



THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF PLANNING MONITORING AND EVALUATION

DPME RESEARCH STRATEGY

2015 - 2018

EVALUATION AND RESEARCH UNIT

FOREWORD

The Department of Planning Monitoring and Evaluation (DPME) has documented its first research strategy. Its purpose is to establish the role the department will undertake in the generation, intermediation and use of research and other forms of evidence in decision making and policy influence. The strategy arises out of a need to address an underlying assumption in DPME's theory of change that planning is effective and evidence-based, that evidence generated from M&E will be used to improve service delivery and that M&E information is relevant and useful.

The demand for rigorous evidence to support the 14 outcomes of Government which are aligned to the National Development Plan 2030 has influenced the development of this strategy. Key components include:

- Contextualizing the need for research and other forms of evidence to support DPME's work
- Summary of findings from an internal diagnostic on the generation, analysis and use of evidence in DPME's different programmes
- An examination of five scenarios for addressing DPME's needs within a wider research system
- An outline of the proposed scenario and research strategy, including capacity building and resourcing.

The Evaluation and Research Unit of the DPME will spearhead the implementation of this strategy in partnership with other government departments, research institutions, academia, Non-Governmental Organizations, civil society and other relevant stakeholders.

My office will provide the required oversight to ensure that through this strategy, the DPME achieves the goal it has set itself of generating and using evidence for the 14 outcomes.

Signed



Ms. Nolwazi Gasa

Acting Director-General

The Presidency: Department of Planning Monitoring and Evaluation

Date: 31 March 2015

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1 Introduction

1.1 Background

A key change in how policy makers engage with evidence came in 2005 when a government-wide Monitoring & Evaluation (M&E) system in South Africa was initiated. The Presidency also started a project with the EU to promote evidence-based policy making through the Program to Support Pro-Poor Policy Development (PSPPD). There was a growing need to understand the contribution and impact of research and other forms of evidence on policy outcomes and societal progress. In 2009 a new administration brought an increased focus on M&E as a mechanism to improve service delivery, with the establishment of the Department for Performance (now Planning), Monitoring and Evaluation in 2010. The purpose of the department was to strengthen the use of M&E in government, and in this way contribute to strengthening government's performance. Underlying this is the paradigm that improving the use of evidence can strengthen policy and decision-making, as well as implementation. At the same time a National Planning Commission was established with the mandate to produce SA's first National Development Plan, which brought an increased focus on the use of evidence to support planning and decision-making.

DPME's mission is *"To facilitate, influence and support effective planning, monitoring and evaluation of government programmes aimed at improving service delivery, outcomes and impact on society"*. Currently, DPME plays dual roles around M&E, both as a user and generator of M&E information, and is the custodian of the national M&E system. A range of types of M&E evidence are being generated and used by DPME officials, ranging from data derived primarily by departments around the outcomes system, conformance with key management requirements, primary data collection at front-line facilities, and from complaints to the Presidential Hotline. The underlying assumption in DPME's theory of change is that planning is effective and evidence-based, that the evidence from M&E will be used to improve service delivery, and that the M&E information is relevant and useful.

Existing research activities in DPME range from undertaking in-house research, commissioning policy-relevant research assignments and contributing towards the wider research system by working in partnership with key stakeholders in ensuring that research evidence informs the 14 outcomes to promote sector development, the Medium-Term Strategic Framework (MTSF) and long term implementation of the National Development Plan (NDP). However DPME has recognized the need for a strengthened role to play in the field of research to inform policy, decision-making and implementation.

South Africa has a relatively well-established system of innovation and research. Several institutions play a role in the wider national research system, notably the Department of Science and Technology (DST), the eight Science Councils, government departments (Department of Higher Education and Training (DHET); National Treasury (NT); Department of Trade & Industry (DTI); Department of Environmental Affairs (DEA); Department of Social Development (DSD) amongst others), civil society organizations (CSOs), research funding agencies, academic institutions and think tanks both nationally and internationally.

As every department should, DPME envisages a role in the generation, use and intermediation of research evidence to contribute to the field of policy research, particularly to support its key mandate on contributing to the achievement of the 14 priority outcomes in the Medium Term Strategic Framework (MTSF). Several fields of work in academic research, policy development and implementation, decision making, research synthesis, knowledge management and evidence-use serve to shape DPME's research role and inform the extent to which this role can be sustained within the wider research system. This strategy therefore documents the thinking about how best to harness this process.

1.2 Purpose of the document

The purpose of the research strategy is to conceptualize what the most appropriate role of research would be for DPME and how best to play this role. The core guiding question posed in the development of the strategy is:

“What roles are needed to ensure that research evidence informs policy, decisions and implementation around the MTSF/NDP and how this role is to be operationalized? What role should DPME play in this?”

1.3 Methodology

The development of this strategy was undertaken with the initiation of inputs gathered from June-November 2014. Annex 1 has more detail on the research process informing the strategy. The process of developing the strategy was guided and validated by a research reference group whose members represented key stakeholders from the external research system (refer to annex 2). The initial understanding took into account internal DPME research and knowledge management processes, as well as the external research system which has a direct impact on the research role DPME should play.

The scope involved an understanding of the Government wide research system; the national research system and its links with policy; and needs within DPME – while at the same time there was a need to be mindful of broadening the scope at the risk of DPME taking on systemic issues outside of its sphere of control. This leads to a staged approach in the development and implementation of this strategy. The following stages were agreed to by DPME officials and members of the research reference group:

1. **DPME internal diagnostic** – undertaken in-house to inform DPME’s strategy based on research needs and current research practice within DPME.
2. High level review of **linkages between the research system and policy. Government-wide diagnostic** on research capacity and practice in government and how this informs the Outcomes, MTSF and long term implementation of the NDP. A specific component of this is the **PSPPD focus** on 5 national departments (DSD, Department of Health (DoH), DTI, NT, Department of Basic Education) and 4 provinces (EC, Gauteng, Limpopo, KZN).
3. **Understanding the potential contribution to the wider system of research and innovation in SA.**

The following were the data sources:

- Document reviews (national and international) documents around the context within which this research strategy is located;
- Use of secondary data from the Research and Development Survey (R&D survey) conducted annually by the HSRC on behalf of the DST to understand R&D expenditure by government, business, higher education, science councils and not-for-profit organizations;
- Pilot survey developed for DPME officials initially, which will be reviewed for roll-out in a government-wide diagnostic study;
- Semi-structured interviews and focus groups involving 39 key stakeholders within DPME as well as externally;
- Use of a research reference group which met twice to provide guidance, advice and input into its process and content.

2 The need for research and other evidence to support DPME's work

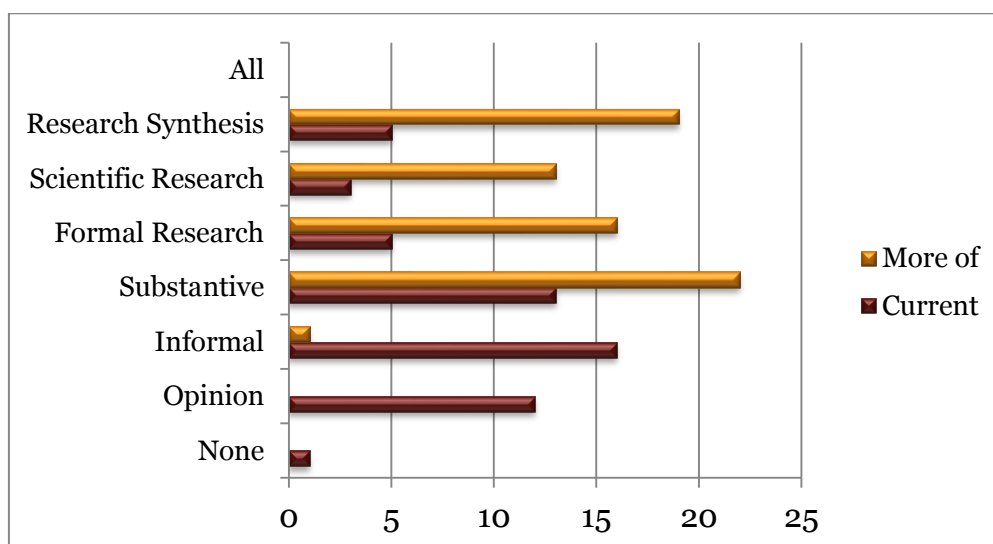
2.1 Current use of evidence in government

As policy reform was being stabilized in South Africa, various types of data and information became available as a contribution to the evidence base. In addition to research evidence, other types of evidence was being generated to assess progress and impact of policy interventions, notably different data sets (including administrative and historical data), contextual information, case studies, monitoring and evaluation evidence. However the extent to which these types of evidence were being used varied from sector to sector and between levels within sectors.

A review of international and national research on Evidence-Based Policy (EBP) demonstrates a need to move beyond the dichotomy of science and policy worlds and debate between research and policy (Oliver et al, 2014 & Liverani et al, 2013). Most EBP research is undertaken from the point of view of researchers with minimal literature available on how policy makers perceive, understand and use evidence in decision- and policy-making. A study commissioned in South Africa by the PSPPD contextualizes evidence use in SA and documents the perspectives of policy makers, based on interviews with 55 senior managers (PSPPD, 2011). This section draws out some of the key findings to take into consideration.

Similar to the PSPPD, 2011 study carried out in the UK, policy-makers tend to use less formal and rigorous sources of evidence (figure 1). However they do recognize the need for more rigorous sources, including research synthesis (which draws from a body of research rather than a single study). In addition to the availability of credible evidence base, there is also a need to build requisite skills within Government to critically engage with research findings, undertake research in-house or commission research externally.

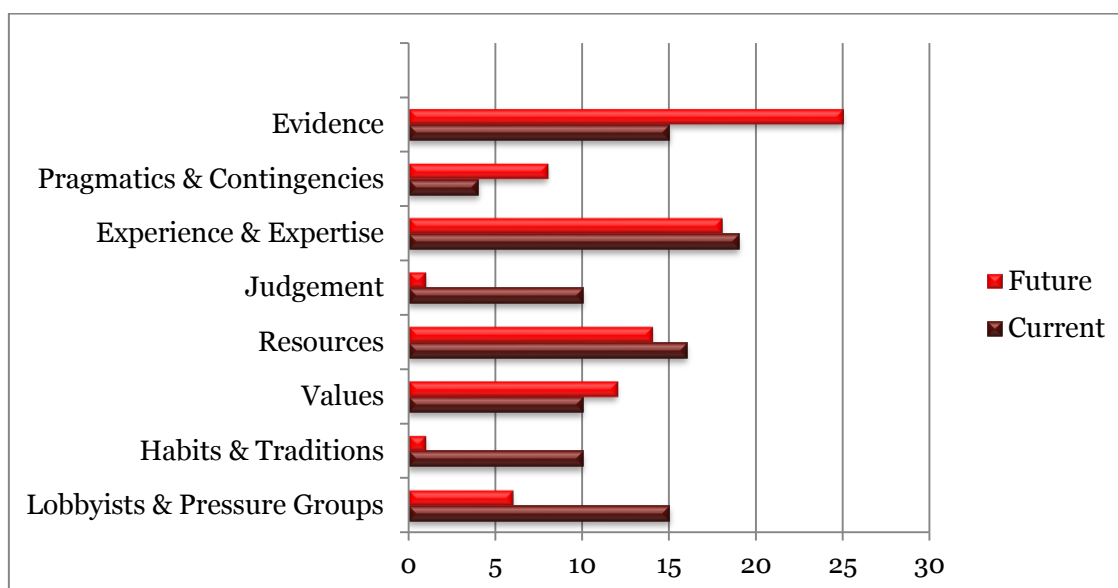
Figure 1: Types of evidence most often used for policy and decision-making



Source: PSPPD, 2011

In terms of where policy makers turn to for evidence, figure 2 show that they tend to use lobbyists and their own experience, rather than more rigorous sources including research evidence and research synthesis. While no evidence is impartial, an inclusive approach of all potential data sources and evidence is needed.

Figure 2: The main factors that influence policy



Source: PSPPD, 2011

2.2 Demand for evidence from DPME’s principals

As mentioned earlier, 2009 saw a new Parliament and administration and a demand to use evidence to improve government services and performance. This demand has continued into the fifth Parliament from 2014, and the President and Cabinet are showing a desire for a clear picture and evidence of what is working and not working in the country. DPME, as a generator of evidence is being taken seriously, although issues are raised about the consequences arising from the challenges DPME is showing.

This is also true in Parliament. DPME invested significant resources in the fourth Parliament to brief members on how M&E could assist their oversight role and portfolio committees expressed significant interest in accessing this evidence.

2.3 Demand in DPME for rigorous evidence to support the 14 outcomes and NDP

The Ten, Fifteen and the Twenty Year Reviews used extensive evidence to understand where we came from, how we got here, what the achievements and challenges are and why some challenges persist. Similarly the NDP was based on a diagnostic report that was informed by various types of evidence (monitoring, evaluation, research, case studies, historical data, administrative data and contextual analysis). As South Africa moves into implementation of the NDP, the need for rigorous evidence to be generated, accessed, analysed and used is in greater demand.

The Medium Term Strategic Framework (MTSF 2014-2019) is the instrument to implement the NDP and ensure policy coherence, alignment and coordination across government plans. The MTSF was generated as a result of an intensive planning process involving all three spheres of government, which generated 14 priority outcomes. In undertaking M&E and problem solving around these outcomes, as well as to support DPME’s planning function, the evidence base needs to be strengthened. Through the establishment of a research unit in DPME, the evidence agenda can be pursued.

3 Analysis and use of evidence in DPME currently

3.1. Generation, analysis and use of evidence in DPME's different programmes

5 Year Reviews

The Presidency (and for the 20 Year Review DPME) have commissioned research to support the 5 yearly reviews of the state of the country since 2004. Most have been expert reviews rather than primary research. For the recent 20 Year Review, 42 research pieces/expert opinions were commissioned, while around 110 past research papers informing previous reviews and the NDP diagnostic report have been accessed. One of the challenges around this has been poor knowledge management around the products generated, making them difficult to access from a common platform. As a result of the lessons learnt from undertaking the 20 Year Review, an internal Research Repository has been created.

Outcomes monitoring

This work is central to DPME's work, and a range of information sources are collated to respond to the indicators in the Programme of Action/Outcomes. These include departmental administrative data, Stats SA survey data, as well as other sources. The linkages between the PoA team and ERU are being strengthened around data issues, e.g. for evaluations and for the integration of DPME tools (see below). There is a need to further strengthen linkages between external sources and DPME/departmental generated information for comprehensive reporting.

Evaluation

A national system of rigorous evaluation has been created since 2012, with 50 evaluations commissioned or about to be commissioned covering R75 billion of government expenditure. While all are linked to outcomes, some are initiated by departments, others by DPME. These use research methodologies and generate relatively rigorous sources of evidence. An evaluation repository has been created of these and other evaluations with over 100 in total, all of which are quality assessed.

MPAT/LGMIM

This unit generates moderated assessments on the quality of management practices in all 155 national and provincial departments. This was in response to a recurring theme of weak administration leading to poor service delivery. The 4 key performance areas: Strategic Management; Governance and Accountability; Human Resource Management; and Financial Management together with its 31 standards, measures whether departments are doing things right or better. In addition some analytical work has been done for correlation on related variables on departmental performance. A similar system is being developed for municipal performance.

Presidential Hotline (PH)

The PH was established in late 2009 to provide citizens with a platform to engage with the Presidency and lodge their experience of service delivery. As the custodian of the complaints data base, DPME has recognized the value of the PH information since it offers insights into the issues affecting the SA population. The analysis of these cases provides evidence from citizens' perspectives on perceived performance. A recent research study looked at 161 000 complaints and queries received by the PH from inception to end March 2013.

PSPPD

The PSPPD has been operating since 2007 in two main implementation phases – 2009-2011, and from 2014. In Phase 1, thirteen research projects were commissioned from a call for research ideas around social issues. A list of the available research reports is available on the website. Phase 2 has seen a new call being issued. Apart from directly commissioning research the PSPPD has an advocacy role to promote EBPM&I, and it provided the development support for the evaluation system. The PSPPD also funds capacity development of policy makers and researchers around evidence, and has supported DPME with a number of study tours around M&E, in running a training course with DGs/DDGs around evidence use, and a number of seminars and conferences related to evidence. It is also funding some communication strategies, e.g. development of policy briefs.

Another key contribution made by the PSPPD is the establishment of the NIDS, a longitudinal panel data survey of 28 000 individuals now with a fourth cycle of 2-yearly data sets on the same individuals. This provides a unique data set to look at trends. Specific research pieces have been funded to promote the use of this data set.

Planning

The NDP diagnostic was informed by 40 research papers guided by the 5 themes around which the report is written. Since 2009 there is now a well-established tradition of undertaking research to inform long term planning, scenarios and modeling to inform policy impact and influence. A number of research projects are being conceptualized on an ongoing basis.

DPME also inherited the departmental strategic planning function from National Treasury and associated quarterly performance reporting system. This function hosts government performance information on all national and provincial departments and related analysis.

Frontline Service Delivery and Citizen-Based Monitoring

DPME systems include the Front Line Service Delivery (FSD) and Citizen Based Monitoring (CBM) which generates specific evidence on service delivery from user perspectives and empowering citizens as sources of monitoring data.

Specific pieces of research

DPME and the Presidency have undertaken and funded specific research projects, as per identified need. Recent examples include a survey of M&E use by government departments (2012), review of norms and standards (2014), and most recently a study of the time use by Directors-General, requested by FOSAD. Building on previous M&E studies, 5 sector studies were conducted in 2014, contributing to the body of knowledge that was created since 2012 and also inherited from the previous Government-Wide M&E unit of the erstwhile PCAS.

Even though many research assignments and projects have been conducted, some in-house and many commissioned externally, different degrees of policy influence has been achieved.

Summary

Thus, in the generation, analysis and use of evidence in DPME's different programmes, an understanding of how each unit operates, what type of data will be aggregated to inform outcomes reporting and the knowledge management practices has been initiated. This will inform the extent of research support needed, which varies between programmes.

3.2. New avenues being explored

There are initiatives underway that demonstrate new ways of thinking and doing around promoting the generation and use of evidence. These are outlined below and will be built on in the implementation of this strategy.

3.2.1 Training in evidence

DPME has initiated the running of courses with UCT for DGs/DDGs to promote demand for rigorous evidence from the highest level of departments. This is one way to promote demand for rigorous M&E and research evidence. The course has been run twice with the support of the DG in The Presidency (who requested that DGs be included), PSPPD and DFID, with a very high demand for the second course (140 people requesting information, but acceptances were limited to 47, including 6 DGs). In 2015 two courses are planned. The course provides an opportunity to build the relationship with the DGs and their management teams which is proving very positive.

3.2.2 Integration of DPME tools – 360’ view of DPME generated evidence

DPME’s tools have been developed separately and a need was identified to integrate the picture emerging from these by triangulating the different sources of evidence. The ERU undertook a pilot integration exercise, supported by the DFID-funded Vaka Yiko Project. A preliminary investigation into the data and evidence generated by the DPME/Vaka Yiko team, led to exploring the integration of DPME evidence around Outcome 7 for Rural Development. Three sub-outcomes on sustainable land reform; food security and smallholder development were used as the unit of analyses. DPME officials representing the programmes where evidence is generated for Outcome 7 were invited to a workshop to consolidate findings and write a report based on the available data. A report is being developed which will indicate the challenges in integration, identification of gaps in the data and whether this provides a model to continue with. The process of integration has been documented for testing on other sectors/outcomes.

3.2.3 Research synthesis – Rapid Evidence Assessment (REA)

During 2010/11 PSPPD ran training in research synthesis including systematic reviews (SRs) and rapid evidence assessments (REAs). These provide a methodology for more rigorous assessments of the evidence on a topic based on the number of studies available. One REA was funded on the violent nature of crime. The ERU is collaborating with the University of Johannesburg to promote the use of SRs (eg two SRs being included in the integration exercise mentioned above). The ERU has now funded a REA in aggregating relevant and high quality evidence to inform housing policy. There are not adequate service providers to generate evidence, based on research synthesis methodology outside of the health sector. This requires that DPME develops relationships in building capacity for research synthesis in the wider research system for coverage across for all 14 outcomes.

3.2.4 Creating a research repository

The Presidency and DPME have not had a good mechanism for storing and accessing its own generated research outputs. While a shared drive exists, there is no search facility. This has been initiated for evaluations where the evaluation repository is accessible to the public. As a start an internal research repository has been created which is accessible on the intranet to store the outputs from the 20 Year Review. While internal knowledge management processes requires strengthening, there is a need to facilitate access to key research conducted and relevant for each of the outcomes from the wider research system too (see 3.2.6)

3.2.5 Constructing evidence maps and gap maps

There is an increasing demand to know what evidence exists on what works and in what contexts. Evidence maps provide a useful tool to begin the process of meeting this demand by synthesizing various research outputs and other evidence available on a given thematic area. The special project on mining towns, spans across outcome 4 (economy), 8 (human settlements) and 9 (local government) and both the sector teams within DPME and relevant Government departments as well as the research community have access to high volumes of evidence (whether relevant or not) to inform intervention strategies and policy impact. This requires a process of managing the knowledge base, synthesizing, analyzing, critically appraising, packaging and communicating what is known in the sector to stakeholders and decision makers. Work is currently underway to develop an evidence map for this area of work. This could be a model to apply in many of the outcomes.

3.2.6 Improving DPME’s access to research evidence

DPME has had no systematic access to research evidence, as is available from research databases used by academic libraries. This means DPME does not have understand the full scope of what is already known on a subject. The ERU has paid for access to the Web of Science for DPME which is a search facility to scope the available knowledge base from scientific literature. There are currently 60 DPME officials registered and using the facility. Training has been run for DPME staff in how to use this platform and it is proving to be a valuable tool for DPME staff in the writing of documents and reports.

3.2.7 Improving use of the Presidency library

The Presidency library is well located between the east and west wing of the Union Building. While DPME officials often use the library in their individual capacity to supplement and strengthen their sources of information, the library has the potential to play a stronger role as information consultant and provide services at a systems level for DPME. This engagement has been initiated, where library officials have expressed interest to build a formal partnership with DPME, based on mutual benefits. This is also envisaged to improve communication between the east and west wing for greater policy influence.

4 DPME’s view on the research and analytical support it needs

4.1 Findings from DPME diagnostic

Research was conducted with representation of most of DPME’s sections, to understand their needs and the support required related to research. This included officials from the DG to deputy directors and assistant directors. Table 1 summarises views on what DPME generated data does well and what the challenges are, based on the findings from the exercise on the 360’ view of DPME evidence.

Table 1: Opportunities and challenges of DPME data and evidence

What does the data do well	What are the challenges
<p><i>“Our systems are working well”</i></p> <ul style="list-style-type: none"> ○ Embedding change ○ Improving voice <p><i>“The data/evidence is stimulating debate”</i></p> <ul style="list-style-type: none"> ✓ About participation ✓ About compliance 	<ul style="list-style-type: none"> ○ 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

<p>“We are uncovering systematic issues”</p> <ul style="list-style-type: none"> ✓ With large samples ✓ With small samples 	<ul style="list-style-type: none"> • To check internal validity • To tell a story ○ Gaps in coverage
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Shaxson L (2014) *Taking a 360 degree view of the evidence base*. Internal presentation to DPME, 18 November 2014. London: ODI.

A survey was conducted to understand research processes used at an individual level. There was a poor response rate (30%) to the survey, although some responses are still pending. Table 2 indicates the time allocated to research activities by twelve DPME officials who participated in the survey. The mean percentage time allocated shows that gathering/sourcing information, conducting policy analysis and updating/storing/filing information is greatest. It also demonstrates a considerable amount of workload being research related and that there is a variance in the range of 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 2: Extent of time allocated to research activities in a regular week

Research activities	Percentage time allocation	
	Mean (n=12)	Range
Attend meetings		10-50%
Gather information		30-50%
Read reports/documents		10-50%
Analyze data and information		10-50%
Conduct policy analysis		30-50%
Collate and synthesize information		10- >50%
Write reports/memos		10-30%
Update, store and file information		10- >50%
Develop concept notes/ToR's		10-50%

Key:

- Quarter respondents
- Half respondents
- Three-quarter respondents

Interviews conducted amongst DPME officials, were collated and analysed. Expressed views and needs were captured according to themes and by the seniority of staff as shown in table 3. The type and degree of support differs according to seniority and it becomes evident that within the area of support identified, research support should be tailored to appropriate levels with more hands on approaches needed at middle management levels, and systems support needed at senior and executive levels.

Table 3: Research needs identified by different levels of managers in DPME

Area of support	Middle management (ASD, DD)	Senior management – DPME + External (Director/CD)	Executive management DPME + External (DDG/DG)
Access to information	<ul style="list-style-type: none"> • Access to databases and other research outputs • Need for a library/information/resource center • Make DPME data 	<ul style="list-style-type: none"> • Be able to access information when needed 	<ul style="list-style-type: none"> • Repository needed to access all publically-funded planned and completed research (whether commissioned or in-house)

Area of support	Middle management (ASD, DD)	Senior management – DPME + External (Director/CD)	Executive management DPME + External (DDG/DG)
	more accessible		
Capacity building	<ul style="list-style-type: none"> Basic research skills to be developed and understanding of research processes 	<ul style="list-style-type: none"> Need an information and knowledge management facility/repository 	<ul style="list-style-type: none"> Research unit to train on research and analytical skills for Outcome Managers Research unit to be accessible to all
Research focus		<ul style="list-style-type: none"> 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 Action-type operational research to complement work of the NES 	<ul style="list-style-type: none"> Aligning surveys to policy needs Strategic research agenda setting for think-tanks Modeling and scenario planning
Appraisal of research outputs	Provide guidance on what is good research	Assessing the body of evidence: single study vs research synthesis	DPME to generate its own 'intelligence' based on research evidence
Guidelines		Standardization of TOR development and report	
Resources		Budget to be allocated for research specifically	DPME and DST to deal with wasteful expenditure with regard to research – better impact and value for money

A combination of survey findings, document reviews as well as thematic analysis of the 39 interviews demonstrate a relatively high demand for data, information and research support amongst sector experts and officials who undertake research-related activities in their analysis and reporting duties and who play a key role in identifying research needs. These are important to take into consideration as it provides user/client perspectives for research within DPME.

4.2 Implications

DPME staff are spending significant time on research-related activities. There are also significant data gaps and not enough correlation between data sources. In terms of what they want from research:

- All levels are saying they want to be able to access research when needed, whether through databases or a repository
- Middle management are saying they want to develop their research skills
- Senior management is looking to develop research plans which define research gaps for their respective units with a budget. Action-oriented research was identified by senior research managers in the wider research system to complement the long intensive evaluations being conducted

- Executive management are looking to set a research agenda to influence the research system which provides better value for money, and also for their staff to be better trained in research skills.

5 Availability and use of research more widely to support the outcomes/NDP

Apart from DPME conducting its own research there is an opportunity to influence the wider research system to address key questions around the MTSF. This section explores how that wider system is working and the opportunities this provides for DPME.

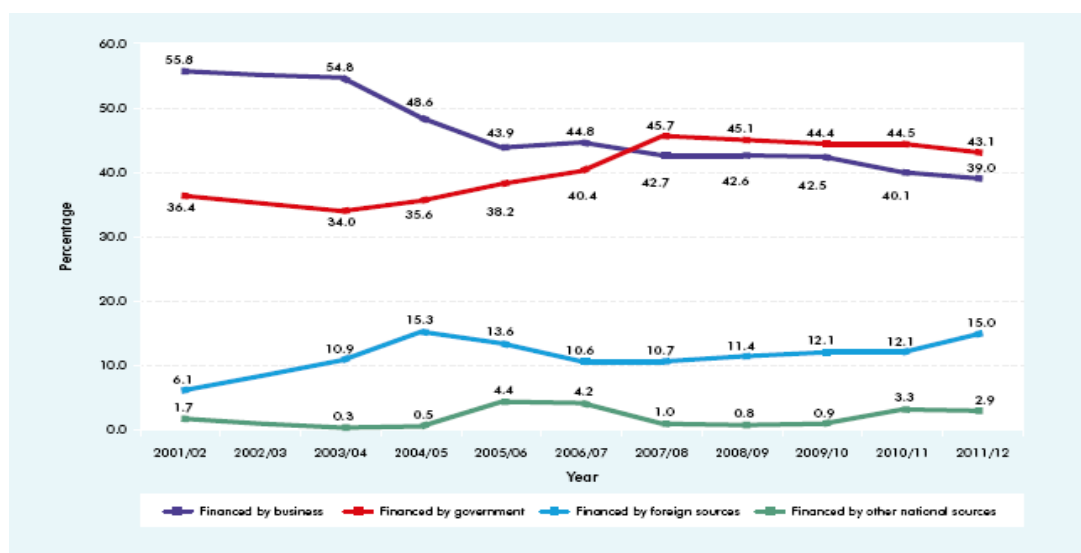
5.1 The national research system

An overview of the contribution of R&D to the economy in SA is provided by the SA National Survey of Research and experimental Development (R&D Survey), conducted annually by the Human Sciences Research Council (HSRC) on behalf of DST. The main R&D performing sectors, as defined by the Frascati Manual (OECD, 2002) are government, business, science councils, higher education and not-for-profit organizations (NPOs), and this survey provides a quantitative measure of the extent of R&D expenditure. The annual survey findings serve as the basis for the development of science policy which is stated as follows:

- Setting research priorities;
- Determining government research funding levels;
- Human capital development;
- R&D and innovation incentive schemes.

According to the survey findings, the business sector remains the largest performer of R&D in SA followed by higher education, the science councils, government and the NPO sector (DST main analysis report, 2011/12). Business and government have traditionally funded the largest proportion of gross domestic expenditure on R & D (GERD). However, the graph in figure 3 demonstrates that since 2007/08, government has become the largest funder of R&D activities, with the majority of its funding directed at higher education institutions and science councils. This is significant, as it has implications on the extent and type of research conducted its impact on national priorities and SA's developmental agenda, value for money and most importantly, implications on the management of publically funded research when Government is the major funder of research in SA.

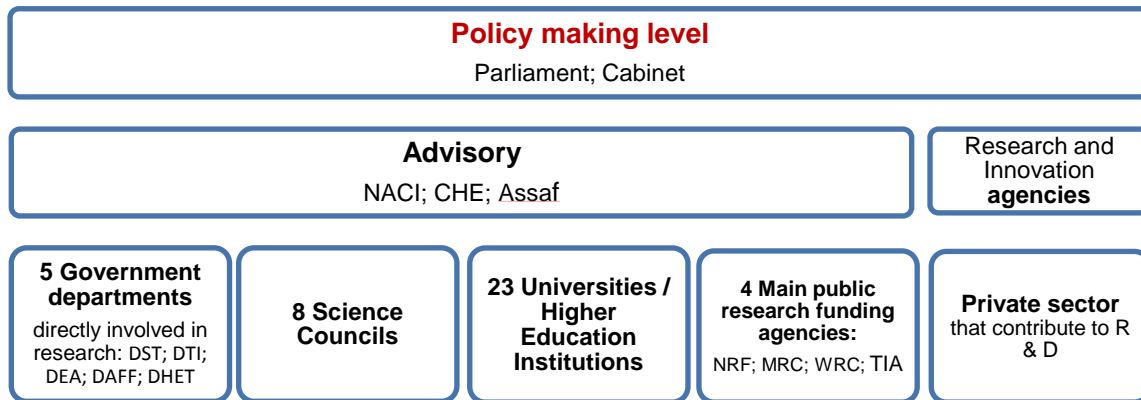
Figure 3: GERD by source of funds %, 2001/02-2011/12



Government contribution to R & D becomes a target that DPME can influence in developing a long term research strategy for supporting the MTSF.

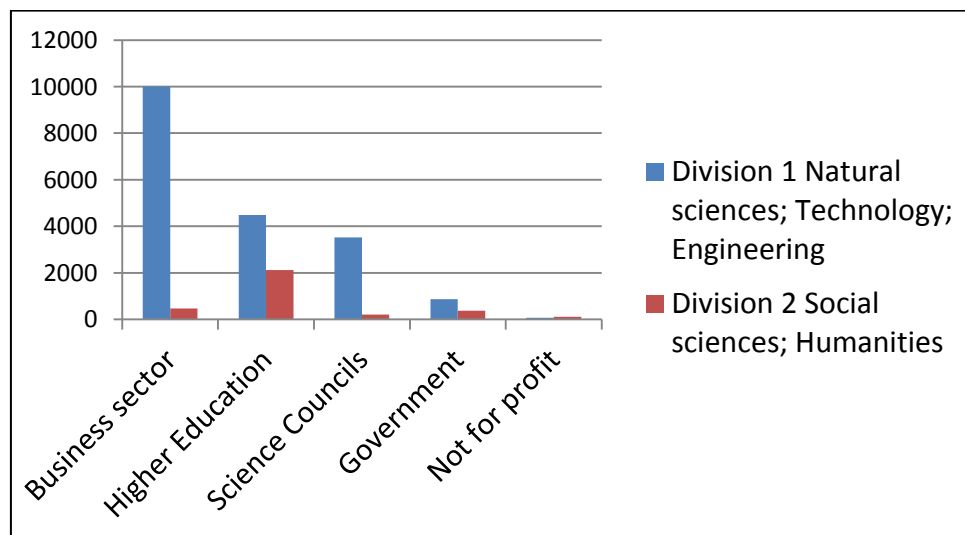
The Department of Science and Technology (DST) is the custodian of the National System of Innovation (NSI) which comprises of the main actors as outlined in the figure below. The NSI provides the policy context within which research in SA is to be implemented.

Figure 4: National system of innovation



An understanding of the generation of research to contribute to the evidence base and identify knowledge gaps is important for policy influence. Research output from the social sciences sector is a particular note of concern. Against a drop in R&D expenditure as a percentage of GDP since 2007, the social sciences and humanities sector (division 2) has not been able to compete for funding within any of the five stakeholder groups as shown in figure 2 below. This requires further investigation to draw implications and the impact of reduced funding for division 2 on policy research.

Figure 5: R & D expenditure by research field (R million), DST, 2012



What role are Centre Of Government departments (COG) playing in terms of championing research? The Bank outlines the following functions performed by the COG (World Bank, 2010):

- Political coordination (carried out by the ruling party and the Presidency);
- Strategic planning (by DPME and all departments);
- Coordination of policy design and implementation (to some extent DPME);
- Performance monitoring (DPME, DPSA, Treasury);
- Communication and accountability (Presidency and GCIS).

While these functions were spread out across National Treasury, DPSA, COGTA and possibly other national departments before 2009, the establishment of DPME required changes in the roles and responsibilities of these departments, although there are still areas of duplication, role confusion and functional overlaps. This is especially the case for the research function and knowledge management processes, as it defines the context within which evidence is promoted, generated, communicated and used in government to influence policy.

In terms of research, historically the actors outlined in the NSI above played the main role. DPME is moving to strengthen its role in relation to research in public administration, as well as coordinating the structuring of the research function. Treasury has always undertaken some research but GTAC is seeking to play a stronger role in terms of knowledge management and to some extent research. DPME is working with all these actors to define the appropriate role to play.

5.2 Research generation in South Africa

As indicated above the main actors in the wider research system are the 5 departments, 8 science councils, 23 universities and 5 main research funders (Figure 3), and providing around 43% of R&D funding. The DST/HSRC reports provide an analysis of national and stakeholder aggregates on R&D, but for DPME purposes, it is necessary to mine deeper into disaggregated data for government's component of the survey. This request has been made to DST/HSRC which was still not available at the time of documenting this strategy.

While considerable research is conducted in South Africa many researchers and generators of evidence are not aware of national priorities and are not able to make the linkages to policy relevance. There are notable exceptions, such as Professor van der Berg in the education sector, Professor Leibrandt around poverty and inequality, Professor Haroon Borat in the economic sector. In practice the way that researchers are rewarded, notably through recognition of papers written and cited, incentivizes publication rather than policy contribution. Recognising this, with evaluations DPME is encouraging researchers to publish once the evaluation has been to Cabinet.

Where well known sector experts have maintained good working relationship with policy makers, the question of independence is sometimes raised. Where researchers have no relationship with policy makers, they remain outside of the policy influence space even if they have valuable contributions to make, and often see policy-making as a messy space they would rather not touch. New think tanks don't like the bureaucracy involved in tendering for government work.

The OECD and the Ministerial reviews of the NSI point to gaps in policy relevant research and the generation of evidence to inform national priorities, especially in the social sciences. An adequate supply of policy relevant research across the national priority areas is necessary to inform the implementation of the MTSF and the NDP. As well as relevance there are also challenges of quality, dissemination and use of publically funded research. A diagnostic study of research in government is being conducted as the next stage of the strategy process which will help to shape the role of DPME in influencing the government-wide research system in the medium to long term.

5.3 Communication of policy relevant research

Policy relevant research and sector-based research findings that can contribute to the understanding of policy impact require effective communication strategies for people to be aware of them, and for them to be readable. Another problem is writing style and the use of academic jargon. The more effective research communicators are increasingly using policy briefs, newsletters or other print formats and seeking to make their work more accessible. Recently, platforms have been created for policy engagement where researchers have the opportunity to present to policy makers their findings and recommendations. This is demonstrated through the DST/HSRC partnership on cluster workshops. However, the style of presentation by the researchers needs to be less didactic and more engaging and provocative, requiring a review of these workshops and finding new ways to communicate policy relevant research. Policy makers are also challenged to make time available to read documents that are priority and which are necessary to inform decision making.

There is also the challenge that policy makers often do not read adequately. Many different approaches exist in packaging and communicating research findings to make it more accessible to users, especially policy makers. In DPME, there are various reporting formats being used and research reports differ from unit to unit. The ERU specifies a 1/5/25 page format with a one page policy summary and 5 page executive summary. There may be a need for a more standardized reporting format for research across the various units.

5.4 In summary – the key challenges emerging

5.4.1 Lack of a planned strategic evidence agenda

Policy needs are often not planned for well in advance and so evidence is needed quickly, which mitigates against in-depth investigations which need to be planned and budgeted for and could take at least 6-12 months. In this regard policy-makers often refer to their trusted friends (and sometime lobbyists) for answers rather than more rigorous sources (as in Figure 2). The development of a National Evaluation Plan (NEP) is helping to get an evidence cycle going, and in some sectors the development of a strategic evidence agenda is emerging (eg in human settlements, rural sector), often facilitated by DPME.

5.4.2 Short-term fixes

Strategic goals can be difficult to achieve if quick fixes and short term solutions are pursued to address long term problems. This is well documented in the NDP. The current policy-making process often looks at symptoms not root causes, and programmatic responses are often poorly designed as a result.

5.4.3 Researchers may not be trusted

There is a perception problem particular to South Africa where experienced researchers are often older white males, or non-South African black intellectuals who are often not grounded in South Africa politics. With the sensitivity of race and perceived political understanding, these are not necessarily groups that government turns naturally to for policy advice.

5.4.4 Research and M&E not seen as strategic

Evidence is often seen as important but not timely in its generation and accessibility during planning and strategic decision making. Furthermore, a compliance culture predominates where mistakes are not seen as an opportunity to learn. Some departments lack competent and dedicated teams to provide research, M&E and knowledge management support to

senior policy makers. Where they exist these are often not part of the strategic function, but M&E is done for compliance purposes.

5.4.5 Evidence is inaccessible

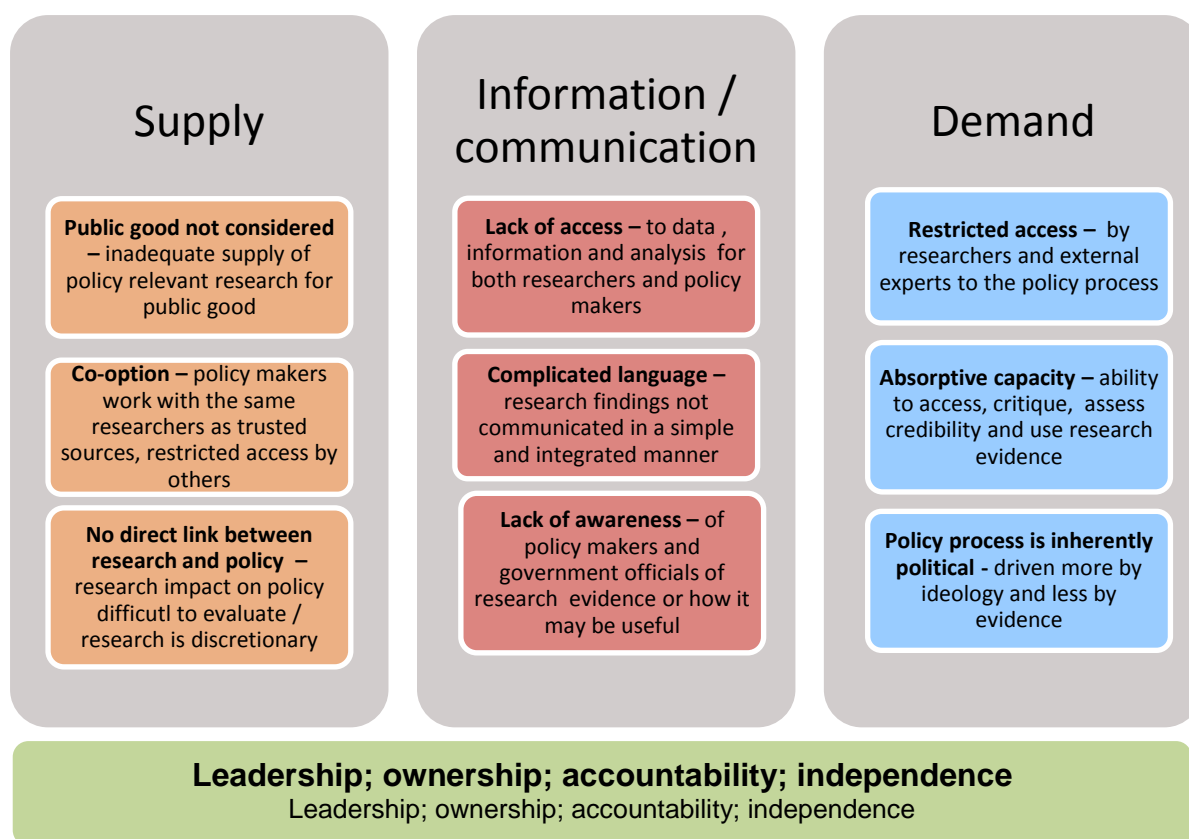
Research evidence continues to be communicated in academic jargon and long reports as mentioned above. Another problem is the lack of knowledge brokers to link researchers and policy-makers, the role that PSPPD performs. Some think tanks do play that role to some extent, but some suffer from a perception that they are not supportive of government’s policy agenda.

5.5 The gap

Figure 6 summarises the supply-demand challenges around research and evidence. The first gap identified earlier is the lack of policy relevant research. Currently, there is an emphasis on primary, basic and individual research outputs, rather than inter-agency/team work in the social sciences. Another challenge is the lack of synthesis of research evidence, where many single studies are being conducted, but not enough capacity exists in synthesis through Systematic Reviews or Rapid Evidence Assessments (even after the PSPPD had developed a capacity building program in this regard).

Figure 6 also illustrates the divide between the scientific community on the one hand (suppliers of research evidence) and users/policy makers (demand) on the other in the uptake and use of research evidence.

Figure 6: Supply-demand challenges (adapted from Sarah Grobber, DRUSSA, 2014)



Generally problems of accessibility, relevance, quality, communication and simplicity have been reported, which contribute to policy makers not using such evidence. Others are a resistance by policy makers to reading. Thus effective intermediation between supply and demand has been a growing but “invisible enterprise” as a critical knowledge brokering role in overcoming these challenges. DPME’s training of DGs in evidence is also an example of it playing this intermediation role, as well as providing an evaluation repository, use of the 1/5/25 page protocol for reports etc.

6 Scenarios for addressing DPME’s needs within the wider research system

6.1 Introduction to the scenarios

The need to define a specific research role for DPME has been recognized. Research-related activities through data and information sourcing, analysis of information, storing, sharing and ensuring use can be observed across DPME programmes as a day-to-day activity - but the need for a more defined internal function of research support has been strongly expressed, guiding a coherent approach to research in DPME and standard setting.

The development of this strategy is focused on an internal role for DPME with a view towards assessing and locating DPME’s contribution to the wider system of research in SA. This strategy is the first documented piece of work to establish DPME’s research role in relation to the research function of other stakeholders in the wider research system whose collective work influence the national system of research and innovation.

The scenarios have been developed based on the degree of centralization of the research function within DPME and how far it takes influencing the wider research system as opposed to a purely internal role. These are elaborated against a number of factors:

- Identification of evaluation and research needs
- Research assignments undertaken across DPME (numbers can vary)
- Role in relation to wider research system
- Role of central DPME research unit
- Role of other DPME units
- Key cost drivers

This generates the scenarios below which are worked through in Table 4.

6.2 Scenario 1 – Centralized research

Scenario 1 presents a completely centralized research role where specific research is undertaken by the Research Unit (RU) as prioritized by DPME without a wider role. The RU works with the relevant sections to identify gaps or research needs and develop ToRs where research assignments are outsourced/ commissioned. Other assignments can be undertaken in-house where time permits. The RU manages the budget allocated for research and provides access to databases, journals and other research outputs. There will be probably in the range of 10-15 research assignments per year undertaken across DPME.

6.3 Scenario 2 – Decentralized research support

As in first scenario, the RU undertakes some research assignments but sets up mechanisms like guidelines and establishment of a research panel to enable other units to conduct their own research. Other DPME units allocate their research budgets, commission research and supervise the research. There is no wider role for DPME in the research system.

6.4 Scenario 3 – Decentralized research influencer

Scenario 3 presents a combination of the first 2 scenarios in undertaking research but introduce a role in influencing the wider research system by ensuring that research is made more accessible and relevant for policy and DPME needs. The type of research undertaken by the scientific community, the topics and formats need to be relevant and research synthesis will be the basis of relationship building and engaging with external researchers. With efforts made to influence the wider research system, there will also be a need to develop DPME capacity to engage with research findings, develop analytical skills and promote use of evidence.

6.5 Scenario 4 – Decentralized research champion



The RU becomes a research champion with significant involvement in the wider system to influence the type of research undertaken, research agenda setting, and formats to be relevant to policy and DPME needs. The system will be further influenced by developing policy research standards, competencies and incentives. While DPME research capacity will be a core focus, there is also a role to build capacity around the analysis and use of evidence amongst researchers and government staff in partnership with other stakeholders. The RU builds a knowledge broker role in sourcing, mediating and communicating research evidence between researchers and policy makers. Relationship building with external researchers will be facilitated for other DPME units. Fewer research assignments will be undertaken as there will be more policy relevant research outputs produced by the wider scientific community for DPME use. With the introduction of a knowledge broker role, additional capacity would be needed by the RU e.g information specialist/intermediary.

6.6 Scenario 5 – Strong champion for policy research in wider research system

Scenario 5 presents a progressive realization from scenario 4 where DPME plays the role of a strong champion for policy research and is formally involved with the wider research system where partnerships are needed with relevant science councils. The RU continues to work with units/sections in identification of research and evaluation needs and undertakes some research assignments that are absolutely essential and not yet conceptualized or undertaken by researchers. DPME plays a formal role in the wider research system where internal sector experts serve on research boards, influence the research agenda of sector research institutions and institutionalized policy research standards, competencies and incentive systems. Capacity for analysis and use of evidence will be strengthened for DPME, government staff and external researchers. The need to undertake single research assignments is minimized, as the wider research system feeds DPME and policy with relevant research outputs, including research synthesis to assess policy impact.

Table 4: The scenarios

Scenario	1	2	3	4	5
Name	Centralised research	Decentralised research support	Decentralised research influencer	Decentralised research champion	Strong champion for policy research in wider research system
Description	Undertake some research for DPME but no wider role	Undertake some research for DPME and involved with wider system to make it more accessible and relevant for policy/DPME	Undertake some research for DPME and involved with wider system to make it more accessible and relevant for policy/DPME	Undertake some research for DPME and involved significantly with wider system to make it more accessible and relevant for policy/DPME	Undertake some research for DPME and involved formally with wider system to make it more accessible and relevant for policy/DPME
Identification of evaluation and research needs	RU with the relevant sections	RU with sections and access to wider research being undertaken	RU with sections and access to wider research being undertaken	RU with sections and motivation to researchers to undertake	RU with sections and role in wider system in selection of research to be undertaken. DPME sector specialists sit on eg Centre of Excellence Boards
Research assignments undertaken across DPME (nos can vary)	10-15 assignments per year Some direct research, some eg evidence maps	10-15 assignments per year Some direct research, some eg evidence maps, research synthesis	10-15 assignments per year Some direct research, some eg evidence maps, research synthesis	10 assignments per year Some direct research, some eg evidence maps. Some external assignments influenced to support policy/DPME	5-10 assignments per year Some direct research, some eg evidence maps. Many external assignments influenced to support policy/DPME
Role in relation to wider research system	None. Purely using data generated	Involved with wider system to influence the type of research, topics, and formats to be relevant to policy and DPME needs. Organise capacity development internally around analysis and use of evidence	Involved with wider system to influence the type of research, agenda/topics, and formats to be relevant to policy and DPME needs. Work on policy research standards, competencies and incentive systems. Organise capacity development internally and influence externally around analysis and use of evidence including both researchers and government staff (including DGs)	Involved with wider system to influence the type of research, agenda/topics, and formats to be relevant to policy and DPME needs. Work on policy research standards, competencies and incentive systems. Organise capacity development internally and influence externally around analysis and use of evidence including both researchers and government staff (including DGs)	DPME playing formal role in wider research system, eg on NRF, and sector specialists playing roles in sector research bodies. Involved with wider system to influence the research agenda/topics, and formats to be relevant to policy and DPME needs. Work on policy research standards, competencies and incentive systems. Build capacity development internally and strengthen externally around analysis and use of evidence including both researchers and government staff (including DGs)

Scenario	1	2	3	4	5
Name	Centralised research	Decentralised research support	Decentralised research influencer	Decentralised research champion	Strong champion for policy research in wider research system
Role of central DPME research unit	Budgets for, identifies gaps, commissions and runs all research Repository for DPME relevant research	Set mechanisms for undertaking research, organize panel etc. Identifies gaps/need. Undertakes some research Repository for DPME- relevant research	As 2 plus above 	As 2 plus above – synthesis and strengthening progressively 	knowledge broker role for DPME
Role of other DPME units		Budget for research, commission and supervise research	As 2, also indicate research areas they would like support and engage with the external researchers	As 3	As 3, plus sector specialists playing roles in sector research bodies
Key cost drivers	Research assignments. Staff in RU to run Access to research databases, journals	Research assignments. Staff in RU to support and run Access to research databases, journals	Research assignments. Staff in RU to support and run Access to research databases, journals	(fewer) research assignments. Staff in RU to support and run. May need additional skills eg data specialists, research synthesis Access to research databases, journals	(fewer) research assignments. Staff in RU to support and run Additional skills eg data specialists, research synthesis, research communication Access to research databases, journals

6.7 Advantages and disadvantages of the scenarios

Table 5 works through the advantages and disadvantages of the five scenarios.

Table 5: Advantages and disadvantages of the scenarios

Scenario	1	2	3	4	5
Name	Centralised research	Decentralised research support	Decentralised research influencer	Decentralised research champion	Strong champion for policy research in wider research system
Advantages	Simple research role with RU coordinating all research in DPME	Internal focus with DPME unit involvement	Introduction of a wider role can initiate the process of improving access and supply of policy relevant research	DPME uses its influence nationally and internationally to be a champion in evidence use. The wider system benefits from DPME influence and national priorities are better informed by research evidence	DPME's central role ensures the availability, accessibility and adequate use of policy relevant research to assess societal progress. Minimal single research assignments necessary as the system generates policy research
Disadvantages	DPME is just another national department undertaking research as needed. No relationship with the external research community	As in 1 + Prioritization of research can become difficult if all units have equal needs	DPME not taken seriously in wider influence – research community can still continue with 'business as usual'	Scope and role of RU becomes unmanageable if capacity is not developed and strengthened	Research independence questioned and relationships between researchers and policy/DPME need to be made transparent

7 Proposed DPME research strategy outline

7.1. Proposed strategic direction (drawing from scenario 3 - evolving to 4 or 5)

The role of influencing the wider research system has benefits for DPME in that we are leveraging a wider range of research and not dependent on just the few assignments we fund. However scenarios 4 and 5 are likely to involve more investment from DPME, in terms of staff. In general the decentralized scenario is preferred giving units the chance to manage their own budgets and research projects, but with central coordination and systems.

Therefore it is proposed that DPME immediately takes on scenario 3, with the unit continuing within the ERU but providing support and systems for decentralized research across DPME. As the internal and influencing role starts to develop, more work will be needed on knowledge management across the units, and this may necessitate an information broker specializing in this area.

The proposal below is based on this scenario, as is the theory of change in Figure 7.

7.2. Principles

The proposed principles to guide the research work we undertake include:

- Harnessing the collective knowledge, experience and skills amongst DPME officials
- It is important to strengthen the critical/analytical thinking, curiosity and creativity of a wide section of DPME staff as the basis of building research capacity and use.
- Collaborative partnerships are needed to build bridges between the policy process (being political and cyclical in nature) and the research process (being rational and linear in nature) across sectors.
- DPME can play a leadership role around research for the outcomes.
- The issues we deal with are complex and emergent. This requires building a flexible and responsive approach with a collaborative management approach and strong communication with our partners.

7.3. Aim of the research unit within DPME

The research unit within DPME is strategically located and plays the roles of research agenda setting, knowledge brokering and championing of policy research. This will be achieved by facilitating, coordinating and supporting the development of multi-year research plans within the Planning, Outcome M&E and Institutional Performance M&E branches of DPME, providing research capacity building interventions and by influencing the wider research system in the generation and use of policy relevant research evidence to inform implementation of the MTSF and NDP.

The proposed purpose of the unit is therefore to establish and support the modalities for DPME to conduct effective research, and to influence the wider research system to produce policy relevant research around the outcomes/MTSF.

7.4. Activities of the research unit

1. To provide centralized research management support to DPME in developing research priorities, identify knowledge gaps and support development of research plans per branch through guiding principles and standards inform the implementation of the MTSF.
2. To improve research infrastructure and facilitate access to quality data sets, scientific research, evaluation findings and other evidence in order to assess, quality assure and analyze the current knowledge base.
3. To provide support to domain specialists, sector experts and teams within DPME in generating research relevant to the 14 Outcomes and using policy relevant research, ensuring demand for evidence in policy processes and advocate for policy change.
4. To sustain existing partnerships, develop new partnerships and build networks with the researchers and experts in relevant fields of work by providing platforms for engagement, dialogue and healthy debate between the research community and government in collectively seeking solutions to societal challenges.
5. To develop analytical skills and research capacity within DPME based on needs identified and in partnership with HR, M&E Capacity Building unit and senior managers as well as external stakeholders in the field of public service development.

7.5 Capacity and resourcing

In the initial stages with government finances severely constrained the unit will work within the current budget envelope, based on the two staff and an intern.

However, there are specific resource requirements that will become important if DPME plays a stronger role in the wider research system, ie starts moving to scenarios 4 and 5. The following are recommendations towards building the RU capacity.

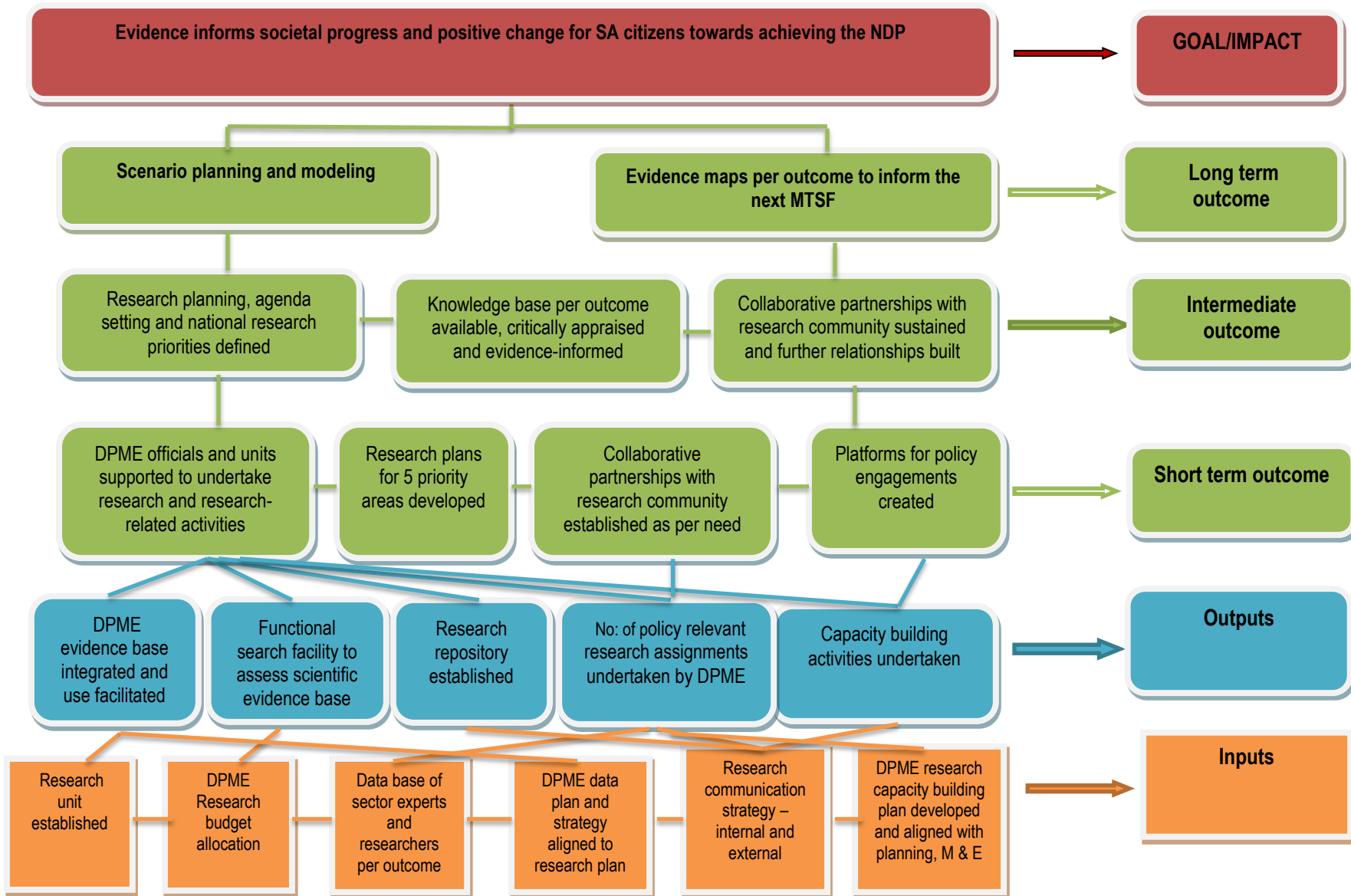
7.5.1 Human resources

It is recommended that the core DPME team consists of research director; research officer and an intern. Later posts that would strengthen the support to DPME would be an information specialist (intermediary), potentially some additional researchers and extending the interns to an internship program in partnership with DST where PhD and Master's degree candidates complete 6 months to 1 year internships or secondments in identified specialist fields. These are related to the part time services mentioned below, and are not additional posts but would become a revolving supply of interns who are specialists in their fields but are entering the public service. This initiative is also aimed at building a generation of researchers who understand and are better equipped for the work of government as there is an identified need for operational researchers who are more in touch with policy and programme implementation realities. .

Scenario 4 or 5 will require the following services:

1. Information consultant – full time
2. Research assistant – full time
3. Economic research specialist – part time
4. Social research specialist – part time
5. Data scientist – part time
6. Research/Science communication specialist – part time

Figure 7: Theory of change proposed for DPME in research (note: this is a draft for further discussion and finalization)



7.5.2 Financial resources

A central budget for research is recommended for financing some prioritized research assignments, coordination across branches, facilitating engagements to influence sector-based research agendas and developing research plans. The decentralized role proposed also requires each unit within DPME to allocate their own research budget for specific sector based research needs.

The research unit will provide support to units inclusive of work that is not funded by the central budget, e.g. in developing TORs, procurement of services, in-house research-related work, quality assessment, repository, capacity development etc.

7.5.3 Informational resources

The establishment of a research repository, providing access to databases, scientific research outputs and other sources of evidence will be in partnership with IT, HR and other corporate services within DPME, as the ERU has been getting to date. There will also probably need to be a continued budget for access to research databases like the Web of Science.

7.5.4 Institutional arrangements and location

In addition to the strategic option decided on, the following will require further considerations by DPME management:

- Establishment of a research steering/reference group to improve governance and monitor DPME's sphere of influence.
- Develop an official working relationship with the 5 government departments identified in the NSI (DST; DHET; DTI; DAFF; DEA) to influence research agenda setting, assess funding flows and value for money of publically funded research.
- Identifying researchers, research organizations, universities, CSOs and international organizations as strategic partners in promoting evidence use and generating policy research.
- Clarify the roles and working relationship between DPME and other centre of government departments (NT; DPSA; COGTA)
- Integrate the work of PSPPD with DPME around those components that impact on the research unit: i.e. call for proposals; capacity building on research, EBPM&I

7.5.5 Location of the research unit

From the interviews and input derived to inform this strategy, 3 main options are summarized in the location of the research unit. This requires a decision by DPME management.

Option 1: Research function remains with the Evaluation and Research Unit (ERU)

- ERU leadership has been engaging and conceptualizing the research component since its inception, although the initial focus had been on developing the evaluation system. It has therefore been the champion and is therefore advanced in the thinking behind a DPME research system.
- The ERU has already initiated a number of research systems including repository, REA, evidence maps etc. It has managed a process of getting evaluation systems in place and so could easily apply this to research.

- The approach of the unit is a cross-cutting one around evidence, where work has been initiated in consultation with outcomes teams as well as FSD, CBM etc.
- Some outcomes facilitators are strongly committed to the need for research to enrich their work.
- Research was a key function in the 20 Year View, which was managed by the Outcomes Branch.

Option 2: Research function is established within the Planning Branch

- The Planning Branch has strongly articulated the need for research, and has been commissioning research and is currently the strongest locus of demand for research in DPME.
- PSPPD and the NIDS are located in the Planning Branch.

Option 3: Splitting the research function between OME and Planning

- Both branches are primary users of research to inform DPME work
- It will assist in integrated working relationships between the two branches if managed well.
- The feasibility of human resource capacity for research located at both branches (at a minimal a research director and administrator) may be unreasonable, given the budget constraints going forward.

It is proposed that if a decentralized system is retained, then the ERU continues to manage the overall systems approach, while the Planning Branch retains a significant research budget.

7.6 Time frames

The conceptualization of this strategy proposal is over a 3 year period although an indication of the long term goals is provided.

Table 6: Roadmap for rollout of the research unit

Immediate 2014/15	Short term 2015/16	Medium term 2016/17	Long term 2017/18
Initial staff appointed and first steps made in number of directions.	Research component established and resourced within ERU	Research budget allocation strengthened in ERU and in other units, with strengthened research capacity	Research budget allocation with sustained research capacity
Research strategy developed and approved	DPME research capacity and infrastructure developed at individual and systems level	DPME officials/units supported to undertake research and influence the wider research system	Research planning, agenda setting and national research priorities defined for new administration
Initial partnership established with GTAC, DST and DPSA around research	Research plans developed for 2 outcomes, including collaborative partnerships	Research plans developed for all outcomes, including collaborative partnerships	
1 research assignment undertaken and others initiated	Background work initiated for development of evidence maps for 5 national priorities	Evidence maps for 5 national priority areas developed and validated by DPME and research community	Evidence maps per outcome to inform the next MTSF

7.7 Implementation of the strategy

Translating the roles and responsibilities of the research strategy is summarized below and will form the basis of a detailed implementation plan once the strategy is approved.

Table 7: Roles and responsibilities

Role	Function	Main responsibility	Collaborative partnership
Research agenda setting	<ul style="list-style-type: none"> • Questions arising from NDP/MTSF • Research plans per outcome • Strategic and long term planning • Evidence maps and research synthesis 	DPME (with sector departments/ implementation forums)	DST; Science councils; Academia
Knowledge broker and effective communication of research evidence	<ul style="list-style-type: none"> • Facilitate access to relevant research outputs and data sets around outcomes • Develop platforms for engagement between research community and government as users around outcomes 	DPME and DST with Science Councils (e.g. developing a repository)	Research and data producers Data scientists/ experts
Champion	<ul style="list-style-type: none"> • Generating and using policy relevant research • Ensuring evidence from evaluations, EPRs and research used by Cabinet and Clusters • Advocate for policy change • Promote value for money on publically funded research 	DPME and NT	DST NRF and other funding agencies
Capacity building	<ul style="list-style-type: none"> • Set standards for policy relevant research e.g. government research outputs and other types of evidence also cited • Set competences and incorporate in PMDS e.g. public officials to present evidence that they have used evidence in their • Build capacity at 3 levels: <ul style="list-style-type: none"> • Individual: absorptive capacity, analytical and communication skills • Organizations: Policies; standard setting; management, skills, resources, finances • Systems: government-wide, institutionalization of research 	DPME DPSA DPSA and DPME	DST; NRF; HSRC; GTAC; International

Annexes

Annex 1: Methodology for research to develop the strategy

Several sources informed this strategy ranging from document reviews, quantitative and qualitative enquiries (see annex 2). Firstly, key national and international documents were reviewed which define the context within which this research strategy is located, 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, amongst others. Documents within DPME were the Strategic Plan 2011/12-15/16 and the recently documented 2015/16-19/20 plan, including the focus of sub-programs (MPAT, FSD, CBM, PSPPD, Evaluations, Hotline, Outcomes, and POA).

Secondly, the Research and Development Survey (R&D survey) conducted annually by the HSRC on behalf of the DST is a key quantitative resource for national and international comparisons in understanding R&D expenditure by government, business, higher education, science councils and not-for-profit organizations.

Thirdly, the strategy is informed by key stakeholders within DPME as well as externally, through semi-structured interviews. In total, 39 Key Informant Interviews (KII) were conducted. Within DPME, these constituted 8 DDG; 8 CD; 4 Directors; 4 DD/ASD levels and externally: 4 national department CD/Dir officials directly involved in research; 3 Science Councils (NRF/HSRC/CSIR); 3 from academia ranging from social sciences/ economic and social protection; 4 from CSOs/International (CORE; UNICEF /DURSSA/ GSDRC). Input from the Parliamentary Research Office was also received.

Finally, the development of the strategy was informed by a research reference group which met twice to provide guidance, advice and input into its process and content.

Instrumentation

A stakeholder database was developed to track data sources and ensure representation. A pilot survey instrument was developed for DPME officials initially, which will be reviewed for roll-out in a government-wide diagnostic study. A research framework was developed to provide the core DPME team with a comprehensive view of the scope of the work - what the main and sub-questions are, and where the potential sources of data could be found. Primary research findings derived from the interviews and structured discussions supplemented the secondary data analysis and desktop review of literature sourced. Analysis and synthesis of the findings provided the basis upon which this strategy was developed.

The schematic representation below provides a summary of the different methodologies used.

Qualitative

39 KII conducted

2 FGDs

Case studies:
DEA + DBE (BCURE)
Tourism
International cases on evidence use

Quantitative

DPME survey forms

Research system /
R & D Survey
(HSRC/DST)

Document reviews

DPME policies/plans/
Chief Directorates

Legislation
National

International
Evidence-use

Annex 2: DPME Research Reference Group

Initial members of the interim reference group are:

1. DDG of the Outcomes Monitoring and Evaluation branch, DPME – Nolwazi Gasa
2. Head of Evaluations and Research, DPME – Ian Goldman
3. Director of research, DPME – Harsha Dayal
4. Programme Manager, Planning and PSPPD – Mastoera Sadan
5. DDG, Department of Science and Technology – Imraan Patel
6. Executive Director, National Research Foundation – Andrew Kaniki
7. Deputy CEO, HSRC – Temba Masilela
8. DDG, Research and analysis, Department of Public Service Administration – Collette Clark]
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10. University representative, UJ – Ruth Stewart

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