THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF PLANNING MONITORING AND EVALUATION

Diagnostic study of research in DPME

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EVALUATION AND RESEARCH UNIT

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1 Introduction

The Presidency underwent several institutional changes since the democratic government was established. This occurred in a context when extensive legislative and policy reforms were taking place. Over a twenty year period, the function of policy coordination, policy analysis and assessing government performance remained central to the work of the Presidency. Research was undertaken continuously as a primary source of evidence to inform decision making and policy development, as evident in the number of research projects undertaken by the Presidency. The Department of Performance (now Planning) Monitoring and Evaluation was established in 2010 with focused attention on the generation of monitoring and evaluation evidence to assess government performance. In 2014, DPME found the need to identify a strategic role for research, based on past experience of undertaking the Ten, Fifteen & Twenty Year Reviews, as well as the process of documenting the National Development Plan, which was research dependent.

1.1 Purpose of the diagnostic

DPME has recognised that it has a strategic role to play in the field of research which informs policy, decision-making and implementation. The purpose of the diagnostic is three-fold:

1. To inform DPME's research strategy and the possible scenarios, grounded in an understanding of how research is approached and what the needs are across the various programmes and its units.
2. Provide the basis of a detailed implementation plan of the research strategy.
3. Use and test DPME's diagnostic methodology with 5 National departments and 4 provinces, before roll-out to undertake a Government-wide diagnostic on research.

1.2 Methodology and diagnostic tools

A considerable body of knowledge exists on the role of research in policy and practice. Even though linkages are made at a conceptual level for the related outcomes, there is a need to understand the extent to which research activities are undertaken within DPME, the quality of data generated/used and find synergy across various guides, policies, plans and programs in operationalizing the strategic plan. A qualitative methodology was adopted using document reviews, Key Informant Interviews (KII)/Focus Group Discussions (FGD) and mapping of various processes underway within DPME units. There were 19 KII conducted on DPME officials and 2 FGD with 10 participants. A survey instrument (annex 1) was developed to generate quantitative measures in the extent of research practice amongst DPME officials. There were 12 responses received. However, there is a need for ongoing assessment of the various units, especially those that were unable to participate in this diagnostic phase, in order to develop a comprehensive understanding of the current status of research as well as what the needs and future direction will be.

Task orientation

From past experience and observations made, a relatively high demand for research and research management exists within DPME by sector experts who play a key role in identifying research needs and guide the type of research to be conducted; and by officials who undertake research–related activities in producing evidence to assess government performance. A diagnostic of research in DPME will provide a baseline to understand research support needs as well as current research practice, so that the effectiveness of an intervention strategy can be measured at a later stage.

Stakeholder consultation and collation of literature

A preliminary internal and external stakeholder database was developed to provide input into the diagnostic. A series of structured interviews and discussion with key officials and researchers within DPME and externally was carried out, in order to understand needs and thinking behind DPME's role in research. These inputs also provided guidance on the data collection methods for the wider diagnostic study.

A collation of literature informing the both this diagnostic and the implementation of DPME's research strategy has been initiated. Key national and international documents have been identified, e.g. the White Paper on Science and Technology (1996), National Research and Development Strategy (2003), OECD/World Bank's standards and literature on publically funded research etc. The Research and Development Survey (R&D survey) conducted annually by the HSRC on behalf of the DST is a key resource in analysing the demand for research evidence by government and other stakeholders. Documents within DPME are the Strategic Plan 2011/12-15/16 and the recently documented 2015/16-19/20 plan, including plans from sub-programs (MPAT, MAT, FSD, PSPPD, and ERU). An outline of data and information sources is being developed per unit, although the availability of people and information has proven to be an obstacle in providing a holistic view.

2 Overview

2.1 DPME strategic goals

The Strategic Plan for DPME, 2015-20 (refer to table 1) reflects the integration of National Planning Commission into DPME to align functions and establish 3 core branches: Planning; Outcomes Monitoring and Evaluation (OME); and Institutional Performance Monitoring and Evaluation (IPME). DPME has developed a number of tools and reporting structures, ranging from outcomes monitoring, evaluations, MPAT reports, FSD and CBM reports, Hotline data, LGMIM reports and more recently Phakisa reports. These have grown into units that function independently from each other and some communicate findings through their own websites. The Outcomes Approach is the organizing frame for DPME to report on Government performance and progress, while each of the units has a specific mandate to generate specific evidence and highlight different perspectives and experiences, i.e. organizational, facility, citizens – thereby providing a holistic picture or a 360 degree view on the narrative of change and progress.

Table 1 Strategic plan for DPME, 2015-20

Key result Area	*Strategic oriented goal 2*	*Goal statement*	*Focal areas*

Planning	To facilitated integrated planning and policy coherence in support of the implementation of the National Development Plan and government programmes	The aim is to improve: 1. Promote coherent policy making, planning and implementation of government programmes. 2. Facilitate the development of medium and long-term plans in all spheres of government 3. Provide oversight, direction and regulation in respect of strategic and annual performance planning in government. 4. Develop high level planning frameworks to guide the detailed planning in departments, govt. agencies as well as provincial and local govt. 5. Engage different sectors of society on planning process to solicit input and secure buy-in	1. Planning, research and policy development 2. Secretariat to the National Planning Commission 3. Public engagement 4. Planning policy, support and oversight
Key result Area	***Strategic oriented goal 3***	***Goal statement***	***Chief Directorates***
Outcomes Monitoring and Evaluation	To monitor and evaluate the implementation of government programmes and projects in achieving the objectives of the NDP.	1. Coordinate and manage the outcomes system by monitoring and reporting progress on implementation of government priorities aimed at achieving the NDP priorities and evaluating impact. 2. Support departments, other spheres of government, clusters and Cabinet committees to identify and address blockages in achieving government outcomes 3. Conduct evaluation and policy research in support of the Government Wide Monitoring and Evaluation System	1. Outcomes Support 2. War room 3. Socio-Economic Impact Assessment System Evaluation and Research
Key result Area	***Strategic oriented goal 4***	***Goal statement***	***Chief Directorates***
Institutional Performance monitoring and evaluation	To promote good M&E practices in government in support of good governance, a responsive government and a capable state	1. To promote good M&E practices and processes in government, 2. Assessment of management and operational practices in the three spheres of government 3. Monitoring of frontline service delivery and citizens involvement in monitoring government services 4. M&E capacity development and learning	1. Management Performance Monitoring and Support • Management Performance Assessment • HOD assessment • FOSAD Plan and Monitoring 2. Local Government Performance Assessment 3. Presidential Frontline Service Delivery Performance Monitoring and Support • FSD systems and processes • FSD implementation • Hotline 5. Citizens-based Service Delivery Monitoring

Recent restructuring within DPME will enable better alignment of the three functions (Planning; Outcomes monitoring; Institutional monitoring) towards strategic goals set by DPME. According to the Strategic Plan (2015-2020), table 1 outlines the goals and goal statements for each of the 3 branches of DPME. While "policy research" is explicitly stated in the outcomes monitoring branch only, access to quality and timely data/information, analytical capability and use of research evidence is the basis upon which most activities within DPME are undertaken. DPME officials across all the branches from Deputy Director level and up engage with data sets, information and various forms of evidence in report writing and communicating the work of DPME.

2.2 DPME programmes

Within the OME branch, availability of "policy research" is strategically linked to the implementation of government programmes and projects in achieving the objectives of the NDP. An exploration of how evidence (internal and external) is generated, has been initiated to understand current research practices as well as assess the degree to which DPME generated evidence is integrated and used across the units. Since DPME is a young organization with the mentioned units at varying stages of development, this exploration is ongoing and iterative, as these programmes and units become institutionalized. The need for a holistic picture or a 360 degree view on the narrative of change and progress has been expressed by DPME EXCO.

An analytical framework was developed by the Vaka Yiko project[1], to assist DPME in developing an integrated understanding of its own evidence base, gaps identified and how it relates to research evidence externally in order to analyse and communicate what the different types of evidence is telling us (storyline) in reporting on progress and/or challenges (refer to table 2). The type of evidence generated per unit as well its potential to answer the key questions raised will enable DPME to develop effective mapping of the evidence base – identifying where the gaps are and where evidence can be strengthened. This is work in progress as all units were not available for consultation during the time of writing this report. The framework will be used to understand and anlalyse the type of evidence generated and needed by each of the units within DPME programmes. These are Outcomes Monitoring/POA; CBM; FSD; Hotline; Evaluations; SPs & APP's; GIS; MPAT; LGMIM; PSPPD; Phakisa.

Table 2 Analytical framework to generate a 360' view from DPME evidence base

Question	Type of evidence needed
Where are the challenges? For whom are they challenges?	**Evidence about current state:** • *Demographic and geographic data*
What are the scales of the challenges? Why are we facing these particular challenges?	**Evidence about current state**: • *Monitoring data* • *Research evidence on causality & distribution*
What is driving change: what pressures are the economy, environment and society under and what are the risks?	**Evidence about change:** • *Research evidence on drivers of change* • *Horizon scanning and modeling*
What goals has government set for the sector?	**Evidence about policy priorities:** • *MTSF, Outcomes*
What outcomes have been delivered so far?	**Evidence about achievement of outcomes:** • *Outcomes reporting*

[1] This is a DFID funded project to Build Capacity to Use Research Evidence (BCURE) which is currently underway in partnership with DST and DPME, and led by Louise Shaxson from ODI.

How effective is government at providing services to address challenges, manage risks and minimise adverse impacts of change?	**Evidence about service delivery:** • *MPAT-organizational* • *FSD – citizens* • *CBM – citizens* • *Regulatory compliance – market facing*
How cost-effectively has government provided services and delivered outcomes?	**Evidence about cost-effectiveness:** • *Evaluations*

Source: Shaxson L (2014) Taking a 360 degree view of the evidence base. Internal presentation to DPME, 18 November 2014. London: ODI.

3 Locus of research in DPME

The establishment of a research unit within the OME programme has enabled DPME to explore its strategic research role, beyond individual research projects undertaken in-house or commissioned out. The foundation of any research activity is the sourcing of data and information. With the existence of a data unit that measures the progress of the 14 outcomes, a knowledge management unit in IPME and several units that generate its own data, the scope and role of a dedicated research unit will be informed by this diagnostic study. Annex 2 provides a framework of research questions which DPME, like any other national department, needs to enquire regarding its own operations.

3.1 Data generation and use

DPME officials who are beginning to explore the use of DPME data, report that although it is early days, there are signs that DPME is on the right path and that challenges in the system need to be acknowledged and addressed. The following is a summary of initial interviews held which informs the research strategy for DPME in what roles are expected at an individual, programmatic and institutional level.

Units and officials generating data were asked the following questions:

1. What is the purpose of this data source?
2. What types of data are there and where do they come from?
3. To whom do you report (facilities, municipalities, provinces, national Depts, FOSAD, PCCs, Cabinet etc) and on what sort of cycle?
4. When you do report, what sorts of comments / questions do you get?
5. What do you think this data source does really well, in terms of a contribution to the big picture?
6. Public use of data: is this important?
7. What are the main challenges with the data? (sampling, quality, quantity, inclusivity)
8. How well does it link to the other data sources e.g. Outcomes, FSD, etc?
9. Are the opportunities for using new technology? How?
10. Other issues

Overall, data and evidence are used for 4 purposes in DPME, with varying intensities within units. This is reflected in table 3 below. There is recognition that the evidence DPME generates provides great opportunities for the purpose set out, yet it has many challenges that require attention. These are summarised in table 4.

Table 3 Purpose of evidence generated and used in DPME

PURPOSE	TASKS
1. Reporting on the state of things	• To demonstrate progress towards a goal • To monitor compliance with a plan (e.g. standards) • To uncover issues that need fixing at departmental, provincial, and individual facility levels
2. To uncover issues that need fixing	• National departmental level • Provincial level • Local/municipal level • Facility level
3. To understand why things are happening	• Unpack causality • Correlation between different bits of evidence
4. To build relationships	• Between government departments and DPME • Between citizens and service delivery facilities

Source: Shaxson L (2014) Taking a 360 degree view of the evidence base. Internal presentation to DPME, 18 November 2014. London: ODI.

Table 4 Opportunities and challenges of DPME data and evidence

What does the data do well	What are the challenges
"*Our systems are working well"* ✓ Embedding change ✓ Improving voice *"The data/evidence is stimulating debate"* ✓ About participation ✓ About compliance *"We are uncovering systematic issues"* ✓ With large samples ✓ With small samples	Technical specifications, data quality, timeliness, interpretation skills Not fulfilling the potential of data generation – could do more detailed analyses of each evidence source Lack of correlation between sources • To check internal validity • To tell a story Gaps in coverage

Source: Shaxson L (2014) Taking a 360 degree view of the evidence base. Internal presentation to DPME, 18 November 2014. London: ODI.

3.2 Stakeholders, networks and partnerships

DPME works with various stakeholders and partners in assessing government performance based on the 14 Outcomes. Vast levels of secondary data and information is accessed, depending on the sector, outcome and evidence need. This requires an understanding of who DPME is dependent on as a regular source of information, what type of evidence is needed and how DPME builds, maintains and strengthens networks or partnerships for future use.

3.3 Expressed needs in undertaking research

A sample of inputs received to inform the development of this strategy provided a range of needs expressed by officials across the 3 branches of DPME. Table 5 provides a summary of the responses expressed on specific research needs identified and perceived support for internal and external DPME processes. While these are taken into consideration in the development of this strategy, it is important to be mindful of broadening the scope of this strategy at the risk of taking on systemic issues beyond the control of DPME. Thus, organizing the responses into DPME's sphere of control versus sphere of influence becomes an important starting point.

Table 5 Expressed research needs by DPME officials

	Internal to DPME	External to DPME
Research needs identified	• Access to data bases and other research outputs • Capacity development on basic research skills and guide the process of research • Research plan and strategy needed per outcome/unit: • Articulate areas of new research for each of the outcomes • Prioritize where areas of least progress is being made • Facilitate research across Planning; Monitoring and Evaluation • Modeling and scenario planning • Make DPME data more accessible • DPME to generate its own 'intelligence' based on research evidence • Assessing the body of evidence: single study vs research synthesis • DPME research to serve objectives of DPME • Develop and communicate a DPME research plan • Aligning surveys to policy needs • Prioritizing research topics	• Research to be objective and remain neutral • Research to address bottlenecks in service delivery • Action-type operational research to complement work of the NES • Guide the research community on national priorities • Facilitate local governance • Strategic research agenda setting for think-tanks • Leadership in cross-sectoral issues • Policy analysis capacity in departments • Locus of research in government

Perceived research support	• Improve analytical skills
	• Be able to access information when needed
	• Better data availability
	• Provide guidance on what is good research
	• Need an information and knowledge management facility/repository
	• Budget to be allocated for research specifically
	• Research unit to be accessible to all
	• Standardized template for TOR development and short term reporting
	• Research unit to train Outcome Managers
		• Repository to access all publically-funded planned and completed research (whether commissioned or in-house)
		• Institutionalize the function of research in Government
		  ○ Improve research capacity in government
		  ○ Set standards for research in Government
		  ○ Managing research quality
		• Research and evaluation reports to inform the work of Parliamentary Research Group
		• DPME and DST to deal with wasteful expenditure with regard to research – better impact and value for money

4 Situational analysis

The survey was conducted to understand research processes at an individual level. There was a poor response rate (30%), although some responses are still pending. Table 6 indicates the time allocated to research activities by those responding to the survey. This suggests that between 30-50% of time is allocated to gathering/sourcing information, analysis of data and

information, conducting policy analysis and writing reports/memos. It also demonstrates a considerable amount of their workload being research related and that there is a variance in time allocation. While the amount of time spent on research activities was a calculation based on the survey findings, it was also confirmed in the interviews.

Table 6: Extent of time allocated to research activities in a regular week (n=12)

Research activities	Percentage time allocation			
	10-20%	30%	50%	>50%
Attend meetings				
Gather information				
Read reports/documents				
Analyze data and information				
Conduct policy analysis				
Collate and synthesize information				
Write reports/memos				
Update, store and file information				
Develop concept notes/ToR's				

Key:
- Quarter respondents
- Half respondents
- Three-quarter respondents

4.1 Mapping of SWOT analysis to key research processes

A more comprehensive understanding of the approach and extent to which research is undertaken in DPME will require full participation of all units and key officials. This will facilitate the process of mapping the strengths, weaknesses, opportunities and threats across each unit to find synergy as well as unique situations. The framework presented in figure 1 will be used across the different units to provide a detailed synopsis of research in DPME. This work is underway and will be used to provide a synopsis of research within each unit of DPME.

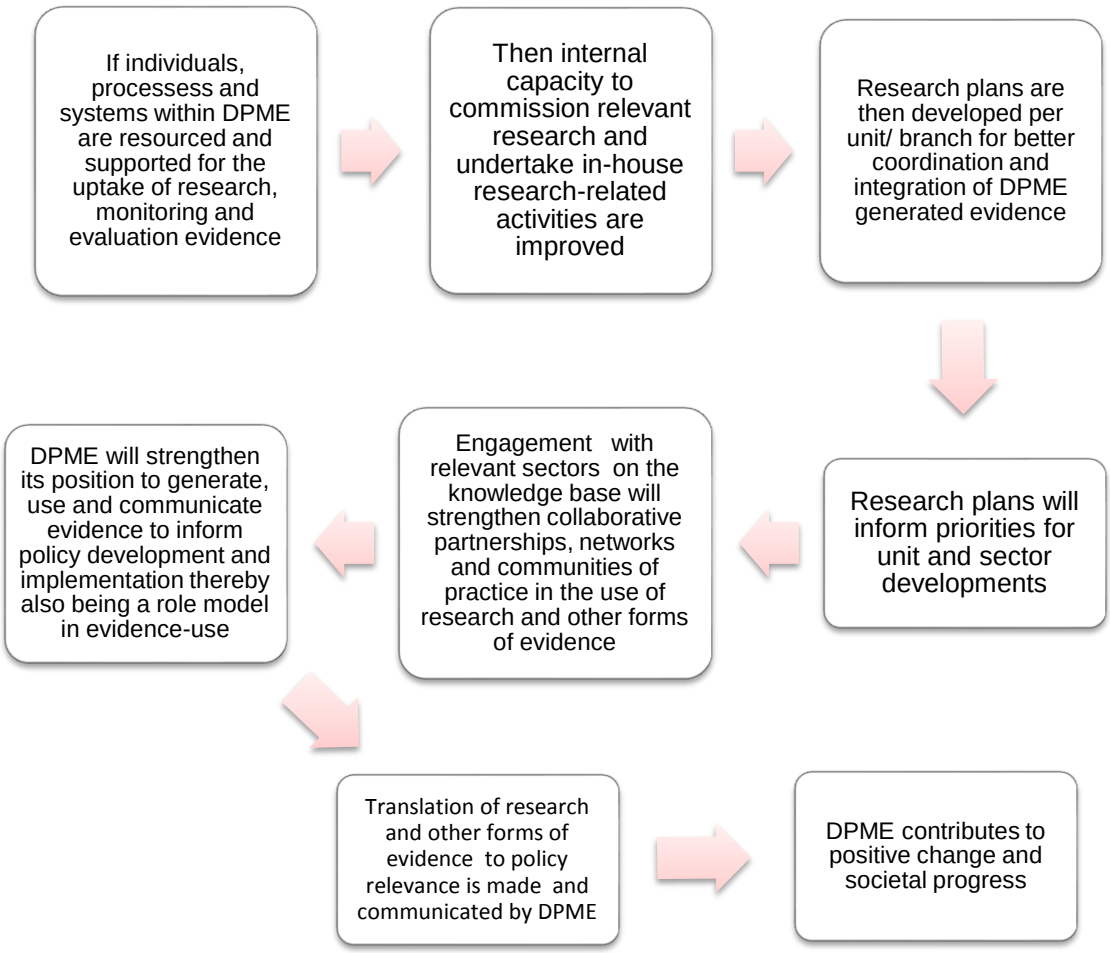
Figure 1 Analytical mapping exercise per unit

DPME unit	ORGANIZATIONAL		ENVIRONMENTAL	
	Strengths	Weaknesses	Opportunities	Threats
Data sources				
Objective setting				
Information access				
Research capacity				
Research communication				
Research synthesis				
Research ethics				

4.2 Pathway to change for research in DPME

A pathway to change was developed, based on content analysis from the KII and FGD. The presentation in figure 2 is generated from emergent themes, although it will need to be further tested on individuals and managers before informing DPME's theory of change.

Figure 2 Pathway to change for research in DPME



Assumptions made

- The skills and capacity constraints for research identified are distributed similarly across DPME branches
- DPME officials will have the time to access, consult, store and analyze relevant data, information and research evidence to translate research evidence into policy relevance.
- Demand for research evidence will increase with the establishment of a research unit
- Access to research and other forms of evidence will enhance analysis, quality of reporting and improve responsiveness.
- Better engagement with the research community and experts in the field will lead to greater influence.

4 Recommendations

Based on this preliminary diagnostic of research in DPME, the following recommendations are being made. More comprehensive information is required to appreciate the depth of work underway in DPME, and to appreciate the potential use

1. Develop a DPME data strategy
2. Synopsis of research process per unit
3. Provide DPME-wide research infrastructure support
4. Build effective networks and relations with research and science community for policy relevance
5. DPME positions itself as a player in the wider research system

Annex 1

GENERAL INFORMATION

Dear Participant,

Thank you for agreeing to participate in this initial survey to understand research and research management in DPME. The information you provide is confidential and the process will observe all ethical principles in conducting research. Responses will be collated and undergo a process of thematic content analysis during reporting. This means that responses will not be attributed to any individual person without prior consent.

Background

DPME plays a critical role in ensuring evidence is used for decision-making in government and is providing a number of key M&E tools to deliver on its mandate. Currently, DPME is exploring its research role in ensuring that research evidence is contributing effectively to the evidence base which informs the 14 outcomes. This role is also being defined in the context of DPME's recently mandated planning function.

Work has been initiated to develop a research strategy for DPME which will conceptualise the role needed. This work involves reviewing relevant documents and approaches as well as consulting DPME officials who are involved in generating and using research evidence.

Why we need your participation?

In the broadest sense of the word, the definition of research includes any gathering of data, information and facts for the advancement of knowledge

In your day-to-day work, some level of **research activity** is undertaken to inform your work. The term '*research activity*' is understood here in the broadest sense i.e. searching for relevant information whether accessing scientific evidence, speaking to key people, collating available documents, analysing information, writing reports, amongst many others. Sometimes, these activities are carried out under stressful and urgent situations, while at other times it is a planned response to achieving your objectives. It is appreciated that each of the outcome teams and units within DPME approach research activities in different ways, depending on the specific context. However, there are also common elements of this work that requires a supportive system in place to make your work easier, purposeful and to ensure that appropriate evidence is used.

Scientific research

Research is the systematic investigation into and study of materials and sources in order to establish facts and reach new conclusions.

A scientific and narrower understanding of research is when the research process is followed to prove a hypothesis right or wrong by formulating a research question, objectives are set and an appropriate methodology is adopted to generate scientific data to answer the question posed.

It is within this context that the survey is being conducted. The aim is to understand the environment within which DPME officials conduct research activities, plan and implement research projects and manage these research projects. The

findings will be used to inform DPME's research strategy, which will be presented to senior management and finally to DG Phillips for approval by December 2014.

1. About yourself

1.1. Your position in DPME? *(Please √)*

Technician	
Assistant Director	
Deputy Director	
Director	
Chief Director	
Specialist	
Other	

1.2. What is your educational status?

Matric	
Certificate	
Post graduate diploma	
Undergraduate Degree	
Master's degree:	
PhD	
Currently studying: *Please specify*	
Other	

1.3. Please provide a brief description of your job.

1.4. If you consider a regular week in your calendar, to what extent are you involved in the following activities?

Activity	<10%	20%	30%	50%	>50%
Attend meetings (internal or external)					
Gather information (from documents or people)					
Read reports/documents					
Analyze data and information					
Conduct policy analysis					
Collate and synthesize information					
Write reports/memos					
Update, store and file information					
Develop concept notes /TOR's					

Other:					
Other:					

1.5. In your experience, what are ideal working conditions to carry out any form of research?

1.6. What do you feel is needed in your immediate working environment to support your research activities?

Area of support/need	Please √	Please provide further details on the type of support needed for areas you have ticked
Administrative support		
Access to information *(scientific journals; data bases; grey literature etc)*		
Time		
Physical environment		
Library/information services		
Management		
Leadership		
Research repository *(key research reports relevant to your sector)*		
Other		

2. Locus of research

2.1. What are your routine sources of information? State the type of evidence sourced.

Source *e.g. SA Institute of Race Relations*	**Type of evidence** *e.g. municipal data / analysis of key local issues*

2.2. Which organizations, universities or science councils do you regularly network with to access specific or specialized information?

Name	**Specific unit or person**

2.3. Which conferences, workshops and/or seminars have you attended in the past year related to your work?

2.4. Who plays a role in setting the research agenda for your outcome, sector or program? In other words, who do you think are the major role players in identifying research needs in the area that you work?

2.5. How would you know that a research report and its findings are credible? What would you take into consideration?

2.6. Who would you share research findings with? Please consider why you would share these findings with the particular person, unit or organization.

3. Use of evidence in DPME

3.1 What is your understanding of evidence?

3.2 What do you feel is the relationship between **research, planning, budgeting** and **decision making?** You are welcome to make a graphic presentation.

3.3 Please share your thoughts on what research DPME is or should be doing to unpack issues arising in your sector or program?

Outcome/Sector	**Research needs** *(broad topics or gaps identified)*
e.g. Social protection	*Child support grant / ECD*

3.4 How do you think research should be approached and managed in DPME?

3.5 What is needed in DPME to facilitate the use of research into strategic and operational activities?

Strategic
Operational

3.6 Do you want to share any other thoughts that have not been covered above?

THANK YOU SO MUCH FOR YOUR TIME AND ATTENTION!!!

Annex 2

Framework of research question for Government wide diagnostic

Structure	Main questions	Sub Questions	Tools and method of generating data	
			Existing information	Data/information to be generated
A. DIAGNOSTIC INFORMING THE RESEARCH STRATEGY				
1. Introduction and background	Why is DPME doing this study, and why PSPPD?		1. PSPPD background documents	2. Interview with Ian Goldman, Mastoera Sadan
2. International experience in generation and use of research evidence				
2.1 Generation	How far do comparable countries have research systems linked to policy	1. What are international trends and lessons related to research and other evidence and think tanks informing policy? 2. How far is the publicly funded research aligned to policy priorities? 3. Is the research agenda driven and informed by policy priorities 4. Is the research agenda integrated into policy decision-making?	1. BRICS report (DHET & DIRCO) 3. Sector examples 4. UJ BCURE – landscape review on evidence use	5. Literature review 6. KII
2.2 Use	How far is there international evidence of governments systematically using research and other evidence in policy making?	1. Is there use across all government departments or stronger and prioritized in certain sector departments?	7. BRICS report (DHET & DIRCO) 8. Sector examples	9. Literature review 10. KII – international?
2.3 Intermediation	Who are research intermediaries, where are they located and how is research evidence promoted in policy making?	1. What are the key challenges? 2. Are there examples of interventions introduced to address the challenges? 3. What good examples are there 4. How do they operate 5. What are key success factors	11. BRICS report (DHET & DIRCO) 12. Sector examples 13. Select African countries	14. Literature review 15. KII – international?
3. Overview of generation and use of research and other evidence in South Africa				

3.1. Key actors in the field of research, knowledge management and evidence use	Who are the key stakeholders in South Africa's research generation and use system; What role are they playing in relation to an evolving national system of using research for EBPM & I?	1. Who are the key role-players in generating and using research and other evidence for EBPM & I 2. What roles are key stakeholders playing? 3. What are their strengths and weaknesses?	• UJ BCURE: Landscape Report • R & D Survey	• Stakeholder mapping of the research landscape • KII: DST/NRF/Key science councils and higher education officials	
3.2. Extent and relevance of research in government	To what extent is research carried out in government (questions of scale, quality)	1. What is the percentage R&D expenditure by government, and as compared to other sectors in South Africa 2. Which government institutions are generating research 3. How is the publicly funded research enhancing policy and decision making? 4. How has this changed over time?	• R & D Survey • UJ BCURE: Landscape Report	• Secondary analysis of R & D Data sets (DST) • KII • FGD of key Government officials	Interns
	What research is being done in the wider research system which has relevance to the MTSF/outcomes?	1. Research/evaluation outputs per outcome and per national/provincial levels 2. Is there evidence that the 2014-19 MTSF targets were informed by research and other evidence? If yes, what were the most common sources of research used?	• ERU repository • DST research repository categorized • Cluster reports • National and provincial research databases	• Content analysis of existing sources	Intens
3.3. Use of research for policy	To what extent does research and other evidence inform policy, decisions and implementation?	1. What examples are there of research and evidence use and non-use in informing policy, decisions and implementation in South Africa?	• Attitudes of Senior Govt officials on EBPM – PSPPPD report • UJ BCURE: Landscape Report	• KII: senior officials + OF's • Case studies: ARV's; OBE; Green Economy; • BCURE cases: DBE & DEA • Sector experts	
4. How does research function in government in South Africa at present					
4.1. A detailed picture of research generation by government	Which departments/provinces/ LGs are undertaking research and which areas of research are being conducted? What funding is allocated and utilized for research within	1. What type of research is conducted and in which sectors? Is it basic or applied? 2. Is the research aligned to and based on strategic plans/departmental priorities? 3. Is there a provincial research agenda aligned to provincial development and/or service delivery priorities? 4. What is the percentage of funding for research	• R & D survey • PSPPD reports • Sector reports on research	• Survey across National and Provincial departments • Secondary analysis of R & D survey and other reports • BCURE cases: DBE and	

	departments over the past 3-5 years? Is research synthesis being used at all in government?	against overall departmental budget and how is funding allocated for research in the last 3-5 years? 5. What is the actual expenditure on research? 6. How will funding be allocated for research over the next 3- years? 7. What research synthesis has been commissioned – and what used? 8. What training has been attended on research/synthesis/management? Did the training help participants to use it? Why not?		DEA • Research managers • FGD: trainees on research methodology
4.2. Locus of research and other evidence in national and provincial government	Are there dedicated research units within National and Provincial Government departments?	1. Where is the research function within departments (national and provincial) located and what structures exist to undertake research, research management and/or knowledge management? 2. Is there a separate data unit? 3. How do these work? 4. What limits their effectiveness? 5. What enhances their effectiveness? 6. Is there a provincial research or data management facility?	• MPAT findings across government departments • Good cases from MPAT findings • M & E report by IPME	• DPSA & Departmental websites/admin data bases • Annual reports • APPs • Operational Plans • Survey across National and Provincial departments
4.3. Time available for research	How much is research staff vs other staff time actually available for research in policy and decision making as opposed to other activities?	1. What percentage of hours/week is allocated to analysis of data; reading research reports and findings; accessing information from key sources and utilizing research to influence departmental strategies and operations? 2. How much time is spent in actively disseminating research findings that have implications on strategy/operations?		• Survey across National and Provincial departments
4.4. Human resources for research and knowledge management in Government	What are the number, position and competencies of human resources involved in research and research management in Government? What are the ideal human resource competencies required for research in support of policy and decision making?	1. What number and level of staff are employed at national and provincial level in a research capacity? 2. What are the qualifications & experiences of these staff? 3. Do their KPA's / job description include policy analysis; conducting research and/or managing information and research? 4. Over the past 3-5 years, what have been the outputs from these staff/research units?	• DPSA input: Strategic and operational • International literature	• Survey across National and Provincial departments • KII: Research managers • Case studies from sample of national and provincial departments
	What capacity is there in government departments to	1. What policy analysis capacity exists at national and provincial departments and which unit is it located	• Attitudes of Senior Govt officials on	• KII: DPME + departmental research managers

	access, analyze, interpret and use research evidence?	in? 2. How is this linked to research and data (units) 3. How is this capacity linked to strategy or planning and M&E units? 4. What are the gaps and challenges with regard to generation and use of research evidence for policy?	EBPM – PSPPPD report	• Focus groups with National and Provincial research forums: Mp; Limpopo; WC; NC; NW; Gauteng
4.5. What capacity is there in government to use research and other evidence for policy and implementation	What knowledge, attitude and skills exist for EBPM & I amongst national and provincial government officials	1. How is use of research and other evidence viewed by senior policy makers in Government 2. How is use of research and other evidence viewed by programme managers responsible for service delivery? 3. How is research translated into evidence?	• Attitudes of Senior officials to EBPM • UJ BCURE: Landscape report	• Literature search • Case Studies: BCURE and others
4.6. Research infrastructure	What level of physical, informational and specialized infrastructure exists at the national and provincial levels for research to be undertaken	1. Does some form of organized repository or KM process exist for past and current research outputs, including TOR's within individual departments, nationally and provincially? 2. Is there consistent access to office computers; internet and databases? 3. Is there access to a library, on-line databases; IT support or information services 4. What tools are being used for analysis for policy and decision making? 5. What types of networks are there with other government departments/ academia/ universities/science councils 6. How are current research /information accessed for internal use?		• Survey across National and Provincial departments • Case studies from sample of national and provincial departments • BCURE cases – DBE and DEA • KII
4.7. Communicating research and other evidence	How are research and other evidence findings communicated and to whom?	1. What dissemination of research and evidence outputs has happened? 2. What are the various modes of communicating research/evidence? 3. Who are the main target audience in the dissemination of research/evidence findings 4. To what extent is research communicated to executive and administration authorities? 5. What are the challenges in research/evidence communication and dissemination? 6. What is the level of monitoring and tracking of the	• HSRC Report on research intermediaries	• Survey across National and Provincial departments • KII: Research Managers Academics Policy Makers Intermediaries • Department libraries • BCURE cases

		use of research/evidence following research dissemination? 7. When appropriate, what modes of communication are used in engaging communities?		
5. Research agenda setting and translating research into meaningful and useful evidence				
5.1. Prioritizing research areas and agenda setting	How are research needs identified, prioritized and managed?	1. What research is commissioned out and what is conducted in-house by government departments? 2. Who is involved in defining research needs and priorities? Is this process of prioritization documented? 3. What informs the decision for doing the research in-house or outsourcing it? 4. How are departments managing the research process? 5. What departments are managing the research process well and why?	• DST repository • R & D survey	• Analysis of administrative data • Case studies: sample from National and provincial • KII • Survey across national and provincial
	Who sets the research agenda?	1. How are research needs identified? 2. Who are the key roleplayers in setting sector specific research agendas? 3. What is the influence of national and provincial departments in research agenda setting? 4. What factors are taken into consideration when setting up the research agenda? 5. How is demand for research identified		• KII: Science Councils; Academics; Policy makers • KII – DPME • Survey across national and provincial
5.2. How is research linked to planning, budgeting and decision-making	What systems and processes are used to link research	1. Research to Planning (if any) 2. Research to Budgeting 3. Research to inform decisions 4. What evidence exists to confirm linkages/no linkages between research evidence and planning, budgeting and decision-making? 5. What measures/indicators are used or taken into consideration in ensuring that research is linked to departmental and national priorities?	• Overview of Strategic Planning across Govt – NT perspective • DPME's SP and APP – Review of Planning instruments in Govt	• Survey across national and provincial • KII • Database of SP and APP across Govt
5.3. Strengthening existing efforts and building new pathways towards EBPM& I	What could be done to improve the usefulness and impact of research evidence on policy, decisions and implementation	1. What implementation practices for EBPM & I is working well and should be strengthened? 2. Where is support most needed and what activities need to be prioritized? 3. What is the Theory of Change to improve and strengthen EBPM & I?	• Attitudes by Senior officials on EBPM • Other PSPPD reports	• Literature search • KII: Research managers • KII: Policy makers • KII: DPME • ERU to develop ToC to inform DPME's research strategy

B.	**RESEARCH IN DPME**				
1	Research needed for DPME	What research does DPME feel it needs for supporting the Outcomes and Institutional strengthening	1. What research does DPME need to do to unpack issues arising in the outcomes? 2. What other research does DPME need to do to support its work? 3. Where are you identifying gaps in understanding which could best be addressed by research or evaluations? 4. What research does DPME see as needed to be done by the wider system to support the outcomes 5. Examples	• DPME strategic planning docs; MTSF; CAB memos; MPAT cases; LGMIM?; FSD; CBM	• KII: OF;s Programme managers; HOD's • FGD: OM's and other support staff from other branches
2	How DPME perceives the research support it needs	How would DPME staff like a research function to support them?	1. How should research be identified, commissioned and managed? 2. Would this best be placed in ERU or elsewhere? 3. Who should hold the budget – eg a global research budget in ERU or specific research budgets in other units or both		• KII: OF;s Programme managers; HOD's
3	What capacity would be needed for this?	What infrastructure and staff would be needed to support this?	1. How would research be most easily stored, accessed and used e.g. a repository?		• KII: OF;s Programme managers; HOD's
C.	**FINDINGS INFORMING THE STRATEGY DEVELOPMENT**				
1	Research capacity for government in SA?	Capacity to undertake and/or manage research in Govt Capacity to use research evidence	1. Summary of findings		• PSPPD Diagnostic Report • Final DPME report
2	Need for evidence to support the outcomes	Demand for evidence per outcome	1. Analysis of findings per outcome/sector		• PSPPD diagnostic • Final DPME report
3	Changes needed in the institutional architecture	What changes in the institutional architecture of DPME are needed to support research being used for policy	2. What roles in terms of commissioning, funding, storing, communicating of research 3. What types of partnerships 4. What type of coordination		• Reflections from PSPPD • Strategic thinking /intentions in DPME • KII: OF's & HOD's
4	Role for DPME	What is the most effective and efficient role of research that DPME could perform within the wider research system	1. What role should research play in DPME 2. What should be the role of ERU and other sections? 3. What level of capacity is needed? And funding?		• Reflections from PSPPD • Strategic thinking /intentions in DPME • KII: OF's & HOD's • KII: DPSA; NT; DST; Science councils: NRF
			1. What options are feasible for DPME's role in		• Discussion with senior

		research? 2. What is the most the most effective and efficient option for DPME to perform with regard to research and EBPM&I 3. Where in DPME would the research role be best delivered? 4. How will this role be developed over time? 5. What research capacity and infrastructure is required and feasible?		management

Annex 3

Key Informant Interviews

Participants external to DPME

Ref	Guide to questions	Target group	Relevance / prompting
E1	Who are the key role-players in generating and using research for EBPM & I	DST NRF Science Councils Higher Education	Key actors in the field of research, knowledge management and evidence use
E2	What roles are key stakeholders playing?		
E3	What are their strengths and weaknesses?		
E4	How are research needs identified?	DST NRF Science Councils Higher Education	Research agenda setting
E5	Who are the key role-players in setting sector specific research agendas?		
E6	What is the influence of national and provincial departments in research agenda setting?		
E7	What examples are there of research use and non-use in South Africa?	DST NRF Science Councils Higher Education	Use of research for policy
E8	What role should research play in DPME	DST NRF Science Councils Higher Education	Role of research in DPME
E9	What other options are feasible for DPME's role in research?		
E10	What is the most the most effective and efficient option for DPME to perform with regard to research and EBPM&I?		
E11	What level of capacity is needed? And funding?		
E12	What research capacity and infrastructure is required and feasible?		
E13	How will this role be developed over time?		
E14	How are data, information and research outputs stored and made accessible?	DST	Research evidence and knowledge management
E15	What is the role of research in DPME and how can this role support the activities within DST?		
E16	Is there a need for a centralized repository to improve knowledge management? Does a repository exist and how can it be strengthened?		
E17	What initiatives exist within DST to communicate research evidence to all stakeholders and how is this evidence used?: • Government • Business • CSO • Other		

Ref	Guide to questions	Target group	Relevance / prompting
DPME1	How are research needs identified in your sector?	OFs & HODs	Research agenda setting
DPME2	Who are the key role-players in setting sector specific research agendas?		
DPME3	What is the influence of national and provincial departments in research agenda setting?		
DPME4	What research output exists per outcome? Where and how would you access this research Which researchers/institutions do you work most with?	OFs HODs OMs	Access to research outputs
DPME5	What capacity is there in government departments to access, analyze, interpret and use research evidence?	OFs OMs	Research in Government
DPME6	What role should research play in DPME?	OFs HODs OMs	Research in DPME
DPME7	What research does DPME need to do to unpack issues arising in the outcomes?		
DPME8	What other research does DPME need to do to support its work?		
DPME9	What should be the role of ERU and other sections in fulfilling research activities?		
DPME10	Where are you identifying gaps in understanding which could best be addressed by research or evaluations?		
DPME11	Where is the function of research best placed in DPME?		
DPME12	How should research be identified, commissioned and managed?		Support for research in DPME
DPME13	What infrastructure and staff would be needed to support this?		
DPME14	Who should hold the budget – e.g. a global research budget or specific research budgets in other units/both		
DPME15	What level of capacity is needed? And funding?		
DPME16	How would research be most easily stored, accessed and used e.g. a repository?		
DPME17	What research does DPME see as needed to be done by the wider system to support the outcomes Examples		
DPME18	To what extent does research inform policy, decisions and implementation?	OF's	EBPM&I - Use of research evidence for policy
DPME19	What implementation practices for EBPM & I is working well and should be strengthened?		
DPME20	Where is support most needed and what activities need to be prioritized?		
DPME21	How can EBPM&I be improved and strengthened?		