Health Insurance
DST	Department of Science and Technology	NRDS	National Research and Development Strategy (of DST)
dti	Department of Trade and Industry	NRF	National Research Foundation
DWA	Department of Water Affairs	NSC	National Senior Certificate (matric)
DWCPD	Department of Women, Children and People with Disabilities	NSI	National System of Innovation
ECCE	Early Child Care and Education	NSNP	National School Nutrition Programme
ECD	Early Childhood Development	PCETS	Policy on Community Education and Training Colleges

# GLOSSARY

PHC	Primary health care
PSPPD	Programme to Support Pro-Poor Policy Development (a partnership between the Presidency and the European Union)
RCG	Reconstruction capital grant
RCJS	Review of the Criminal Justice System
RCT	Randomised controlled trial
RECAP	Land Recapitalisation and Development Programme
RZ	Restructuring zone
SALGA	South African Local Government Association
SAPS	South African Police service
SAQA	South African Qualifications Authority
SEP	Socio-Economic Partnerships Programme (of DST)
SETA	Sector education and training authority
SHI	Social housing institution
SHP	Social Housing Programme
SHRA	Social Housing Regulatory Authority
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

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## 1 Introduction

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. It sought to address the problem that “evaluation is applied sporadically and not informing planning, policy-making and budgeting sufficiently, so we are missing the opportunity to improve government’s effectiveness, efficiency, impact and sustainability”. The underlying purpose is:

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

The NEPF focuses on different government interventions including policies, plans, programmes and 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. The first National Evaluation Plan developed for 2012/13 covered eight evaluations and those evaluations are completed or under way, as well as 15 evaluations in the 2013/14 National Evaluation Plan. One evaluation from 2012/13 on the National School Nutrition Programme has been carried over to 2014/15.

## 2 Work undertaken on the national evaluation system in 2012/13 and under way in 2013/14

12 guidelines and templates have been developed with 6 draft guidelines on different types of evaluation about to be finalised. A major guideline on Planning Implementation Programmes has been issued which should have a major influence on the quality of programme design and this will be taken to Cabinet. Evaluation standards and competencies for programme managers, M&E specialists and evaluators are being used to develop quality assessment tools and for recruitment. Five training courses are planned, of which three have been rolled out in 2013/14. A course for Directors General and Deputy Directors General is being run in November 2013 on Evidence-Based Policy-Making and Implementation. DPME has undertaken an audit of evaluations commissioned since 2006 in the social and economic sectors with 83 evaluations quality assessed, 70 evaluations passing the minimum standard and being made available on a publically accessible evaluation repository on the DPME website, <http://evaluations.dpme.gov.za/sites/EvaluationsHome/SitePages/Home.aspx>. The list is shown in Annex 1.

## 3 Progress with evaluations

- 3.1 The Early Childhood Development evaluation was the pilot for the National Evaluation System. The report as approved in June 2012, and the Improvement Plan (Plan of Action for ECD) produced in October 2012. The Plan of Action has been approved by Cabinet. DPME has received the 6 monthly progress report on implementation of the Improvement Plan.



### 3.2 The evaluations underway from the 2012/13 plan are:

Name of Department	Title of evaluation	Status as at 8 November
Department of Trade and Industry	Implementation/ design evaluation of the Business Process Services Programme (BPS)	Final report approved. Report on way to Cabinet
Department of Basic Education	Impact Evaluation of Grade R	Final report approved. Report on way to Cabinet
Department of Health (with Social Development, DAFF, DRDLR, DWCPD)	Implementation Evaluation of Nutrition Programmes addressing Children Under 5	First draft report submitted. Awaiting analysis of SANHANES data to finalise.
Department of Rural Development and Land Reform	Implementation Evaluation of the Land Reform Recapitalisation and Development Programme (RECAP)	Final report approved. Report on way to Cabinet Awaiting management response.
Department of Rural Development and Land Reform	Implementation Evaluation of the Comprehensive Rural Development Programme (CRDP)	Final report approved. Report on way to Cabinet Awaiting management response
Department of Human Settlements	Implementation Evaluation of the Integrated Residential Development Programme (IRDP)	Bidder selected but awaiting appointment by DHS. DHS procurement has delayed.
Department of Human Settlements	Implementation Evaluation of the Urban Settlements Development Grant (USDG)	Evaluation underway. DHS procurement has delayed.
Department of Basic Education	Impact Evaluation of the National School Nutrition Programme (NSNP)	DBE requested to drop. Cabinet then decided it should be carried over to 2014/15.

### 3.3 The evaluations being conducted during the 2013/14 financial year are shown in the table below:

Name of Department	Title of evaluation	Status as at 8 November
Department of Trade and Industry	Evaluation of Export Marketing Investment Assistance Incentive programme (EMIAI)	Underway
Department of Trade and Industry	Evaluation of Support Programme for Industrial Innovation (SPII)	Underway
Department of Trade and Industry	Impact Evaluation of Technology and Human Resources for Industry Programme (THRIP)	Underway
Department of Military Veterans	Evaluation of Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme.	Underway
Department of Science and Technology	Evaluation of National Advanced Manufacturing Technology Strategy (AMTS)	Call for proposals out.
South African Revenue Services	Impact Evaluation on Tax Compliance Cost of Small Businesses	Underway
Department of Co-operative Governance	Impact evaluation of the Community Works Programme (CWP)	Still under discussion
Department of Rural Development and Land Reform	Evaluation of the Land Restitution Programme	Underway
Department of Agriculture, Forestry and Fisheries	Impact Evaluation of the Comprehensive Agricultural Support Programme (CASP)	Underway
Department of Agriculture, Forestry and Fisheries	Implementation Evaluation of MAFISA	Underway
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 by DHS procurement

Name of Department	Title of evaluation	Status as at 8 November
Department of Human Settlements	Evaluating interventions by the Department of Human Settlements to facilitate access to the city.	Department wish to revise the approved ToRs and the evaluation is delayed
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 delayed due to DHS procurement
Department of Performance Monitoring and Evaluation	Impact Evaluation of the Outcomes Approach	Underway
Presidency	Implementation Evaluation of Government's Coordination Systems	Draft report received.
Department of Basic Education	Evaluation of the quality of the National Senior Certificate (NSC)	Do not wish to proceed as a Ministerial Review underway. Cabinet approved dropping it.

#### 4/5 Evaluations for 2014/15

The evaluations for 2014/15 are shown in the table below:

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 the 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 of Small Farmer Support
Department of Basic Education	Evaluation of the Funza-Lushaka Bursary Scheme
Department of Basic Education	Evaluation of National School Nutrition Programme
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

## 6 Evaluations for 2015/16

Name of Department	Intervention to be evaluated
<b>2015/16</b>	
Department of Agriculture, Forestry and Fisheries	Land Care
Department of Rural Development and land Reform	National Rural Youth Service
Department of Basic Education	New School Curriculum
Department of Performance Monitoring and Evaluation	Evaluation of the impact of evaluations
Department of Health	Malaria Programme
Department of Social Development	Anti- Substance Abuse Programme
Department of Environmental Affairs	Environmental Impact Assessment
Department of Human Settlements	Housing DFIs
South African Police Services	Child protection

## 7 Key implementation issues

An annual report will be provided to Cabinet in May 2014 on progress with regard to implementation of the Plan, highlighting key lessons, as well as emerging findings, and progress with implementation of improvement plans around each evaluation. In terms of funding, this Plan has been developed to link with the budget process for 2014/15 to 2016/17. Some departments have resources available to fund the evaluations in their entirety, whereas in others the funding comes from DPME or donors. Preparation for the 2014/15 evaluations have started so that the initial phases of getting the relevant stakeholders together, developing terms of reference, and the procurement process can be completed prior to 31 March 2013. Some of the issues emerging from implementation include:

- DPME procurement is much faster (6-8 weeks) than procurement by other departments. Ideally DPME should do the procurement for all evaluations, but all decisions around the evaluations would still be made by steering committees, which custodian departments chair;
- Some departments are not allocating programme managers to sit on the steering committees. This makes the work of managing the evaluation harder, and runs risks in ensuring the successful adoption of the recommendations;

- Capacity amongst service providers is varied and work is needed to widen the evaluation panel and deepen the skills base;
- When results are challenging, some departments are delaying the process of reports getting to clusters and Cabinet, and thence to portfolio committees. Pressure is coming from Parliament and once the report is approved by the Steering Committee this process must move ahead. From 2014 departments are given 3 months to take evaluations to Cabinet failing which DPME will take them to Cabinet.

# 1 INTRODUCTION

## 1.1 The Framework

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. It sought to address the problem that “evaluation is applied sporadically and not informing planning, policy-making and budgeting sufficiently, so we are missing the opportunity to improve government’s effectiveness, efficiency, impact and sustainability”. The Policy Framework and the National Evaluation System seek to:

- Foreground the importance of evaluation;
- Provide for an institutionalised system across government linking to planning and budget;
- Provide a common language and conceptual base for evaluation in government;
- Indicate clear roles and responsibilities related to evaluation;
- Improve the quality of evaluations;
- Ensure the utilisation of evaluation findings to improve performance.

The purpose underlying 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.

Recognising that an evaluation system will take some time to establish, and longer to become part of management culture, the initial focus is on evaluations agreed as national priorities to be implemented as part of a National Evaluation Plan, which sets the benchmark for evaluations in the country. Minimum standards and guidelines have been developed, and applied.

The benefits for departments submitting evaluations for the NEP are that:

- DPME will be a full partner in these evaluations, helping to assure technical quality;
- DPME will provide an average of R750 000 to part-fund these (and in some cases is assisting in finding donor funding);
- The approval by Cabinet will give political focus on these issues, as well as impetus in ensuring the findings are followed up and have political support.

Selection in the Plan means that the guidelines and minimum standards for the National Evaluation System must be used (for 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.

## 1.2 Purpose of the National Evaluation Plan (NEP)

The purpose of the NEP is to summarise the evaluations approved by Cabinet as priority evaluations to undertake in 2014/15 to 2016/17, the situation with on-going evaluations as well as work undertaken on the national evaluation system.

## 1.3 Criteria and process used for selection

The Policy Framework prioritises evaluation of existing interventions, specifically those that:

### 1. Are a **national priority**:

- Linked to the 12 outcomes (plus 2 new ones being introduced in the MTSF), and the top five priority ones have precedence;
- Large (with a programme budget of over R500m or with a wide footprint, covering over 10% of the population);
- Strategic, where it is important to learn.

Additional features to be considered include those interventions that:

2. Are **innovative** and where learning is important;
3. Are from an area where there is a lot of **public interest**;
4. Have not been evaluated recently;
5. Are at a **critical stage** where decisions are to be taken for which an evaluation is needed, and so it is important that it is evaluated now;
6. Ideally have **monitoring data** that can be used including background and previous documented performance, and/or current programme situation;
7. Have a **potential budget** for evaluation from the department, DPME or donors.

The call for proposals was issued in early April 2013 with letters sent to all national Directors-General. 26 proposals were received in total and selection of the successful 15 for 2014/15 was undertaken by a cross-government Evaluation Technical Working Group on 18 July 2013. In addition five were proposed for 2015/16 and four for 2016/17. The Plan was approved by Cabinet on 4 December 2013.

As the Plan is drafted midway through the year, it reports on progress to 8 November in 2013, but also on evaluations conducted in 2012/13, part of which could not be reported in the previous plan as they only completed in 2013.

## 2 WORK UNDERTAKEN ON THE NATIONAL EVALUATION SYSTEM IN 2012/13 AND UNDERWAY IN 2013/14

### 2.1 Guidelines

DPME has developed a set of practical and user-friendly guidelines/templates on various components of the evaluation process to supplement the National Evaluation Policy Framework, to support departments undertaking evaluations in the National Plan, and to improve the quality of evaluations. The guidelines are also used as resource documents for training and they have been embedded in three courses that have been developed so far, namely Managing Evaluations, Deepening Evaluations and Planning Implementation Programmes. At the moment, 12 guidelines and templates have been approved by the Director-General and it is envisaged that 6 Guidelines on types of evaluation will be approved by end of March 2014. DPME will continue producing six new guidelines over the next 3 years (2 guidelines per financial year).

### 2.2 Evaluation standards and competences

The draft evaluation standards produced in 2012/13, based on the OECD Development Assistance Committee (DAC) standards, have undergone a public consultation and are currently being finalised. They are also being utilised in the National Evaluation System (NES) by being incorporated into the steering committee evaluation process, the training courses developed in support of the NES, as well as the quality assessment process undertaken at the end of each evaluation.

Evaluation competences were produced for programme managers commissioning evaluations, government M&E advisors and evaluators last year. They are currently

being utilised in the NES by being incorporated into the ToRs for evaluation and bid evaluation criteria for assessing service providers, as well as being used to draft job descriptions and to evaluate candidates applying for evaluation related posts within the public service.

### 2.3 Training

Five courses are currently being developed, piloted and rolled out within the NES:

- Course 1 – How to Manage an Evaluation was developed in 2012 and has been rolled out again in August 2013, to provide support to programme managers and evaluation staff interacting with the NES for the first time this NEP cycle.
- Course 2 – Deepening Evaluation has been developed and piloted, and rolled out in October and November 2013.
- Course 3 – Evaluation Methodology, based on the 6 types of evaluation outlined in the NEPF (2011) will be developed by March 2014.
- Course 4 – Planning Implementation Programmes was developed and piloted in November 2013.
- Course 5 – Evidence-based Policy Making and Implementation for Senior Managers was developed and piloted in November 2013.
- Course 6 – Logframe training for Treasury and DPME has been developed and piloted in August 2013.

The courses have been developed in partnership with the Centre for Learning and Evaluation and Results for Anglophone Africa (CLEAR-AA). Course 5 has been developed in partnership with the University of Cape Town (UCT).

### 2.4 Audit of evaluations

DPME has undertaken an audit of evaluations undertaken since 2006 in the social and economic sectors. 135 possible evaluations were identified in this process. In practice 83 real evaluations were found where the reports could be obtained. A quality assessment tool was developed based on the evaluation standards and the 83 evaluations were quality assessed. 70 passed the minimum standard and these have been made available in an Evaluation Repository on the DPME website, available at <http://evaluations.dpme.gov.za/sites/EvaluationsHome/SitePages/Home.aspx>. The list of evaluations is in Annex 1.

# 3 PROGRESS WITH EVALUATIONS

## 3.1 Progress with evaluations undertaken in 2011/12

### Diagnostic Review of Early Childhood Development (ECD)

This was the pilot evaluation for the National Evaluation System and the report was approved in June 2012. The Improvement Plan (called the ECD Plan of Action) was produced in October 2012 but finally approved by Cabinet in September 2013. The first progress report on the Improvement Plan was received from the Department of Social Development in November 2013. There has been significant progress with implementing the recommendations and an assignment has been commissioned to revise the Children's Act. Costing has been done on the range of services proposed in the evaluation, and National Treasury has been tasked by Cabinet to work with the Department of Social Development (DSD) to work out an affordable set of services.

## 3.2 Evaluations in the 2012/13 National Evaluation Plan

Table 1 summarises the status of evaluations from the 2012/13 National Evaluation Plan.

**Table 1: Progress with approved evaluations for 2012/13**

Name of Evaluation	Department(s) responsible for the programme being evaluated	Current Stage	Anticipated or actual date of receipt of final report
Evaluation of Business Process Services Programme	Trade and Industry	Evaluation report completed. Management response received from Department. Workshop for Improvement Plan on 26 September 2013	May 2013
Impact Evaluation of Grade R (reception year of schooling)	Basic Education	Evaluation report completed. Management response requested	28 May 2013
Implementation Evaluation of Nutrition Programmes addressing under 5s	Health Rural Development Social Development Agriculture	Fieldwork completed, provincial reports and case studies completed. Draft report submitted.	December 2013
Implementation Evaluation of Land Recapitalisation and Development (RECAP) programme	Rural Development	Evaluation report completed. Management response requested	October 2013
Implementation Evaluation of Comprehensive Rural Development Programme (CRDP)	Rural Development	Evaluation report completed. Management response requested	October 2013
Implementation Evaluation of Integrated Residential Development Programme (IRDP)	Human Settlements	ToR approved, tender issued. Recommendations on a successful bidder made and awaiting appointment. There have been extensive delays due to DHS procurement.	November 2014
Implementation Evaluation of Urban Settlements Development Grant (USDG)	Human Settlements	Underway. Data collection has commenced but there have been extensive delays due to DHS procurement.	May 2014

Name of Evaluation	Department(s) responsible for the programme being evaluated	Current Stage	Anticipated or actual date of receipt of final report
Impact evaluation of National School Nutrition Programme	Basic Education	First evaluation stopped. Included again in 2014/15 NEP.	N/A

### 3.3 Progress with evaluations in 2013/14 National Evaluation Plan

Table 2 summarises progress on the evaluations in the 2013/14 National Evaluation Plan.

**Table 2: Progress with approved evaluations for 2013/14**

Name of Evaluation	Department(s) responsible for the programme being evaluated	Current Stage	Anticipated or actual date of receipt of final report
Implementation Evaluation of Government Coordination System	Presidency	Literature review completed, interviews complete mid Sept. Draft report 27 September 2013.	January 2014
Implementation Evaluation of the Export Marketing Investment Assistance Incentive Programme (EMIA)	Trade and Industry	Service Provider contract signed on 14 August 2013 and evaluation has started.	December 2013
Evaluation of the Support Programme for Industrial Innovation (SPII)	Trade and Industry	Service Provider appointed and an inception meeting held on 28 August 2013.	March 2014
Evaluation of Technology and Human Resources for Industry Programme (THRIP)	Trade and Industry	Service Provider appointed and an inception meeting held on 28 August 2013.	March 2014
Evaluation of Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme	Military Veterans	Service Provider contract signed and evaluation has started.	March 2014
Evaluation of Advanced Manufacturing Technology Strategy (AMTS)	Science and Technology	TORs approved subject to minor amendments. Call for proposals went out in October.	March 2014
Evaluation of Tax Compliance Cost of Small Businesses	SA Revenue Service	TORs finalised, 1 <sup>st</sup> steering committee held, call for proposals and briefing session done. Evaluation started 30 August 2013.	March 2014
Evaluation of Community Work Programme (CWP)	Cooperative Governance	TORs developed but stopped due to problems with CWP. Waiting to proceed.	June 2014
Evaluation of Land Restitution Programme	Rural Development	Service Provider Contract signed and work underway. Evaluation plan, Literature review and instrument design complete.	February 2014
Evaluation of Comprehensive Agricultural Support Programme	Agriculture	Service Provider Contract signed and work underway.	June 2014
Evaluation of Upgrading of Informal Settlement	Human Settlements	Call made, proposals assessed but bid too expensive. Re-advertised and awaiting appointment. Extensive delays due to DHS procurement process.	November 2014

Name of Evaluation	Department(s) responsible for the programme being evaluated	Current Stage	Anticipated or actual date of receipt of final report
Evaluation of Access to the City	Human Settlements	TORs previously approved but DHS now wish to renew these. Extensive delays due to DHS procurement process.	August 2014
Evaluation of Provision of State Subsidised Housing (Assets)	Human Settlements	Service provider appointed and work currently underway. Project delayed due to DHS procurement	April 2014
Evaluation of Impact Evaluation of the Outcomes Approach	DPME	Inception report approved.	May 2014
An Impact Assessment of the Micro Agricultural Financial Institution of South Africa (MAFISA)	Agriculture	Work started. Methodology being revised. Inception phase completed,	March 2014
Evaluation of quality of National Senior Certificate (Matric)	Basic Education	DBE has requested not to take forward the evaluation as there is a Ministerial Review Committee addressing this, Cabinet approved this.	

## 4 SUMMARY OF APPROVED EVALUATIONS FOR 2014/15

A call was issued at the end of March 2013 for proposals for evaluations to be included in the National Evaluation Plan for 2014/15 to 2016/17. 18 departments participated in briefings. Evaluations were only received from 5 national departments for the 2012/13 plan (plus 2 provinces), in 2013/14 from 12 national departments, and for 2014/15 13 national departments, reflecting an increasing awareness and interest in the evaluation system. However only eight of a possible 30 evaluations have been proposed for the following two years, showing that departments are not yet grasping that they need to plan and budget ahead for major evaluations, particularly impact evaluations, and more emphasis will be placed on this next year. What also seems to be emerging is that departments propose impact evaluations, but in practice when these are being scoped it is realised that this is not possible as the data is not available, and they are converted to implementation evaluations, and an impact evaluation is planned for later (eg MAFISA, Restitution). Table 2 summarises the evaluations that will be conducted during the 2014/15 financial year.

**Table 3: Summary of approved evaluations for 2014/15**

Name of Department	Title of evaluation	Key motivation for this evaluation including scale (eg budget, beneficiaries)
Department of Environmental Affairs	Evaluation of the Effectiveness of Environmental Governance in the Mining Sector (EEGM)	The environmental impact management governance regime for the mining sector is to ensure that the impacts of mining activities that may potentially undermine everyone's right to an environment that is not harmful to health and well-being are effectively mitigated or managed to a level that is acceptable to South Africa. The public cost of dealing with mining related environmental impacts is substantial. For example, the short-term solution to deal with acid mine drainage in the Witwatersrand is estimated to be R2.2 billion; the estimated average cost for the in-situ remediation of secondary (off mine) asbestos contaminated areas posing a direct threat to health and safety is around R3 billion and for primary pollution, i.e. contaminated mines, around R1.8 billion and the cost of rehabilitating South Africa's thousands of derelict and ownerless mines is estimated to be between R25 billion – R45 billion. In view of the substantial amount of public funds involved, an evaluation is needed to address problems in the sector. The environmental impact of mining is referenced throughout the Delivery Agreement for Outcome 10: "Protected and Enhanced Environmental Assets and Natural Resources".



Name of Department	Title of evaluation	Key motivation for this evaluation including scale (eg budget, beneficiaries)
Department of Higher Education and Training	Design Evaluation of the Policy on Community Education and Training Colleges (PCETC)	The design evaluation is important because the process of evidence-based policy review utilised before finalisation of the PCETC sets an important precedent in Government's quest to improve service delivery across the entire policy value-chain, including policy formulation. The review process of the PCETC will confirm its design, the distinctiveness and appropriateness of its policy components, including its policy alignment and coherence with existing policies which have been enacted and are in force. The evaluation of the PCETC will seek to confirm its intended policy design, validate policy goals and objectives, and clarify the results or outcomes it will produce, against the broad backdrop of comprehensive education sector policy, and its interplay with other sectors.
Department of Human Settlements	Impact Evaluation of the Social Housing Programme (SHP)	There are clear indications that demand for affordable rental accommodation is growing. Census 2012 data shows that the proportion of households who rent their primary dwelling grew from 19% in 2001 to 25% in 2011. Social housing is increasingly becoming central to government's housing strategy with government having spent R1.6 billion in Restructuring Capital grants and R830 million in institutional subsidy while the sector has leveraged R1.6 billion from the private sector and R114 million from social housing institution equities. The profile of projects have also received great public acclaim as they demonstrate insertion of well managed new stock and a mix of households into strategic economic locations. With the National Development Plan recommending that future housing investments be in well-located areas (spatial targeting), and focus on supporting a wider variety of typologies with different tenure options, it is important to test if the social housing programme has had the desired impact in market behaviour and reached the targeted group.
Department of Science and Technology	Evaluation of the Indigenous Knowledge Systems Policy (IKSP)	The IKSP has been implemented over the last seven years, and it is now critically important to reflect on its main achievements, and to assess whether the IKSP has been mainstreamed in the National System of Innovation (NSI). The evaluation will ascertain the extent to which the IKS Policy has been implemented in relation to the level of support rendered (political, financial, strategic), mainstreaming in DST policy frameworks, and in NSI programmes (Science, Engineering, Technology and Innovation), and provide direction for future IKS policy formulation.
Department of Social Development	Diagnostic Evaluation/ Programme Audit for Violence Against Women and Children (AVAWC)	Levels of violence against women and children (VAWC) are unacceptably high in South Africa and have far reaching negative impact on social and economic development. The country has established a progressive legislative framework and a number of institutions as a response to the growing problem of VAWC. However, despite the concerted focus in the sector, the levels of VAWC remain unacceptably high and the nature increasingly vicious. An evaluation is needed to understand whether government interventions (through legislative framework, programmes and institutions) are internalising the legislative framework and appropriately structured to effectively address the risk factors associated with VAWC in the country.
Department of Social Development	Diagnostic Review of the Social Sector Expanded Public Works Programme	The South African unemployment rate is amongst the highest in the world with estimates that a quarter of the workforce is currently unemployed, complicated by a combination of low skill profile, unequal nature of access to opportunities training and ownership of the country's economy. Within this context government employment schemes like EPWP are fundamental in providing temporary social relief and improving employability of the poor. Through the EPWP government has invested billions of Rands and this will continue to rise. Though the overall EPWP has been reviewed there are a number of issues pertinent to the social sector that need to be evaluated to strengthen sector performance particularly as there are plans to expand the social sector and the NDP has identified the social sector as having greater potential for scale-up.

Name of Department	Title of evaluation	Key motivation for this evaluation including scale (eg budget, beneficiaries)
South African Police Service	Economic Evaluation of the Incremental Investment into the SAPS Forensic Services	The strategic intent of the programme is to improve the impact of forensic services in the investigation of crime and prosecutions. Most performance reviews of forensic services focus on the quality, production and turnaround standards set for the laboratories operations management obligations. Although this performance focus certainly drives increased quality, increased production outputs and quicker turnaround times, it falls short in inducing the desired performance behaviour in respect of creating strategic value and benefits for the detectives and prosecutors in terms of increasing detection and conviction rates. Amongst others, it is hoped that this evaluation will come up with solutions in this regard. The evaluation is linked to the country's vision contained in the National Development Plan that: "In 2030, the people living in South Africa feel safe and have no fear of crime" for building safer communities in South Africa. The planned evaluation is also linked to Outcome 3, which states that "All people in South Africa are and feel safe."
Department of Agriculture, Forestry and Fisheries	Implementation Evaluation of the Ilima Letsema Programme and Cost Benefit Analysis of the Revitalization of Existing Irrigation Schemes	The Ilima Letsema campaign was initiated by the Department of Agriculture, Forestry and Fisheries in the 2008/9 financial year with specific objectives targeting specific areas such as the reduction of poverty through increased food production initiatives. The Department of Rural Development and Land Reform also funds irrigation schemes and submitted a cost-effectiveness evaluation to the NEP. Based on the synergy between Ilima Letsema and the DRDLR Irrigation Schemes Programme it was decided to combine these two evaluations. It is important for both Departments to assess whether the schemes are cost-effective; achieving their objectives and outcomes, and to inform how best they can be strengthened. The findings of the evaluation will be used to improve these programmes performance and other decisions that may be required to assist targeted vulnerable South African farming communities to increase their agricultural production and improve their farming skills.
Department of Agriculture, Forestry and Fisheries	Impact evaluation of MAFISA (quantitative)	The MAFISA programme makes a direct contribution to the achievement of Outcome 7, one of Governments' priority outcomes. The aim of the scheme is to contribute to poverty reduction and job creation. The products offered by the scheme currently include production credit, facilitation of saving mobilization and capacity building of member-owned financial institutions. To establish the scheme, DAFF was allocated a once-off amount of R1 billion. Of this amount a total of R580 million has been committed through agreements with 9 intermediaries for loan disbursements. From inception to date over R315 million has been disbursed through the 9 intermediaries. This money has financed a diversity of agricultural enterprises that includes livestock, sugar cane, grain crops, poultry, ostrich and horticultural crops, mainly vegetables and flowers. An implementation evaluation in 2013/14 looked at the operation of the programme. This evaluation will focus on the impact of MAFISA on the beneficiaries. The focus of the evaluation will be to determine the effect of the scheme on the livelihoods of the beneficiaries. The assessment will among others establish the extent to which financial services were provided, [if] there were jobs created, businesses developed, incomes generated, increased productivity, adoption and application of best production practices. To the extent possible, efforts must be made to pick out MAFISA-specific impacts as there are other programmes that may have contributed to the changes in beneficiaries' livelihoods. The impact evaluation will look at the impact of policy goals of MAFISA.
Department of Agriculture, Forestry and Fisheries, with the Department of Rural Development and Land Reform	Policy Evaluation of Small Farmer Support	Since its inception in 2011, the National Evaluation System has included numerous evaluations targeting programmes that support smallholder farmers. In 2012/13: the implementation evaluation of the Land Recapitalisation and Development Programme and the implementation evaluation of the Comprehensive Rural Development Programme. In 2013/14: the implementation evaluation of the Land Restitution Programme; the impact evaluation of the Comprehensive Agricultural Support Programme (CASP) and a mixed methods impact evaluation of the MAFISA programme within CASP.

Name of Department	Title of evaluation	Key motivation for this evaluation including scale (eg budget, beneficiaries)
		<p>In 2014/15 the following evaluations are to be undertaken: an impact evaluation of MAFISA, an impact evaluation of the Land Restitution Programme; as well as the joint implementation evaluation of Ilima Letsema and cost-effectiveness evaluation of the Irrigation Schemes Programmes. Over and above this, National Treasury in partnership with DPME has during the 2013/14 financial year undertaken expenditure reviews of both MAFISA and the Land Restitution Programme. All of the above will contribute to the synthesis evaluation of the government supported smallholder farmer sector programmes. This evaluation will provide an evidence base on which to consider a smallholder farmer policy and will have significant implications for how these numerous programmes integrate in an effective and efficient manner going forward.</p>
Department of Basic Education	Evaluation of the Funza Lushaka Bursary Scheme	<p>The Funza Lushaka Bursary Programme was introduced in 2007. Its main beneficiaries are students recruited from schools, unemployed youths, unemployed graduates, and students studying at universities (in non-education disciplines) who elect to join the teaching profession. During the period 2007-2012, a total of 48,292 bursaries were awarded at a total cost of more than R1,9 billion (end of 2012/13). The Programme is of significant interest to the education sector and the South African public, because of the prominence of education as a concern in the debate about national development. An evaluation of the Bursary Programme 5 years after its inception is critical, therefore, in light of the political pressure on the education sector, and need to demonstrate the proven value of this large investment of public resources.</p>
Department of Basic Education	Evaluation of the National School Nutrition Programme	<p>Added as Cabinet decided to retain this evaluation as DBE had requested to drop it.</p>
Department of Rural Development and Land Reform	Impact evaluation of Land Restitution Programme (randomisation)	<p>As at 31 March 2012, approximately 76 705 land claims had been settled by awards of land totalling 2 870 893 hectares and payment of financial compensation of R6.5 billion. The total expenditure for the Land Restitution Programme was R24.6 billion. Some 345 463 households made up of 1,7 million beneficiaries benefited from the Land Restitution Programme. There are proposed amendments to the Restitution of Land Rights Act, 1994 in order to provide for the re-opening of the lodgement of restitution claims by people who missed the deadline of 31 December 1998. Another key lesson was to provide adequate post-settlement support to new landowners so that land continues to be productive and sustainable. This evaluation will help contribute to learning to be used in re-opening the Programme.</p>
Department of Performance Monitoring and Evaluation	Evaluation of Management Performance Assessment Tool (MPAT)	<p>MPAT is an institutional self-assessment tool applied by DPME to assess the quality of management practices in all 156 national and provincial departments in four management performance areas, namely Strategic Management, Governance and Accountability, Human Resource Systems and Financial Management against 31 standards. The assumption is that improved management practices are key to improving government performance and service delivery. Lessons from international experience indicate that such methodologies can make a significant contribution to improving the performance of government, particularly if the leadership of the departments being assessed take ownership of the assessment process and implement and monitor improvement plans. The lessons of the first 3 cycles of implementation of MPAT will be drawn to improve its operation and impact. MPAT supports the achievement of Outcome 12 'An Efficient, Effective and Development Orientated Public Service.</p>
Department of Performance Monitoring and Evaluation	Impact/implementation evaluation of the Strategic Planning/APP system	<p>The strategic plan/APP system is the basic system underlying all national and provincial departments' planning and reporting. The system was implemented at national level in 2010, and does not fit smoothly with some of the other systems that have been developed, such as the outcomes. This evaluation will help to strengthen the system as we move into a new term of government.</p>

# 5 CONCEPTS FOR EVALUATIONS FOR 2014/15

## 5.1 IMPLEMENTATION/IMPACT EVALUATION OF THE EFFECTIVENESS OF ENVIRONMENTAL GOVERNANCE IN THE MINING SECTOR

**Implementing Department:** Department of Environmental Affairs

### Background to the evaluation

The objective of the environmental impact management governance regime for the mining sector is to ensure that the impacts of mining activities that may potentially undermine everyone's right to an environment that is not harmful to health and well-being, are effectively mitigated or managed to a level that is acceptable to South Africa.

One of the challenges is that the environmental impact management related to exploration, prospecting, mining and mineral production activities has historically been regulated in terms of mining legislation rather than environmental legislation – the Mines and Works Act (Act 27 of 1956), the subsequent Minerals Act (Act 50 of 1991) and since 2002 the Mineral and Petroleum Resources Development Act, 2002 (Act no. 28 of 2002, the MPRDA). Although there have been important recent developments aimed at ensuring a single environmental impact management governance regime under the National Environmental Management Act (Act No.107 of 1998, the "NEMA"), unlike any other sector (eg transport, energy, trade and industry, etc), the implementation of the regime will still remain with the sector departments responsible for mining rather than with the environmental departments.

Changes in the law regarding mining environmental management governance are happening apace. Although these laws may not affect the institutional anchoring for the mining environmental management governance, the costs associated with mining - related environmental impacts appear to be on the rise and this, in itself suggests a need for an urgent evaluation.

### Importance of the evaluation

The public cost of dealing with mining-related environmental impacts is substantial. For example, the short-term solution to deal with acid mine drainage in the

Witwatersrand is estimated to be R2.2 billion; the estimated average cost for the in-situ remediation of secondary (off mine) asbestos-contaminated areas posing a direct threat to health and safety is around R3 billion and the cost of rehabilitating South Africa's thousands of derelict and ownerless mines is estimated to be between R25 billion – R45 billion. In view of the substantial amount of public funds involved, an evaluation is needed to address problems in the sector.

The environmental impact of mining is referenced throughout the Delivery Agreement for Outcome 10 – Protected and Enhanced Environmental Assets and Natural Resources, especially Output 1: Enhanced Quality and Quality of water resources (in particular sub-output 1.3.4 Acid mine drainage; sub-output 1.3.5 Number of mines monitored for non-compliance in accordance with water license conditions; and sub-output 1.3.6 Percentage of mines complying with enforcement measures); Output 2: Greenhouse gas emissions reduced, climate change impacts mitigated and air/atmospheric quality improved. Sub-output 2.2 Atmospheric pollutants reduced and Output 3: Sustainable environmental management, sub-output 3.4: Management of environmental impacts from mining and related activities (see in particular, indicators 3.4.1; 3.4.2 and 3.4.3).

### Purpose of the evaluation

The objective of the environmental impact management governance regime for the mining sector is to ensure that the impacts of mining activities are effectively managed. The purpose of this evaluation would be to determine if this objective is being met through implementing the current legislation, including the rehabilitation fund.

### Key questions to be addressed

- What is the impact of the promulgation of the Minerals Act (Act 50 of 1991) and the Mineral and Petroleum Resources Development Act, 2002 (Act No. 28 of 2002) on the environmental performance of mining? Is there a measurable improvement as a result of these two pieces of legislation?
- Are the current mechanisms for determining the most suitable use of land effective in protecting the inter-generational right to an environment that is not harmful to health and well-being?
- What is the impact of the mining rehabilitation fund on mining operations? Is it likely to reduce problems that led to the current derelict mines?
- Are the current institutional mechanisms for environmental governance, including the Department of Environmental Affairs, effective in promoting good governance in the mining sector?

- What are the costs and benefits in terms of the mining-related environmental liabilities covered by the state to ensure an environment that is not harmful to health? Could these costs have been significantly reduced through efficient and effective environment governance in the mining sector?
- In the light of the above, what can be done to improve the environmental performance of mining?

**Principle Audience** Department of Environmental Affairs, Department of Minerals and Energy, DPME, Cabinet and Parliament

**Type of Evaluation** Implementation evaluation, cost-benefit analysis and Impact evaluation

### Management strategy

Strategies for improvement in the evaluation Improvement Plan will be embedded in the Annual Performance Plan (APP) of the Department of Environmental Affairs.

### Cost estimate

The evaluation is estimated to cost R2 million, which will be shared equally by the Department of Environmental Affairs and DPME, but procured by DPME.

### Timing and duration

The duration of the evaluation will be 14 months. It will start in March 2014 and should be completed by May 2015.

## 5.2 DESIGN EVALUATION OF THE POLICY ON COMMUNITY EDUCATION AND TRAINING COLLEGES (PCETC)

**Implementing Department:** Department of Higher Education and Training

### Background to the evaluation

Since 1994, numerous attempts were made to address challenges facing the provisioning of adult education and training (AET). In 2011, the DHET released its Green Paper on Higher Education and Training, and amended legislation in the form of the Further Education and Training Colleges Amendment Act, No.1 of 2013, to provide for the establishment of new Community Education and Training Colleges. A new institutional model is proposed for adult and youth education and training, which advises that CET colleges build on the current offerings of existing AET Centres to expand formal programmes, vocational and skills development programmes and non-formal programmes. The main purpose of the draft Policy on Community Education and Training Colleges (PCETC), is:

- To provide second chance learning to adults and out of school youth to complete grades 9 and 12;
- To provide opportunities for vocational and occupational skills through CETCs; and
- To support adults and out of school youth to cope with social and economic challenges through non-formal education and training programmes.

The first draft of the policy is expected to be released in January 2014 (for the purposes of the design evaluation).

### Importance of the evaluation

More than 3.2 million South Africans are neither employed, nor active in education and training. Further, current adult education and training (AET) provision is inadequate to deal with the widespread problem of youth who are not in employment or education and training (NEET). Many have either failed to complete matric, or if they have, are without gainful employment. As stated in Outcome 5 of the Delivery Agreement dealing with this issue, government is committed to building a skilled and capable workforce to support an inclusive growth path, and to assist them to access employment.

The evaluation is important because the process of evidence-based policy review utilised before finalisation of the PCETC sets an important precedent in govern-

ment's quest to improve service delivery across the entire policy value-chain, including policy formulation. The policy review process of the PCETC will confirm its design, the distinctiveness and appropriateness of its policy components, including its policy alignment and coherence with existing policies which have been enacted and are in force. Overall, the design evaluation of the PCETC will make an important contribution to illustrating evidence-based policy-making at the point of policy development. In this instance, evaluation of the PCETC will seek to assess the robustness of the theory of change that is implicit or explicit in the Policy, validate the inherent logic and internal coherence of the policy document, clarify the results or outcomes it will produce against the broad backdrop of comprehensive education sector policy, and its interplay with other sectors, as well as assess the implementability of the Policy.

### Purpose of the evaluation

The purpose is to assess the relevance and appropriateness of the design of the PCETC Policy, as well as its readiness for implementation.

### Key questions to be addressed

The key evaluative questions are:

1. Is the PCETC's theory of change (logic) appropriate, and is it sufficiently robust to address the problem of more than 3.2 million South Africans, who are neither employed, nor active in the education system, and that of youth who are not in employment or education and training (NEET)?
2. Is the PCETC internally coherent, and is it aligned with other pieces of legislation which address the challenge of NEET?
3. To what extent is the PCETC measurable, and therefore capable of being evaluated in the future? What would be appropriate indicators?
4. To what extent is the PCETC ready to be implemented? That is, is there sufficient evidence that the resources and capabilities required to implement the policy, are in place and are adequate to address the scale of the policy challenge? How can the PCETC Policy be improved?

**Principal audience** DBE, UMALUSI, SAQA, SETAs, COGTA (CWP), DTI, DoL, private sector industry bodies, government officials

**Type of evaluation** Design

### Management strategy

The evaluation will be managed by DHET supported by DPME. The policy process will itself have its consultative processes and evaluators will have access to feedback provided

### Cost estimate

This evaluation will cost up to R250 000, with 50% provided by DBE and DPME. DPME will undertake procurement.

### Time and duration

The evaluation will be undertaken between January 2014 and April 2014. DHET will pay in the 2014 financial year. DPME will assist in the 2013/14 financial year.

## 5.3 IMPACT EVALUATION OF THE SOCIAL HOUSING PROGRAMME (SHP)

**Implementing Institution:** Department of Human Settlements

### Background to the evaluation

The South African housing landscape has evolved over the past 18 years, responding through a series of policy and programmatic adjustments to a growing complexity in the nature of need and demand for affordable accommodation. The revised social housing policy and programme approved in 2005 was based on a series of critical reviews and policy reflections that merged with the comprehensive housing sector review that was undertaken by the Department of Housing (2002-2004), leading to the framing of the Comprehensive Plan for Sustainable Human Settlements (2004 - that become known by its action slogan - Breaking New Ground or BNG. It is out of this contextual paradigmatic shift and reprioritisation in the comprehensive plan that a revised social housing programme was posed as one of a range of interventions for the sector. This involved expanding the scope of the programmes and in particular acknowledging the growing importance of affordable rental and the limited range of instruments for this market. A key finding of the 10 and 15 Year Government Reviews was failure to break with reproducing apartheid spatial patterns and the marginal improvements in spatial location and urban integration of social housing projects. Therefore it was felt that the instrument best lent itself to

be structured simultaneously to a corresponding spatial condition associated with rental markets, ie density. This offered the additional opportunity to engage with an instrument that met a broader objective of urban restructuring, widening the range of housing options available to the poor. The social housing's contribution to urban restructuring is given content by the notion of restructuring zones — spaces in urban areas of high economic opportunities where the poor are excluded by property markets or planning practices. The idea is that declaration of areas as restructuring zones allows for inserting the social housing products along a continuum within the market ladder in relationship to improved socio economic opportunities. Through investment in restructuring zones, social housing programmes achieve spatial, social and economic restructuring.

Through the new social housing programme, nearly 13,000 units (approved, under construction and completed) have been added to the housing stock through social housing institutions receiving the reconstruction capital grant (RCG). In the current financial year (2013/14) (full) SHRA will approve just short of 5,000 units, nearly three times the number approved in the previous year, while this figure is projected to be around 9,000 units per annum by 2016/17. Though this is commendable, the pace of delivery is being outpaced by demand.

### **Importance of the evaluation**

Social housing has become an integral part of government's housing strategy and as a result is receiving increasing financial support. The state has invested R1,6 billion of RCG subsidies and R830 million of institutional subsidies and leveraged around R1,25 billion of private sector loan financing and R114 million in equity from social housing institutions (SHIs). Even though the ratio of public to private financing is unevenly in favour of the state, it is the first real public-private investment instrument for low income housing which incorporates all three spheres. The profile of projects has also received great public acclaim as they insert well-managed new housing and a mix of households into strategic economic locations which are often almost in the decaying parts of central business districts (in every metro and a number of secondary cities). The projects are often claimed as triggers for regeneration of housing demand, commercial use and new investment and construction, but also offer socio-economic opportunities to moderate and low income households, and add new vitality to localities that were in decay. Moreover, there is clear indication that the demand for affordable rental is growing, with Census 2011 showing that the proportion of all households renting accommodation grew from 19% in 2001 to 25% in 2011. Despite the growth of the sector, there has been limited systematic assessment of the performance of the Programme. With the National Development Plan recommending that future housing investments be in well-located areas (spatial targeting) and focus on supporting a wider variety of

typologies with different tenure options, it is important to test if the Social Housing Programme has had the desired impact in market behaviour and brought about the desired outcomes.

### **Purpose of the evaluation**

The purpose of this evaluation is to assess the extent to which the Social Housing Programme is contributing to urban restructuring (integrating and revitalising neighbourhood socially and economically); providing affordable quality rental accommodation (assessing the role of social housing institutions) to the poor; and whether this has triggered changes towards increased and improved rental behaviour by the private sector both in investment terms and in improved stock, and thus from a state achieving synergy (three spheres collaborating to spatially target) and get improved value for money, whilst fulfilling a fundamental commitment in the constitution and the housing act about shelter.

### **Key questions to be addressed**

The evaluation focuses on three key elements of the Social Housing Programme:

- Restructuring Zones (RZs)
  - o To what extent have the social housing projects implemented contributed to the achievement of spatial, economic and social restructuring policy goals?
  - o How have RZs been identified by municipalities, which factors/criteria determine the identification of a RZ and is this in line with the specified criteria? Have the published RZs also been identified as urban restructuring/regeneration/revitalisation areas?
  - o How has the structuring of public roles and responsibility and the finance in the agreed restructuring zones offered incentives to private finance? What planning has gone into these areas about tipping markets (getting the right level of investments) such that they produce the desired medium-term private commercial and residential investment?
- Implementing agencies (sector analysis)
  - o Did the SHI's build the capacity to deliver at the scale and pace demanded (at least 500 units in 18 months) to locate sufficient poor and moderate households in areas to be revitalised?
  - o To what extent have SHIs developed a financially viable model? Has the requirement and rigour of the SHRA SHI registration been adequate to address their viability?

- o Does the Social Housing Regulatory Authority's institutional, legislative framework and its business model contribute to SHIs optimal performance and does the regulator optimally support the sector be financially and managerially viable?
  - o Has the NHFC funding model for social housing provided finance that is appropriate, affordable and accessible? Does the overall grant structure offer sufficient incentives for further investments by the private sector? What has been the impact of this element on investor confidence?
  - o What impact have the two national agencies had in supporting the sector growth both in strength and to broader areas of operations? Is there synergy between government agencies?
  - o What factors have affected/influenced private sector involvement in social housing? To what extent is the private sector involved in social housing as implementing agents?
- Target market, funding and product
    - o Has the programme responded to the complex and growing need for affordable rental in SA and to what extent are the tenants satisfied with the product?
    - o What is the turnover in the RCG subsidised projects and what are the reasons of former tenants to vacate the units?
    - o Which factor(s) determine the rental increase per SHI and what is the impact of the rental increase on the affordability especially for the primary target market?
    - o Has the subsidized project improved the quality of life of its residents?

**Principal audience** National Department of Human Settlements, National Association of Social Housing Organisations, Social Housing Regulatory Authority and National Housing Finance Corporation, other Banks committed to the Programmes.

**Type of evaluation** Impact Evaluation

### Management strategy

The Department of Human Settlements is in the process of reviewing its policies and programmes to inform the development of the Human Settlement Green Paper. Moreover, there are plans to expand the programme to other urban areas and this evaluation will be critical in informing this.

### Cost estimate

This evaluation will cost approximately R1.5 million, funded by DPME (R1,2 million), DHS and the South African-Dutch MoA. DPME will undertake procurement.

### Time and duration

The evaluation will be undertaken between April and December 2014.

## 5.4 EVALUATION OF THE INDIGENOUS KNOWLEDGE SYSTEMS POLICY (IKSP)

**Implementing Department:** Department of Science and Technology

### Background to the evaluation

The Indigenous Knowledge Systems (IKS) Policy aims to affirm, develop, promote and protect IKS in South Africa. The Policy is an enabling framework to stimulate and strengthen the contribution of IKS to social and economic development in the country. The IKS Policy was adopted in 2004 by Cabinet, and is embedded in the Constitution (1996), the Science and Technology White Paper (1996), the National Research and Development Strategy (NRDS 2002), and the Ten-Year Innovation Plan (2008). The IKS is located within the National System of Innovation (NSI), which is the vehicle for producing benefits for science and technology. The IKS seeks to address the challenge of harnessing indigenous knowledge for research, development and innovation in order to achieve international competitiveness, sustainable development and an improved quality of life through the protection, promotion and development and management of IKS. The IKS has four policy drivers, (i) affirmation of African cultural values in the context of globalisation, (ii) development of services provided by traditional healers, (iii) contribution of indigenous knowledge to the economy, and (iv) interfacing with other knowledge systems.

In 2006, the National IKS Office (NIKSO) was established to promote IKS, with a three-tier structure: Advocacy and Policy Development, Knowledge Development and Innovation, and Knowledge Management. Advocacy and Policy Development is focused on policy and legislation development, advocacy and the mobilisation and management of a variety of stakeholders. Knowledge Development and Innovation is focused on research, development and innovation in IKS. Knowledge Management involves the development and management of all IKS information infrastructure, such as the National Recordal System, the accreditation and certi-



fication of knowledge-holders, and the auditing, monitoring and evaluation of the IKS activities, projects and programmes within the NSI.

### **Importance of the evaluation**

The IKS Policy seeks to use indigenous knowledge for research, development and innovation in order to achieve international competitiveness, sustainable development and an improved quality of life through the protection, promotion and development and management of IKS. This enables the development of unique products and services based on African cultural and natural heritage, contributing to employment (outcome 4). The IKS Policy envisages that the Department of Science and Technology will embark on research to support indigenous knowledge generation in order to contribute to the knowledge-based economy (Outcome 5).

The IKS has been implemented over the last seven years, and it is now critically important to reflect on its main achievements, and to assess whether the IKS has been mainstreamed in the National System of Innovation (NSI). The evaluation will ascertain the extent to which the IKS Policy has been implemented in relation to the level of support rendered (political, financial, strategic), mainstreaming in DST policy frameworks, and in NSI programmes (Science, Engineering, Technology and Innovation (SETI), and provide direction for future IKS policy formulation.

### **Purpose of the evaluation**

The purpose of this evaluation is to assess the implementation of the IKS policy from 2006-March 2014, its main policy outcomes (results), and to make recommendations for policy enhancement, improved service delivery, and to inform impact evaluation studies of IKS in the future.

### **Key questions to be addressed**

The key evaluative questions are:

1. Is the design of the IKS Policy appropriate or are there areas it could be strengthened, and if so how?
2. What interventions and mechanisms have been put in place for the mainstreaming of IKS for knowledge generation and exploitation in the NSI?
3. Were the mechanisms relevant, effective and efficient and sustainable?
4. What has been the extent of support rendered in implementing the Policy at relevant levels of the NSI? (Has IKS been institutionalised in the NSI?)

5. What are the main achievements and outcomes (results) of the IKS Policy in relation to its four main thrusts?

**Principal audience** DST, Departments of Environmental Affairs, Trade and Industry, Health, Higher Education and Training, Arts and Culture, Agriculture, Rural Development and Land Reform, Science Councils, Civil Society Organisations.

**Type of evaluation** Design and Implementation

### **Management strategy**

The evaluation will be managed by DST (IKS), and supported by DPME. An Evaluation Technical Working Group has been established and the Steering Committee will be appointed by March 2014.

### **Cost estimate**

This evaluation will cost approximately R2 million, funded by DST, and supported by DPME. DPME has committed R1 000 000.

### **Time and duration**

The evaluation will be undertaken between April 2014 and December 2014.

## 5.5 DIAGNOSTIC EVALUATION/PROGRAMME AUDIT FOR VIOLENCE AGAINST WOMEN AND CHILDREN (VAWC)

**Implementing department:** Department of Social Development (DSD)

### Background to the evaluation

South Africa has a progressive and internationally acclaimed legislative framework and a number of institutions established to protect the rights of women and children. Despite the numerous efforts in the sector, the high levels and atrocious nature of violence against women and children have persisted. Violence against women and children is a complex phenomenon resulting from an interaction of a number of causal factors located within the psychological, social and societal spheres of individual life experiences. Fundamental to the challenge the country faces is the culture of violence and criminality entrenched through decades of state-sanctioned violence during apartheid and concomitant dehumanisation of black communities. The culture of violence conflated with patriarchal cultural norms, threatened masculinity, inequality and poverty, beliefs about male sexual entitlement, and social exclusion and marginalisation, which create fertile ground that perpetuates violence against women and children. According to SAPS data, 64,514 sexual offences were reported in the period 2011/2012 of which 40.1% were children and 48.5% were committed against women, and given non-reporting particularly of sexual violence, the figure of actual offences is certainly higher. These figures are unacceptably high.

Government has recognized the need for a cross-sectoral response that aligns efforts of different sectors of society; family, business, communities, civil society, government etc and in May 2012 Cabinet established an Inter-Ministerial Committee (IMC) with a specific mandate of developing a comprehensive strategy to address violence against women and children. It is recognised that while the broader societal causes of violence against women and children are well studied, for programme design and improvement there is a need to understand the direct determinants of VAWC at a lower level. To respond to this need two pieces of work are being commissioned: analysis of the direct root causes of violence against women and children, and the diagnostic review of programmes and sector systems, with the former being an important input to the latter.

### Importance of the evaluation

Perceptions and lived experiences of violence negatively impact women's ability to realise their full economic and social contribution to society, whilst children who experience violence are more likely to grow up and repeat the cycle of abuse. It is imperative for South Africa's long-term development—both economic and social—to effec-

tively respond to the plight of women and children in the country. Though outcome 3 covers safety and security and in principal covers violence against women and children, the current delivery agreement does not specifically identify these groups, However, work is underway to include this for the next version of the Medium Term Strategic Framework and outcome from 2014. The evaluation will begin to identify potential gaps in the country's existing response and strengthen both programmes and institutional responsiveness to violence against women and children.

### Purpose of the evaluation

The purpose of this evaluation is to assess the relevance and responsiveness of the country's interventions (both programmes and institutional) in addressing the direct determinants of violence against women and children.

### Key questions to be addressed

The key evaluative questions are:

- Do government-funded programmes have a clearly defined programme theory and theory of change? Does the programme theory and theory of change respond to the direct determinants of VAC and VAW and associated risk factors?
- Are the programmes implemented in line with the theory of change? (resource utilisation, effort etc)
- To what degree is there institutional coherence within government and between government and civil society in responding to VAW and VAC. Is there a shared understanding of the country's response to VAC and VAW across institutions of government and are resources used effectively?
- How functional and responsive are service delivery mechanisms by mandated departments, provinces and municipalities and chapter 9 institutions?
- How effective are the oversight, coordination and monitoring mechanisms for the sectors?
- What are best practices locally and internationally and what lessons can we take from this on which programmes/approaches to violence against children and women have shown to be relevant and responsive?

**Principal audience** Inter-Ministerial Committee (Headed by Ministry of Social Development and constituted by Ministers of Women, Children and People with Disabilities, Justice and Constitutional Development, Health, Home Affairs, Police and Basic Education) and Civil Society

**Type of evaluation** Diagnostic Evaluation

## Management strategy

The evaluation comes as a direct request by the IMC and together with the work determining the root causes of violence, will be key input documents in the process of revising the comprehensive strategy on violence against women and children.

## Cost estimate

This evaluation will cost approximately R2 million, with R1 250 000 funded by UNICEF and R750 000 allocated by DPME.

## Time and duration

The evaluation will be undertaken between April 2014 and October 2014.

## 5.6 DIAGNOSTIC REVIEW OF THE SOCIAL SECTOR EXPANDED PUBLIC WORKS PROGRAMME

**Implementing Department:** Department of Social Development

### Background to the evaluation

The South African unemployment rate is amongst the highest in the world, with the official estimate of a quarter of the workforce unemployed and the unofficial rate showing an even bleaker picture of more than 40% of the working population without gainful employment. Of even greater concern is the growing rate of youth unemployment, with estimates that of those who are unemployed about 76% are between the ages of 25 and 34 and the employment rate amongst youth is at 36%. Complicating matters is a combination of low skill profile, unequal nature of access to opportunities for training and ownership of the South African economy, which perpetuates systematic exclusion of those historically disadvantaged under apartheid. In this context, government has been increasingly playing an important role in creating opportunities that give unemployed individuals (who often lack formal training and experience) access to job opportunities, targeted training and work experience while supplementing their livelihood through government employment programmes such as the Expanded Public Works Programme (EPWP).

The first phase of EPWP was implemented between 2004 and 2009 with the intention of creating one million work opportunities. This was followed by phase two of

the Programme currently being implemented, the conclusion of which is expected in March 2014. This includes a social sector component covering payment of stipends for community and home-based carers, and early childhood development practitioners. The social sector has made considerable contribution to the recorded success of the EPWP and is already set to surpass its 750 000 job opportunities target by end of phase two. However issues such as coordination and resource allocation, definition and duration of work opportunities, nature of training, viability and variability of the stipends paid, limited exit strategies linking beneficiaries with other opportunities, are key threats to the sector that need to be resolved for better performance during phase three, particularly as the Programme is envisaged for expansion.

### Importance of the evaluation

Though the overall EPWP has been evaluated there are pertinent sector-specific issues that have not been subject to systematic review, particularly institutional mechanisms governing the sector, nature of the training/skills provided in the sector and how they interface to lower unemployment levels. This is particularly important in that the National Development Plan has pinpointed the social sector as possessing greater potential for scale-up, by inclusion of stipends for additional types of opportunities. The findings of the evaluation will therefore strengthen the implementation of phase three and inform the plans to expand the social sector to new terrains.

### Purpose of the evaluation

The purpose of this evaluation is to assess the implementation mechanisms of the social sector EPWP and determine factors that affect the capacity of the social sector to achieve programme objectives. This work will strengthen implementation approaches and enable scaling-up of achievements in the sector.

### Key questions to be addressed

The key evaluative questions are:

- How is the social sector EPWP performing overall at output and outcome level?
- To what extent has the provision of training through social sector EPWP initiatives improved the skills base and enhanced the employability of beneficiaries? To what degree are the skills imparted through the EPWP social sector training initiatives and work opportunities relevant or align to the employment opportunities created in the wider economy? Have the participation in EPWP improved beneficiaries ability to access other employment opportunities on an on-going basis?

- What are the facilitating and constraining factors on the performance of the social sector EPWP?
- How effective are the institutional arrangements (DDG and chief director forums, national steering committees, extended national committee, provincial steering committees and various sub-committees i.e. incentives project management team) in coordinating the EPWP social sector?
- Are the resources allocated appropriately to support the overall costs of implementing the programme and how does this affect the ability of the sector to create work opportunities and monitor programme performance?
- How appropriate are the stipends paid in the social sector initiatives given the rising cost of living? To what extent do they provide a sufficient social relief? This must be looked in context of the overall support that government is providing to the poor and unemployed.
- What are the lessons and opportunities that should guide scale-up to phase three? What improvements need to be implemented?
- Which social sector programmes have potential for expansion (absorbing more beneficiaries) and prospect for long-term growth and for which category of participants?

**Principal audience** National and provincial policy-makers, Department of Public Works, the Social Sector, Further Education and Training colleges, Sector Education and Training Authorities (SETAs)

**Type of evaluation** Implementation Evaluation

### Management strategy

The EPWP is at the end of its second phase and the departments will soon be proceeding with the implementation of phase three of the programme. There are plans to expand the Social Sector EPWP both to new programmes and local government, while this enhances the potential for the programme to reach more unemployed people, it also has implications for programme implementation and management. This evaluation will inform the refinement of the social sector EPWP in its phase 3 of implementation.

### Cost estimate

This evaluation will cost approximately R1.2 million funded by both DPME and DSD. DPME has made available R750 000 towards the evaluation.

### Time and duration

The evaluation will be undertaken between April 2014 and October 2014.

## 5.7 ECONOMIC EVALUATION OF THE INCREMENTAL INVESTMENT INTO THE SAPS FORENSIC SERVICES

**Implementing Department:** South African Police Service (SAPS)

### Background to the evaluation

Cabinet approved seven fundamental and far-reaching transformative changes (the CJS Seven-Point-Plan) on 7 November 2007 that are required to establish a new, modernized, efficient and transformed criminal justice system (CJS). By approving the Seven-Point-Plan Cabinet set in motion a fundamental and radical journey from what is best described as a fragmented, unfocussed and dysfunctional CJS to a CJS that is focused, co-ordinated and well managed at every level.

The government embarked on two processes in respect of the Review of the Criminal Justice System (RCJS). The first focuses on RCJS research initiatives, and the second on short, medium and long-term initiatives mainly of a structural or practical nature, such as identifying the necessary capacity required to help government fight crime by removing blockages in the investigation and court processes. Four working groups were established in respect of the second process, of which the working group for Reviewing of the Criminal Justice System is relevant to the evaluation of the incremental investment into the SAPS Forensic Services. SAPS subsequently initiated a project to improve the impact of forensic services in the investigation of crime and prosecutions. Government subsequently committed a substantial annual incremental investment into this project seeking the desired benefits in respect of creating a new, modernized, efficient and transformed Forensic Services.

This incremental investment is provided by National Treasury in addition to the normal operational budget appropriated to Forensic Services from the SAPS budget.

### Importance of the evaluation

The programme is linked to Outcome 3, which states that “All people in South Africa are and feel safe” and the country’s vision contained in the National Development Plan, i.e. “In 2030, people living in South Africa feel safe and have no fear of crime”. In setting forth how to achieve this vision, the National Development Plan states

that this “requires a well-functioning criminal justice system, in which the police, the judiciary and correctional services work together to ensure that suspects are caught, prosecuted, convicted if guilty, and securely incarcerated.”

It is envisaged that the only way to restore a victim of crime’s faith and trust in the criminal justice system is to deliver swift and effective justice. At the operational level, this requires increased detection and conviction rates, as well as quicker throughput of criminal cases from where it is reported to the police until successful convictions in court. To this extent, impartial data provided by crime scene and forensic experts is required to build cases based on physical evidence rather than on confession and testimony. To this end, Forensic Services form an integral part of criminal investigations from the crime scene to the courtroom.

It is for this reason that a substantial annual incremental investment is made into improving the effectiveness, capacity, core competencies and capabilities of SAPS Forensic Services. It is of great importance and national interest that the incremental investment into SAPS Forensic Services delivers the intended strategic value and benefits.

Amongst others, it is hoped that this evaluation will come up with recommendations for improved resource optimization and realization of benefits.

### **Purpose of the evaluation**

The purpose of the evaluation is to determine whether the benefits (outcomes) of the annual incremental investment into the SAPS Forensic Services outweigh the cost (inputs), or not. The evaluation will also provide useful evidence on what is working and what is not working and how the effectiveness of the incremental investment can be optimized.

### **Key questions to be addressed**

1. How cost-effective is the annual incremental investment into the SAPS Forensic Services?
2. To what extent are the intended benefits of the annual incremental investment into the SAPS Forensic Services achieved?
3. What is working, and what is not working in terms of the incremental investment into the SAPS Forensic Services?
4. How can the effectiveness of the incremental investment into SAPS Forensic Services be improved?

**Principal Audience** SAPS, departments within the Criminal Justice Cluster, Cabinet and Parliament

**Type of Evaluation** Economic/Implementation Evaluation

### **Management strategy**

Strategies for improvement in the Evaluation Improvement Plan will be embedded in the Annual Performance Plan (APP) of the South African Police Service.

### **Cost estimate**

The evaluation is estimated to cost R5,7m (1% of the annual budget of the incremental investment). The evaluation should be funded from the annual budget of the incremental investment. The evaluation will be procured by DPME.

### **Timing and duration**

The duration of the evaluation will be 12 months. It will start in March 2014 and should be completed by March 2015.

## **5.8 JOINT IMPLEMENTATION EVALUATION OF THE ILIMA LETSEMA PROGRAMME & COST-BENEFIT ANALYSIS OF THE REVITALISATION OF EXISTING IRRIGATION SCHEMES**

**Implementing Department:** Department of Agriculture, Forestry and Fisheries (DAFF), Department of Rural Development and Land Reform (DRDLR)

### **Background to the evaluation**

The Ilima Letsema intervention was introduced by DAFF in the 2008/9 financial year. The primary aim of the intervention is to address the triple challenges of poverty, unemployment, and inequality through increased food production for vulnerable households with the emphasis on women and youth as well as smallholder farmers; and ensuring that the surplus production has a market, thus increasing the incomes of these households and farmers. The intervention targets households,

subsistence and smallholder farmers. These are supported through the provision of starter packs, production inputs and mechanization services. The intervention also invests in infrastructure that will unlock the agricultural potential of the area, e.g. the revitalization of irrigation schemes. The Department of Rural Development and Land Reform also funds irrigation schemes and submitted a cost-benefit analysis to the NEP. Based on the synergy between Ilima Letsema and the DRDLR Irrigation Schemes Programme, it was decided to combine these two evaluations.

### Importance of the evaluation

It is important for DAFF and DRDLR to assess the implementation of Ilima Letsema (which includes several irrigation schemes) and the irrigation schemes supported by DRDLR to establish whether these interventions are achieving their objectives and outcomes, whether they are cost effective, and to inform how best they can be strengthened. The findings of the evaluation will be used to improve the interventions' performance and other decisions that may be required to assist targeted vulnerable South African farming communities to increase their agricultural production output. Both interventions contribute to the achievement of the following government Outcomes: (Outcome 4: Decent Work through Inclusive Economic Growth; Outcome 7: Vibrant, Equitable Rural Communities Contributing towards Food Security for all; and Outcome 10: Natural Resource Development and Management).

### Purpose of the evaluation

The purpose of the evaluation is to assess whether Ilima Letsema and the irrigation schemes are achieving their policy goals and how the interventions can be strengthened and up-scaled. The evaluation will provide DAFF/DRDLR and the intended beneficiaries of Ilima Letsema and the irrigation schemes with information and recommendations on how to improve the implementation of this intervention in line with its targets and objectives.

### Key questions to be addressed

- To what extent have the objectives set for the Ilima Letsema and the irrigation schemes been achieved / are likely to be achieved in the future?
- What were the major factors influencing the achievement or non-achievement of the objectives?

- The extent to which the interventions are reaching their targeted beneficiaries?
- Is Ilima Letsema being implemented according to its framework and its implementation cycle? And the irrigation schemes? Are they implemented in a coherent/co-ordinated manner?
- How can the interventions be strengthened to improve the livelihoods of its targeted beneficiaries?
- Are vulnerable communities benefiting from the interventions?
- Was Ilima Letsema and the support for irrigation schemes designed appropriately for the achievement of its objectives?
- Are the resources being used efficiently? Is value for money being obtained?
- How cost-effective are the Irrigation Scheme Programmes in both DAFF & DRDLR?

**Principal audience** Politicians, officials at DAFF, DRDLR, National Treasury, provincial departments of agriculture and rural development.

**Type of evaluation** Implementation and economic

### Management strategy

The evaluation will be a joint initiative between DAFF and DRDLR in partnership with DPME. The evaluation will also involve provincial departments of agriculture and rural development.

### Cost estimate

The evaluation is estimated to cost R2 million. The DAFF contribution is not finalised and DPME is contributing R750K. DPME will undertake procurement.

### Time and duration

The evaluation will be undertaken between April 2014 and March 2015.

## 5.9 IMPACT EVALUATION OF MAFISA (QUANTITATIVE)

**Implementing Department:** Department of Agriculture, Forestry and Fisheries (DAFF)

### Background to the evaluation

The Micro Agricultural Financial Institutions of South Africa (MAFISA) is a government initiated financial service scheme that provides financial services to smallholder operators in the agriculture, forestry and fisheries sector. The scheme was designed for the agricultural sector, as at the time of its inception forestry and fisheries were not part of the Department's mandate. MAFISA represents the financial pillar of the Comprehensive Agricultural Support Programme (CASP) which has 6 pillars. The financial pillar of CASP has two segments namely the loan segment and the grant segment. MAFISA is the loan segment and provides production loans and is managed by DAFF through intermediaries. The target market for MAFISA is smallholder farmers and operators within the entire value chain of agriculture, forestry and fisheries. The grant component is administered by provincial departments of agriculture and provides grants for the other five pillars of CASP.

The objective of the scheme is to provide financial services to smallholder operators who experience difficulties to access financial services, particularly credit, under normal lending arrangements. The scheme also aims to provide cost-effective funding to empower small holder operators to enable them to develop viable enterprises. It is expected that with access to finance operators would be able to access required inputs that will enable them to apply best production practices and therefore improve production. The aim of the scheme is therefore to contribute to poverty reduction and job creation. The products offered by the scheme include production credit, facilitation of saving mobilization and capacity building of member owned financial institutions.

To establish the scheme, DAFF was allocated a once off amount of R1 billion. Of this amount a total of R580 million has been committed through agreements with nine intermediaries for loan disbursements. From inception to date over R315 million has been disbursed through the nine intermediaries. Currently the number of intermediaries has been reduced from nine intermediaries to six intermediaries. This money has financed a diversity of agricultural enterprises that includes livestock, sugar cane, grain crops, poultry, ostrich and horticultural crops, mainly vegetables and flowers.

### Importance of the evaluation

MAFISA was set up to provide funding through provisionally accredited Development Financial Institutions (DFIs) to on-lend to targeted Historically Disadvantaged Individuals (HDI) agricultural micro-businesses, covering irrigation, livestock, equipment and production inputs. The scheme was first piloted in 2005 and was set up to complement larger scale finance provided by the Land Bank. Credit is an important part of the technical package of support needed by small scale farmers, and is part of output 7.1 on agrarian reform of outcome 7 on rural development.

The study is expected to determine if the scheme is achieving its objectives or not and further identify factors affecting performance. Information gathered through the study will guide policy and other decisions that may be required to improve access to finance in the sector particularly by smallholder operators. As indicated above R1 billion was allocated for the scheme.

### Purpose of the evaluation

The purpose of the evaluation is to assess whether MAFISA is achieving its policy goals or not, the effects of MAFISA on the beneficiaries, as well as ways and means of strengthening and up-scaling the scheme. For purposes of MAFISA, a beneficiary is defined as a person who received the loan. Dependents of MAFISA loan recipients are therefore in this case not regarded as beneficiaries.

### Key questions to be addressed

- What impacts (intended and unintended) have been achieved by the MAFISA Programme (considering the 5 asset classes of the sustainable livelihoods approach (human, social, physical, financial, natural)
  - On individual household beneficiaries and their livelihoods
  - On communities
  - On the agricultural, forestry, mining, nature conservation, tourism sectors locally, regionally and nationally
  - On the ecology of the land
- To what extent were the objectives of MAFISA achieved?
- What were the major factors influencing the impacts and the achievement or non-achievement of the objectives?
- To what extent did the program reach its appropriate target population?
- Has production, productivity, access to market and profit improved?
- How can positive impacts be enhanced in the future?
- What design of impact evaluation is needed to assess the impact of the next phase of the MAFISA programme?

**Principal audience** Politicians, organised agriculture, DAFF, National Treasury, provincial departments of agriculture and Development Finance Institutions (DFIs).

**Type of evaluation** Impact

### Management strategy

The project will be a partnership between DAFF, DPME, and 3ie (International Initiative for Impact Evaluation).

### Cost estimate

Estimated to be R3 375 000 to be covered by 3ie, who will undertake procurement.

### Time and duration

The evaluation will be start in June 2014 and will be completed in the 2014/15 financial year. It will develop the baseline for a longer term evaluation that will measure the impact of the programme over a three to five year period.

## 5.10 POLICY EVALUATION OF SMALL FARMER SUPPORT

**Implementing Department:** Department of Agriculture, Forestry and Fisheries (DAFF), with the Department of Rural Development and Land Reform (DRDLR)

### Background to the evaluation

Since its inception in 2011, the National Evaluation Plan has included numerous evaluations targeting programmes that support smallholder farmers. In 2012/13 the following evaluations were undertaken: the implementation evaluation of the Land Recapitalisation and Development Programme and the implementation evaluation of the Comprehensive Rural Development Programme. In 2013/14 the following evaluations were undertaken: the implementation evalu-

ation of the Land Restitution Programme; the implementation evaluation of the Comprehensive Agricultural Support Programme (CASP) and a mixed methods impact evaluation of the MAFISA programme within CASP and in 2014/15 the following evaluations are to be undertaken: the quantitative impact evaluation of MAFISA, a quantitative impact evaluation of the Land Restitution Programme; as well as the joint Implementation evaluation of Ilima Letsema and cost-benefit analysis of existing Irrigation Schemes. Over and above this, National Treasury in partnership with DPME has during the 2013/14 financial year undertaken expenditure reviews of both MAFISA and the Land Restitution Programme. All of the above will contribute to enabling an overall view of government-supported smallholder farmer sector programmes, and the implications for a successful coherent policy framework. This evaluation will provide an evidence base on which to consider a small holder farmer policy and will have significant implications for how these numerous programmes integrate in an effective and efficient manner going forward.

### Importance of the evaluation

This policy evaluation aims to bring together what is known about the numerous programmes addressing smallholder farmers, many of which have been evaluated in 2012/13 to 2014/15. This evaluation will help to explain how, and under what conditions, what type of programmes do (and do not) work, and the implications for a coherent policy across government to support small holder farmers.

This evaluation synthesis will help decision-makers make better judgments by bringing together the best available evidence that can be gathered and critically appraised. It will make use of existing evaluation and research about smallholder farmer related programmes and issues in service delivery, so it draws on more data than a single evaluation. This brings a broad perspective. This evaluation synthesis will integrate existing evaluation findings, establish an accessible base of knowledge and identify knowledge gaps or needs which will guide future evaluations.

It is also an important approach because it uses available data; an evaluation synthesis avoids the cost of collecting original data, which can mean producing information for policy decisions more quickly and cheaply than doing an impact evaluation.



## Purpose of the evaluation

The evaluation will synthesise existing evaluative work on programmes supporting smallholder farmers to develop a picture of what is working and not working, and what would be the ingredients for a coherent overall policy framework to support smallholder farmers.

## Key questions to be addressed

- What works (in terms of these types of programmes)?
- What works for whom in what circumstances (in terms of these types of programmes)?
- What are common challenges in implementation?

## Questions about programme operations:

- Who do these programmes serve and to what extent are the primary beneficiaries being served?
- What are the programmes services, what services are delivered to whom, what are the service delivery processes, and are these consistent with the various programmes' objectives?
- What administrative processes and procedures are implemented? How are these programmes administered?
- What are the contexts in which these programmes is being implemented? In terms of the implementation environment and the characteristics of participants
- What resources are used by these programmes, including the skills of staff and infrastructure?

## Questions about programme effects:

- What are the general outcomes for programme recipients?
- Do programme outcomes vary by type of recipient or type of service?
- What additional effects are taking place, and for whom?
- How effective are the programmes in terms of cost, alternative programmes, or different versions of the programmes?

## Evidence for components of a coherent approach to support small holder farmers:

- What target groups should be focused on, where?
- What set of interventions are needed and what does this imply for the current set of programmes?
- How do these need to work to maximise impacts on both small scale commercial and subsistence contributions?
- What roles need to be played by who?
- What resourcing is required, and how does this relate to the current budget envelopes?
- How does support for small holder farmers get integrated at farmer, provincial and national levels?

**Principal audience** Politicians, policy makers, DAFF, DRDLR, provincial departments of agriculture

**Type of evaluation** Synthesis / Policy

## Management strategy

The evaluation will be managed by the Departments of Agriculture, Forestry & Fisheries; Rural Development and Land Reform in collaboration with the Department of Performance Monitoring and Evaluation.

## Cost estimate

The evaluation is estimated to cost R1 million, which will be provided by DPME.

## Time and duration

The evaluation will be undertaken between April 2014 and March 2015.

## 5.11 IMPACT EVALUATION OF THE FUNZA LUSHAKA BURSARY SCHEME

**Implementing department:** Department of Basic Education

### Background to the evaluation

The purpose of the Funza Lushaka Bursary Programme (FLBP) is to ensure the basic education sector meets the supply and demand needs for high quality teachers in nationally defined priority areas. The FLBP was formed in 2007. The main goals of the Funza Lushaka Bursary Programme are to: (1) To attract and train quality students; (2) Contribute to the supply of adequately trained teachers for rural and poor schools. The Bursary Programme was established in 2007. It is managed by the Department of Basic Education and is financially administered by the National Student Financial Aid Scheme (NSFAS) on behalf of the Department of Basic Education.

In 2012 the Department introduced a recruitment campaign aimed specifically at districts and schools in rural areas. The idea is to produce a substantial number of graduates who will take up employment and alleviate the shortage of scarce skills in schools located in rural areas. The recruitment will be strengthened through general advocacy and web-based campaigns.

Close collaboration with Higher Education Institutions (HEIs) is essential to ensure a proper selection process and to manage the disbursement of funds to qualifying students. The selection criteria is based on merit and the involvement of provincial education departments (PEDs) is vital in determining priority areas and subject specializations to guide the selection process. The participants are students enrolled in BEd and PGCE programmes at HEIs. Students enrolled for other Bachelor degrees such as BSc, BCom or BAgri may also be recruited into an education qualification. The beneficiaries are students recruited from schools, unemployed youths, unemployed graduates and students studying at universities who decide to change to the teaching profession.

### Importance of the evaluation

The Funza Lushaka Bursary Programme falls within the mandate of the Department of Basic Education as a key deliverable as indicated in the Strategic Plan 2011-2014 and the Action Plan to 2014. Goal 14 of the Action Plan to 2014 compels the Department to: “attract in each year a new group of young, motivated and appropriately trained teachers into the teaching profession”. The evaluation is linked to Outcome 1: Improved quality of basic education and Sub-Output 1: Improve teacher capacity and practices. The budget is R672 million for 2012/13 with 11 650

bursaries awarded for 2012/13. During the period 2007 to 2012 a total of 48 292 bursaries have been awarded at a total cost of more than R1,9 billion as at the end of the 2012/2013 Financial Year. A total number of 11 450 students were funded by the programme in 2012 at a cost of R671 million. Funding in 2013 increased to R893 million that translates into 14 400 bursaries.

The Programme is of significant value to the education sector and the general public. Given the shortage of teachers in key subjects such as maths, physical science and accounting, as well as in the Foundation Phase, it is important to assess the extent to which the Funza Lushaka Bursary Scheme addresses this problem. An evaluation of the Bursary Programme 5 years after its inception is critical in light of the political pressure on the education sector, and mass public scrutiny of education nearly 20 years into the new democracy. Decisions regarding the future of the Programme should therefore be based on sound evidence.

### Purpose of the evaluation

The purpose of this evaluation is to assess the effectiveness and impact of the Funza Lushaka Bursary Programme, including (a) whether the goals and objectives of the FLBP are being achieved, (b) the measurable impact of the FLBP, (c) assessment of the implementation of the Programme, including its management and administration and suggestions for improvement.

### Key questions to be addressed

The key evaluative questions are:

1. What is the measurable impact of the FLBP, specifically with regards to supply, and placement of FLBP-sponsored teachers?
2. To what extent has the FLBP been effective in achieving its major goals, objectives and intended outcomes? Have recruitment strategies been effective?
3. Is the design of the FLBP appropriate, and to what extent is the intervention design consistent with education sector priorities and policies?
4. To what extent has the FLBP been efficient in its implementation, with specific reference to administration and management arrangements?

**Principal audience** DBE, National Student Financial Aid Scheme (NSFAS), Higher Education Institutions (HEIs) and Provincial Departments of Education, specialist CSOs – JET, CEPD

**Type of evaluation** Design, Implementation and Impact evaluation, with the emphasis on Impact

### **Management strategy**

The evaluation will be managed by DBE supported by DPME.

### **Cost estimate**

This evaluation will cost approximately R3 million, to be funded by DBE and DPME, but procured by DPME. DBE has included the evaluation of the FLBP in its 2013/14 APP, and has requested DPME to bring forward the evaluation, to fall across the NEP 2013/2014 and 2013/2014 years. DPME has been requested to fund R1.5 million towards the overall estimated budget of R3 million for the evaluation. At this stage it is unlikely that DPME will be able to fund in the 2013/14 financial year.

### **Time and duration**

The evaluation will be undertaken between December 2013, and June 2014, providing that funding can be brought forward to 2013/14.

## **5.12 IMPLEMENTATION/IMPACT EVALUATION OF THE NATIONAL SCHOOL NUTRITION PROGRAMME**

**Implementing department:** Department of Basic Education

This evaluation was approved for 2012/13. Some difficulties were experienced and DBE requested to drop the evaluation. Cabinet decided to retain the evaluation for 2014/15. What follows is the previous evaluation summary.

### **Background to the evaluation**

The National School Nutrition Programme (NSNP) was conceptualised primarily as an educational intervention aimed at enhancing the educational experience of the neediest primary school learners through promoting punctual school attendance, alleviating short-term hunger, improving concentration and contributing to their healthy development. At its inception, the NSNP catered only for learners in public

primary schools. However, following the 2006 survey by the Finance and Fiscal Commission, it was confirmed that there was a need to expand the programme to secondary schools. School nutrition in secondary schools was first implemented in quintile 1 (the poorest) secondary schools in April 2009, and was phased into quintile 2 and 3 public secondary schools in April 2010 and 2011 respectively. An in-depth implementation evaluation of the NSNP was undertaken several years ago in all nine provinces. Evaluation reports of NSNP implementation in each province are available.

### **Importance of the evaluation**

In addressing Outcome 1 (Improved Quality of Basic Education) the Department of Basic Education has to ensure that the contact time of learners with their teachers is maximised, of which one way is by reducing learner absenteeism. High levels of absenteeism are often an early signal of dropping out of school. Measures such as school lunches for learners in poorer are one means of improving daily attendance.

Through the National School Nutrition Programme (NSNP) around a quarter of all learners receive food directly delivered to the school by the provincial education department, whilst another quarter receive school lunches paid for by money that is transferred from the national Department to the school. There are approximately 11.8 million learners in public ordinary schools. About 8.8 million learners are beneficiaries of the NSNP. The aim of government is that by 2014, 75% of learners in quintiles 1-3 public primary and secondary schools should be receiving free school lunches.

There has been much public interest on whether the huge investment in this programme is having beneficial effects. There is concern about corrupt tendering practices as well as the poor quality of food supplied in some schools. It is also important to assess whether the menu offered by schools is making a difference to the child's health status.

### **Purpose of the evaluation**

The purpose of the evaluation is to assess the impact of the NSNP and to see how the impacts could be increased.

Note that in 2014/15 this may be changed to focus on implementation.

## Key questions to be addressed

- How does the NSNP impact on learner achievement?
- What is the impact of the NSNP on daily attendance?
- What is the impact of the NSNP on learner retention and drop out?
- What is the impact of the NSNP on repetition?
- What is the impact on changes to the nutritional status of learners (weight for age and height for age)?
- Who benefits most from the programme? Which poverty quintile, which age group, which gender and how does this differ by province?
- How can the impact of the NSNP be strengthened?

These questions may be revised as the evaluation is revisited in 2014/15

## 5.13 IMPACT EVALUATION OF LAND RESTITUTION PROGRAMME

**Implementing department:** Department of Rural Development and Land Reform

### Background to the Evaluation

The Land Restitution Programme as one of four legs of Land Reform is a rights-based programme where all those who lost their land under the repressive land legislations of the past could lodge their land claims before 31 December 1998 as per the Restitution Act of 1994 as amended. When the Commission started operating in 1995 its main focus was in processing claims by way of investigating (research) merits and facilitating settlement of the claims initially through the land claims court and later through an administrative process. The procedure of settling claims through the land claims court proved to be too slow as only about 14 claims had been settled in 1998. This resulted in the Ministerial review of the court process in 1998 and the beginning of the administrative settlement of the land claims through the provisions of Section 42d of the Restitution Act of 1994.

As at 31 March 2012, approximately 76 705 land claims had been settled by awards of land totalling 2 870 893 hectares and payment of financial compensation of R6.5 billion. The total expenditure for the Land Restitution Programme was R24.6 billion. Some 345 463 households made up of 1,7 million beneficiaries benefited from the Land Restitution Programme. There are proposed amendments to the Restitution of Land Rights Act, 1994 in order to provide for the re-opening of the lodgement of restitution claims, by people who missed the deadline of 31 December 1998. Another key lesson was to provide adequate post-settlement support to new land-owners so that land continues to be productive and sustainable.

## Importance of the evaluation

The Land Restitution Programme is a key intervention to provide redress for the injustices black people suffered under apartheid. It forms part of urban and rural programmes, so addressing Outcome 8 Human Settlement and Outcome 7 Vibrant Rural Communities. A very large amount of money has been spent on restitution (R24.6 billion to date). In addition the programme has not managed to complete its work and there are people who missed the 1998 deadline, and so the programme will be re-opened. As such it is very important with this scale of investment to understand what worked well or not and how the programme can be improved to inform the reopening of the programme, and how to maximise the impacts on people's livelihoods.

In addition, as part of the provision of support for those who have acquired land through the restitution process, the Department has identified struggling restitution projects to be included in the roll-out of the Recapitalisation and Development Programme (RADP). Therefore this evaluation is geared to unveil some of the direct and indirect impacts that have been derived from the Restitution Programme and the level at which these impacts are achieved.

### Purpose of the evaluation

This evaluation will provide strategic information on the Restitution Programme and whether it is achieving its intended objectives. Lessons from the evaluation will be used to improve programme performance.

### Key questions to be addressed

- What impacts (intended and unintended) have been achieved by the Restitution Programme :
  - On individual household beneficiaries as well as on communities;
  - On the agricultural, forestry, mining, nature conservation, tourism sectors locally, regionally and nationally;
  - On the ecology of the land;
  - Consider the 5 asset classes of the sustainable livelihoods approach (human, social, physical, financial, natural).
- If beneficiaries received land – to what extent have they fully occupied land, benefited from occupation, is the land productively utilised and does everyone in the community benefit from the land?
- If beneficiaries received financial compensation – how have they benefited from this?

- Are the settlement models we have been using sufficient and does it provide restitution for what the people lost through the previous dispensation?
- Consider why these impacts are happening (link to the implementation evaluation ) and consider how these impacts could be enhanced in the future?
- What design of impact evaluation is needed to assess the impact of the next phase of the Restitution Programme?

**Principal audience** Politicians, policy makers, DRDLR, DAFF, DHS, provincial departments of agriculture and housing

**Type of evaluation** Impact

### Management strategy

The evaluation will be managed by the Department of Rural Development and Land Reform in collaboration with the Department of Performance Monitoring and Evaluation.

### Cost estimate

The evaluation is estimated to cost R4 820 000, which will be covered by the 3ie, who will undertake procurement.

### Timing and Duration

The evaluation will be start in June 2014 and will be completed in the 2014/15 financial year.

## 5.14 IMPLEMENTATION EVALUATION OF THE MANAGEMENT PERFORMANCE ASSESSMENT TOOL (MPAT)

**Implementing Department:** Department of Performance Monitoring and Evaluation (DPME)

### Background to the evaluation

MPAT is an institutional self-assessment tool applied by DPME to assess the quality of management practices in national and provincial departments in four management performance areas namely, Strategic Management, Governance and Accountability, Human Resource Systems and Financial Management. The assumption is that improved management practices are key to improving government performance and service delivery. MPAT is based on similar methodologies used by India, Brazil, Kenya, Canada and New Zealand. Lessons from international experience indicates that such methodologies can make a significant contribution to improving the performance of government, particularly if the leadership of the departments being assessed take ownership of the assessment process, implement and monitor improvement plans.

The implementation of MPAT started in October 2010 when Cabinet approved a proposal from the DPME to work with transversal departments and Offices of the Premier to develop and pilot its implementation. DPME collaborated in the development of MPAT with transversal departments, namely the Department of Public Service and Administration (DPSA), National Treasury (including the Office of the Accountant General), the Department of Cooperative Governance (DCOG), PALAMA and Offices of Premiers of various provinces, the Auditor-General and the Office of the Public Service Commission. A Technical Committee comprising senior officials from DPME, DPSA and National Treasury has been responsible for guiding the technical inputs and processes of MPAT.

DPME officially launched MPAT in October 2011. A total of 30 national departments and 73 departments from eight provinces participated in the first assessment cycle (the 2011/12 cycle) and all 156 departments (national and provincial) participated in the 2012/13 assessment cycle.

Management performance is measured against 31 standards. MPAT collates benchmarks for management performance; establishes a baseline performance of departments, provides managers with useful information to inform improvements; catalyses improvements in management practices; develops agreed improvement strategies, provides targeted support to departments; and tracks improvements against the baseline performance.

## Importance of the evaluation

Implementation of MPAT is in support of achieving Outcome 12 'An Efficient, Effective and Development Orientated Public Service' as well as the capable public service which is promoted in the National Development Plan. MPAT has been in operation for 2 years (implemented since the 2011/12 financial year) and has now been applied to all 156 national and provincial departments. An early evaluation will add value to assess its objectivity and give guidance to possible amendments to the methodology and assessment standards. By the time of the evaluation 3 assessment cycles will have been completed.

## Purpose of the evaluation

This evaluation will assess whether MPAT is succeeding in correcting weaknesses in management capability across government and whether improvements in MPAT scores are translating into improved government performance and service delivery as it was envisaged when the tool was developed. The findings will assist DPME to understand how the intervention is working, and how it can be improved.

## Key questions to be addressed

- To what extent is MPAT improving management practices in government in general?
- Are there early signs that improved MPAT scores are translating into improved service delivery?
- To what extent is the design of MPAT appropriate to measure management practises across government?
- Does MPAT duplicate the existing similar assessment tools of other key departmental assessments?
- What is working well and what is not working well with the tool?
- How could the intervention be strengthened or changed to improve its impact?

**Principal audience** Cabinet, Parliament, DPME, Offices of the Premier, other departments and the general public

**Type of Evaluation** Impact (changes in performance of departments), implementation, and Design Evaluation

## Management strategy

Strategies for improvement will be embedded in the Annual Performance Plan (APP) of the DPME. Evidence from evaluation will be used to improve the current tool.

## Cost Estimate

It is envisaged that the evaluation will cost R1.5 million, which will be funded by DPME.

## Timing and Duration

The evaluation will start in March 2014 and be completed by December 2014 (9 months duration).

## 5.15 IMPLEMENTATION/IMPACT EVALUATION OF THE DEPARTMENTAL STRATEGIC PLANNING AND APP PROCESS

**Implementing Department:** Department of Performance Monitoring and Evaluation

## Background to the evaluation

National Treasury developed a system of departmental strategic planning and annual performance planning which was applied at provincial level in 2000, drawing from the experience in the United States. Annual performance plans were extended to national departments in 2010. The 5 year departmental strategic plan provides an overall picture of what departments do, linked to the budget programme structure. The Annual Performance Plan provides quarterly targets is reported on quarterly and is used extensively by the Auditor General to assess the accuracy of departments' reporting against Pre-Determined Objectives.

The system was put in place prior to the development of the national priority outcomes, and work has had to happen since on trying to align the two processes, and to ensure that departments do address the priority outcomes in their strategic plans and APPs. Another challenge is ensuring the linkage to the Estimates of National Expenditure, as well as sector plans eg for Health or Education, which go beyond the activity of single departments.

A lot of work is involved in preparing the documents and in reporting on a quarterly basis. A challenge has been ensuring that the strategic plans and APPs do cover key departmental responsibilities in the outcomes and in the future in implementing the National Development Plan (NDP).

The legal status of the frameworks for Strategic Plans and APPs is unclear. National Treasury indicates that they are guidelines, but the Auditor General audits against them as if they are legal requirements.

There have been challenges in the implementation of the performance planning and reporting aspects of the APP system. On the one hand, the Auditor General (AG) consistently reports negative findings regarding the accuracy and reliability of most departments' performance information. On the other hand, many heads of department complain that the Auditor General's auditing of reporting against predetermined objectives is carried out in a way that is inappropriate. The Auditor General in turn indicates that it is merely auditing against the frameworks put in place by National Treasury. Nevertheless, the AG reports seem to indicate that there are deep challenges with regard to putting in place accurate and reliable data collection and reporting systems within many departments.

Other issues which are reported by departments include:

- Confusion caused by differences in the terminology used in the frameworks for strategic plans and APPs and the frameworks for the outcomes system.
- Some departments gaming the system by deliberately setting low targets for indicators in their APPs to avoid negative audit findings.
- The framework requires the grouping of objectives/outputs by budget programmes. However, some departments deliver services through implementation programmes which do not correlate with budget programmes. This can result in a disconnect between the APP and actual delivery programmes.
- Struggles to distinguish between the content of the strategic plan and the content of the APP, and DPME has found that there is often a disjuncture between the content of the two documents for a particular department.
- Multiple reporting channels, with some departments being required to report quarterly against both delivery agreements and their APPs.
- Need for flexibility so that different types of departments (e.g. policy departments versus direct service delivery departments) can produce different types of plans.

Many departments appear to be producing quarterly performance reports against their APPs for compliance purposes only, and are not using the reporting process to monitor and manage implementation and inform changes to improve implementation. There are also questions regarding the degree to which the bodies to which the reports are provided actually use the information.

Parliamentarians have on occasion noted that it is difficult to link performance to expenditure on the basis of quarterly and annual departmental reports against the APPs. This may be an unintended result of the requirements in the framework for how the APPs must be structured.

## **Importance of the evaluation**

The strategic plan and APP system is applied by all national and provincial departments. As this affects all of the work of government, the system is important in helping to direct government activity, and to make government accountable for what it does. An impressive achievement has been the institutionalisation of the system across government. However there are concerns on how effective the system is at present, inconsistencies, lack of alignment between systems, and the costs of compliance. Improvements could help to streamline the system and make sure it is as useful as possible while minimising the cost of compliance.

## **Purpose of the evaluation**

The evaluation will assess the strengths and weaknesses of the current system and how it can be strengthened to maximise its usefulness in guiding performance and promoting accountability, while minimising the costs of compliance. It should also focus on how best to integrate the system with the wider planning and M&E system, including the MTSF and outcomes.

## **Key questions to be addressed**

- What is the quality of the strategic plans/APPs and how do they integrate with the NDP, MTSF and delivery agreements for the priority outcomes?
- To what extent are they cascaded into operational and implementation programme plans?
- To what extent are the strategic plans and APPs implemented?
- Are the frameworks for strategic plans and APPs consistent with the frameworks for the outcomes system and do they provide adequate and appropriate guidance for departments to produce effective and useful plans?
- Is the process of setting targets for indicators in the strategic plans and APPs having any unintended consequences? Are the indicators and targets realistic, and do they provide Parliament and the public with a reliable picture of the performance of a department?
- What is the quality of the reporting against the APPs and are the reports used to identify problems, learning and to improve performance?

- Are the issues raised in the background section above valid, and if so, what can and should be done about them?
- Are there some outstanding examples we can learn from?
- What evidence is there of the positive and negative impacts of the system?
  - o for departments (eg improved focus or coherence)
  - o for accountability (eg for Parliament, Auditor General, Cabinet)
- What are the costs of compliance (developing the plans, compiling quarterly reports, complying with Auditor General requirements etc)
- How can the system be strengthened to maximise the benefits and minimise the costs of compliance?

**Principle Audience** Cabinet, all departments, Parliament

**Type of Evaluation** Implementation evaluation, cost-benefit analysis and Impact evaluation (looking at changes at outcome level)

### **Management strategy**

The evaluation has a cross-cutting impact across government. A suitable steering committee will be developed with representatives from the centre of government (notably DPME, NPC and Treasury) and regular reports will be provided to FOSAD Manco.

### **Cost estimate**

The evaluation is estimated to cost R1,5 million, to be provided by DPME.

### **Timing and duration**

The duration of the evaluation will be 10 months. It will start in March 2014 and should be completed by January 2015.



## 6 OUTLINE OF EVALUATIONS PROPOSED FOR 2015/16

The evaluations proposed for 2015/16 are shown in table 4. These are not definite, as they will be reviewed when the Plan is rolled in mid 2014.

**Table 4: Summary of proposed evaluations for 2015/16**

Name of Department	Name of intervention	Title of evaluation	Key motivation for this evaluation including scale (eg budget, beneficiaries)
Department of Agriculture, Forestry and Fisheries	Land Care	Impact Evaluation on Land Care	The Land Care programme is about the sustainable use of land and so is linked to outcomes 7 (rural development) and 10 (Environment). Land care projects are implemented mostly in communal lands and the programme employs community members to implement activities. The programme benefited 15 867 beneficiaries in 2011/12 and was envisaged to benefit 28 500 people in the 2012/13 financial year. The estimated budget for 2012/13 was R115 661 000 and R108 million for 2013/14. It is not a large programme but is innovative in seeking to achieve environmental, production and economic objectives simultaneously.
Department of Rural Development and land Reform	National Rural Youth Service	Diagnostic Evaluation of the National Rural Youth Service Operation (NARYSEC)	Half of all 18 to 24 year olds are unemployed, accounting for about 30 per cent of total unemployment and National Treasury estimates that the average probability of an 18 to 24 year old of finding a job is just 25 per cent. Overall unemployment is worse in rural areas. The National Rural Youth Service attempts to deal with issues of youth unemployment and rural development, supporting rural youths who lack skills and enabling them to develop skills and take forward productive activities. As such it is linked to outcome 7 (rural development); 5 (skills) and 4 (employment). The Programme targets unskilled and unemployed rural youths from ages of 18-35 who have a minimum of Grade 10 certificate.
Department of Basic Education	New School Curriculum	Evaluation of curriculum implementation	A key initiative of government has been in changing the school curriculum, affecting 12 million learners. This is a key activity in Outcome 1: Improved quality of basic education. Sub-output 1: Improve teacher capacity and practices and Sub-output 2: Increase access to high quality learning materials. This evaluation will look at the issue of the school curriculum.
Department of Performance Monitoring Evaluation	Evaluation of the impact of evaluations	Implementation evaluation of the national evaluation policy and system	The national evaluation system has been created since adoption of the National Evaluation Policy Framework by Cabinet in November 2011. Evaluations are selected specifically because they are national priorities and linked to the 12 outcomes. Implementing the evaluation system requires investment in time and money. This evaluation will seek to establish whether this system is adding value, and how it can be strengthened to maximise the impact on performance and decision-making, as well as accountability and knowledge sharing.
Department of Health	Malaria	To be confirmed	The South African Malaria Programme has made significant strides in decreasing the number of malaria cases in the last 10 years. The National Department of Health subsequently drafted a Malaria Elimination Strategy for South Africa. The goal of the strategic plan is to reach malaria elimination by 2018 in South Africa, and to prevent the re-introduction of malaria into the country. It is imperative that a deep understanding be obtained on the malaria information systems (data collection, capturing, data management and reporting) in South Africa, before advocacy for 24 hour reporting, 48 hour response to malaria cases and a 72 hour response to outbreaks. The goal of the malaria evaluation for surveillance is to achieve 24 hour reporting, in support of malaria elimination efforts within South Africa by 2018.

Name of Department	Name of intervention	Title of evaluation	Key motivation for this evaluation including scale (eg budget, beneficiaries)
Department of Social Development	Anti-Substance Abuse Programme	To be confirmed	<p>The abuse of illicit drugs and alcohol, particularly by young people, has fast become a grave problem in South Africa, both for its direct consequences and for its contribution to the overall high rates of crime and criminality. It is reported that 65% of all murders committed in the country are related to substance abuse, additionally, there has been strong links between sexual violence and alcohol abuse while other criminal activities have been as a result of addicts need to fund their habit.</p> <p>The effect of substance abuse are felt in all sectors of South African Society, with the problem costing the economy R20 billion a year. In response government has put in place a number of interventions at different levels: prevention, treatment and after care. However it is increasingly clear that the issue of substance abuse is a complex and multifaceted challenge and the country needs to review its approaches to establish how the high rates of substance abuse are being perpetrated and sustained.</p>
Department of Environmental Affairs	Environmental Impact Assessment	To be confirmed	<p>The objective of the EIA process is to ensure that the impacts of all significant new developments and activities that may potentially undermine everyone's right to an environment that is not harmful to health and well-being are effectively mitigated or managed to a level that is acceptable to South African society as a whole. The total budget for this work carried out by provincial departments is just under R300 million. Although the environmental impact management system is under continuous review and improvement, the rollout of the Strategic Integrated Projects (SIPs) and efforts to streamline the development authorisation process in this regard could be regarded as a critical stage in the evolution of the environmental impact management system in general and the EIA process in particular.</p> <p>The evaluation will assess whether NEMA's environmental impact management regime, especially the regulatory tool known as the EIA process has had a beneficial impact on the realisation of people's right to an environment that is not harmful to health and well-being in particular, or sustainable development in general. The EIA intervention is linked to Outcome 10: Protected and Environmental Assets and Natural Resources.</p>
Department of Human Settlements	Housing DFI	To be confirmed	<p>The Department of Human Settlements founded three Development Finance Institutions to address market conditions that perpetuate the economic exclusion of the poor, the majority of whom are historically disadvantaged, from participation in the property market.</p> <p>A number of instruments have since been developed and implemented to benefit 9.7 million households that earn below R10 000 and cannot access private housing finance. It is critical to evaluate how the different instruments and interventions have changed the functioning of the market and created access for the poor to finance and property, particularly since no such evaluation has been carried out before in the sector.</p>
South African Police Services	Child protection	To be confirmed	<p>The intervention affects all women and children, including potential victims of gender - based violence. The evaluation is linked to Outcome 3 "All people in South Africa are safe and feel safe, especially output 1 "Reduce overall serious crime and output 2 "an efficient criminal justice system."</p>

# 7 KEY IMPLEMENTATION ISSUES

## 7.1 Emerging implementation issues

The interest in evaluation is widening, with 5 provinces already having or working on evaluation plans, and 3 departments having departmental evaluation plans. The MPAT results for 2012/13 showed an increase in departments using or planning evaluations from 13% to 19%, still low, but an improvement. This is likely to rise over the next years. Evaluations are also showing up significant improvements that can be made in the operation of programmes. This provides an opportunity to improve the value for money and impact that government is having.

Some of the issues emerging from implementation include:

- DPME procurement is much faster (6-8 weeks) than procurement by other departments. In the case of DHS this is taking 6-12 months and causing major delays to the evaluations. Ideally DPME should do the procurement for the evaluations, but all decisions around the evaluations would still be made by steering committees, which custodian departments chair;
- Some departments are not allocating programme managers to sit on the steering committees. This makes the work of managing the evaluation harder, and runs risks in ensuring the successful adoption of the recommendations;
- Capacity amongst service providers is varied and even the DPME panel of 42 service providers is insufficient. Work needs to be undertaken to widen the base as well as enhance the skills of panel members, bearing in mind that evaluation is not yet widespread in South Africa. A particular gap is that in general universities are not taking this as a serious opportunity to have funded research and to contribute to policy. One university is very professional about this and is getting several evaluation projects. A specific attempt will be made to involve universities in the New Year;
- When results are challenging, some departments are delaying the process of management response and improvement plans. This is delaying reports getting to clusters and Cabinet, and thence to portfolio committees. Once the report is approved this process must move ahead, and ideally departments will see the importance of moving quickly on improvement plans so they show they are responding to the findings. From 2014 all evaluations must be submitted to Cabinet by departments within three months of the report being approved, or DPME will submit them.

- Many departments are not submitting their evaluations to DPME to include in the Evaluation Repository, probably because of fears of these being made public. This reduces accountability as well as the knowledge base available to the public service and wider public, eg for planning future work. Follow-ups are needed on this.

## 7.2 Reporting on the Plan, and reviewing the Plan

An annual report will be provided to Cabinet on progress with implementation of the Plan in May 2014, highlighting key lessons, as well as emerging findings, and progress with implementation of improvement plans around each evaluation.

The Plan will be reviewed annually, with an additional year added as the first year drops away. This links to the budget process so that departments are budgeting for evaluations at the same time as they are submitting them to be considered for the multiannual plan.

## 7.3 Funding of the evaluations in the Plan

This Plan has been developed to link with the budget process for 2014/15 to 2016/17. Some departments have resources available to fund the evaluations in their entirety, whereas in others the funding comes from DPME or donors. Indicative budgets are indicated in section 6. This may vary, as the methodology for the evaluations has not yet been defined.

## 7.4 Next steps

Preparation for the 2014/15 evaluations will start by January 2014 so that the initial phases of getting the relevant stakeholders together, developing terms of reference, and the procurement process can be completed prior to 31 March 2014. This means the evaluations will be in full flow by the time the financial year begins and the substantive work can be completed by the December 2014 break, with work on improvement plans substantially completed by 15 March 2015. This means that the evaluations should in most cases be completed within the 2014/15 financial year.

# ANNEX 1

## Evaluations in the Repository (those which did not reach the quality threshold score of 3 are in brown)

Department	Evaluation Name	Year	Score
Business Trust	Evaluation of the Monyetla Work Readiness Programme	2011	3.7
<b>COGTA</b>	<b>State of Local Government in South Africa</b>	<b>2009</b>	<b>2.5</b>
COGTA	Economic Assessment of Poverty Nodes and Nodal Economic Profiles	2007	3.7
CSIR	Impact of state of rivers reporting on people's attitude towards river conservation	2008	3.8
Dept of Basic Education	The status of the Language of Learning and Teaching (LoLT) in South African Public Schools; a quantitative review	2010	3.7
Dept of Education	Annual National Assessments	2011	3.5
Dept of Education	Schools that Work, ministerial committee report	2010	4.2
Dept of Environmental Affairs & Tourism	State of the Environment Report	2007	3.7
Dept of Environmental Affairs & Tourism	State of the Air Report	2005	3.6
Dept of Health	An overview of Health and Health care in South Africa 1994-2010; Priorities, Progress and Prospects for new Gains	2010	4.4
<b>Dept of Health</b>	<b>Progress report on implementation of Comprehensive HIV and AIDS care management and treatment programme</b>	<b>2004</b>	<b>2.8</b>
Dept of Higher Education & Training	Impact and Outcomes of the Education System on South Africa's Population	2006	3.6
Dept of Higher Education & Training	Report of the Ministerial Committee on the Review of the Nationals Student Financial Aid Scheme	2008	3.4
Dept of Human Settlement	Rural Housing Programme	2009	3.8
Dept of Human Settlement	Evaluating the Performance of Social and Rental Housing Programme	2010	3.4
<b>Dept of Mineral Resources</b>	<b>Mining Charter Impact Assessment Report</b>	<b>2009</b>	<b>2.6</b>
<b>Dept of Public Works</b>	<b>Synthesis report of evaluations of selected EPWP projects</b>	<b>2006</b>	<b>2.9</b>
Dept of Science & Technology	Review of the First Ten Years of the National Science Week Programme of the DST	2011	3.8
Dept of Social Development	A Profile of Social Security Beneficiaries in South Africa	2006	3.7
Dept of Social Development (Western Cape)	Implementation Evaluation of the Ke Moja (I'm fine without drugs) Programme	2009	3.7
Dept of Sports & Recreation	FIFA World Cup Legacy Audit	2011	3.6
Dept of Trade & Industry	Evaluating the decline in THRIP applications between 2006 and 2007 and 2008 and 2009 and scenarios of possible intervention	2010	4.4
Dept of Water Affairs	Summative evaluation of the DEA Social Responsibility Programme (SRP)	2012	4.1
Development Policy Research Unit	Labour Reform in South Africa; Measuring Regulation and a synthesis of policy suggestion	2007	4.1
DSD, DBE, DoH, DPME	Diagnostic Evaluation of the ECD Sector	2011	4.1

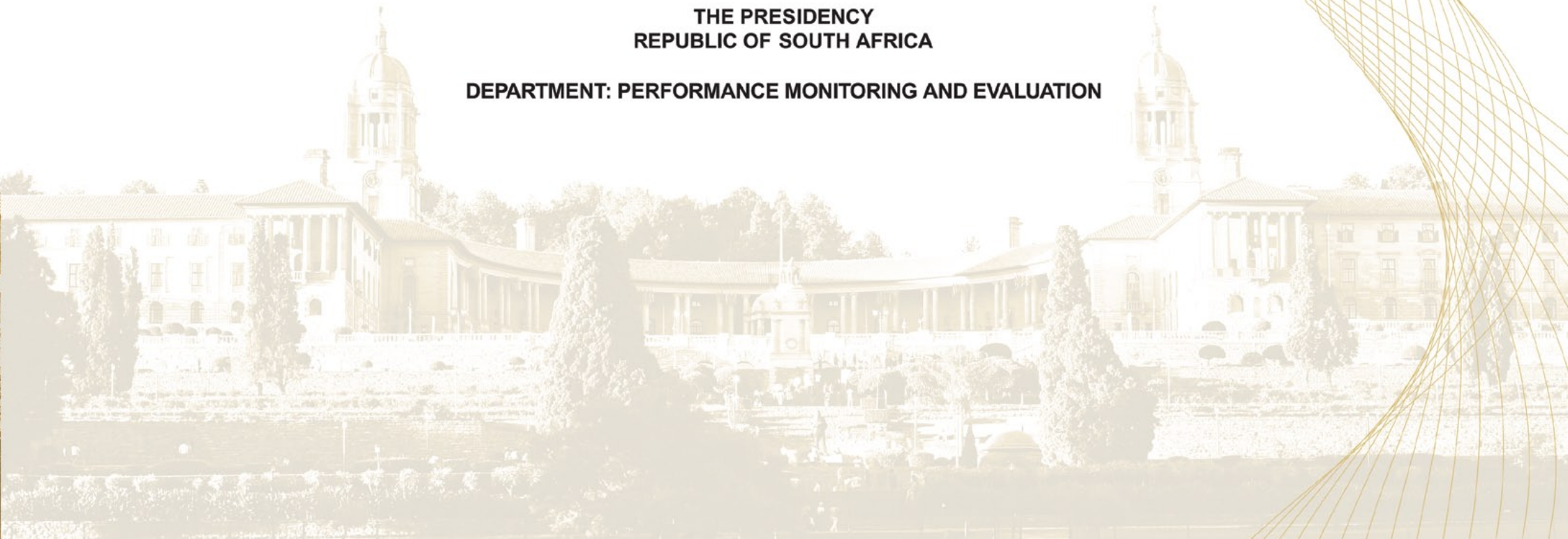
Department	Evaluation Name	Year	Score
DPME	The State of South Africa's Economic Infrastructure; Opportunities and Challenges 2012	2010	3.4
DPRU	Minimum Wages, Employment and Household Poverty; Investigating the Impact of Sectoral Determinations	2008	4.8
DPRU	Analysing Wage Formation in the South African Labour Market; The Role of Bargaining Councils	2007	3.7
Gender Commission	A Gendered Review of South Africa's Implementation of the Millenium Development Goals	2010	3.5
HSRC	ASGISA and Economic Growth Implications for Skills Development	2008	3.5
HSRC	Summative Evaluation of the West Coast FET College	2009	3.9
HSRC	The Impact of HIV/AIDS on the Labour Market	2005	4.4
HSRC	Mid-Term Review of the Expanded Public Works Programme SYNTHESIS REPORT	2007	4.3
HSRC	Evaluation of the Learnership Academy Model	2006	4.1
HSRC	The Impact of Exchange Rate Movements on Employment	2006	4.1
HSRC	The Economy-wide Effects of Price Reducing Reforms in Infrastructure Services in South Africa	2006	3.7
HSRC	Tracking Progress on the Implementation and Impact of the Employment Equity Act	2008	3.7
Industrial Development Corporation	An Analysis of the Macroeconomic and Sectoral Impact of the Capital Expenditure Programmes of Transnet and Eskom	2010	3.8
KZN Dept of Economic Development	Evaluation of the Business Enablement Fund	2011	4
KZN Dept of Economic Development	Monitoring and Evaluation Status Quo and Recommendations	2007	3.6
<b>KZN Dept of Economic Development</b>	<b>Big Five False Bay LED Strategy Project Evaluation</b>	<b>2008</b>	<b>2.6</b>
<b>KZN Dept of Economic Development</b>	<b>Ezimbuzini Economic Development Node Phase 1 Project Evaluation</b>	<b>2006</b>	<b>2.6</b>
<b>KZN Dept of Economic Development</b>	<b>Umdoni LED Strategy Impact Assessment Report</b>	<b>2007</b>	<b>2.9</b>
<b>KZN Dept of Economic Development</b>	<b>Zululand LED Strategy Support Impact Assessment Report</b>	<b>2007</b>	<b>2.8</b>
<b>KZN Dept of Economic Development</b>	<b>Project Output Monitoring Composite Report</b>	<b>2007</b>	<b>2.7</b>
KZN Dept of Economic Development	Ingwe Rail Project Impact Assessment Report	2007	3
<b>KZN Dept of Economic Development</b>	<b>Inqolobane Development Foundation Impact Assessment Report</b>	<b>2007</b>	<b>2.6</b>
<b>KZN Dept of Economic Development</b>	<b>LED Impact Assessment Composite Report</b>	<b>2007</b>	<b>2.4</b>
KZN Dept of Economic Development	Composite Report on Project Evaluations	2008	3
MERSETA	Impact Assessment of Learnership and Apprenticeship	2008	3.7
National Credit Regulator	Information Sharing and SMME Financing in South Africa	2008	4.8
National Credit Regulator	A Review of the Impact of the National Credit Act One Year After its Implementation	2009	3.9
National Credit Regulator	National Credit Regulator Impact Assessment report	2010	3.9
National Credit Regulator	The Cost of Credit, Access to Credit and Associated Market Prices	2011	3.8
National Treasury	Mutual Evaluation Report - Anti-Money Laundering and Combatting the Financing of Terrorism	2009	4.1

Department	Evaluation Name	Year	Score
National Treasury	The VAT Treatment of Merit Goods and Services	2005	3.9
National Treasury	Fiscal Incidence of Social Spending in South Africa	2009	3.4
NHFC	Understanding the Cause of Defaults in the Social Housing Sector	2004	3.7
Public Service Commission	An Evaluation of Integration and Coordination in the Integrated Sustainable Rural Development Programme	2010	3.9
<b>Public Service Commission</b>	<b>Report on the assessment of effectiveness of Thusong Service Centres in Integrated Service Delivery</b>	<b>2010</b>	<b>2.9</b>
Public Service Commission	Evaluation of the Training Needs of Senior Managers in the Public Sector January 2008	2008	3.7
Public Service Commission	Evaluation of Employee Assistance Programmes in the Public Service	2006	4
Public Service Commission	Evaluation of the Consistency of Sanctions Imposed for Misconduct in the Public Service	2009	3.9
Public Service Commission	Evaluation of the Impact of the Policy and Procedure on Incapacity Leave and Ill-Health Retirement (PILIR) on Sick Leave	2010	3.6
Public Service Commission	Evaluation of Government's Poverty Reduction Programme	2007	3.6
Public Service Commission	Evaluation of Service Delivery at the Department of Home Affairs Visa Applications and Port Control	2008	3.6
Public Service Commission	Evaluation of the Batho Pele Principle of Value for Money in the Public Service	2007	3.6
Public Service Commission	Evaluation of the Implementation of the Batho Pele Principle of Information	2009	3.3
Public Service Commission	Evaluation of the Implementation of the Batho Pele Principle of Courtesy	2009	3.3
Public Service Commission	Evaluation of Performance and Compliance with the Batho Pele Principle of Access	2006	3.2
Public Service Commission	Evaluation of Performance and Compliance with the Batho Pele Principle of Redress	2006	3.1
Public Service Commission	Evaluation of the Implementation of the Batho Pele Principle of Consultation	2007	3.1
<b>Public Service Commission</b>	<b>Seventh Consolidated Public Service Monitoring and Evaluation Report</b>	<b>2011</b>	<b>2.9</b>
Public Service Commission	Evaluation of the National School Nutrition Programme	2008	3.4
SAMDI	Evaluation of the Community Development Worker Programme	2005	3.5
SASSA	Review of the Child Support Grant	2008	4
Social Housing Foundation	Cost-benefit Analysis of RDP versus Social Rental Housing	2009	3.8
South African Gambling Board	The Socio-Economic Impact of Legalised Gambling in South Africa	2009	3.9
The South African Presidency	The Impact of Crime on Small Businesses in South Africa	2008	3.6
Umsobomvu Youth Fund	Impact Assessment and Programme Evaluation of the Business Consultancy Services Voucher Programme	2007	4
UNICEF South Africa	The South African Child Support Grant Impact Assessment; Evidence from a survey of children, adolescents and their household	2012	4
Western Cape Dept of Economic Development & Tourism	Red Door Impact Study Phase 2	2008	3.6
Western Cape Provincial Government	Cape Gateway Evaluation	2005	3.3



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