National Evaluation System

Presentation: Launch of Repository by Department of Basic Education, Pretoria

9 September 2019
Presentation Outline

BACKGROUND OF THE EVALUATION FRAMEWORK
- Defining evaluations, Rationale, Purpose, Applicability

CONCEPTUAL FRAMEWORK OF EVALUATION
- Types, Key Questions
- Evaluation in the Policy Cycle
- Links between Evaluation, Planning and Budgeting

IMPLEMENTATION OF EVALUATION & Progress Report
- Institutionalization, Evaluation Plans Undertaking Evaluations
- Problems & Achievements
- Evaluation Repository
Our understanding of evaluation

• Monitoring is necessary but not sufficient - it only asks whether we are doing what we planned to do.
• In order to assess whether or not our plans are resulting in their intended outcomes and impacts, and the reasons for this, we need to carry out evaluations.

In our Evaluation Policy Framework, evaluation is defined as:

• The systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organizations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability, and recommend ways forward.
Conceptual Framework: Why Evaluate?

Improving policy or programme performance (evaluation for continuous improvement):

Evaluation for improving accountability: where is public spending going? Is this spending making a difference?

Improving decision-making:
Should the intervention be continued?
Should how it is implemented be changed?

Evaluation for generating knowledge (for learning):
Increasing knowledge about what works and what does not with regards to a public policy, programme, function or organization.
Evaluation Criteria

- **Relevance**: measures suitability of the intervention to the priorities and policies of the target group.

- **Effectiveness**: measures of the extent to which an intervention attains its objectives.

- **Efficiency**: measures outputs in relation to inputs eg use of resources to achieve desired goals.

- **Impact**: measures positive and negative changes produced by an intervention, directly or indirectly

- **Sustainability**: Measuring whether the benefits of an activity are likely to continue.
Scope

- Government wide – three spheres of departments and State Owned Enterprises

- Focus/object of evaluation:
  - policies
  - plans
  - programmes
  - projects
  - Sectors
Current Approach – ownership, credibility, learning and use

To ensure **ownership and use:**
- Departments participate in the evaluation process, from the design to the validation of findings, recommendations and improvement plans
- System largely voluntary: DPME issues a call for proposals and departments propose evaluations.
- Evaluations are managed collaboratively and in partnership with departments through Steering Committees (collaborative mechanism)
- Partnership includes co-funding
- Improvement plan system – tracked every 6 months
Current Approach – ownership, credibility, learning and use

To ensure **independence:**

- Independent external service providers undertake the evaluation, reporting to the Steering Committee
- The Steering Committees makes decisions on evaluation not department

To ensure **learning and not punishment:**

- Emphasis on promoting learning not compliance, fault finding and punishment
- The problem is not to make mistakes but not learning from your mistakes
Current Approach – ownership, credibility, learning and use

Ensure **quality**:  
If the evaluation is technically and methodologically sound and generally of good quality, programme owners are likely to believe in the findings and therefore use the evaluation;

- Design clinic with top national and international evaluators;
- Peer reviewers (normally 2) per evaluation
- Comments by DPME evaluation team and entire Steering Committee
- Panel of service providers (now abolished)
- Conduct Evaluation Quality Assessment once completed – must score >3/5
Different types of evaluations related to questions around the outcome model

- **Impact evaluation**: Has the intervention had impact at outcome and impact level, and why
- **Implementation evaluation**: - what is happening and why
- **Design evaluation**: Does the theory of change seem strong?
- **Economic Evaluation**: What are the cost-benefits?
- **Diagnostic**: what is the underlying situation and root causes of the problem
- **Evaluation Synthesis**: What are the emerging cross-cutting issues?
Rapid Evaluations
These are quick internally driven evaluations.

Benefits:
- provide quick response, especially in emergencies
- Smaller budgets

Disadvantages: Levels of reliability and validity is questionable.

Evaluative Workshops (Example of Rapid Evaluation)
Some Evaluative approaches

Sectoral Reviews

Sectoral Reviews take a holistic and long term strategic view on the entire sector (inclusive and long-term):

- They differ from programme evaluations which focus on narrow programme objectives.
- Sectoral Reviews measure performance of the whole sector over a long period of time.
- The Sectoral Plan/Policy/Strategy is the key building block for Sectoral Reviews.
Some Evaluative Approaches

Gender Responsive Evaluations

Gender-responsive evaluation incorporates processes and methods that embrace gender equality, women’s empowerment and human rights principles. It entails:

- Engendering the design of evaluations
- Engendering the terms of reference
- Wearing a gender lens when conducting evaluations.
<table>
<thead>
<tr>
<th>Department</th>
<th>Title of evaluation</th>
<th>Progress</th>
</tr>
</thead>
<tbody>
<tr>
<td>DSD/DBE/DoH</td>
<td>Diagnostic Review of Early Childhood Development</td>
<td>Completed June 2012</td>
</tr>
<tr>
<td>Trade and Industry</td>
<td>Implementation/design evaluation of the Business Process Services Programme</td>
<td>Final report approved</td>
</tr>
<tr>
<td>Basic Education</td>
<td>Impact Evaluation of Grade R</td>
<td>Final report approved.</td>
</tr>
<tr>
<td>Rural Development</td>
<td>Implementation Evaluation of the Recapitalisation and Development Programme</td>
<td>Final report approved</td>
</tr>
<tr>
<td>Rural Development</td>
<td>Implementation Evaluation of the Comprehensive Rural Development Programme</td>
<td>Final report approved.</td>
</tr>
<tr>
<td>Health</td>
<td>Implementation Evaluation of Nutrition Interventions addressing under 5s</td>
<td>Complete in February 2014</td>
</tr>
<tr>
<td>Human Settlements</td>
<td>Implementation Evaluation of the Urban Settlements Development Grant</td>
<td>SP appointed. Complete May 2014</td>
</tr>
<tr>
<td>Basic Education</td>
<td>Impact Evaluation of the National School Nutrition Programme</td>
<td>Stopped. Reallocated to 2014/15</td>
</tr>
</tbody>
</table>
### Completed

#### Presidency
- Implementation Evaluation of Government’s Coordination Systems

#### dti
- Evaluation of Export Marketing Investment Assistance Incentive programme (EMIAI)
- Evaluation of Support Programme for Industrial Innovation (SPII)
- Impact Evaluation of Technology and Human Resources for Industry Programme (THRIP)

#### Military Veterans
- Evaluation of Military Veterans Economic Empowerment and Skills Transferability and Recognition Programme.

#### DST
- Evaluation of National Advanced Manufacturing Technology Strategy

#### SARS
- Impact Evaluation on Tax Compliance Cost of small businesses

#### COGTA
- Impact evaluation of the Community Works Programme (CWP)

#### DRDLR
- Evaluation of the Land Restitution Programme

#### DAFF
- Impact Evaluation CASP
- Implementation Evaluation of MAFISA

#### DHS
- Baseline for informal settlements targeted for upgrading
- Evaluating interventions by DHS to facilitate access to the city.
- Diagnostic of whether the provision of state-subsidised housing has addressed asset poverty for households and local municipalities

#### DPME
- Impact Evaluation of the Outcomes Approach
### 2014/15

<table>
<thead>
<tr>
<th>Dept</th>
<th>Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>DEA</td>
<td>Evaluation of the Effectiveness of Environmental Governance in the Mining Sector (EEGM)</td>
</tr>
<tr>
<td>DHET</td>
<td>Design Evaluation of the Policy on Community Education and Training Colleges (PCETC)</td>
</tr>
<tr>
<td>DHS</td>
<td>Impact Evaluation of the Social Housing Programme (SHP)</td>
</tr>
<tr>
<td>DST</td>
<td>Evaluation of the Indigenous Knowledge Systems Policy (IKSP)</td>
</tr>
<tr>
<td>DSD</td>
<td>Diagnostic Evaluation/Programme Audit for Violence Against Women and Children (AVAWC)</td>
</tr>
<tr>
<td>DSD</td>
<td>Diagnostic Review of Coordination of the Social Sector Expanded Public Works Programme</td>
</tr>
<tr>
<td>SAPS</td>
<td>Economic Evaluation of the incremental investment into the SAPS Forensic Services</td>
</tr>
<tr>
<td>DAFF/DRDLR</td>
<td>Impact Evaluation of the Ilima Letsema Programme</td>
</tr>
<tr>
<td>DAFF</td>
<td>Impact evaluation of MAFISA (quantitative) – through 3ie</td>
</tr>
<tr>
<td>DAFF/DRDLR</td>
<td>Policy Evaluation of Small Farmer Support</td>
</tr>
<tr>
<td>DBE</td>
<td>Evaluation of the Funza-Lushaka Bursary Scheme</td>
</tr>
<tr>
<td>DBE</td>
<td>Impact evaluation of National School Nutrition Programme</td>
</tr>
<tr>
<td>DRDLR</td>
<td>Impact evaluation of Land Restitution Programme – through 3ie</td>
</tr>
<tr>
<td>DPME</td>
<td>Impact/implementation evaluation evaluation of the MPAT system</td>
</tr>
<tr>
<td>DPME</td>
<td>Implementation evaluation of the dept strategic planning and APP</td>
</tr>
<tr>
<td>Ministry</td>
<td>Project Description</td>
</tr>
<tr>
<td>----------</td>
<td>---------------------</td>
</tr>
<tr>
<td>DAFF</td>
<td>Agricultural Extension Recovery Plan</td>
</tr>
<tr>
<td>DBE</td>
<td>Evaluation of CAPS/New School Curriculum</td>
</tr>
<tr>
<td>NPA</td>
<td>Evaluation of the Asset Forfeiture Unit Sub-programme</td>
</tr>
<tr>
<td>DSD</td>
<td>Diagnostic evaluation of the Non-Profit Organisations Regulatory Framework and Legislation</td>
</tr>
<tr>
<td>DSD</td>
<td>Implementation Evaluation of the National Drug Master Plan in addressing all forms of Substance abuse</td>
</tr>
<tr>
<td>DHET</td>
<td>Evaluation of the National Qualifications Framework Act (NQFA)</td>
</tr>
<tr>
<td>DBE</td>
<td>Evaluation of Early Grade Reading in SA</td>
</tr>
<tr>
<td>DMR</td>
<td>Implementation evaluation of the mining charter</td>
</tr>
<tr>
<td>DPSA</td>
<td>Service Delivery Improvement Planning System</td>
</tr>
<tr>
<td>DPME</td>
<td>Implementation evaluation of citizen-based monitoring (CBM)</td>
</tr>
</tbody>
</table>
## NEP 2016/17

<table>
<thead>
<tr>
<th>Ministry/Department</th>
<th>Project Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>DHET</td>
<td>Evaluation of TVET) Colleges Expansion and Capacity Development Programme</td>
</tr>
<tr>
<td>Justice</td>
<td>Implementation Evaluation of the Integrated Justice System</td>
</tr>
<tr>
<td>DSD</td>
<td>Implementation Evaluation of Older Persons Act</td>
</tr>
<tr>
<td>Treasury</td>
<td>Evaluation of City Support Programme</td>
</tr>
<tr>
<td>DHA</td>
<td>Evaluation of Birth Registration Programme</td>
</tr>
<tr>
<td>DEA</td>
<td>Implementation Evaluation of the Environmental Impact Assessment (EIA) process</td>
</tr>
<tr>
<td>DST</td>
<td>Design and Implementation Evaluation of the National Space Strategy</td>
</tr>
<tr>
<td>NT /DPME</td>
<td>Government Business Incentives</td>
</tr>
<tr>
<td>DPME</td>
<td>Implementation Evaluation of the National Evaluation System</td>
</tr>
<tr>
<td>NEP 2017/18</td>
<td>Completed</td>
</tr>
<tr>
<td>-------------</td>
<td>-----------</td>
</tr>
<tr>
<td>DSBD</td>
<td>Evaluation of the Integrated Strategy for the Promotion of Small Businesses</td>
</tr>
<tr>
<td>SAPS</td>
<td>Implementation Evaluation of Detective Services</td>
</tr>
<tr>
<td>DSD</td>
<td>Implementation Evaluation of the Integrated Social Crime Prevention Strategy</td>
</tr>
<tr>
<td>DPME/DOH/DSD etc</td>
<td>Rationalisation of community-based worker models</td>
</tr>
<tr>
<td>DBE/DOT</td>
<td>Scholar Transport</td>
</tr>
<tr>
<td>DPW</td>
<td>Accommodation Provision Programme</td>
</tr>
</tbody>
</table>
DPME Evaluation Repository

- DPME has created a centralised web-based repository of evaluation reports, which have been quality assessed.
- Officially launched at the SAMEA conference in Johannesburg in September 2013.
- Already around 31 March 2015, there were 121 evaluations and 2800 visitors to the site.
- 83% of the visitors are local (SA) with hits also from the UK, USA, Australia, Switzerland, France, and the Netherlands.
- Currently, we have over 600 evaluations
## Current status of evaluations

<table>
<thead>
<tr>
<th>No of evaluations in NEPs</th>
<th>Dropped</th>
<th>Active</th>
<th>Approved reports</th>
<th>Improvement Plans being implemented</th>
</tr>
</thead>
<tbody>
<tr>
<td>67</td>
<td>8</td>
<td>59</td>
<td>45</td>
<td>23</td>
</tr>
</tbody>
</table>
SECTION 1: Achievements (2011/12 – 2017/18)

- The National Evaluation System is gaining traction with Departments both at National and Provincial spheres following the system in undertaking evaluations.
- Some evaluations at improvement plan development stage have been used – policy guidelines have been reviewed.
- The system is **Utilisation Focused**, requiring involvement of programme management in each step of the evaluation process for ownership and use.
- Seven multi-year National Evaluation Plans were developed with 67 evaluations undertaken.
- In total, 8 out of 9 provinces have Provincial Plans.
- 61 departments have Departmental Plans;
- A suite of 8 courses offered to 1 989 officials.
- DPME has also developed 18 guidelines and 9 templates on various components of the system during the same period.
Success factors for the current system

- **Use of Incentives (Soft and Hard / Carrot and Sticks)**
  - **Carrots:** Co-funding evaluations; technical support from DPME team, funding of peer reviewers; political/ Cabinet support;
  - **Sticks:** Following the system; objective process – approval by Steering Committee not custodian department; use of independent evaluators;
- **Central Champion** driving the system (DPME Evaluation Unit)
- **Co-ownership of the system** (collaboration) eg Evaluation Technical Working Group (ETWG); Co-managing evaluations through Steering Committees
- **Use of departmental Champions** – some M&E Officials others programme Managers - exercising influence on significance of evaluation in their departments
- **Piloting systems** before rolling to scale eg ECD; GP and WC around PEPs etc
- **Evaluative thinking** - system is taking root with some departments taking initiative for their own evaluations & embedding evaluations in their management cycle
Problem Analysis

Evaluations not used

- Evaluations not responsive to gender & issues for vulnerable groups
- Weak Improvement plan system; not informing planning, policy & budget
- Dim view on issues
- Less focus on Sectoral Performance; Impact & Economic Evaluations
- Policy excludes Municipalities & SOEs
- Less focus on service delivery
- Poor quality of programme plans; not evaluable
- Critical Sectors not evaluated
- Identification of evaluations by department
- Evaluations taking too long
- Weak Improvement plan system; not informing planning, policy & budget
- Heavy reliance on outsourcing
- Few skilled evaluators in government
- Data unavailability; procurement, poor products
- Some Departments fear evaluations
- Evaluations not used
- Less focus on Sectoral Performance; Impact & Economic Evaluations
- Policy excludes Municipalities & SOEs
- Less focus on service delivery
- Poor quality of programme plans; not evaluable
- Critical Sectors not evaluated
- Identification of evaluations by department
- Evaluations taking too long
- Heavy reliance on outsourcing
- Few skilled evaluators in government
- Data unavailability; procurement, poor products
- Some Departments fear evaluations
CRITICAL ASPECTS IN UNDERTAKING EVALUATIONS and INSTITUTIONALISATION

**INSTITUTIONALISATION OF EVALUATION**
- Develop Evaluation Plan
- Ensure evaluation **budget** for key programmes and a **plan** over 3 YEARS;
- Ensure there are **specific people with skills** entrusted with the evaluation,

**UTILISATION FOCUS**
- Involve users in **every step of the evaluation process** to ensure ownership
- Ensure quality and credibility through peer review and quality assessment
- Ensure results of **inform decision-making**

**OPTIMISE LIMITED CAPACITY**
- Roll-out evaluation trainings
- Decentralize training
- Use of local unemployed graduates; tertiary institutions; former senior public servants; Civil Society
Thank you