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Programme to Support Pro-Poor Policy Development (PSPPD) II – Mid-term Review

Volume I: Final Report

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DISCLAIMERS

LIST OF ABBREVIATIONS

Acronym/abbreviation	Meaning
CfP	Call for Proposal
DAC	Development Assistance Committee
DBE	Department of Basic Education
DoH	Department of Health
DRDLR	Department of Rural Development and Land Reform
DSBD	Department of Small Business Development
DSD	Department of Social Development
DTI	Department of Trade and Industry
DPRU	Development Policy Research Unit
DPME	Department of Planning, Monitoring and Evaluation
EC	European Commission
EDD	Economic Development Department
EU	European Union
FA	Finance Agreement
GDP	Gross domestic product
GNI	Gross national income
GoSA	Government of South Africa
HSRC	Human Sciences Research Council
KRA	Key Result Area
LF	Learning Facility
MIP	Multiannual Indicative Programme
MISTRA	Mapungubwe Institute for Strategic Reflection
MTSF	Medium Term Strategic Framework
NIDS	National Income Dynamics Study
NDP	National Development Plan
NPC	National Planning Commission
NT	National Treasury
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
PCU	Programme Coordination Unit
PhD	Doctor of Philosophy
PSPPD	Programme to Support Pro-Poor Policy Development
REA	Rapid Evidence Assessment
SA	South Africa
SALDRU	Southern African Labour Development Research Unit
Stats SA	Statistics South Africa
TDCA	Trade, Development and Cooperation Agreement
ToC	Theory of Change
ToRs	Terms of Reference
UCT	University of Cape Town

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EXECUTIVE SUMMARY

This report reviews how assistance was delivered under the contract Request for Services n° 2016/382770 FWC Beneficiaries 2013 – Lot 9: Mid – Term Review of the Programme to Support Pro-Poor Policy Development (PSPPD) II (terms of reference are shown in Annex 1). The purpose of the review is to provide decision makers in the South African government and the EU with sufficient information to make an informed judgement about the progress and performance of the programme (its efficiency and effectiveness), decisions about any required changes to the operational scope for the remainder of the operational implementation period, establish lessons learnt for future interventions, and to make recommendations for institutionalisation of the programme post-EU funding.

The review team undertook a mixed methods approach, which included surveys, in-depth interviews, and a review of the extensive documentation compiled by the Programme Coordination Unit (PCU), the Learning Facility (LF), and the Delegation of the European Union in South Africa. In all, 52 individuals were interviewed (including 16 of the 18 grantees), and surveys were completed by all 18 grantees and 48 participants from the Evidence-Based Policy-Making and Implementation course and the Poverty and Inequality course.

In response to the review question: to what extent is the PSPPD relevant to the priorities and policies of those targeted (including the GoSA, public sector institutions, and the European Delegation)? The review found that design of PSPPD II was and has remained relevant. In testing the internal logic of the programme, our assessment found the PSPPD II to be consistent with, and relevant to, the overall goal and objectives specified in both the Logframe and the Theory of Change for the programme. Moreover, both provided a clear description of the results required to achieve the central purpose of the PSPPD.

The programming of the support to the PSPPD by the EU is highly relevant to the GoSA's objectives with regards to poverty eradication. Moreover, the programming shows strong alignment to the EU's strategic objectives in South Africa, which in turn complement the diagnostic overview conducted by the NPC in 2011 and the subsequent road map for improving the lives of all South Africans spelt out in the NPD. The EU's most recent MIP (2014 – 2020) echo's the intent of the NDP and commits the EU to providing support to the GoSA's stated aim of employment creation; education, training and innovation; and building the developmental state.

In addition, complementarity can be found between the objectives of the PSPPD and a number of development initiatives designed to ensure a capable state, in particular a state which ensures equitable and quality services are delivered to all South Africans, especially the most vulnerable. In terms of the extent to which the PSPPD has met the needs of targeted institutions, the review found that the programme has been relatively successful in engaging targeted institutions in a variety of different ways in order to meet their respective needs. However, the review team does believe more could still be done to engage targeted institutions from within the Economic Cluster.

In response to the review question: to what extent is the PSPPD being effective in meeting its expected objectives? The review found that the PSPPD has been largely effective in its dual aim of building capacity of policy makers and making knowledge available to policy makers. Evidence gathered speaks to the high regard policy makers have for the programme, and the way policy makers are using EBPM in their respective departments. The review team have identified a wide range of examples of EBPM being applied at both national and provincial level. With regards to making knowledge available to policy makers, the programme has not been quite as effective. On the one hand the building of partnerships between researchers and policy makers has been hugely successful (and this has led to the substantial exchange of information),

on the other hand the sharing of knowledge via a repository and/or database has been less successful.

Nevertheless, it is highly likely that the objectives of the programme will be largely achieved (see Annex 1), especially as most outstanding issues are currently being addressed (for instance the knowledge repository has already been significantly overhauled since this review began). Where likely shortfalls are to occur (primarily under KRA 1, with regards to REAs and Systematic Reviews) the PCU must provide an appropriate narrative, in order to explain why the programme design may have been over ambitious in this regard. However, this narrative must be counterbalanced by noting that in many areas the programme has delivered way and beyond what was originally planned.

In response to the review question: to what extent is the PSPPD II appropriately managed and governed? The review found that the institutional structures and processes governing the programming and implementation of PSPPD II were found to be generally conducive to ensuring that the PSPPD is both effective and efficient. Most elements (such as a steering committee, staffing, administrative procedures, guidelines, organisation, management) are in place to deliver the programme. Moreover, decision making has been largely timely and appropriate within the PCU (e.g. the swift decision by the Programme Manager to replace KEs in the LF during the Inception Period when they were deemed unsuitable). Nevertheless challenges encountered with implementing the CfP I (a process that took 24 months) did have an impact on efficiency, as noted below.

With regards to monitoring of results, the review found the system to be weak, and that reporting is compliance-based rather than results-orientated. Moreover, reporting against risk was also found to be weak.

With regards to the Learning Facility, the review team believe that whilst the structural issues made it very difficult to integrate the LF in a meaningful manner, these issues were further exacerbated by the LF seeking to find its own identity, ongoing confusion over roles and responsibilities, and high staff turnover in the facility (and posts remaining vacant). Nevertheless, the fact that the considerable progress made by the programme was not hampered by structural and organisational challenges speaks to the quality of the leadership of the programme.

In response to the review question: to what extent has the PSPPD II been efficient? The review team found that the challenges experienced during PE2 and PE3 had a significant impact on the efficiency of the programme. The utilisation of resources was compromised during this time, particularly as a result of the delay in the CfP 1 process. This had a knock-on effect on some of the research grantees. While resource utilisation significantly improved during PE4, it is likely that there will be underspend at the current envisaged end of PE5.

Despite the challenges, the financial systems and controls appear to be in place as suggested by the audited reports for PE1 to PE3.

The Learning Facility also experienced challenges at the outset which impacted on its own resource utilisation. As the programme has unfolded, resources have been utilised more efficiently. Nevertheless, an analysis of the utilisation of the incidentals budget – an important indicator of efficiency – suggest that there may be underspend at the end of the programme. In addition, analysis of the utilisation of experts by the Learning Facility point to potential overspend in some areas and underspend in others.

In response to the review question: to what extent are the benefits of the PSPPD II likely to continue post–EU funding? The review found that it has already been noted above that the

programme has made noteworthy progress towards achieving its stated purpose, namely strengthening 'policy making and implementation around poverty and inequality using research' within the two targeted clusters. To ensure these efforts remain sustainable PSPPD II has already laid the groundwork through its partnership model, albeit further effort is required. Bearing in mind that a substantial component of the programme is to build capacity and strengthen systems, the review found that the programme has been effective in a wide range of different institutions (at both national and provincial government level, within partner institutions, within research teams scattered across different universities and so on), which will contribute to sustainability. Effective capacity building is about ensuring sustainability, i.e. those empowered will apply what they have learnt. Evidence gathered in this review suggests that capacity has been built and is being used in a sustainable manner. Moreover, in some instances sustainable systems are now in place (e.g. the National Evaluation System).

However, what requires further work are efforts to institutionalise the programme where it currently resides, a commitment to ensure that the knowledge repository remains a key legacy of the programme, and an undertaking to explore different avenues that may secure the future of the very successful research and training components of the programme.

With the above in mind the review proposes the following set of recommendations, which the PCU need to address[1] in the remaining period of the programme. The proposed recommendations speak to three different aspects of the final few months, namely a) what needs to be done to consolidate and strengthen the existing programme, b) what needs to occur during a potential no cost extension period, and c) what steps need to be taken as part of the institutionalization process.

Key Recommendation	Why it is important
Consolidation/ Strengthening PSPPD II	
1. Outline a concise Knowledge Management Strategy, with emphasis on what can be realistically achieved in the remaining period of PSPPD II	• The LF did not perform this task adequately, nor was its dissemination of research outputs fully effective. • There is a wealth of information that needs to be accessible to researchers and policy makers after PSPPD II • The Knowledge Management component of PSPPD II is essential to securing the legacy of the programme
2. Monitoring and reporting of the programme needs to be made more effective, especially the reporting against the indicators specified in the Logframe (including incorporating the additional indicators proposed re NIDs, Quality of Research outputs, and creation of effective partnerships)	• PSPPD II has generated considerable data, that needs to be consolidated into one location to ensure it is easily accessible • PSPPD II has delivered more than was expected, but the current monitoring system does not readily lend itself to illustrating the success of the programme
3. Update the risk matrix and revise the mitigation steps	• PSPPD II needs to demonstrate that it has managed the risk identified at the start of the programme, and where challenges have occurred appropriate mitigation steps have been taken to

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[1] Note that many of these recommendations align with, and reaffirm, the PSPPD's preliminary thinking regarding institutionalisation, as can be found in 'Input into processes to support institutionalisation' (April 2017), and 'Institutionalisation further thinking' (April 2017).

Key Recommendation	Why it is important
	reduce the risk to the programme
4. **Re-initiate EBPM advocacy efforts within the Economic Cluster**	• By its own admission the PCU recognises that far more activities have occurred in the Social Cluster, and that more could have been done in its other targeted cluster • It would be important to also showcase to the cluster the success achieved by, for example, certain researchers who have worked in the Economic Cluster (such as the work done in DoL)
5. **Reallocation of budget to enter into a no cost extension period**	• There are budget items that could be redirected for more desired impact • There are important activities that could still be undertaken • Activities budgeted for the no cost extension must be prioritised to ensure the best prospect of institutionalization
No Cost Extension Period	
6. **Dissemination Strategy to be developed, indicating to what extent PSPPD II can support the thematic dissemination of research outputs and conduct other types of dissemination activities**	• A number of research outputs have recently been created (such as CfP II Policy Briefs), these need to be disseminated to relevant policy makers • A number of CfP II researchers had planned dissemination workshops/roundtables to share findings with targeted officials, but these had not occurred during the grant period and thus their important findings have not been properly shared with targeted policy makers • Smaller, targeted dissemination events along thematic lines may enhance the legacy of the programme
7. **A communication strategy which broadcasts the successes of the programme.**	• The programme has achieved notable success in a number of areas including in the research sphere and in advocating EBPM, both the achievements and the lessons learnt from the programme need to be shared • It will be important to determine who the 'success story' is for, and may require distinction being made between the value add with respect to high quality research, and the value add regarding PSPPD IIs impact on promoting EBPM • With the programme's knowledge repository now fully functional and close to completion attention needs to be drawn to this valuable resource
8. **Continued capacity building initiatives which secure the legacy of capacitated researchers**	• 'How to' activities such as how to prepare a policy brief, how to engage with policy makers and so on have proven valuable. Another round of these activities, aimed specifically at junior researchers (who at participated in either CfP I or CfP II) would help build capacity for the future
9. **Secure the services of a programme close out specialist, conversant in the EU's Procedures and Practical Guide (PRAG)**	• PSPPD II has faced several delays as it grappled to comply with the EU's PRAG. Bringing an STA on board to assist with the close out of the programme would help avoid any costly over

Key Recommendation	Why it is important
	runs and/or delays • TA would become even more pertinent should anyone else resign from a programme that is already very lean
Institutionalization Activities	
10. **Notwithstanding the PSPPD's partnership model which has emphasized sustainability from the outset of the programme, Institutionalization requires a clear plan, which needs urgent finalisation, in order to align to the current restructuring process in DPME**	• PSC meeting of October 2016 tasked the Programme Manager with developing an Institutionalisation Plan • A draft institutionalisation plan has been prepared and requires finalisation • Planning is important to identify what is feasible, by when, and to also prioritise institutionalisation actions that can be realistically completed in the time remaining •
11. **DPME needs to be asked to clearly identify what components of the programme they can realistically absorb**	• There are some obvious synergies between different components of PSPPD and the DPME (such as DPME's strong commitment to promoting EBPM), but there needs to be quick resolution to how this will work in practice to ensure continuity • The restructuring of DPME is currently being finalised, and it will be important that where practicable the strategic intent of PSPPD has been taken into account • (linked to the previous point) DPME needs to be clear about what aspects can be incorporated and how this can be done • Within DPME, the nature of the NPC has shifted during the lifetime of PSPPD II. The NPC now plays a different role to what it did 5/6 years ago, but it still plays a critical role in shaping the strategic plans of government and influencing its research agenda. It would be important to establish whether or not any aspects of the seminal research work done by PSPPD II on poverty and inequality (which complements the NPC's own diagnostic work) could be continued by the NPC, under the aegis of DPME's Planning Branch.
12. **Continue ongoing talks to establish the role the NSG could play in providing technical training on EBPM**	• The NSG has a mandate to train government officials, and it has a training budget • If EBPM is to be taken seriously by government, and officials will be required to embed this approach into their work, then a case needs to be made to NSG regarding the skills and competencies officials will require to engage with EBPM effectively
13. **All reasonable steps must be taken to ensure the future of the knowledge repository**	• The knowledge repository is a key aspect of the legacy of PSPPD II and thus significant efforts must be made to ensure it is accessible post EU funding • Considerable effort has recently been undertaken

Key Recommendation	Why it is important
	to update the repository, and make it accessible, but it is still operating under its own aegis and will not be sustainable once funding for the programme ends • As part of the securing the future of the repository, links to other repositories (such as HSRC, SALDRU, and DSBD) will also need to be clarified and then steps taken so that there are no compatibility issues
14. Lobbying DST regarding the NRF introducing a relevant CfP that embraces strengthening policy making and implementation around poverty and inequality	• The two CfPs conducted by PSPPD II have made noteworthy contributions to the field of poverty and inequality • New research teams have been created at a number of HDIs and should be sustained in line with the NRF's strong commitment to redress • The DPME (especially its entity the NPC) has an important role to play in influencing the research agenda around poverty and inequality, even if it is not a direct funder. DPME needs to plan how this research will continue without PSPPD II

1. INTRODUCTION

This chapter provides a brief overview of the subject of this evaluation. Chapter 2 sets out its purpose and scope, and discusses the methodology and its limitations. It is followed by Chapter 3 which discusses findings for each of the evaluation questions. Chapter 4 presents the conclusions and recommendations of the evaluation. Supporting evidence and additional analysis is provided in the Evidence Annex (Volume II) which are cross-referenced in the main text. The full terms of Reference (ToR) are provided in Annex 1 of the Final Report (Volume I).

1.1 Background

Despite South Africa being classified as an upper middle – income country, it is also one of the most unequal countries in the world, with a Gini coefficient of 0.64 (2014). While the latest poverty figures are to be released in early 2017, a 2014 report (*Poverty Trends in South Africa: An examination of absolute poverty between 2006 and 2011*) by Statistics South Africa found that almost half of the country's population was living in poverty according to the upper-bound poverty line in 2011[2]. However, the report also noted that poverty levels had dropped from 2006 to 2011.

Poverty measures and their respective headcounts	2006	2011
Food poverty line (R321 in 2011 prices)	26.6%	20.2%
Lower-bound poverty line (R443 in 2011 prices)[3]	42.2%	32.3%
Upper-bound poverty line (R620 in 2011 prices)	57.2%	45.5%

In terms of the actual numbers of people living in poverty, the above poverty headcounts translated into roughly 23 million people living below the upper-bound poverty line or 10 million people below the food poverty line in 2011. While the figures from Statistics South Africa provide a useful cross-sectional look at poverty, the longitudinal data from the National Income Dynamics Survey (NIDS) paints a deeper picture of the dynamics of poverty in the country and how people move in and out of poverty. The launch of Wave 4 showed how "nearly half of the poor are stuck there".[4]

With this picture in mind the National Planning Commission (NPC) identified the persistence of poverty, unemployment and inequality as the key challenges that South Africa needs to overcome, and it is for this reason that the National Development Plan (NDP) 2030 identified as a key objective the need to improve standards of living for all South Africans through the elimination of poverty and reduction of inequality by prioritising three areas:

(i) raising employment through faster and more inclusive economic growth;
(ii) improving the quality of education, skills development and innovation; and
(iii) building the capacity of the state to play a developmental and transformative role.

Whilst the NDP 2030 is the overarching strategic and programmatic document guiding South Africa's development, operationalised through rolling-out the Medium Term Strategic Framework (MTSF) (2014-2019), and financially covered by the MTSF and annual budget appropriations. The EU-South Africa Multi Indicative Programme (MIP) 2014-2020 is built upon these three priorities (as discussed below).

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[2] Statistics South Africa has developed a series of three national poverty lines (the report *"Measuring Poverty in South Africa: Methodological report on the development of the Poverty Lines for Statistical Reporting"* provides more information on the construction of the national poverty lines.
[3] The National Planning Commission (NPC) adopted the use of the lower-bound poverty line with regard to its poverty targets outlined in the National Development Plan, setting the ambitious target of eliminating all poverty below this line by 2030.
[4] For more detail see the report, *Wave 4 Overview: 2008 to 2016 National Income Dynamics Survey*.

The Trade, Development and Cooperation Agreement (TDCA), which came into force in May 2004 and was revised in September 2009, provides the basis for comprehensive cooperation between South Africa and the EU, covering trade relations, development cooperation, economic cooperation and numerous other fields such as socio-cultural cooperation and political dialogue. Development Cooperation under the TDCA supports policies and reforms carried out by the South African government aimed at fighting poverty, promoting regional cooperation and the country's economic integration in southern Africa and in the world economy, and consolidating the foundations of a democratic society. The Joint Country Strategy Paper 2007 - 2013 between the EU and the South African government states as its development objective the reduction of poverty and inequality in accordance with the Millennium Development Goals (MDGs) - and the Sustainable Development Goals (SDGs) as of September 2015, the promotion of internal social stability as well as environmental sustainability. A further objective is to ensure a more equitable distribution of the benefits of economic growth and reduce inequality. As such, job creation through meaningful economic transformation and inclusive growth remains a priority.

1.2 Organisational Context

In 2009, the Presidency created two new Ministries, the Department of Performance (later Planning), Monitoring and Evaluation (DPME) and the National Planning Commission (NPC). The DPME is responsible for the management of outcomes through ministerial accountability for improving delivery performance, institutionalising the government-wide monitoring and evaluation system and unblocking service delivery. The NPC is responsible for developing a long-term vision and plan for South Africa. In 2014, DPME and the NPC secretariat were merged to create the Department of Planning, Monitoring and Evaluation.

Currently the DPME is undergoing another restructuring process, although the Department of Public Service Administration still has to approve the proposed structure. Under the proposed structure, a new branch called *Evidence and Knowledge Systems*, is to be created with 3 branches: Evaluation; Research and Knowledge Management; and Data Integration and Analysis. It appears that it is within this branch that those aspects of PSPPD to be institutionalised may find a home.

1.3 PSPPD II

The first phase of the PSPPD ran from 2007 to 2012, the second phase commenced in 2012 and will end in 2017. Funding for PSPPD II was earmarked as part of the National Development Policy Support Programme (NDPSP) as per the Financing Agreement (FA) between the European Commission and the Republic of South Africa (May 2012). The EU contribution to the NDPSP (as stipulated in the FA) was €250 000 000, of which €10 000 000 was allocated to the PSPPD II.

A final evaluation of PSPPD I (Cleary and Du Pisani, 2012) found the programme to have been successful, and that the use of research evidence in policy-making, in the area of poverty and inequality, has contributed to strengthening evidence – based policy making in targeted departments. Moreover, the evaluation also noted that the Phase 1 had had a strong focus on supporting M&E and was instrumental in supporting the setting of the evaluation system with the establishment of an Evaluation and Research Unit in DPME and many of its systems including Management Performance Assessment Tool (MPAT)[5] and citizen-based monitoring. With this in mind, the final evaluation proposed a series of recommendations which the evaluators believed would improve the success of PSPPD II, including:

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[5] The DPME has been mandated to regularly assess the quality of generic management practices in departments. A methodology for doing this was developed, in collaboration with the Offices of the Premier, National Treasury and the DPSA, and in consultation with the Office of the Auditor General and the Office of the Public Service Commission.

- Retaining staff in key positions, and maintaining relationships that were successfully established during PSPPD II;
- Increasing the focus on sustainability;
- Limiting long and costly contracting methods;
- Promoting research that embraces evidence-based policy making, by:
  o Defining and publishing a poverty policy research agenda, reflective of government, in particular those of partner line departments;
  o Support both long-term (e.g. four year) and short-term (e.g. six months) research;
  o Increase focus on questions Government needs answered;
  o Institutionalise evidence interaction;
  o Define what is understood by policy.
- Ensuring that Capacity Building is a core component of PSPPD II, which includes:
  o Continued and structured support to HDUs and HDIs;
  o Supporting partnerships between existing HDI research providers and HUDs;
  o Designing a capacity building programme that permits going beyond advocacy to practice;
  o Exploring and supporting institutionalising capacity building in respect of EBPM, especially in line departments (such as DSD's online lectures).

These recommendations influenced the design of the 2nd Phase, and were largely incorporated into the activities that the programme implemented. Thus, for instance, PSPPD II up-scaled a number of the interventions of Phase I, such as the extensive grants awarded under CfP I and CfP II, the commissioned Inequality Research (which saw established researchers working with a nascent research agency), the comprehensive capacity building conducted around evidence-based policy making, and initiatives that targeted key departments to institutionalise EBPM.

By contributing to improved policies, building systems and institutional capacity to reduce poverty and inequality through evidence-based policy-making the 2nd Phase was designed with the aim that the ability of the government to address these challenges will be improved. The over-arching objective therefore, for the PSPPD II is the reduction of poverty and inequality. Actions required to meet this objective can be found in the four key results areas (KRA) of the programme. The first three are underpinned by the expectation that these KRAs will support specific processes in government which are contributing to the generation and use of evidence around poverty and inequality:

1. **Research** – KRA I focuses on making new and existing research and other evidence available for policy makers and generating new knowledge. Support to research has been provided through grants for research (21 grants in total were awarded as a result of two CfPs)[6]. In Phase 1 and Phase 2 the PSPPD has encouraged the use of the National Income Dynamics Study (NIDS) datasets in the research grants it has provided, thereby building a body of scholarship utilising empirical evidence, which in turn builds on and expands the quantitative analysis skills in South Africa. Additional work under research includes a review of the country's research on inequality, and an audit of the research community working on inequality in South Africa[7];

2. **Stakeholder Engagement** – KRA II focuses on working with key stakeholders to identify and reinforce institutional mechanisms to improve the use of evidence to inform policy-making and implementation. In the logical framework of the programme, one of the indicators is that at least 30 per cent of the aforementioned research projects should have a

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[6] The Call for Proposals (CfPs) I and II grant recipients are based at the University of the Witwatersrand, University of Free State, Stellenbosch University, University of Johannesburg, University of Cape Town (UCT), Human Sciences Research Council (HSRC), Centre for Early Childhood Development, Project Preparation Trust, University of the Western Cape, University of KwaZulu-Natal, University of Fort Hare and North West University.

[7] Teams involved in research on inequality for the PSPPD II are based at the SALDRU, Development Policy Research Unit (DPRU) and MISTRA.

clear input into policy processes. The PSPPD aims to create evidence-based social policy initiatives which transform the conventional relationship between policy-making and the use of social science evidence, thereby making evidence an integral part of the decision-making around policies from the beginning, rather than it being outside of the process. This includes the dissemination of research findings to key stakeholders in an easy-to-understand format which is critical to increasing awareness, consideration, adoption, and use of evidence, and to accomplishing the PSPPD's mission;

3. **Capacity Building and Training** – KRA III focuses on ensuring improved awareness and skills of policymakers and researchers in generating, analysing and using evidence. This is achieved through capacity building measures such as workshops, training, study tours and the dissemination of newsletters;

4. **Programme managed effectively** – KRA IV focuses on the internal effectiveness of the programme, and places emphasis on the key activities being undertaken successfully, and that the operations of the programme are managed successfully.

To ensure the effective and efficient implementation of PSPPD activities that will lead to the achievement of these key results the programme is supported by a Learning Facility (LF). In Phase 1 there was a Monitoring and Learning Facility (MLF), which ran from October 2009-December 2011, providing project management and logistical support to the Programme Coordination Unit (PCU) in the Presidency, capacity development, support for knowledge management and M&E.

In Phase 2 the LF was established in 2014, and is due to close in May 2017.[8] The LF through the PSPPD II, is a management and logistics facility, within the parameters of its support, facilitates the provision of opportunities for these inter-related results areas. A knowledge management and dissemination system has been established, and capacity building and training activities for both policy-makers and researchers are implemented through the entity.

To ensure the programme remains manageable and viable, scope of the programme is restricted to specific departments, albeit the focus of PSPP II is noticeably wider than it was in the 1st Phase. Phase I focused on the Presidency, DPME and the social sector departments and related agencies, such as the Human Sciences Research Council. In the second phase, the scope has expanded to include the Economic Cluster, which underscores the interplay between social and economic issues. The New Growth Path[9] document states 'the connection between economic and social measures needs to be further strengthened. In addition to their important social goals, basic and secondary education play a critical role in long-run equality...'. Thus in Phase II the Social Cluster[10] and the Economic Cluster[11] have been targeted and the number of provinces has been increased to four[12].

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[8] At the time of writing a no – cost extension is foreseen.
[9] New Growth Path 2010, Economic Development Department (EDD).
[10] Social Development (DSD), Health (DoH), Education (DoE) and Rural Development and Land Reform (DRDLR).
[11] Economic Development (EDD), Trade and Industry (DTI), Small Business Development (DSBD) and the National Treasury (NT).
[12] Limpopo, Eastern Cape, KwaZulu Natal and Gauteng.

2. PURPOSE AND SCOPE OF THE EVALUATION

2.1 Purpose

This review is a Mid-Term Review of a programme that started in 2012 and is scheduled to end in 2017. Nevertheless, despite conducting an assessment of the programme well past its mid-point, the global objective of the MTR remain relevant, namely: to provide decision makers in the South African government and the EU with sufficient information to make an informed judgement about the progress and performance of the programme (its efficiency and effectiveness), decisions about any required changes to the operational scope for the remainder of the operational implementation period, establish lessons learnt for future interventions, and to make recommendations for institutionalisation of the programme post-EU funding.

More specifically the objectives of the MTR are as follows:

- Based on the design of the programme, to assess the efficiency and effectiveness of programme implementation to date;
- To assess the prospects and conditions for successful delivery of the programme's log frame activities and results, and achievement of the programme purpose, and in addition identify innovative activities and processes that contribute to the programme purpose e.g. Stellenbosch University/DBE interventions;
- If deemed necessary, to provide recommendations for modification of programme implementation scope in order to support effective implementation and the achievement of the programme purpose, and to take account of lessons learnt for future interventions; and
- To assess the situation with respect to institutionalisation of the programme post-EU funding, and suggest viable options to maximise the likelihood of institutionalisation and sustainability of programme activities.

In order to realise these objectives, and satisfy the request of services provided in the ToRs, the specific questions the review addressed are listed in the table below.

Evaluation Criteria	What we need to know
Relevance	Is there a clear and convincing plan (e.g. Theory of Change, or Log Frame) with evidence and assumptions to show how the activities of the PSPPD will lead to its long-term goal?
	To what extent is PSPPD meeting the needs of targeted institutions?
	To what extent do stakeholders participate in the management and implementation of the programme?
	To what extent does the programme remain consistent with, and supportive of, the strategic priorities indicated in the MIP?
	To what extent is the PSPPD aligned to other relevant EC, SA Government, and donor programmes?
Effectiveness	To what extent is the PSPPD reaching targeted institutions in the two clusters the programme focussed on (i.e. the Social Cluster and the Economic Cluster)?
	To what extent has the PSPPD been effective in building capacity of policy makers to ensure EBPM?
	To what extent has PSPPD been effective in making knowledge available for policy makers?
	To what extent will the objectives of the PSPPD be (most likely) achieved?
Governance	To what extent are the programme management and coordination arrangements appropriate, including: - The extent to which the LF is integrated into the programme, and

Evaluation Criteria	What we need to know
	• The extent to which decision making is timely and appropriate.
	To what extent is the programme management producing quality operational work planning, and risk management?
	How effective has programme management been in producing quality information management and reporting, and keeping key stakeholders adequately informed?
	Are appropriate cost controls and activity financial management in place?
Efficiency	To what extent are the objectives of the PSPPD being achieved in a cost-efficient manner?
	To what extent is the programme management producing quality budgeting?
Sustainability	What steps have been to taken to institutionalise the PSPPD post- EU funding?
	What steps need to be taken to maximise the likelihood of institutionalisation and sustainability of programme activities?

2.2 Methodology and Approach

This section provides a brief overview of the methodology, the approach and the limitations of the evaluation. Full details of the approach used can be found in the Inception Report (February 2017). A rigorous use of mixed data sources and methods was undertaken. As planned, the approach included surveys, in-depth interviews, document review, and case studies. The review team would like to highlight the high levels of respondent fatigue that were encountered during the fieldwork, which may have implications for the pending final evaluation of this programme.

The evaluation approach maximized the use of available secondary information, in additional to collecting primary data by:

- Reviewing several hundred documents from PSPPD II;
- Surveying participants from the Evidence-Based Policy-Making and Implementation course and the Poverty and Inequality course (n = 48)[13];
- Surveying all Grantees (n = 18); and
- Conducting in-depth interviews, including 16/18 of the Grantees (n = 52, see Annex 2 for a full list of those interviewed).

The following limitations should be noted with regards to this review:

(i) Whilst a lot of the evidence pertaining to the PSPPD is based on internal documentation (such as minutes of meetings, monthly progress reports and so on), the review team, to the extent feasible, sought to triangulate these findings with external stakeholders;

(ii) The study did not provide an evaluation of the impact of PSPPD; nor did it provide a critique of the quality of the research outputs. However, where applicable, comment has been provided on the quality of outputs (such as on a sample of Policy Briefs[14], perceptions of the learning events and so on). Moreover, the survey instruments did contain certain questions which measured intermediate outcomes achieved to date by the PSPPD (e.g. the extent to which targeted government officials are utilizing the skills acquired through training to strengthen and improve policy making; and the extent to which these same officials are using the research and other evidence that has been shared with them to strengthen and improve policy making);

(iii) The review team had to spend considerable time compiling relatively basic monitoring data for the programme (e.g. calculating the total number of workshop participants, or counting

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[13] The full set of the responses to the three surveys can be found in the Evidence Annex, pp. 27 – 39.
[14] Questions relating to the Policy Briefs were included in the surveys, in addition in depth interviews with key stakeholders in government departments explored this issue further.

the total number of junior researchers who were supported by the research grants and so on), as this was not easily accessible from PSPPD's M&E reporting system. In other instances no monitoring data exists at all for certain interventions (such as the lack of regular website and social media metrics) thus making it very difficult to make a judgement about certain interventions.

3. RESPONSES TO QUESTIONS

In presenting the Review Team's response to each evaluation question (EQ), where applicable, reference is made to supplementary evidence. The supplementary evidence can be found in the Evidence Annex, which is Volume II of this report.

3.1 EQ 1: To what extent is the PSPPD relevant to the priorities and policies of those targeted (including the GoSA, public sector institutions, and the European Delegation)?

Summary response to evaluation question (see Evidence Annex, pp.3-10 for detailed evidence on this EQ)

The design of PSPPD II was and has remained relevant. In testing the internal logic of the programme, our assessment found the PSPPD II to be consistent with, and relevant to, the overall goal and objectives specified in both the Logframe and the Theory of Change for the programme. Moreover both provided a clear description of the results required to achieve the central purpose of the PSPPD.

The programming of the support to the PSPPD by the EU is highly relevant to the GoSA's objectives with regards to poverty eradication. Moreover, the programming shows strong alignment to the EU's strategic objectives in South Africa, which in turn complement the diagnostic overview conducted by the NPC in 2011 and the subsequent road map for improving the lives of all South Africans spelt out in the NPD. The EU's most recent MIP (2014 – 2020) echo's the intent of the NDP and commits the EU to providing support to the GoSA's stated aim of employment creation; education, training and innovation; and building the developmental state. In addition complementarity can be found between the objectives of the PSPPD and a number of development initiatives designed to ensure a capable state, in particular a state which ensures equitable and quality services are delivered to all South Africans, especially the most vulnerable. In terms of the extent to which the PSPPD has met the needs of targeted institutions, the review found that the programme has been relatively successfully in engaging targeted institutions in a variety of different ways in order to meet their respective needs. However, the team does believe more could still be done to engage targeted institutions from within the Economic Cluster.

3.1.1 JC 1.1: Is there a clear and convincing plan (e.g. Theory of Change, or Logframe) with evidence and assumptions to show how the activities of the PSPPD will lead to its long-term goal?

This Judgement Criteria (JC) sets out to test the internal logic of the initiative, and to illustrate whether or not the planned activities and outputs of PSPPD II are consistent with, and relevant to, the overall goal and the attainment of its objectives. Neither an exhaustive assessment of the Logframe nor of the programme's Theory of Change (ToC) were undertaken as this was neither specified in the ToRs, nor did it seem appropriate as the programme only has a few months to run. Nevertheless as the Evidence Annex (pp.3-4) illustrates, a number of observations have been made with regards to both the Logframe and the ToC.

With regards to the Logframe, the review team found it to provide a robust logic to the hierarchy employed and that on the whole the Logframe used the common practice of ensuring statements were SMART (i.e. Specific, Measurable, Achievable, Relevant and Time bound), albeit many of the indicators measure outputs rather than results. Nevertheless, the Logframe more than satisfied the 10 – point test we used to assess the quality of the Logframe (this included testing the formulation of statements used throughout the Logframe, the extent to which the indicators are verifiable, whether the probability of realisation of the assumptions is acceptable and so on).

Nevertheless, there are a few aspects of the Logframe that require attention before the end of the programme (which the Review Team understands will be undertaken, as specified in the Derogation Letter to the Delegation), namely:

- Result 1 makes reference to new knowledge being generated 'including, but not limited to NIDS', yet there is no indicator that specifically speaks to the contribution PSPPD is making with regards to its ongoing support and engagement with NIDS. We believe this is a significant oversight, bearing in mind that a wide range of activities support the use of NIDS data;

> **Championing NIDS**
> - Research grantees encouraged to use NIDS data
> - 5 of the 6 low value grants used NIDS data
> - NIDS panel data training from 2014 to 2016
> - Launch of NIDS Wave 4
> - Various NIDS seminars with key departments
> - Various NIDS campus visits

- Where applicable the data being collected for the indicators should be disaggregated. At present the Logframe does not, for instance, signal to what extent gender has been considered;
- Whilst the indicators speak, for instance, to knowledge being used and EBPM capacity contributing to a change in behaviour, they do not speak to the issue of the quality of outputs. It would be relatively straightforward, for example, to introduce a proxy measure for quality of research – namely the number of journal articles grantees publish in refereed journals;
- Consideration should also be given to introducing an indicator that speaks to the programme's strong commitment to building effective partnerships (a diverse range of examples can be seen in the work of the PSPPD such as the Inequality Research initiative, the Learning Exchange and so on);
- Certain aspects of the Logframe receive no attention in any of the PE Closure reports. Reasons for this include the fact that some of these issues have been dealt with as PSPPD I transformed into PSPPD II (e.g. there is now a National Evaluation Plan in place, which is updated annually) and also because the programme underestimated the availability of local skills to perform systematic reviews and the necessary resources required to do such a review. The programme will need to prepare a narrative explaining which aspects of the Logframe were overtaken by events, or not addressed, or not yet addressed[15].

In providing an assessment of the extent to which the ToC is fit for purpose and plausible, a three-point test was used, namely i) does the ToC make sense; ii) are the pre-conditions (domains of change) necessary and sufficient to achieve the intended impact; and iii) are there any gaps in the logic? As can be seen in the Evidence Annex (pp.4-5) the ToC was also found to be robust and relevant. Importantly, the ToC was found to build on previous work to analyse the context and the issues the PSPPD II will seek to influence. Moreover, the ToC is clearly based on analysing the approach successfully implemented by PSPPD I, with appropriate modifications as a result of a changing context and lessons learnt from the first phase of the programme. In addition, the ToC identified and sorted all the preconditions related to the ultimate outcome of interest into a pathway of change that moves linearly and chronologically towards the intended impact.

However, our assessment notes that Intermediate outcomes have <u>not</u> been sufficiently described in the ToC. Intermediate outcomes are needed to bridge the gap between the intended impact and the outputs, and should be as strong and robust as possible. At present, the ToC jumps from activities and outputs to long-term outcomes, with nothing in the middle/medium-term. Examples of intermediate outcomes include shifts in behaviour by policy makers with regards to evidence generated by researchers; and researchers and policy makers collaborating.

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[15] This issue was already raised in the first 1st 6-Month Interim Report of the LF as being a challenge, and is discussed further below with regards to risk management.

Our assessment also notes that the programme could do more to ensure closer alignment between the ToC and the Logframe, which in turn will strengthen both.[16] Examples of closer alignment include:

i.   Ensuring that the ToC and the Logframe have the same Impact Statement. Whereas the Logframe has a clearly stated goal, the Impact statement of the ToC is vague;
ii. Ensuring that the ToC has intermediate outcomes clearly identified (and these could simply be a rephrasing of the certain Purpose level indicators from the Logframe, e.g. Research generated by grantees has inputted directly into the policy process);
iii. Whilst the Logframe clearly signals the measures/indicators which will be used to assess progress (suggestions have been made regarding how they can be improved), the ToC is largely silent on tracking results and assessing progress. If there is closer alignment between the Logframe and the ToC, then the measurement of the Logframe's indicators could also provide the evidence to check and challenge assumptions, and test the logic of the ToC.

3.1.2   JC1.2: To what extent does the programme remain consistent with, and supportive of, the strategic priorities indicated in the MIP?

This JC seeks to verify the extent to which the strategic intent of the PSPPD remained consistent with the strategic objectives of the EU, and thus also the extent to which the EU objectives are aligned to those of the South African government. The extent to which the PSPPD design was and has remained relevant to the both the objectives of the Government of South Africa and the evolving objectives of EU cooperation can be seen in the fact that the relevant policy documents (including the NDP, the MTSF, and the applicable EU documents such as the MIP, CSP and the Financing Agreement) all emphasise the need to address poverty and inequality and propose steps to address this challenge (see Evidence Annex, pp.5-7).

It has already been noted that the diagnostic overview by the National Planning Commission (NPC) in 2011 identified the persistence of poverty, unemployment and inequality as the key challenges for South Africa, and that the NDP provides a road map to achieve improved living standards for all South Africans through raising employment, improving the quality of education, and building a capable state.

The 2014 – 2019 MTSF provides the framework within which the GoSA will operate to implement initiatives to tackle the challenges identified by the NPC. Moreover it specifies what government will do to achieve the 14 outcomes it is committed to delivering, including:

• *Outcome 4*: Decent employment through inclusive economic growth;
• *Outcome 12*: An efficient, effective and development orientated public service and an empowered, fair and inclusive citizenship.

In terms of the EU's strategy in South Africa, the EU has remained deeply committed to working with GoSA to reduce poverty, albeit this support has evolved in line with strategic policy shifts introduced by GoSA over time. Moreover, the relationship between the EU and GoSA has also strengthened into a global partnership. This is reflected in the signing of the EU-SA Strategic Partnership Agreement (signed in Brussels, 14 May 2007), of which there are only ten in the world for the EU. This was followed by a Joint Action Plan in 2007 as a forward-looking platform that facilitates the wide-ranging cooperation between the EU and South Africa.

Our brief assessment found that the EU's strategic priorities have remained consistent, closely align to the objectives of the South African government, and that the strategic intent of the PSPPD is supportive of the EU's strategic priorities, including those specified in both the 2007 – 2013 MIP and the 2014 – 2020 MIP. Moreover, the MIPs mirror the modification made by the

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[16]'While a Theory of Change helps people explore and articulate change and how it happens, Logframes can provide a way to describe the specifics of what a project will do' (James, 2013, p. 5).

GoSA in its efforts to combat poverty. Whereas the 2007 – 2013 MIP emphasises support to reduce poverty and inequality, the most recent MIP (2014 – 2020) endorses support to the NDP and commits to focussing EU support to three priority sectors of the plan (employment creation; education, training and innovation; and building the developmental state).

The Financing Agreement (FA) between the European Commission and the GoSA (signed in 2012) echoes the intent of the first MIP and the priorities of the NDP (and thus also can be seen to be closely aligned to the subsequent MIP, albeit the most recent MIP had yet to be finalised when the FA was signed). The FA specifies how the support will be implemented, and the necessary technical and administrative provisions for implementation. The FA also reflects strong alignment between the support of the EU and the strategic priorities of the GoSA, in particular with its strong emphasis on 'employment creation and the establishment of an efficient, effective and development orientated public service'.

The FA also spells out how the strategic priorities of the MIP will be enacted through programmes such as the PSPPD. In so doing the FA outlines how by improving evidence-based policy making and implementation on poverty and inequality at the national and provincial level, this will in turn contribute to a capable public service that has the means to improve policies, institutional capacity and administrative systems to reduce poverty and inequality. In turn this reflects the essence of the NDP, which align well with the aim of the PSPPD II:

> *'To address the twin challenges of poverty and inequality, the state needs to play a transformative and developmental role. This requires well-run and effectively coordinated institutions with skilled public servants who are committed to the public good and capable of delivering consistently high quality services, while prioritising the nations objectives' (NDP)."*

3.1.3 JC1.3: To what extent is the PSPPD aligned to other relevant EC, SA Government, and donor programmes

In the previous JC it was noted that a common theme running through applicable EU strategic documents is the aim to support the GoSA's efforts in promoting employment efforts, and building a capable state to improve the living conditions of all South Africans. The previous JC also noted the strong alignment between the priorities of the GoSA and the areas of support provided by the EU. In this JC we briefly explore to what extent the PSPPD is aligned to other initiatives supported by the EU.

Complementarity between the objectives of the PSPPD and other programmes can be observed at a number of different levels, especially as PSPPD is addressing horizontal issues, which by their very nature cut across multiple government sectors. Moreover, with its strong focus on poverty and inequality, PSPPD can be seen to complement a range of sector policy support programmes (such as the EU funded Primary Health Care Sector Policy Support Programme, and the Primary Education Sector Policy Support Programme) all of which have the stated objective of improving access to, and quality of, services being delivered to the most vulnerable South African communities.

At the sector specific level, examples of complementarity and relevance can be found between PSPPD and range of initiatives to strengthen the Public Service, examples include (for more detail see Evidence Annex, pp.7-9):

- EU funded Dialogue Facility;
- EU's support to the National School of Government through the *Public Service Training and Capacity Building Programme;*
- *Tirelo Bosah Public Service Improvement Facility* (supported by the Belgium Government);
- The Government of Canada funding a number of M&E capacity building initiatives in DPME through the *Building a Capable State Programme;*

- GIZ led Governance Support Programme which is strengthening the public service primarily in the provinces of Mpumalanga and the Eastern Cape;
- DFID supported Yaka Yiko consortium which supported the Department of Environmental Affairs embed and enhance an evidence - informed approach to policy making;
- Netherlands Government funding the Netherlands Organisation for Scientific Research strengthen research capacity in South Africa through the South African Programme on Alternatives in Development.

Whilst PSPPD II is aligned to the above listed interventions, in addition to complementing them, there is little evidence that these interventions worked together on any joint initiatives with PSPPD II. Whilst the issue of complementarity and joint initiatives is outside the ToRs of this review, the programme management should consider whether, for example, closer ties could be established with the new Dialogue Facility funded by the EU, which may have some benefit in helping to maintain the legacy of the programme once PSPPD II closes.

3.1.4 JC1.4: To what extent is PSPPD II meeting the needs of targeted institutions?

The OECD DAC's definition of relevance includes examining 'the extent to which the aid activity is suited to the priorities and policies of the target group'[17]. It has already been noted above the extent to which the PSPPD is suited to both the priorities of both the GoSA and that of the EU in its provision of support to programmes implemented by GoSA. In this JC we assess the extent to which the programme met the needs of targeted institutions.

For the purposes of answering this JC we will simply focus on those institutions listed in the Logframe, albeit the programme has in fact worked with and addressed the needs of a far wider range of institutions (we will return to this point below, and see Evidence Annex, pp. 9-10 for a full list of events delivered by the programme to a range of departments far wider than the targeted institutions), namely:

- DPME;
- NPC (an entity of DPME, within the Planning Branch);
- Two departments in the Social Cluster;
- Two departments in the Economic Cluster.

The following table briefly summarises some of the actions the PSPPD supported within the targeted institutions, and in so doing it illustrates the wide range of support that PSPPD provided to institutions with which it engaged.

Institution	Examples of Engagement/Support provided by the PSPPD II
DPME	- NIDS Panel Data training for DPME Staff - EBPM and Implementation training for DPME staff - Poverty and Inequality Course
NPC (an entity of DPME)	- Support provided to development of NPD (e.g. PSPPD grantees provided research findings used in Education Chapter) - NIDS support (multiple activities – including Panel Data Training, launch of NIDS Wave 4
DSD (Social Cluster)	- ECD Study Tour to Chile and Sweden - ECD interventions in E Cape and KZN - ECD Roundtable - NIDS seminar with DSD - Dialogue on Violence against women - Launch of the Child Gauge

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[17] See http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm for more details.

	• Policy Brief: Family contexts, Child Support Grants and child well-being outcomes
DBE (Social Cluster)	• ECD Study Tour to Chile and Sweden • Learning Exchange between DBE Research Department and the University of Stellenbosch (ReSEP, under Professor Servaas van der Berg
DSBD (Economic Cluster)	• Rapid review for Ministry of Small Business Development • UK study tour • Research Report: The SMME Sector in South Africa: Profile and overview of sources of data
DoL (Economic Cluster)	• Policy Brief: Job Counselling, Productivity signals and Employment

It is noticeable from the table above that the PSPPD was less successful in engaging targeted institutions in the economic cluster than it was with the institutions in the social cluster. That is not to say there was no engagement. The PSPPD did conduct initiatives that were specifically focussed on relevant departments in the economic cluster (such as the rapid review and the study tour for staff of the DSBD), and many members of departments in the economic cluster took part in a myriad of PSPPD capacity building initiatives. Moreover, the PSPPD did attempt to engage with targeted departments in the economic cluster, including ensuring that representatives from the cluster were part of the PSC.

Interviews with relevant stakeholders suggest a range of possible reasons for the difficulties the programme had with engaging with targeted departments in the economic cluster. Reasons given included:

- PSPPD I had focussed primarily on the social sector, hence the programme already had a longstanding relationship with this sector and were thus able to leverage this during PSPPD II;
- The language used by PSPPD tends to speak to issues of social protection, social networks, livelihoods, and so on whereas departments in the economic cluster 'approach poverty and inequality very differently, and speak the language of inclusive economic growth, fiscal policy, the labour market, trade policies and so on. It is quite possible the departments in the economic cluster could not make the right connection to the programme'.

As part of our recommendations at the end of this report, we recommend that the programme should reinitiate efforts to promote EBPM within the economic cluster. In this regard, PSPPD should continue to build on the work they have done with others in DPME in conducting a mapping exercise on the scope of evidence within the DPME economic cluster. The results of this mapping exercise may provide pointers as to how best to conduct EBPM advocacy efforts in the cluster.

3.2 EQ 2: To what extent is the PSPPD being effective in meeting its expected objectives?

Summary response to evaluation question (see Evidence Annex, pp. 11-17 for detailed evidence on this EQ)

The PSPPD has been largely effective in its dual aim of building capacity of policy makers and making knowledge available to policy makers. Evidence gathered speaks to the high regard policy makers have for the programme, and the way policy makers are using EBPM in their respective departments. The review team have identified a wide range of examples of EBPM being applied at both national and provincial level. With regards to making knowledge available to policy makers, the programme has not been quite as effective. On the one hand the building of

partnerships between researchers and policy makers has been hugely successful (and this has led to the substantial exchange of information), on the other hand the sharing of knowledge via a repository and/or database has been less successful. Nevertheless, it is highly likely that the objectives of the programme will be largely achieved, especially as most outstanding issues are currently being addressed (for instance the knowledge repository has already been significantly overhauled since this review began). Where likely shortfalls are to occur (primarily under KRA 1, with regards to REAs and Systematic Reviews) the PCU must provide an appropriate narrative in order to explain why the programme design may have been over ambitious in this regard. However, this narrative must be counterbalanced by noting that in many areas the programme has delivered way and beyond what was originally planned.

3.2.1 JC2.1: To what extent has the PSPPD been effective in building capacity of policy makers to ensure EBPM?

Whilst a MTR cannot be expected to determine the impact of an intervention, it is perfectly reasonable to expect it to make a judgement regarding the efficacy of the delivery. Thus this JC examines the extent to which PSPPD was effective in building capacity, especially with regards to EBPM. Two aspects of efficacy are explored, namely whether the programme delivered what was expected in terms of capacity building and whether capacity was actually built.

With regards to the programme delivering what was expected, the review team found that the programme has over delivered. As the evidence illustrates (Evidence Annex, pp.11-12) the LF had expected to only provide logistical support to approximately 23 types events, whereas in the period under review it delivered more than twice as many (and this number will continue to increase before programme closure). Moreover, the review team's own survey identified 31 discrete instances of where respondents reported they had been implementing knowledge acquired during a capacity building event provided by PSPPD II (see Evidence Annex, pp. 12- 14 for details).

In terms of whose capacity was built, the review team found that the programme is building capacity of the right people. It was mainly policy makers who attend the flagship training events. For instance, of the 224 participants who attend the EBPM & I training courses, 63% were executive managers (n = 7 DGs, 61 DDGs, and 74 Chief Directors). Furthermore, as noted below, what the majority took out of the course and actions they subsequently took suggests that the right people were targeted for the programme.

In terms of whether capacity was built, the review found that the training was well regarded by participants and that they believed that the training had been of value. This finding is supported by the review team's own survey, as illustrated above, in addition to the discrete assessments conducted by the programme at the end of each learning event. With regards to those respondents who had done the EBPM&I course, all rated the course either very favourably (53%) or favourably (47%). Of those who had done the P&I course, 88% of participants rated it either very favourably (59%) and favourably (29%). The research grant, albeit not strictly capacity building, was rated similarly highly (39% rated it very favourably, and 54% favourably).
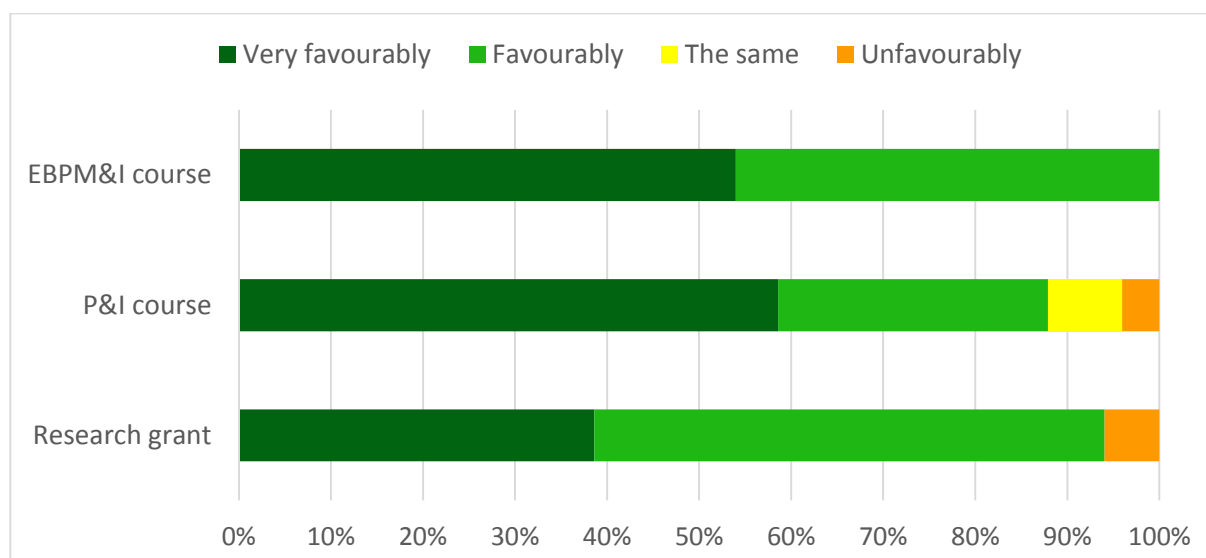
Figure 1: Rating of PSPPD II, by survey (Source: own survey)

In terms of whether the programme had advanced knowledge with regards to EBPM, the survey respondents are largely of the view that it had (see Figure below). Of those who had been on the EBPM&I course, 95% either agreed (64%) or strongly agreed (32%). Respondents who had been on the P&I course also were in agreement (33% strongly agreed, and 52% agreed). With regards to grantees, 61% agreed with the statement, and a further 33% strongly agreed.
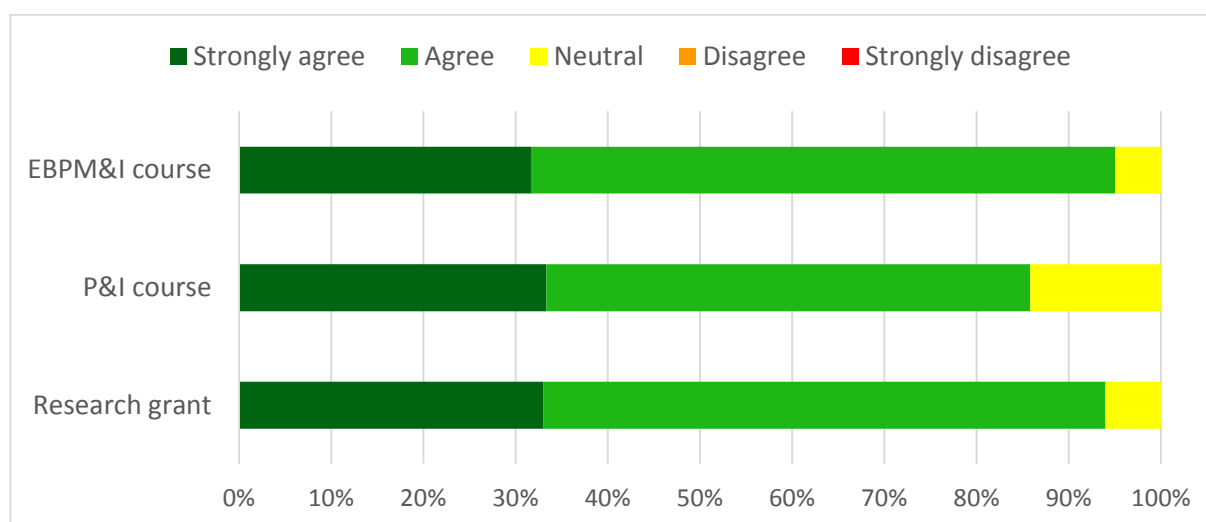
Figure 2: Percentage of respondents who agree that PSPPD II 'has considerably advanced the state of knowledge', by survey (Source: own survey)

3.2.2   JC2.2: To what extent has PSPPD been effective in making knowledge available for policy makers?

A key objective of the programme is to extract evidence and insights from research to inform policy makers. Thus this JC is aimed at assessing to what degree the programme has been effective in making knowledge available for policy makers. Three aspects of 'making knowledge available' were considered, a) the act of bringing policy makers and researchers together to share knowledge; b) the dissemination of knowledge through multiple channels such as the website, policy briefs and so on; and c) the storage of the knowledge in a repository, and the subsequent access to this knowledge by policy makers.

Firstly, with regards to bringing researchers and policy makers together to both produce and utilise knowledge has been a major success of the programme. As was noted previously the programme emphasises partnerships, and the review team found evidence of a range of partnerships which the programme had facilitated. These partnerships had in turn led to making knowledge available for policy makers (see Evidence Annex, pp.14-16. for an illustrative list of policy makers collaborating with researchers). Information gleaned from the grantees suggests that at least 10/18 grantees have interacted in a meaningful way with policy makers. In addition, the dissemination workshops where grantees shared insights with policy makers have been found to be successful in making policy makers aware of relevant research findings.

> **ECD in the Eastern Cape: A multiplicity of interventions to drive the process**
> - Various strategy meetings with partners (national, provincial and service providers)
> - ECD roundtable with DSD, DoH, DBE and researchers
> - ECD Study Tour to Chile and Sweden with DPME, DSD, DoH & DBE
> - HSRC policy dialogue
> - Innovation Edge stakeholder meeting on ECD
> - Workshop on mapping departmental ECD data
> - National DSD meeting with ECD input from Eastern Cape

Moreover, the sharing of knowledge via interactions between researchers and policy makers has been considered relatively beneficial to all parties, as the following graph illustrates based on the survey data (78% of grantees, 72% of respondents from the EBPM&I course, and 60% of those from the P&I course all agreed with this sentiment).

Secondly with regards to the dissemination of knowledge, the programme has had mixed success with this. With regards to the website, and other social media, the programme appears to have been relatively active, but as a result of failures within the Learning Facility, it has failed to collect comprehensive longitudinal metrics on the extent to which policy makers and other stakeholders have logged onto the website, opened newsletters sent electronically, read tweets and so on. It is therefore not possible to postulate on the extent to which policy makers are accessing this knowledge.
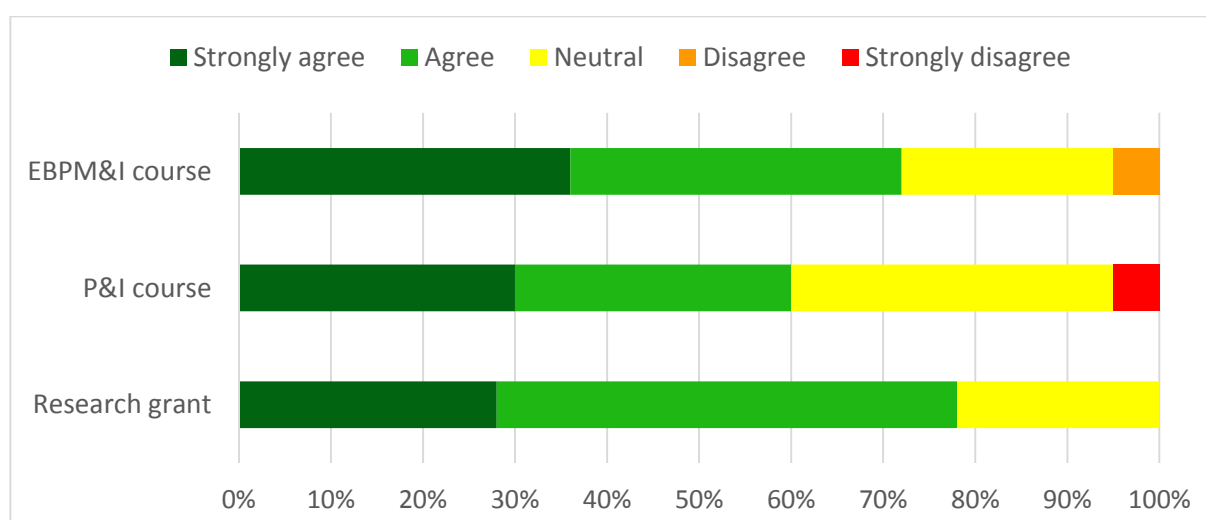
Figure 3: Percentage of survey respondents who agree with the statement that 'interaction between researchers and policy makers has been mutually beneficial, by survey (Source: own survey)

However, the survey data and interviews do suggest that the preparation and dissemination of policy briefs has been an effective means to share evidence with policy makers. Moreover, the

review team conducted its own rapid assessment of a sample of Policy Briefs (8 in all) to test to what extent they met good practice internationally, in terms of content and format.

Our review confirms what respondents had shared with us, and that is that the briefs are generally of a very high standard. The following table summarises our overall assessment of the briefs.

Department of Small Business Development
- PSPPD II conducted a REA of relevant policies, strategies and laws affecting small business development in South Africa
- REA identified key challenges to small business development, and proposed a series of amelioration measures DSBD should prioritise (including SMMEs)
- PSPPD II supported a study tour to the UK so that DSBD & Stats SA officials can learn from UK experience regarding longitudinal surveys of small businesses
- DSBD with Stats SA will now conduct a SMME longitudinal survey in SA to provide a detailed picture of type and structure of support necessary to support the small business sector

Criteria	Findings
Do the Policy Briefs address a clearly focussed question/ issue, and thereby frame the problem adequately?	Policy Briefs reviewed all focussed on a specific issue, and framed the problem succinctly
Do the Policy Briefs explain why the brief is of relevance to the targeted policy makers?	Policy Briefs provided a concise explanation as to why the respective research questions were relevant to policy makers
Is the data presented credible, and do the Policy Briefs clearly describe the methods used to collect the data and describe how a systematic way was used to analyse the data?	Methodology/ approach is described when applicable. All information sources are referenced. Data provided in the reports is a mix of primary and secondary data and it is cited rather than analysed, which is arguably appropriate for the manner in which it is being used
Do the briefs describe how the conclusions were arrived at and how they are justified by the results?	Conclusions or solutions are based on the information cited in the report and are typically shared as key lessons from the research, from which appropriate recommendations have been derived
Does the Policy Briefs provide practicable recommendations?	Almost all the Policy Briefs have a section that summarises the key policy recommendations that can be drawn from the research
Is the presentation of the Policy Briefs appropriate to the intended audience and of sufficient quality?	Well structured, with clear signposts and frequent use of relevant graphics Most studies reviewed were typically between 4 to 6 pages. Policy Briefs typically provided a succinct and concise summary of the findings, and were highly readable and largely well laid out. Usefully, some Policy Briefs provide recommendations for different targeted audiences (e.g. Policy makers, implementing agencies and so on)

Thirdly, with regards to making knowledge accessible via a repository the programme has had mixed success, primarily as the result of the Learning Facility failing to deliver early on what was expected. Whilst the programme's own repository (http://psppdknowledgerepository.org/) has been significantly updated and made fully functional in the period during which the MTR has been conducted, the programme is now faced with ensuring it remains fully functional after the funding for PSPPD II ends.

As the repository stands at present, it is a remarkable collection of relevant documentation and it provides a wide range of relevant documents that include:

- The 5 key themes of the programme;
- Research outputs of grantees;
- NIDS based research;
- Policy Briefs;
- Case Studies;
- Systematic Reviews;
- REAs;
- Newsletters.

Steps have recently been taken to ensure that this important legacy is retained. The most recent LF progress report (6th 6-Month Report, p.10) indicates what is intended, namely that there has been

> **Website Saga**:
> **Four websites** have been designed developed and activated since 2014.
> - The original PSPPD website was upgraded in mid-2014 and taken down at year end because of issues regarding payment
> - The LF website was fully developed in 2015
> - A new PSPPD site was created in the place of the one that had been taken down due to non-payment in early 2016
> - A third PSPPD branded website was created at the end of 2016 that merged the independent LF site with the second PSPPD site, which entailed an entire further design, development and activation

a shift from the emphasis on a PSPPD knowledge repository being adopted in its entirety towards one where various components of the PSPPD repository can be incorporated into the existing repositories of selected partners. Additionally, the structure of the PSPPD repository is being explored with respect to its compatibility to the existing repositories of partner institutions. Concrete actions are being formulated for supporting the incorporation of relevant components within the repositories of UCT's Poverty and Inequality Initiative; HSRC PAN Children and also potentially within DPME.

3.2.3 JC2.3: To what extent will the objectives of the PSPPD be (most likely) achieved?

As the table in the Evidence Annex (pp.16-17) demonstrates, PSPPD II have been effective in meeting nearly all its objectives, and that there is a strong likelihood that it will likely achieve all but a tiny proportion of its objectives. With regards to what the programme was expected to deliver, the review team note the following:

- In terms of the programme's purpose, PSPPD II has exceeded ¾ of the targets it set itself. The programme has witnessed the institutionalisation of EBPM systems within DPME, at least 10/18 of the grantees have generated research which has inputted directly into policy processes, and more than double the expected number of junior researchers (doctoral or post-doctoral) successfully participated in the research grants. The only area of underperformance has been with regards to the Economic cluster, where interactions have not been as successful as in the Social cluster;
- In terms of KRA I the programme exceed the targets set with regards to the number of research grants awarded and the number of research studies commissioned. The programme did not deliver all that it intended to deliver with regards to REAs and Systematic Reviews (albeit there is a compelling narrative as to why this was not achieved);

- In terms of KRA II, the programme far exceeded what was expected. A remarkable number of key stakeholders have been exposed to EBPM, and a large number of policy makers and researchers have enhanced their skills as a result of the programme;
- With respect to KRA III the programme initially struggled as a result of the Learning Facility not delivering what was expected, but systems are now being put in place and there is still sufficient time to ensure that a repository will be retained and maintained to help secure the legacy of the programme;
- With regards to KRA IV, the MTR team has found the programme to be generally effective and efficient, despite having to overcome significant organisational and structural challenges.

3.3 EQ 3: To what extent is the PSPPD II appropriately managed and governed?

Summary response to evaluation question (see Evidence Annex, pp. 18 - 26 for detailed evidence on this EQ)
The review found that the institutional structures and processes governing the programming and implementation of PSPPD II were found to be generally conducive to ensuring that the PSPPD is both effective and efficient. Most elements (such as a steering committee, staffing, administrative procedures, guidelines, organisation, management) are in place to deliver the programme. Moreover, decision making has been largely timely and appropriate within the PCU (e.g. the swift decision by the Programme Manager to replace KEs in the LF during the Inception Period when they were deemed unsuitable). Nevertheless challenges encountered with implementing the CfP I (a process that took 24 months) did have an impact on efficiency.
With regards to monitoring of results, the review found the system to be weak, and that reporting is compliance-based rather than results-orientated. Moreover, reporting against risk was also found to be weak.

3.3.1 JC3.1: To what extent do stakeholders participate in the management and implementation of the programme?

Participation in the management and implementation of the programme, which this JC focuses on, is important for a number of well understood reasons, including issues of transparency, accountability, relevance, legitimacy, ownership, sustainability and so on. Whilst in general stakeholders do not actually manage the programme (other than through active participation on the steering committee), it is clear that the PSPPD worked extensively with a wide range of partners to implement the programme.

Respondents who had participated on both the PSPPD I Project Steering Committee (PSC) and the PSC for PSPPD II all noted the extent to which the PSC for the 2nd Phase was 'more inclusive', 'involved more stakeholders, especially from the provinces', and that 'discussion was more strategic, and less focussed on administrative issues'.

A scan of the PSC minutes (see Evidence Annex, pp.18 - 19) supports these findings, in particular the observation that the PSC for the PSPPD II focussed on more strategic issues and had largely shifted away from focussing on administrative and operational issues. Common topics discussed at PSC meetings included not only progress report updates (from both the PCU and the LF), but the PSC also engaged with a number of relevant issues to the programme such as NIDS, evaluations and use of evidence, ECD policy, and findings from several research grantees.

The minutes of the PSC also reflect the wide diversity of stakeholders who attended the PSC, including the representatives from the donor (Delegation of the European Union of South Africa), representatives from both DPME and the NPC, representatives from the four targeted provinces (Gauteng, Limpopo, Eastern Cape, and KwaZulu Natal), representatives from the targeted institutions in both the Social and Economic Cluster (such as DSD, DBE, DTI, DoH, and

National Treasury), representatives from partner institutions (such as the HSRC, SALDRU, Statistics South Africa), in addition to representatives of formerly disadvantaged Higher Education Institutions (such as the University of Venda and the Nelson Mandela Metropolitan University).

From the perspective of what is commonly understood with regards to a project steering committee, the PSC for the PSPPD II is in line with common practice. As the name suggests a steering committee steers a project or a programme through from start to finish. Typically it is chaired by the owner of the programme (in the case of the PSPPD PSC a DDG or acting DG of DPME chaired the meetings), and the objective of the committee is to provide oversight and guidance regarding both implementation and the delivery of expected outcomes (it has already been noted that the PSC regularly commented on the strategic direction of the programme, in addition to receiving progress reports from both the PCU and the LF).

Moreover, a steering committee is not there to merely receive a report on progress and record the minutes, but rather it is expected to ask searching questions, and be able to assess the quality of the answers received from the management of the programme. In addition, steering committee members are expected to also comment on matters such as whether the progress of the programme is on plan, what the priorities should be, provide advice (particularly with regards to strategic direction of the programme) and also address any issue which has major implications for the programme. To a large extent the PSC did fulfil many of these functions. For instance, management of the programme were at pains to brief the PSC on issues related to strategy (including presenting the strategy for the programme to the PSC for debate), and regularly updated the PSC on issues of operational significance (such as the delays encountered with CfP I, and the lengthy tender process for the Learning Facility). Moreover, the minutes of the PSC also reflect that the PSC have provided an appropriate level of scrutiny and provided advice on a number of issues (such as the need to promote junior researchers from the HDIs), and that the PSC, when applicable, also requested the Manager to provide committee members with additional information (such as sharing ToRs, or sharing other programme related documentation) to allow them to perform their duties fully.

Nevertheless, the review team has noted a few reservations about the efficacy of the PSC. Firstly, a common theme in a number of the early meetings was the confusion certain members felt about their roles and responsibilities on the PSC. Certain members were of the view that they should also be making decisions rather than just providing steerage. This matter was eventually resolved, but should have been addressed in the very first meeting of the PSC. Secondly, attendance at the meeting was erratic by certain representatives. Although this did not hinder the working of the PSC, it did effect continuity. For instance, the management of the programme did have to repeat issues and/or revisit issues for those who did not attend the previous meeting. Moreover, it may have been prudent if there had been a proper induction process for PSC members at the outset (albeit this was delivered to an extent by the PCU hosting a strategy workshop with PSC members)

With regards to stakeholders participating in the implementation of the programme, the FA spelt a clear plan of action (p.29). Result Area 3 (specified in the FA) notes that the programme will 'work with key stakeholders to identify institutional mechanisms to improve the use of evidence to inform policy-making and implementation'. Moreover the FA provided a list of indicative activities that includes 'stakeholder liaison and facilitation', and 'scoping and diagnosis work with target partners'.

The Strategy for the PSPPD II, and shared with key stakeholders such as the PSC, embraces the notion of 'strategic partnerships' and commits the programme to building on the success of Phase I by building 'relationships across government and academia' (PSPPD, 2014, p. 12). The following table provides examples that illustrate the extent to which the programme engaged

with stakeholders in many different and innovative ways to implement components of the programme, redress gaps in existing knowledge, promote networking and so on.

Partner	Role in PSPPD II
Graduate School of Development Policy and Practice (GSDPP), UCT	• Implemented the EBPM & I course, and the Poverty and Inequality Course
HSRC	• Joint work between the Research Use and Impact Assessment Unit and the programme • Collaboration between the programme and Policy Action Network which, in conjunction with UNICEF, has a knowledge hub with regards to children
Children's Institute	• Launched several annual Child Gauges with PSPPD support • Supported a range of
SALDRU	• Implementation Agency for the NIDS Panel study • Supported NIDS training courses • Launched Wave 3 and Wave 4 with PSPPD support
SALDRU, DPRU and MISTRA	• Produced 5 seminal papers on key aspects of South African inequality, in addition to an annotated e-bibliography (which takes stock of existing research on inequality in South Africa), policy briefs and policy engagements

Other examples of a myriad of other stakeholder engagements performed by the programme include:

The Programme Manager visiting individual PSC members in the four targeted provinces (representatives of the respective Offices of the Premier), visiting HDIs represented in the Programme (such as the University of Fort Hare, the University of Venda) and also sitting on a number of advisory boards/steering committees of initiatives aligned with the objectives of the PSPPD II (such as being on the steering committee of the PAN network):

- The TL of the LF visiting multiple stakeholders as part of the LF's Needs Analysis,
- The Research Manager regularly visiting all grantees to check on progress,
- The PCU conducting a wide range of public consultations and information sessions regarding the Call for Proposals across South Africa[18].

Inequality Research
- 3 agencies worked together in a symbiotic partnership
- 2 established units (SALDRU and DPRU) an emergent research agency (MISTRA)
- Drew on each other's strengths, e.g. MISTRA's work on social cohesion, and SALDRU's expertise with NIDS to produce the 5 seminal research papers
- All 3 agencies leveraging this relationship to explore further collaboration

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[18] Closure Report for PE 3 notes that a total of 141 attended the information sessions for CfP II (April 2015, p. 9).
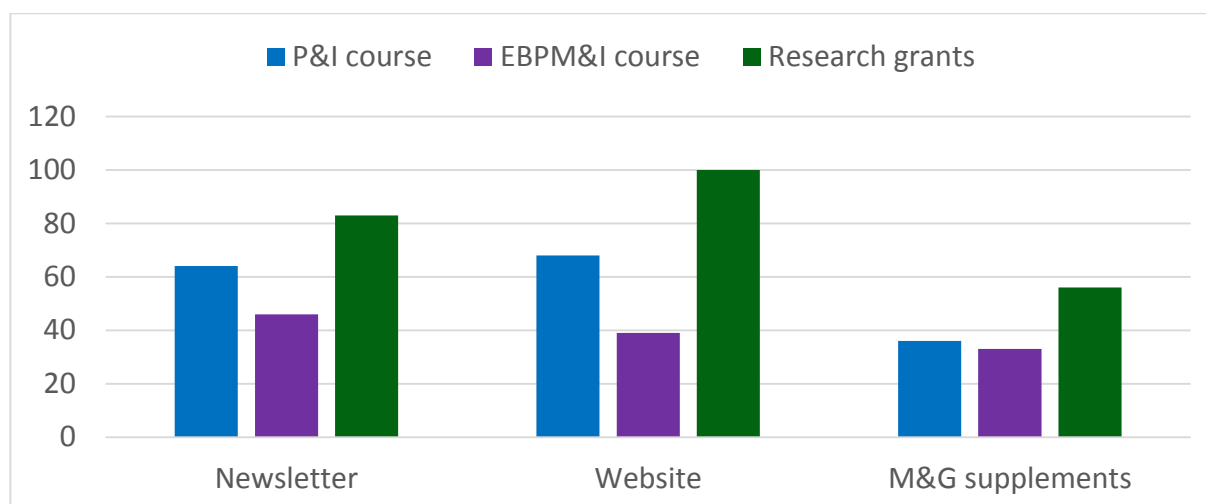
Figure 4: Use of material produced by PSSPD II, by survey respondents (Source: own survey)

One area where stakeholder engagement has not been as successful was in making stakeholders aware of the multiple media sources used by the programme. A number of stakeholders interviewed were ill informed about different aspects of the programme. For instance, several grantees were unaware of the LF, and as the graph above illustrates stakeholders who participated in the survey were not uniformly engaging with, for example, social media, newsletters, the programme's website and so on.

3.3.2 JC3.2: To what extent are the programme management and coordination arrangements appropriate?

This JC first looks briefly at the programme manage and coordination arrangements, before looking more specifically at two aspects of these arrangements, namely:

- The extent to which the LF is integrated into the programme; and
- The extent to which decision making is timely and appropriate?

Overall, the management structure and the manner in which the programme was coordinated were found to be largely effective. Appropriate human resources, management processes and structures within the PCU all appear to be operating effectively, albeit the PCU team is relatively lean (it is made up of the Programme Manager, Finance and Procurement Manager, a Research Manager, and the Project Administrator). Within the PCU the turnover of staff has been relatively minimal, and only the Research Manager has been replaced during the 2nd Phase. Importantly, various staff of the PCU, including the Programme Manager, were retained from the 1st Phase which meant there has been minimal loss to institutional memory, and importantly there were no delays associated with the PCU during the Inception Phase (in mark contrast to the delays PSPPD I encountered). Where delays were encountered during the Inception Phase, and beyond, they were to do with the start-up of the Learning Facility (discussed below).

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┌─────────────────────────────┐
│   National Planning Commission │
│        The Presidency          │
└─────────────────────────────┘
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┌─────────────────────────────┐
│  Programme Steering Committee  │
└─────────────────────────────┘
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┌─────────────────────────────┐
│    Chief Financial Officer     │
│        The Presidency          │
└─────────────────────────────┘
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┌─────────────────────────────┐
│   Programme Coordination Unit  │
│   •  Programme Manager         │
│   •  Programme Administrator   │
│   •  Finance & Procurement Manager │
│   •  Research Manager          │
└─────────────────────────────┘
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┌─────────────────────────────┐
│        Learning Facility       │
│   •  Team Leader               │
│   •  Training Manager          │
│   •  Logistics Officer         │
└─────────────────────────────┘
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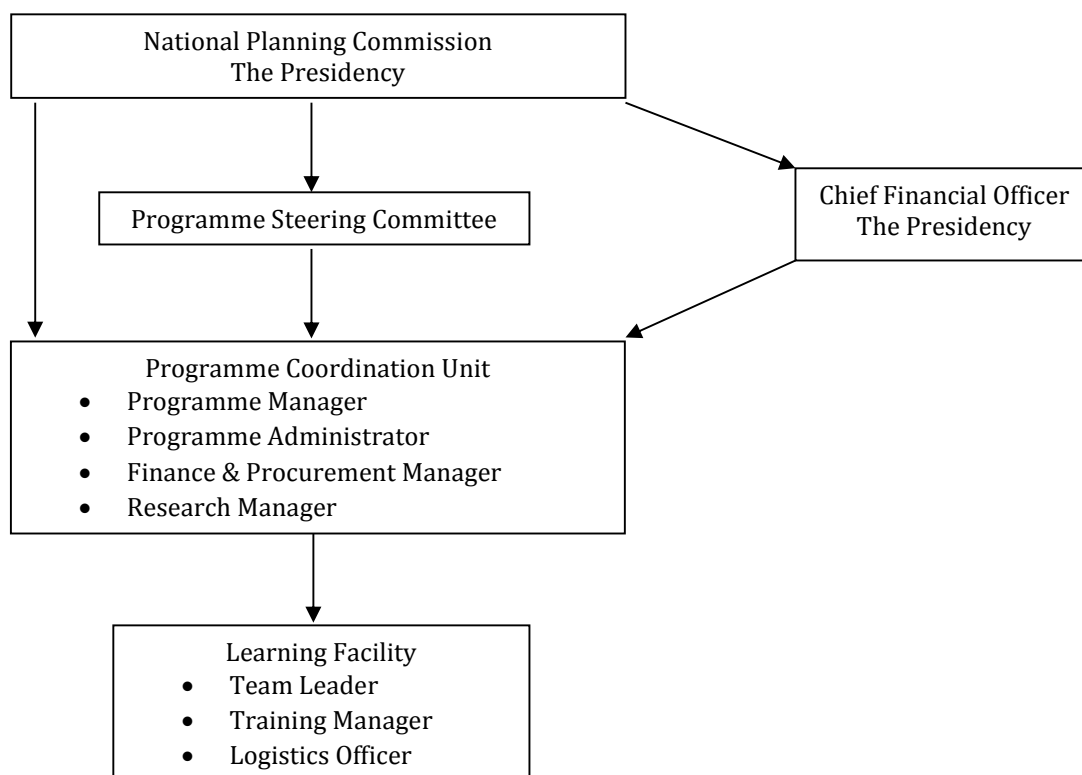
As noted above the PSC has been largely successful in its role, and has undoubtedly contributed to coordination arrangements of the programme. The main challenge, with respect to coordination, has been the transfer of the programme from the Presidency to the NPC and then to the DPME, yet even this was well managed and did not interfere with the management or the implementation of the programme (albeit a rider was necessary to sanction this transfer). The coordination of the programme can be seen in the illustrations the two organograms. In the one above the PCU was reporting to the NPC, (up until mid-2015) in the one below (as the programme currently operates, instituted from the 2nd half of 2015) it reports to the Planning Branch, within DPME.

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┌─────────────────────────────────────┐
│  Department of Planning, Monitoring and │
│    Evaluation (DPME), Planning Branch  │
└─────────────────────────────────────┘
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┌─────────────────────────────┐
│  Programme Steering Committee  │
└─────────────────────────────┘
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┌─────────────────────────────┐
│    Chief Financial Officer     │
│          The DPME              │
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┌─────────────────────────────┐
│   Programme Coordination Unit  │
│   •  Programme Manager         │
│   •  Programme Administrator   │
│   •  Finance & Procurement Manager │
│   •  Research Manager          │
└─────────────────────────────┘
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┌─────────────────────────────┐
│        Learning Facility       │
│   •  Team Leader               │
│   •  Training Manager          │
│   •  Logistics Officer         │
└─────────────────────────────┘
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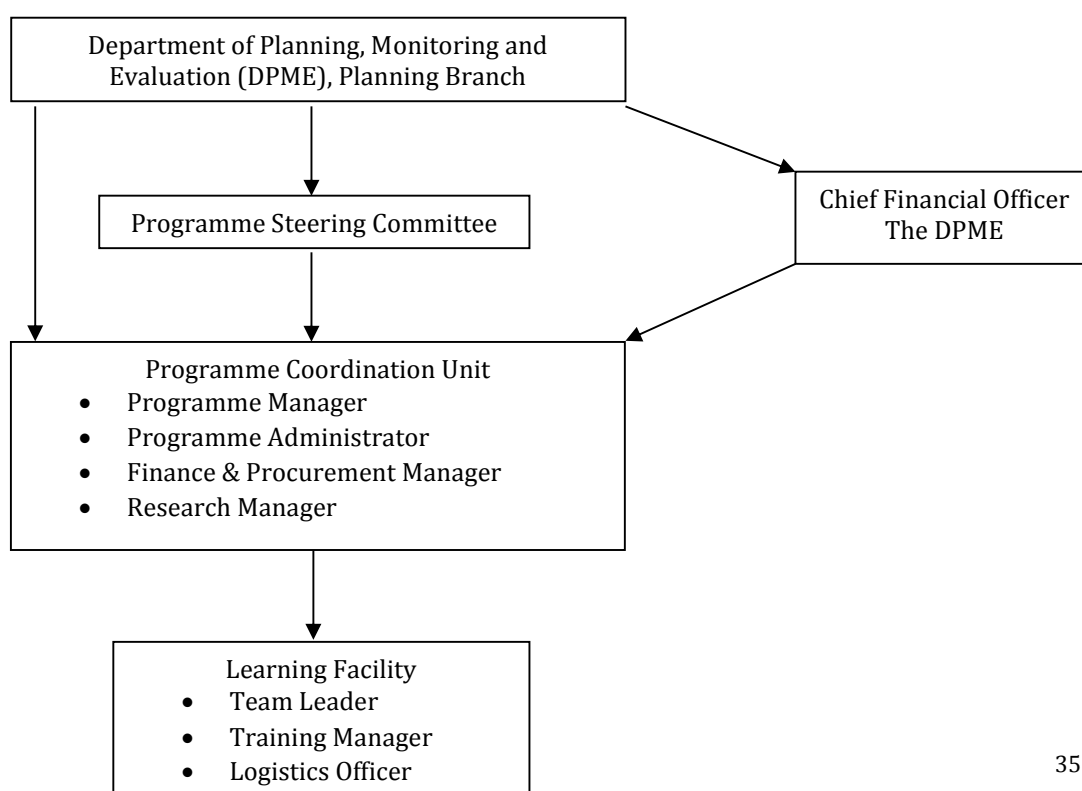
Interviews with a range of key stakeholders, and the survey data confirm the perception that the programme was well managed. Grantees, for instance, were of the strong view that the management team addressed problems in a timely and appropriate manner, and all but two grantees felt comfortable in approaching PSPPD if a problem arose. Moreover 16/18 grantees reported that they were in regular contact with the programme, which they felt was appropriate. Nevertheless, there were instances where decision making was not timely, albeit due to circumstances beyond the Programme's control. The CfP I process, for example took 24 months to fully implement (partially as a result of the EU's PRAG changing during the process, which required a resubmission of the Tender dossier and so on). However, the PCU did learn from the process, as demonstrated by the fact that the CfP II process was concluded in 9 months.

What the organogram depicted above belies is the extent to which the structure of the programme contributed to a misalignment between the PCU and the Learning Facility, which undoubtedly undermined effective integration. There are a number of structural issues which the Programme struggled with. Common issues raised by respondents in this regard included (for further detail see Evidence Annex, pp.19 – 20):

- The considerable delays associated with the International Tender (including challenges encountered during contracting);
- The unsatisfactory Inception Report prepared by the original TL of the LF, which ultimately led to the LF being without a competent TL until July 2015 (nearly two years into the life of PSPPD II);
- The fact that the LF was housed some distance from the PCU's offices in the Union Buildings (contrast this with the 1st Phase, where a similar facility was in the adjacent office to the PCU, within the HSRC building);
- The part time nature of both the TL and KE2, and the fact that the LF was only fully staffed for about half its operational lifetime (in addition to the Facility falling under 3 different Project Directors of the managing contractor over a 3-year period);
- The ToRs for the LF signalled key results areas, which the LF systematically reported against, yet these Result areas were worded differently to the Result areas of the programme and were numerically listed in a different sequence to the PSPPD II Logframe;
- Ongoing confusion over the branding and marketing of the LF– such as the separate website for the LF (different to the programme's website), the creation of a new Newsletter (as opposed to continuing the newsletter from the 1st phase).

Whilst it is outside the ToRs of the MTR to conduct a full analysis of the breakdown between the PCU and aspects of the LF, it is nevertheless important to note that the structural issues mentioned above were likely to create a challenge in any programme. Both the Paris Declaration (2005) and the Accra Agenda for Action (2008) place strong emphasis on strengthening and using partner country systems. Globally, development partners have largely moved away from Programme Implementation Units (PIUs), such as the one the LF is modelled on, as they have primarily been seen to have high and indirect costs, have a propensity to develop into parallel organisations, can dilute partner country ownership, and have a tendency to promote capacity substitution as opposed to capacity development.

In theory, the LF may have been able to overcome the structural challenges if it had stuck to the roles and responsibilities specified in the ToRs (p.7), namely that the LF 'will provide focussed delivery across the results of the PSPPD Phase II through:

- Support for the project cycles as per Programme Estimates (conceptualisation, implementation, documentation, monitoring and evaluation) which build the learning and knowledge platforms intended under the PSPPD Phase II;
- Provision of event management and logistical support for the Results and Activities of the inherent in the implementation of the PSPPD Phase II;

- Work with key stakeholders to identify institutional mechanisms to improve the use of evidence to inform policy – making and implementation relevant to key themes, viz DPME/NPC, Limpopo Research Forum, provincial M&E units, national dept policy/strategy units, evaluation policy and systems, KM systems in government, HSRC and its policy Action Network (PAN), SALDRU at UCT and other universities.

Whilst the LF was very successful in fulfilling its main purpose of 'event-management and logistical support services for the PSPPD' and in providing 'appropriate short to medium service contracts' (p.7), it was outside of these functions where challenges arose. Challenges which contributed to the lack of any meaningful integration between the PCU and the LF. Several points can be made in this regard:

- Those within the LF not always being clear about their roles and responsibilities, certainly the lack of real leadership within the facility during its inception did not help the situation. The multiple revisions of the Inception Report reinforce this view;
- Staff turnover (and turnover at Project Director level for the managing contractor) undoubtedly led to frustration and the need for constant induction to bring new staff up to speed;
- The failure of the LF to meet its responsibilities with regards to Knowledge Management, including the satisfactory dissemination of outputs of the programme;
- The marked increase in activities that the LF had to conduct as opposed to what was originally planned would have tested any facility, especially one that did not always have a full complement of staff;
- On some of the key outputs there were significant differences of opinion between the LF and the PCU with regards to an acceptable definition and quality of an output. One example of this will suffice, namely with regards to the PSPPD diagnostic. The diagnostic was intended to inform the content and strategy of the three Key Result Areas. However, ongoing confusion over the purpose of the diagnostic resulted in the diagnostic going into field three times before it was felt by the DPME that useful data had been collected (albeit not in line with expectation). Consequently, the diagnostic played a very small part in guiding the selection of learning platforms, or the design of the institutional mechanisms, as intended.

The review team believe that whilst the structural issues made it very difficult to integrate the LF in a meaningful manner, these structural issues were further exacerbated by the LF seeking to find its own identity, ongoing confusion over roles and responsibilities, and high staff turnover. Much of this was well recognised by the LF, as the following notes (taken from the 5th 6-month LF Progress report, p.12).

Various tools have been deployed by the LF team to get the right balance – but this is complicated by the competing need to respond to emergent needs through the addition of activities that had not been sufficiently unpacked in the original workplan. In the first instance this was due to insufficient knowledge of the complexity of this (new) field of development work, and the common feature in such projects that not all activities can be foreseen. Given the nature of an innovative programme such as the PSPPD II, the PCU must be responsive to emerging project needs. Finally, because of the limitations of the initial KEs at the beginning of the Programme (two of which had to be replaced), a lot of time and resources was wasted- resulting in more needing to be delivered, with less.

3.3.3 JC3.3: To what extent is the programme management producing quality operational work planning, budgeting and risk management?

This JC is self-explanatory and briefly comments on two aspects of the planning conducted by programme management, namely work plans and risk management. The issue of effective budgeting is discussed as part of our assessment of the programme's efficiency. Planning on the whole has been effective, and the Programme Estimates for the 5 distinct operational periods were largely delivered on time (see Evidence Annex, pp.21 – 22).

The review team nevertheless observed that one of the plans for the operational period were submitted late (Programme Estimate No. 3), which led to the added burden of preparing an addendum to the plan to address the lateness and secondly it meant that the programme was unable to draw down funds, albeit for a very brief period[19]. A second concern with regards to planning is to do with the planning that relates to the LF. This again relates to the point made above regarding ongoing confusion over roles and responsibilities, and the delays in getting the LF operational. With the LF starting so late into the programme it had to implement a significant number of activities in a much shorter time period. Moreover, the LF had to deliver far more activities than was initially planned.

With regards to risk management, the programme has managed risk by delivering most of what it planned to do. However this is fortuitous as there is little evidence that the programme routinely managed risk and the reports seen by the review team do not include any, for example, annual reassessment of risk. That is not to say that risks had not been identified. Both the Logframe and the ToC list a number of appropriate and relevant risks to the programme, and the PSPPD II Strategy (2014) provides a list of additional risks and proposes applicable mitigation measures for these risks. Moreover, it is regarded as good practice in the management of any programme to ensure effective management of a programme's exposure to risk. Risk management is seen to encourage proactive management, increase the ability for management to adequately identify any threats to a programme, enhance organisational learning and resilience, and it helps to enhance stakeholder confidence and trust when management can demonstrate steps taken to mitigate risk.

With regards to PSPPD II, it would have been advantageous for the programme to routinely report on the extent to which the initial risk assessment is still valid, and if not, what has changed and how the programme intends to mitigate against this risk (a list of the risks identified at the programme's outset can be found in the Evidence Annex, p.22). Had the programme done this from the outset, they would have noted in their reporting (and thus provided an appropriate narrative) that capacity to perform systematic reviews in South Africa, for instance, is weak and therefore the programme had over - estimated the extent to which they could deliver on the five systematic reviews that it had intended[20].

3.3.4 JC3.4: How effective has programme management been in producing quality information management and reporting, and keeping key stakeholders adequately informed

Reporting is a critical management function, which ensures that any programme is both transparent and accountable to its key stakeholders. This JC examines the extent to which management kept key stakeholders informed, and briefly examines the quality of the information management. As the Evidence Annex (p. 22 – 26) clearly illustrates the PSPPD II generated copious number and range of reports. Examples of the range of reports include:

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[19] The impact of the delay could have been substantial for the programme, if it had not been resolved so quickly. The reason being, as the Addendum notes: 'payments under the imprest component of the budget of this programme estimate can only be made for expenditure linked to operations properly scheduled during this period…. expenditure paid and/or committee before the date on which this programme estimate is endorsed by the Head of Delegation will, on no account be covered by the EDF/budget' (Addendum No. 1 to Programme Estimate No. 3: Operational Period, from 6 May 2014 to 30 April 2015, p. 2).

[20] Especially as it was noted in its 1st 6-Month Interim Report with regards to REAs that 'At least three REAs shall be conducted. In the PSPPD II Draft Strategy, the Log Frame suggested ten REAs. However, in consultation with the PCU, the limited number of days available restricts the numbers of REAs. If, in future work plans there are additional Non-Key Expert days and compelling need, additional REAs can be programmed (p.6)'. A similar point is made with regards to Systematic Reviews: 'At least one Systematic Review will be conducted. In the PSPPD II Draft Strategy, the Log Frame suggested five Systematic Reviews. However the limited number of days available restricts the numbers of Systematic Reviews. If, in future work plans there are additional Non-Key Expert days and compelling need, additional Systematic Reviews can be programmed' (p.10).

- The PCU generated closure reports for each PE, in addition to presenting written and verbal reports to each meeting of the PSC;
- The LF produced monthly and 6-monthly progress reports;
- Grantees submitted progress reports on their research grants; and
- Other partners (such as UCT's GSDPP and those who had been commissioned to conduct research) produced reports on activities they had implemented.

In addition, every training event, workshop, dissemination workshop, study tour and so on also generated reports. Moreover, newsletters, the website, social media were also used to report on the programme, and thus keep key stakeholders informed of the programme. Interviews and the survey data (as seen in Figure 4 above) bore this out, albeit the level of awareness of different aspects of the programme (such as awareness of the Learning Facility or the Knowledge Repository) did vary.

With regards to quality the review team found much of the reporting to be of high quality, and it provides a comprehensive picture of the progress being made by the programme. Moreover, none of the PE Closure reports were rejected by the Delegation which suggests they were of a satisfactory nature. In addition, PSC members were of the opinion that the reporting presented to them from both the PCU and the LF was comprehensive and informative. LF reporting was largely on time (both in terms of the monthly reports and the 6-month reports), albeit, largely as a result of the LF currently operating with a sub-optimal staffing complement, the most recent progress report was submitted notably late (Evidence Annex, pp. 24 – 26).

Nevertheless, the review does want to make several points about the reporting. In the first instance, whilst the reporting was relatively strong, the actual monitoring system is relatively weak. For instance, for this review the review team have had to put together information on even the most basic components of the programme (e.g. in calculating the number of workshop participants, the review team had to aggregate data from a vast number of different spreadsheets; in calculating the number of junior researchers who participated in the research grants the review team had aggregate data from grantee reports and by asking each grantee to verify the number), as this basic data was not routinely being kept by the programme. Related to this point, is that although reports provide an overall sense of programme progress, the reports do not routinely report against the programme Logframe. Had this been done systematically the Programme would have kept up to date and accurate information pertaining to each indicator in the Logframe.

A further point to note about reporting relates to the length of reports, especially those of the LF, which makes them unwieldy and difficult to read. With regards to the reporting requirements of the LF, the ToRs (p.17-18) provide a clear explanation of the types of reports the LF should be producing, and signals the length of these reports. The reporting requirements for the LF include an Inception Report of 12 pages maximum, and Progress Reports (20 pages maximum, excluding annexes). In addition, the ToRs (p.19) provides a list of indicative indicators, against which progress of the LF should be measured.

A scan of the LF 6-monthly progress reports found that the Inception Report ran to 29 pages, and the subsequent reports were more than double the specified length (ranging from 39 pages to 72 pages, sans annexes, see Evidence Annex, pp. 24 - 26). The real issue is not just about the length of the reports, but rather the fact that the reports did not adhere to the specifications provided. This suggests that that the reporting process/or purpose was not fully understood, that information was not being properly distilled and summarised, and that the material being presented did not follow a logical or coherent order.

In addition, several 6-Month Progress Reports provide identical evidence, for different reporting periods. For instance, the phrase '17 new activities initiated… close out of 22 activities during

this period'' appears in three different 6 – Month Progress Reports. Moreover, the fact that the reports did not systematically report against the indicative indicators (or a revised set of indicators crafted during the Inception Period) also illustrates the weakness in the LF M&E system.

3.4 EQ 4: To what extent has the PSPPD II been efficient?

Summary response to evaluation question (see Evidence Annex, pp. 27 - 41 for detailed evidence on this EQ)
The challenges experienced during PE2 and PE3 had a significant impact on the efficiency of the programme. The utilisation of resources was compromised during this time, particularly as a result of the delay in the CfP I process. This had a knock-on effect on some of the research grantees. While resource utilisation significantly improved during PE4, it is likely that there will be underspend at the current envisaged end of PE5.
Despite the challenges, the financial systems and controls appear to be in place as suggested by the audited reports for PE1 to PE3.
The Learning Facility also experienced challenges at the outset which impacted on its own resource utilisation. As the programme has unfolded, resources have been utilised more efficiently. Nevertheless, an analysis of the utilisation of the incidentals budget – an important indicator of efficiency – suggest that there may be underspend at the end of the programme.
In addition, analysis of the utilisation of experts by the Learning Facility point to potential overspend in some areas and underspend in others**.**

In answering this evaluation question this section of the review explored how resources were allocated and utilised. In addition, the review team also assessed the LF's use of resources.

Allocation of resources
The Financing Agreement was signed in May 2012 and the PSPPD Phase II commenced on 1 July 2012.

Activities	Budget – Finance agreement (€)
Technical co-operation	4 700 000
Grants	2 100 000
Supplies/equipment	50 000
Operating costs	2 400 000
Audits/evaluation	250 000
Visibility	100 000
Contingencies	400 000
Total	10 000 000

A total of €10 million was allocated by the European Union to the PSPPD II under the larger banner of the National Development Policy Support Programme. As the above table highlights, 24% of the total budget of PSPPD II was earmarked for operating costs (i.e., the costs associated with the staffing and running of the PCU). The PCU was also responsible for the 21% of the budget allocated to grants – to be used for research grants to analyse existing research and generate new research – and for the small amount allocated to supplies/equipment.

The largest component of the budget (47%) was allocated to technical co-operation, where an International Tender was used to procure the Learning Facility (LF), which is a project management and logistics facility made up of a Team Leader, Training Manager and an Administrator.

Utilisation of resources

A review of the audited expenditure of the first three Programme Estimates (PE) as well as the unaudited closure report for PE4 reveals the following percentage budget utilisation for the PCU:
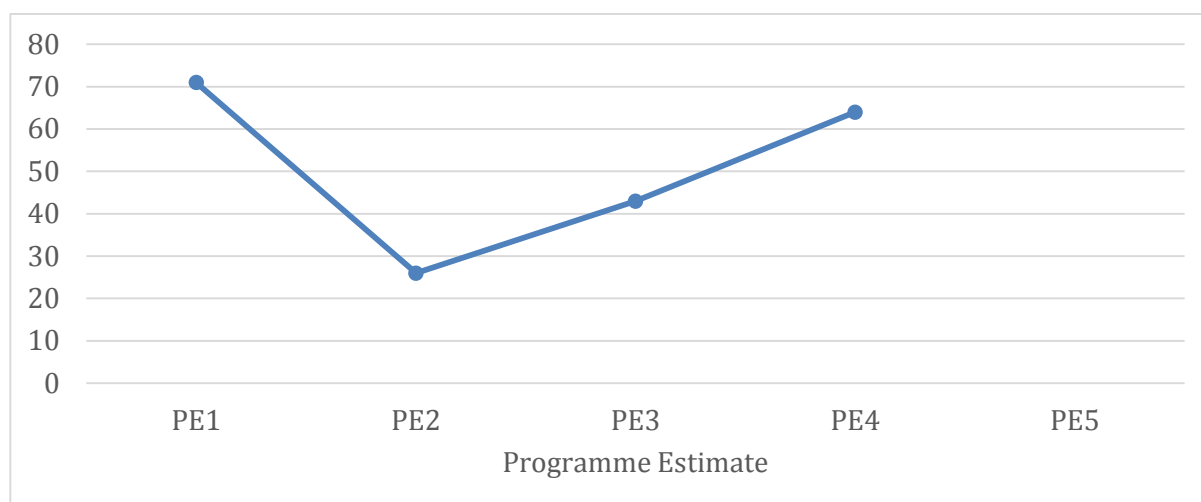

Figure 5: Budget utilisation

It is clear for the preceding graph that the programme encountered major challenges during PE2, with the budget utilisation dropping from 71% during PE1 to only 26% in PE2 (this despite an addendum to PE2 that extended the period by a further four months). As the *Programme Estimate No. 2 Closure Report (1 January 2013 – 30 April 2014)* makes clear, this was largely a result of the delays in finalising the Call for Proposals I (CfP I) process but the delays in finalising the low value grants were also a contributing factor.

The feedback received from the research grantees during this review (both through the survey and interviews) showed the negative impact that these delays had on the grantees and their research projects. In some instances, researchers that had been identified for the projects were lost as they were unable to wait indefinitely for the delays to be resolved.

How the research grantees experienced the CfP process:
- All but one found the Call for Proposals **clear** in what it wanted
- All but one felt that there was **sufficient time** to respond to the Call
- All stated that the **criteria for evaluation** of the proposals was spelled out
- All but two thought that they been given **adequate feedback** on their proposal

While budget utilisation has steadily increased since PE2 – up to 43% for PE3 and 64% for PE4 – there remains significant underspend in the programme up until the end of this period. By way of example, a second round of low value grants had to be cancelled because, as the *Programme Estimate No. 3 Closure Report (6 May 2014 – 30 April 2015)* reported, "by the time the Dossier had been endorsed, there was insufficient time to run the process".

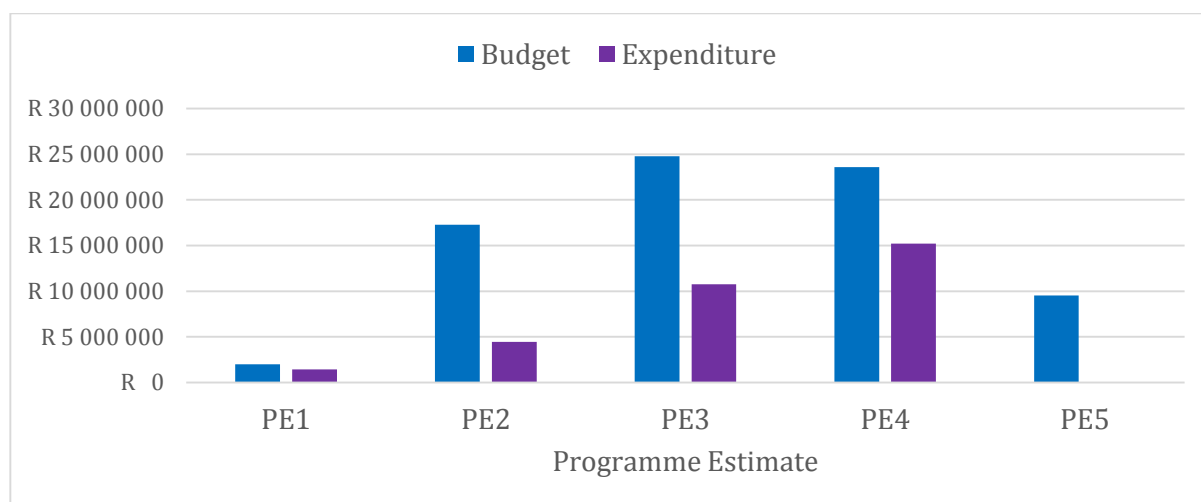The expenditure against budget is highlighted in the following graph:

Figure 6: Resource utilisation: budget versus expenditure

Expenditure from PE1 to PE4 totals R32 million. While this figure should increase as the research grant processes conclude, it is likely that there will be underspend at the current envisaged end of PE5.

We also looked at the main line items of expenditure by the PCU. While the operating costs have, unsurprisingly, stayed relatively constant (the larger amount in PE2 being due to the extended timeframe), the disbursements around the research grants grew substantially from PE3 to PE4.
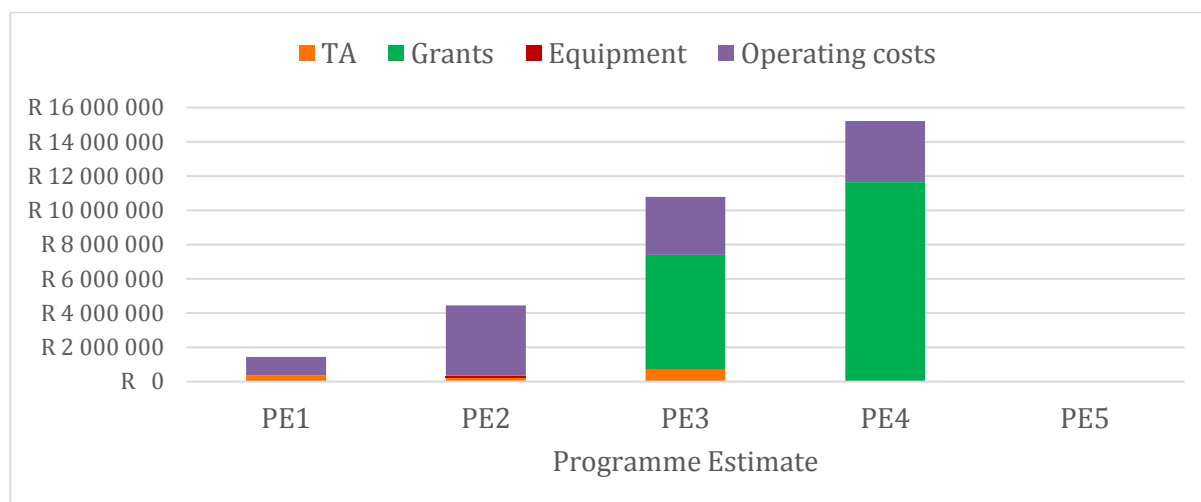
Figure 7: Allocation of resources to key action areas

Smaller amounts for technical assistance and equipment were also disbursed during PE1 to PE3. The audited reports for these periods highlighted very few issues with the expenditure incurred by the PCU – the expenditure coverage ratio (i.e., what was verified as against what was reported by the PCU) was 93% in PE1, 97% in PE2 and 96% in PE3. It would appear from this that the requisite financial systems and controls are in place.

The Learning Facility
Following on a year-long International Tender process (the Procurement Notice was published on 6 December 2012), Human Dynamics were contracted to commence implementation on 24 December 2013 with a budget of €4 286 500. An Inception Report was submitted to the PCU on 13 March 2014, but was deemed to be of poor quality and was not approved. Following a change in KE1 and KE2, a revised Inception Report was submitted on 26 May 2014 and signed off on 10 July 2014.

As one would expect, these delays had an impact on the initial utilisation of resources by the Learning Facility. The cumulative percentage of budget utilisation is shown in the following graph:
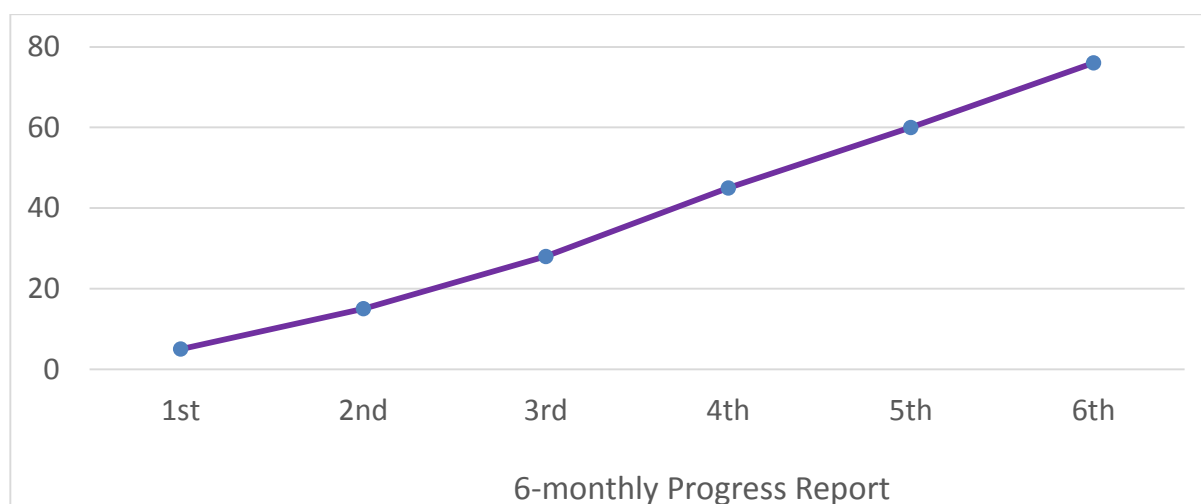
Figure 8: Budget utilisation

The first 6-monthly period (13 January to 30 June 2014) saw only 5% of the budget spent. This percentage had grown to 76% by the 31 December 2016,[21] bearing in mind that approximately 88% of the implementation period had passed as of that date. Attention is now given to the utilisation of resources across the different expenditure categories.
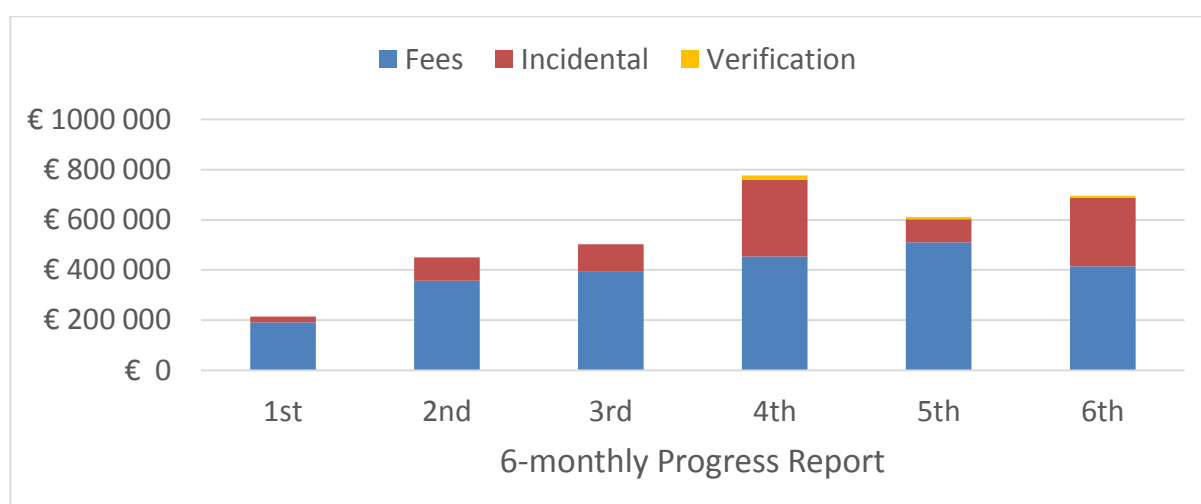
Figure 9: Resource utilisation by 6-monthly progress period

Levels of expenditure have fluctuated somewhat over the period of implementation. The fees component of the expenditure – including fees for key experts and non-key experts –increased across the first five reporting periods, before dropping off slightly during the 6th period. The incidental expenditure – mainly comprising costs for workshops, seminars, conferences, travel and promotional materials – peaked during the 4th 6-monthly reporting period, dropped somewhat during the 5th period and then picked up again during the 6th 6-monthly reporting period.

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[21] It should be noted that the Sixth 6-Month Interim Progress Report (1 July 2016 – 31 December 2016) made available to the Review Team had not been signed off by the Programme Manager.

The following graph shows the expenditure per category up to 31 December 2016 and what was remaining in the budget as of that time.
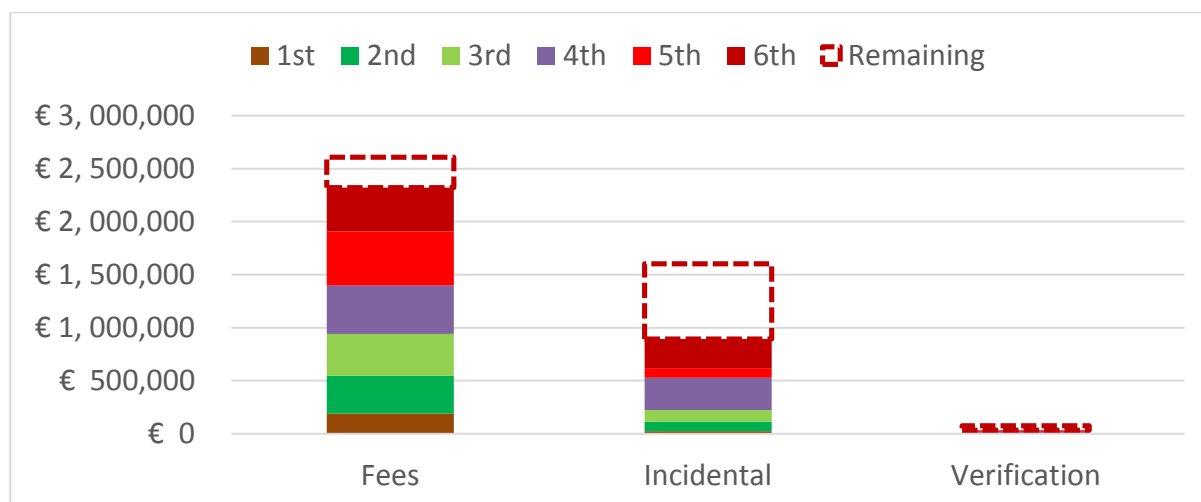
Figure 10: Resource utilisation by category

While it would appear that the fees component of the budget could well be expended in the remaining period, the same is not necessarily true of the incidental component where 44% of the budget was still outstanding as of 31 December 2016.

A closer look at the utilisation of the experts does, however, also raise an additional issue related to the ability of the Learning Facility to spend all of its budget by the end of the programme. What can be seen in the following graph is the potential under-use of the junior non-key experts (JNKEs) as 42% of their days had not been used as of 31 December 2016.
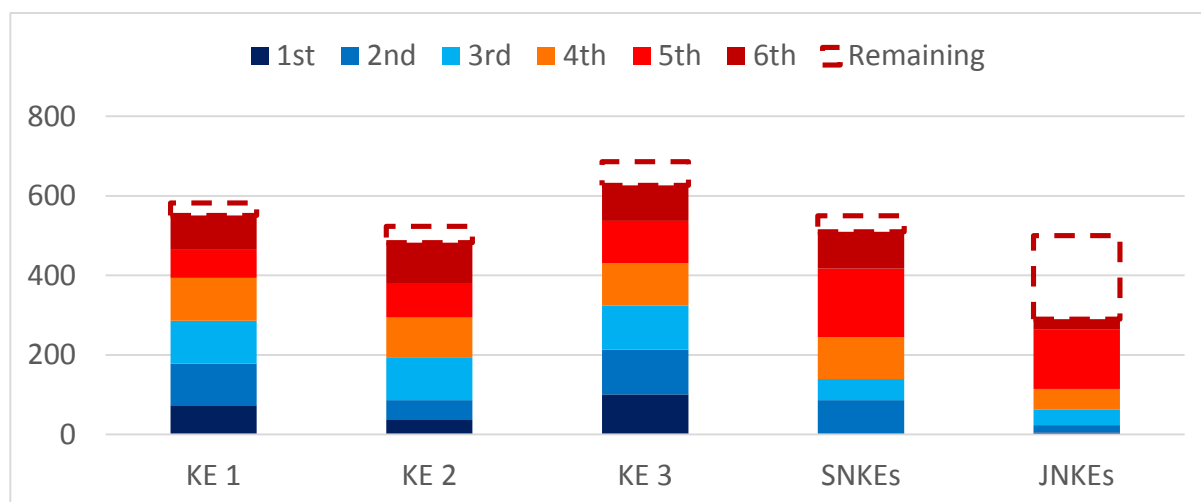
Figure 11: Utilisation of project experts

What the graph also shows is that there is a possibility of over expenditure across the other categories given the level of activity during 2017 up until the end of implementation on 23 May 2017. It may be prudent to conduct further research on the appropriate ratio of expert time: incidental expenditure for a programme of this nature. This could be something that the final evaluation of the programme is asked to consider.

Finally, although "value for money" was outside of the scope of our ToRs, a number of interviewees raised an issue with the excessive use of resources, particularly as it pertained to the securing of luxury venues for the various national workshops and conferences. They felt that

this was in conflict with the "pro-poor" aspect of the programme. This issue was raised in the evaluation of PSPPD I, where it was argued that "clear policy in this regard be established by the PSPPD 2 PSC, which will limit questions in this regard."

3.5 EQ 5: To what extent are the benefits of the PSPPD II likely to continue post – EU funding?

Summary response to evaluation question

It has already been noted above that the programme has made noteworthy progress towards achieving its stated purpose, namely strengthening 'policy making and implementation around poverty and inequality using research' within the two targeted clusters. To ensure these efforts remain sustainable PSPPD II has already laid the groundwork through its partnership model, albeit further effort is required. Bearing in mind that a substantial component of the programme is to build capacity and strengthen systems, the review found that the programme has been effective in a wide range of different institutions (at both national and provincial government level, within partner institutions, and within research teams scattered across different universities and so on), which will contribute to sustainability. Effective capacity building is about ensuring sustainability, i.e. those empowered will apply what they have learnt. Evidence gathered in this review suggests that capacity has been built and is being used in a sustainable manner. Moreover, in some instances sustainable systems are now in place (e.g. the National Evaluation System). However, what requires further work are efforts to institutionalise the programme where it currently resides, a commitment to ensure that the knowledge repository remains a key legacy of the programme, and an undertaking to explore different avenues that may secure the future of the very successful research and training components of the programme.

3.5.1 JC 5.1: What steps have been taken to institutionalise the PSPPD post- EU funding?

This JC examines the extent to which the programme has already been institutionalised to ensure its future once the life cycle of the programme has ended. In answering this question the review team looked at two aspects of the programme, namely to what extent the intent of the programme (i.e. the programme's purpose) is sustainable, and then it explores to what extent the different components of the programme (such as training, research, knowledge management and so on) have already been institutionalised.

Effective capacity building by its very nature is about empowering the individual to independently use the knowledge acquired. Thus from the outset

Learning Exchange
- PSPPD II Facilitated interactions between DBE's Research Directorate and ReSEP at University of Stellenbosch
- DBE officials spent two, 2 week residential visits working with researchers to develop, shape and draft relevant policy briefs for DBE
- DBE officials were instrumental in tailoring policy briefs to meet their needs and to ensure policy makers were receptive to the key messages contained in the briefs

the programme was laying down the foundations to ensure that key components of PSPPD II would remain after funding for the programme has ended. Thus the PSPPD from the outset embraced a partnership model. A model which saw PSPPD partnering a range of other agencies in order to not only ensure effective implementation but at the same time facilitate sustainable capacity building within those partner institutions. Moreover, the programme has also been remarkably successful in building sustainable capacity in the targeted departments it has worked with. In this regard, it has already been noted that a wide range of national and provincial departments have begun to apply EBPM within their institutions, and thus ensuring

EBPM approaches to policy making are being institutionalised across many different levels of government.

Moreover, the three surveys conducted as part of this review found that a high number of respondents were of the opinion that the programme has made them more innovative in the work they are doing, a change in behaviour that is likely to be sustained long after the programme ends. The figure below illustrates that 68% of respondents who had been on the EBPM&I course, 67% of grantees, and 62% of those who had been on the P&I course agreed with the statement that PSPPD II 'had made us more innovative in the way that we work'.
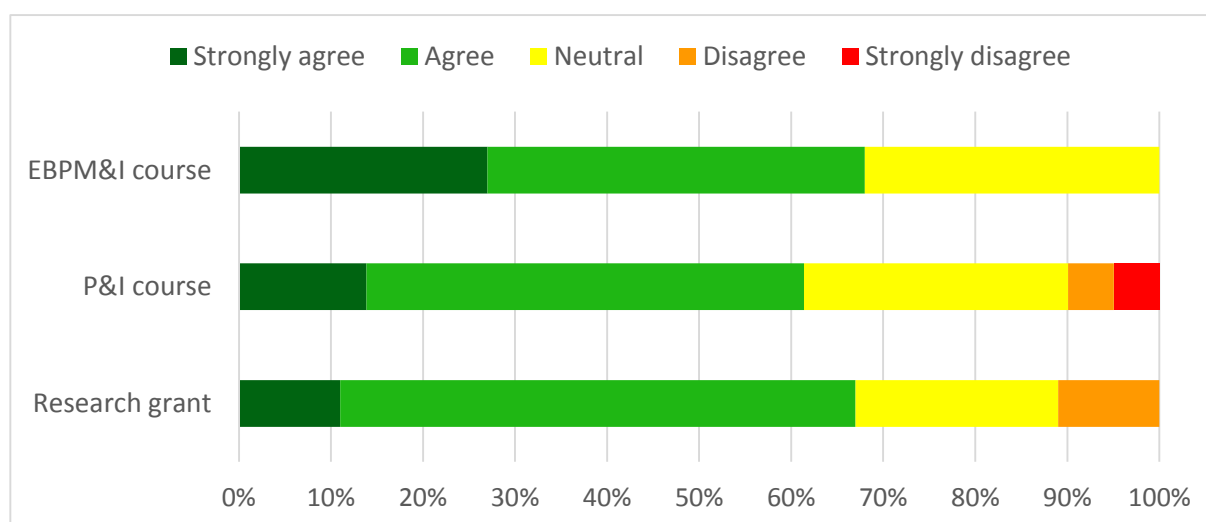

Figure 12: Percentage of survey respondents who agreed with the statement that PSPPD II 'has made us more innovative in the way that we work, by survey (Source: own survey)

At the *Conference on Quantitative Applications in Education* (19 & 20 September, 2016) which the PSPPD II funded, and hosted by ReSEP at the University of Stellenbosch, the Minister of Basic Education Ms Angie Motshekga noted the influence evidence based research is having on shaping policy in her department:

I want to acknowledge the valuable work that has been generated by the RESEP group recently. And not only be those directly part of RESEP, but also by many others here today, who are part of a growing network of people focused on understanding the challenges of the education sector and on offering solutions that can be implemented at a policy level. The two reports released earlier this year by RESEP have been tremendously influential in shaping thinking around what should be the priorities in education policy. These are the report on "Binding Constraints" in the sector and the report on "Laying Firm Foundations" through getting reading right.

Survey data also demonstrates the extent to which EBPM is having an effect as the approach gets institutionalised by those who have participated in the training. For instance, 92% of participants on the EBPM&I stated that they been able to apply the concept of evidence-based policy-making (EBPM) in their department (and there is a whole list of examples); 79% of participants on the P&I course said that they had used what they learnt on the course to strengthen their department's responses to poverty and inequality in South Africa (see Evidence Annex, p. for a whole list of examples provided by respondents to demonstrate how they are applying EBPM).

In addition, 15/18 grantees envisage undertaking future joint EBPM activities with one or more institutions/departments that they have met as a result of PSPPD II. Moreover, 16/18 grantees reported that they will continue of use Policy Briefs in the future in order to report on and share research findings.

Finally, it is important to note that certain aspects of PSPPD II, especially those that logically flowed out of PSPPD I, have already been institutionalised by DPME. One example of this is the systems that DPME have put in place, such as the National Evaluation Plan, (which speaks to the institutionalisation of aspects of KRA III in the Logframe)[22]. A second example is the work DPME is doing with other institutions to build national capacity to conduct systematic reviews (which speaks to the institutionalisation of aspects of KRA I in the Logframe).[23]

3.5.2 JC 5.2: What steps need to be taken to maximise the likelihood of institutionalisation and sustainability of programme activities?

This JC is self-explanatory, and it thus lists the steps the review team believe the PCU needs to take to maximise the legacy of the PSPPD II. The most recent PSC (11 October 2016) tasked the PCU with preparing an institutionalisation plan for the PCU, which would outline the way forward for the programme and be presented at the next PSC meeting. Whilst the PCU has had a series of engagements with key stakeholders regarding institutionalisation (as already noted the PSPPD approach to implementation was predicated on a partnership model, and thus the programme has been focussing on institutionalisation since the outset of PSPPD II), the PCU have not formalised the final steps needed to secure institutionalisation. Nevertheless, the review team have seen preliminary thinking by the PCU on this issue (including several identified institutionalisation actions which have already been concluded)[24]. The review team believe the finalisation of an institutionalisation plan should happen as a matter of urgency to guide the final few months of the programme, to allow the PSC to provide strategic advice on the matter, and to provide the PCU with a checklist against which it can monitor progress.

The minutes of the October, 2016 PSC meeting outline a number of important steps that need to be in an institutionalisation plan, and which then need to be undertaken by the PCU. Interviews with respondents as part of this review also raised some additional steps. A combined list of suggested steps, which could form part of the institutionalisation plan (and align with, and reaffirm, the PCU's thinking on this matter), include:

1. Clearly identify the scope of realistic and feasible institutionalisation – this would include establishing what components need to be institutionalised, determining to what extent the DPME (including the NPC as entity of DPME) are prepared to integrate these components into existing activities and/or accommodate in the current restructuring, and ensuring the plan identifies a prioritised list of activities that should be conducted during the no-cost extension period that will ensure the best prospect of institutionalization;
2. Spelling out what aspects of the capacity building initiatives will continue – this would include identifying:
   a. whether or not DPME has any appetite to promote EBPM training initiatives;
   b. whether the NSG is prepared to introduce a more technical/comprehensive course related to evidence based evaluation methodology; and
   c. to what extent other institutions will be offering EBPM related courses.
3. Identifying how the knowledge repository will be maintained after the programme has ended – this would involve not only finalising the PSPPD II knowledge management process (and the review team acknowledges the extensive work that has been undertaken already over the past 6 weeks), but also to ensure the planned links to other repositories (such as the HSRC, SALDRU, and DSBD) are established, and that the whole system can be sustained and maintained within existing DPME systems;

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[22] For the most recent, which covers the period 2016/17 to 2018/19, see http://www.dpme.gov.za/keyfocusareas/evaluationsSite/Evaluations/National%20Evaluation%20Plan%202016-17%2016.03.31.pdf .

[23] One of these institutions is the University of Johannesburg, see https://www.uj.ac.za/faculties/humanities/ace and http://www.africaevidencenetwork.org/supported-by-ace/diary-of-systematic-reviews/ for more details.

[24] The PSPPD's preliminary thinking regarding institutionalisation can be found in 'Input into processes to support institutionalisation' (April 2017), and 'Institutionalisation further thinking' (April 2017).

4. Determining what aspects of the PSPPD II's research agenda can be sustained – this would involve:
    a. discussing with the existing focal point for research and knowledge management in DPME what aspects, if any, of the research could be absorbed and/or how DPME can continue to influence the research agenda around poverty and inequality, even if they are not direct funders to the research agenda;
    b. seeking clarity regarding DPME's efforts to build research capacity where PSPPD II were less successful, namely in the conducting systematic reviews and REAs; and
    c. identifying other partners who might be willing to promote poverty and inequality research, based on the demonstrable success of the PSPPD II.
5. Documenting the lessons learnt from the programme with regards to sustainable capacity development – this would involve defining and recommending how transversal skills, such as EBPM, can be embedded into programmes implemented by DPME, and the EU in the future.

4. CONCLUSION AND RECOMMENDATIONS

In conducting this MTR, the review team were required to assess progress of PSPPD II against its stated objectives, to comment on whether or not it is likely to meet these objectives, and in so doing the review team was to also examine both the efficacy and the efficiency of the programme. In addition, the review team was also tasked with examining the prospects for the sustainability of the benefits of PSPPD II, and then to make any recommendations that will enhance institutionalisation of programme activities. To meet these requirements, the review team were asked to fulfil 10 requested services (ToRs, p.6). We conclude this review by very briefly summarising our response to the 10 requested services:

- Stakeholder participation has been high in the implementation of the programme, and the PSC has been relatively effective in helping steer the programme and support management of the programme. Ownership at institutional level, especially with regards to the research grants and capacity building events, has been high;
- The programme has remained consistent with, and supportive of, the strategic priorities indicated in the MIP, in addition to the GoSA's vision (as outlined in the NDP, and operationalised within the MTSF);
- The programme has been relatively efficient and effective (in fact over delivering in some areas), nevertheless a no-cost extension would be prudent to ensure outstanding activities are completed and to also increase likelihood of an appropriate legacy for the programme;
- Programme management and coordination were found to be reasonable, especially in light of challenges faced through the initial years of the programme. The review team found a range of structural issues that hindered the integration of the Learning Facility. In most instances timely and appropriate decisions have been made to support effective implementation and problem resolution (this is borne out by the programme delivering what was expected);
- The quality of operational work planning and budgeting was appropriate, and it was suitably flexible to accommodate delays and reschedule when necessary. Whilst reporting against risk was poor, the programme did nevertheless respond swiftly to address issues that may have threatened the programme;
- The programme generated a copious amount of reports, and these were largely submitted on time, and shared with stakeholders. However, monitoring of the programme was not done systematically, and monitoring information has not been collated in a single source to make it easily accessible;
- Whilst the programme's outcomes and activities do align with a few other EC-, government- and donor funded programmes, there was little interaction between PSPPD II and these other initiatives;
- The review found a number of initiatives that have been undertaken in many departments to institutionalise the intent of the programme which suggest that the prospects for sustainability of benefits could be relatively high, nevertheless (as listed below) there are certain actions which do need to be taken prior to programme closure to entrench the legacy of the programme;
- Whilst it is too late to suggest any recommendations for modification of programme implementation scope in order to support effective implementation, certain recommendations have been made below that the review team believe will help PSPPD II fully realise its purpose over the remaining months of the programme; and
- Recommendations have also been made regarding what needs to be done to ensure that key components of the programme are taken forward post the PSPPD.

With the above in mind, the following recommendations have been made by the review team, which they believe the PCU need to address in the remaining period of the programme (and as already noted, many of these recommendations align with, and reaffirm, the PCU's thinking

regarding steps that need to be taken). The proposed recommendations speak to three different aspects of the final few months, namely:

a. What needs to be done to consolidate and strengthen the existing programme;
b. What needs to occur during a potential no cost extension period; and
c. What steps need to be taken as part of the institutionalization process.

Key Recommendation	Why it is important
Consolidation/ Strengthening PSPPD II	
1. Outline a concise Knowledge Management Strategy, with emphasis on what can be realistically achieved in the remaining period of PSPPD II	• The LF did not perform this task adequately, nor was its dissemination of research outputs fully effective. • There is a wealth of information that needs to be accessible to researchers and policy makers after PSPPD II • The Knowledge Management component of PSPPD II is essential to securing the legacy of the programme
2. Monitoring and reporting of the programme needs to be made more effective, especially the reporting against the indicators specified in the Logframe (including incorporating the additional indicators proposed re NIDs, Quality of Research outputs, and creation of effective partnerships)	• PSPPD II has generated considerable data, that needs to be consolidated into one location to ensure it is easily accessible • PSPPD II has delivered more than was expected, but the current monitoring system does not readily lend itself to illustrating the success of the programme
3. Update the risk matrix and revise the mitigation steps	• PSPPD II needs to demonstrate that it has managed the risk identified at the start of the programme, and where challenges have occurred appropriate mitigation steps have been taken to reduce the risk to the programme
4. Re-initiate EBPM advocacy efforts within the Economic Cluster	• By its own admission the PCU recognises that far more activities have occurred in the Social Cluster, and that more could have been done in its other targeted cluster • It would be important to also showcase to the cluster the success achieved by, for example, certain researchers who have worked in the Economic Cluster (such as the work done in DoL)
5. Reallocation of budget to enter into a no cost extension period	• There are budget items that could be redirected for more desired impact • There are important activities that could still be undertaken • Activities budgeted for the no cost extension must be prioritised to ensure the best prospect of institutionalization
6. No Cost Extension Period	
7. Dissemination Strategy to be developed, indicating to what extent PSPPD II can support the thematic dissemination of	• A number of research outputs have recently been created (such as CfP II Policy Briefs), these need to be disseminated to relevant policy makers • A number of CfP II researchers had planned

Key Recommendation	Why it is important
research outputs and conduct other types of dissemination activities	dissemination workshops/roundtables to share findings with targeted officials, but these had not occurred during the grant period and thus their important findings have not been properly shared with targeted policy makers • Smaller, targeted dissemination events along thematic lines may enhance the legacy of the programme
8. **A communication strategy which broadcasts the successes of the programme.**	• The programme has achieved notable success in a number of areas including in the research sphere and in advocating EBPM, both the achievements and the lessons learnt from the programme need to be shared • It will be important to determine who the 'success story' is for, and may require distinction being made between the value add with respect to high quality research, and the value add regarding PSPPD IIs impact on promoting EBPM • With the programme's knowledge repository now fully functional and close to completion attention needs to be drawn to this valuable resource
9. **Continued capacity building initiatives which secure the legacy of capacitated researchers**	• 'How to' activities such as how to prepare a policy brief, how to engage with policy makers and so on have proven valuable. Another round of these activities, aimed specifically at junior researchers (who at participated in either CfP I or CfP II) would help build capacity for the future
10. **Secure the services of a programme close out specialist, conversant in the EU's Procedures and Practical Guide (PRAG)**	• PSPPD II has faced several delays as it grappled to comply with the EU's PRAG. Bringing an STA on board to assist with the close out of the programme would help avoid any costly over runs and/or delays • TA would become even more pertinent should anyone else resign from a programme that is already very lean
Institutionalization Activities	
11. **Notwithstanding the PSPPD's partnership model which has emphasized sustainability from the outset of the programme, Institutionalization requires a clear plan, which needs urgent finalisation, in order to align to the current restructuring process in DPME**	• PSC meeting of October 2016 tasked the Programme Manager with developing an Institutionalisation Plan • A draft institutionalisation plan has been prepared and requires finalisation • Planning is important to identify what is feasible, by when, and to also prioritise institutionalisation actions that can be realistically completed in the time remaining
12. **DPME needs to be asked to clearly identify what components of the programme they can realistically absorb**	• There are some obvious synergies between different components of PSPPD and the DPME (such as DPME's strong commitment to promoting EBPM), but there needs to be quick resolution to how this will work in practice to ensure continuity • The restructuring of DPME is currently being

Key Recommendation	Why it is important
	finalised, and it will be important that where practicable the strategic intent of PSPPD has been taken into account • (linked to the previous point) DPME needs to be clear about what aspects can be incorporated and how this can be done • Within DPME, the nature of the NPC has shifted during the lifetime of PSPPD II. The NPC now plays a different role to what it did 5/6 years ago, but it still plays a critical role in shaping the strategic plans of government and influencing its research agenda. It would be important to establish whether or not any aspects of the seminal research work done by PSPPD II on poverty and inequality (which complements the NPC's own diagnostic work) could be continued by the NPC, under the aegis of DPME's Planning Branch.
13. **Continue ongoing talks to establish the role the NSG could play in providing technical training on EBPM**	• The NSG has a mandate to train government officials, and it has a training budget • If EBPM is to be taken seriously by government, and officials will be required to embed this approach into their work, then a case needs to be made to NSG regarding the skills and competencies officials will require to engage with EBPM effectively
14. **All reasonable steps must be taken to ensure the future of the knowledge repository**	• The knowledge repository is a key aspect of the legacy of PSPPD II and thus significant efforts must be made to ensure it is accessible post EU funding • Considerable effort has recently been undertaken to update the repository, and make it accessible, but it is still operating under its own aegis and will not be sustainable once funding for the programme ends • As part of the securing the future of the repository, links to other repositories (such as HSRC, SALDRU, and DSBD) will also need to be clarified and then steps taken so that there are no compatibility issues
15. **Lobbying DST regarding the NRF introducing a relevant CfP that embraces strengthening policy making and implementation around poverty and inequality**	• The two CfPs conducted by PSPPD II have made noteworthy contributions to the field of poverty and inequality • New research teams have been created at a number of HDIs and should be sustained in line with the NRF's strong commitment to redress • The DPME (especially its entity the NPC) has an important role to play in influencing the research agenda around poverty and inequality, even if it is not a direct funder. DPME needs to plan how this research will continue without PSPPD II

5. LIST OF DOCUMENTS

- Cleary, S. & Du Pisani, J. (2012) *PSPPD Final Evaluation*

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- GoSA (2012) *National Development Plan 2030 – Our Future – Make It Work*

- Learning Facility (2014 – 2016) *Monthly Progress Reports*

- Learning Facility (2014 – 2016) *6-Month Progress Reports*

- NIDS (2016) Wave *4 Overview: 2008 to 2016 National Income Dynamics Survey*

- Stats SA (2014) *Measuring Poverty in South Africa: Methodological report on the development of the Poverty Lines for Statistical Reporting*

- Stats SA (2014) *Poverty Trends in South Africa: An examination of absolute poverty between 2006 and 2011*

- PSPPD II (2014) *Programme to Support Pro – Poor Policy Development Phase II: Draft Strategy*

- PSPPD II (PE1 – PE4, 2012 - 2016) *Programme Estimate Closure Report*

- PSPPD II (PE1 – PE4, 2012 - 2016) *Audit Report*

- PSPPD II (PE1 – PE5, 2012 - 2016) *Minutes of the Programme Steering Committee*

- PSPPD II (PE1 – PE4, 2012 - 2016) *PSPPD II: Progress Reports*

- Van Tienhoven, N. & Hercules, A. (2010) *Programme to Support Pro – poor Policy Development in South Africa*

6. ANNEXES

Annex 1: Terms of Reference

SPECIFIC TERMS OF REFERENCE
Programme to Support Pro-Poor Policy Development (PSPPD) II
Mid-term Review
FWC BENEFICIARIES 2013 - LOT 9: Culture, Education, Employment and Social
EuropeAid/132633/C/SER/multi

1. BACKGROUND

1.1. General Information

South Africa is classified as an upper middle-income country with a gross national income (GNI) per capita of USD 6,050 (2015)[25]. Gross domestic product (GDP) growth rates have been relatively low (2-3%) over the last years and insufficient to reduce the unemployment rate, which currently stands at 26.6% (2016). Also, South Africa is among the most unequal countries in the world, with a Gini coefficient of 0.64 (2014). Extremely high rates of unemployment and underemployment are considered a central contributor to widespread poverty since a broader section of working age-population is not participating in the mainstream economy.

A diagnostic overview by the National Planning Commission (NPC) identified the persistence of poverty, unemployment and inequality as the key challenges that South Africa needs to overcome.
This resulted in the National Development Plan (NDP) 2030 which aims to ensure improved standards of living for all South Africans through the elimination of poverty and reduction of inequality by prioritising three areas: (i) raising employment through faster and more inclusive economic growth, (ii) improving the quality of education, skills development and innovation and (iii) building the capacity of the state to play a developmental and transformative role. It also identifies nine primary challenges - which perpetuate poverty and inequality - as well as different scenarios to tackle these – thus leading to prosperity and equity by 2030.[26]

The NDP 2030 is the overarching strategic and programmatic document guiding South Africa's development, operationalised through rolling-out the Medium Term Strategic Framework (MTSF) (2014-2019), and financially covered by the MTSF and annual budget appropriations. The EU-South Africa Multi Indicative Programme (MIP) 2014-2020 is built upon these three priorities.

The Trade, Development and Cooperation Agreement (TDCA), which came into force in May 2004 and was revised in September 2009, provides the basis for comprehensive cooperation between South Africa and the EU, covering trade relations, development cooperation, economic cooperation and numerous other fields such as socio-cultural cooperation and political dialogue. Development Cooperation under the TDCA supports policies and reforms carried out by the South African government aimed at fighting poverty, promoting regional cooperation and the country's economic integration in southern Africa and in the world economy, and consolidating the foundations of a democratic society. The Joint Country Strategy Paper 2007 - 2013 between the EU and the South African government states as its development objective the reduction of poverty and inequality in accordance with the Millennium Development Goals (MDGs) - and the Sustainable Development Goals (SDGs) as of September 2015, the promotion of internal social stability as well as environmental sustainability. A further objective is to ensure a more

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[25] http://data.worldbank.org/indicator/NY.GNP.PCAP.CD
[26] The Plan can be obtained on the Presidency of the Republic of South Africa's website.

equitable distribution of the benefits of economic growth and reduce inequality. As such, job creation through meaningful economic transformation and inclusive growth remains a priority.

1.2. The PSPPD II

In 2009, the Presidency created two new Ministries, the Department of Performance (later Planning), Monitoring and Evaluation (DPME) and the National Planning Commission (NPC). The DPME is responsible for the management of outcomes through ministerial accountability for improving delivery performance, institutionalising the government-wide monitoring and evaluation system and unblocking service delivery. The NPC is responsible for developing a long-term vision and plan for South Africa. By setting up these departments, government demonstrated that it is focused on achieving real improvements in the lives of its citizens as well as taking a long-term view of development. Research and other evidence, for both these departments, is fundamental to their functions.

A strong, country-owned monitoring and evaluation process has evolved since 2009. Following the release of the performance monitoring and evaluation Green Paper in 2009, the South African government adopted the Outcomes Approach as its official monitoring and evaluation framework. Each of the 12 (later 14) outcomes are clearly articulated in terms of measurable outputs and key activities. This approach is led by the DPME, which is the central focal point for the measurement of performance across the public service and the three spheres of government. Together with the DPME and the NPC, the Presidency has given a clear signal of its firm intention to lead on the formulation of policy, set strategic directions, monitor and evaluate performance and address service delivery challenges. It also emphasises efficiency and effectiveness of public expenditure. Statistics produced - especially by Statistics South Africa, which now reports to the DPME - will be of a greater importance and will feed into policy decision and formulation. In 2014, DPME and the NPC secretariat were merged to create the Department of Planning, Monitoring and Evaluation.

The PSPPD II is strategically placed to make a significant contribution to the success of these departments' functions and focuses on the key targets outlined in the NDP. The programme has been championing evidence-based policy-making since its launch in 2007. Phase I ran from 2007 to 2012; the second phase commenced in 2012 and will run until 2017. The programme aims to enhance the analytical capacity of policy-makers in South Africa through professional development, so that they are able to use better methods for making use of different kinds of knowledge, improve systems for ensuring that the right knowledge is available to decision-makers timeously and that better systems are developed for continuous learning. Policymakers, with input from researchers, can systematically use the best available evidence to inform the policy making and implementation processes. Phase 1 also had a focus on supporting M&E and was instrumental in supporting the setting of the evaluation system with the establishment of an Evaluation and Research Unit in DPME and many of its systems including Management Performance Assessment Tool (MPAT)[27] and citizen-based monitoring. The PSPPD II leverages the knowledge and experience gained in Phase I to strengthen the use of evidence-based policy-making and enhance implementation of the MTSF and National Development Plan (NDP) at all levels of government i.e. provincial and national.

During the first phase of the PSPPD the use of research evidence in policy-making in the area of poverty and inequality was targeted, thereby contributing to high level goals of the programme and the country itself, including funding of a range of research projects in the social sector. The PSPPD II deepens and up-scales the interventions of phase I to ensure that the practices which were catalysed become embedded in the institutions of government. The programme aims to

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[27] The DPME has been mandated to regularly assess the quality of generic management practices in departments. A methodology for doing this was developed, in collaboration with the Offices of the Premier, National Treasury and the DPSA, and in consultation with the Office of the Auditor General and the Office of the Public Service Commission.

take this work forward by building on the foundation of the first phase by contributing to improved policies, building systems and institutional capacity to reduce poverty and inequality through evidence-based policy-making. Through building the institutions of government and a body of scholarship on poverty and inequality, the ability of the government to address these challenges will be improved. The over-arching theme, therefore, for the PSPPD II is the reduction of poverty and inequality.

The PSPPD II has three results areas:

(i) Research

The first results area focuses on making new and existing research and other evidence available for policy makers and generating new knowledge. Support to research has been provided through grants for research now including both the economic and social sectors, in crucial areas such as education, early childhood development, child violence, families, small business development and employment. All these areas are interlinked in that ultimately they identify factors required for individuals to participate fully in society. The programme contributes to the building of an evidence base and sharing of knowledge through its partnerships with a range of organisations and academia.

The Call for Proposals (CfPs) I and II grant recipients are based at the University of the Witwatersrand, University of Free State, Stellenbosch University, University of Johannesburg, University of Cape Town (UCT), Human Sciences Research Council (HSRC), University of KwaZulu Natal, Centre for Early Childhood Development, Project Preparation Trust, University of the Western Cape, University of KwaZulu-Natal, University of Fort Hare and North West University.

In Phase 1 and Phase 2 the PSPPD has encouraged the use of the National Income Dynamics Study (NIDS) datasets in the research grants it has provided, thereby building a body of scholarship utilising empirical evidence, which in turn builds on and expands the quantitative analysis skills in South Africa. The NIDS is South Africa's first national household panel study (i.e. multi-dimensional data obtained over multiple time periods for the sample). The NIDS is commissioned by the DPME and the Southern African Labour Development Research Unit (SALDRU) at UCT is the implementing agency.

Additional work under research includes a review of the country's research on inequality, and an audit of the research community working on inequality in South Africa. Teams involved in research on inequality for the PSPPD II are based at the SALDRU, Development Policy Research Unit (DPRU) and MISTRA.

(ii) Stakeholder Engagement

The second results area focuses on working with key stakeholders to identify and reinforce institutional mechanisms to improve the use of evidence to inform policy-making and implementation. In the logical framework of the programme, one of the indicators is that at least 30 per cent of the aforementioned research projects should have a clear input into policy processes. The PSPPD aims to create evidence-based social policy initiatives which transform the conventional relationship between policy-making and the use of social science evidence, thereby making evidence an integral part of the decision-making around policies from the beginning, rather than it being outside of the process. This includes the dissemination of research findings to key stakeholders in an easy-to-understand format which is critical to increasing awareness, consideration, adoption, and use of evidence, and to accomplishing the PSPPD's mission.

(iii) Capacity Building and Training

The third results area focuses on ensuring improved awareness and skills of policymakers and researchers in generating, analysing and using evidence. This is achieved through capacity building measures such as workshops, training, study tours and the dissemination of newsletters.

Cutting across these is the use of these tools to support specific processes in government which are contributing to the generation and use of evidence around poverty and inequality.

The Learning Facility (LF)

In Phase 1 there was a Monitoring and Learning Facility (MLF), which ran from October 2009-December 2011, providing project management and logistical support to the Programme Coordination Unit (PCU) in the Presidency, capacity development, support for knowledge management and M&E. In Phase 2 the LF was established in 2014 and is due to run to May 2017. The LF through the PSPPD II, is a management and logistics facility, within the parameters of its support, facilitates the provision of opportunities for these inter-related results areas. A knowledge management and dissemination system has been established, and capacity building and training activities for both policy-makers and researchers are implemented through the entity. Through the capacity building and training activities the knowledge base and skills of senior government officials are built on. The knowledge management and dissemination activities make the research more accessible to policy makers.

The programme intends to play an important role in this regard. Phase I focused on the Presidency, DPME and the social sector departments and related agencies, eg the Human Sciences Research Council. In the second phase, the scope has expanded to include the Economic Cluster, which underscores the interplay between social and economic issues. The New Growth Path[28] document states 'the connection between economic and social measures needs to be further strengthened. In addition to their important social goals, basic and secondary education play a critical role in long-run equality...' To ensure that the programme is manageable the following departments in the Social Cluster have been targeted: Social Development (DSD), Health (DoH), Education (DoE) and Rural Development and Land Reform (DRDLR); and in the Economic Cluster: Economic Development (EDD), Trade and Industry (DTI), Small Business Development (DSBD) and the National Treasury (NT). The number of provinces has been increased to four and includes the following: Limpopo, Eastern Cape, KwaZulu Natal and Gauteng. The level of engagement with the four provinces varies.

1.3. Procurement and Financial Procedures relevant to the PSPPD II

The PSPPD II is implemented through partially decentralised management. All contracts are concluded by the DPME, except for those relating to monitoring, external evaluation and audit, which are concluded by the European Union (EU) on their behalf. Payments are decentralised for operating costs and contracts through programme estimates. In accordance with powers delegated to them, an imprest administrator and an imprest accounting officer have been assigned to:

- manage and implement each project;
- draw up and implement connective programme estimates;
- award contracts and grants; and
- commit expenditure and make corresponding payments.

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[28] New Growth Path 2010, Economic Development Department (EDD).

All contracts implementing the project must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the European Commission (EC). The preparation, management and implementation of the project programme estimates must comply with the rules and procedures in force at the time of the adoption of the programme estimates in question (i.e. Practical Guide to Procedures for Programme Estimates).

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EC external actions. They are established in accordance with the principles set out in Title VI 'Grants' of the Financial Regulation applicable to the general budget. When derogations to these principles are applied, they shall be justified.

Framework contracts under the PSPPD II include:

- Research on Inequality for the PSPPD II;
- Visibility Strategy for the PSPPD II;
- Provision of Project Management Consultancy and Technical Assistance Services i.e. The Learning Facility.

Grant contracts under the PSPPD II include:

- 8 grant contracts under CfP I

  University of the Witwatersrand
  Centre for Development Support / Department of Economics, University of Free State
  Stellenbosch University
  University of Johannesburg
  The Children's Institute, University of Cape Town
  Stellenbosch University
  University of Cape Town
  Human Sciences Research Council

- 13 grant contracts under CfP II

  University of the Witwatersrand
  University of KwaZulu- Natal
  Centre for Early Childhood Development
  Project Preparation Trust
  Stellenbosch University, Research on Socio-Economic Policy (ReSEP), Department of Economics
  University of the Western Cape
  University of KwaZulu-Natal
  University of Fort Hare, Agricultural and Rural Development Research Institute (ARDRI)
  University of the Western Cape
  University of KwaZulu-Natal
  University of Fort Hare, Nedbank Chair in Economics Project, Department of Economics
  University of KwaZulu-Natal
  North West University, Africa Unit for Transdisciplinary Health Research (AUTHeR)

2. DESCRIPTION OF THE ASSIGNMENT

2.1. Global objective

The overall objective of this mid-term review is to provide decision makers in the South African government and the EU with sufficient information to make an informed judgement about the progress and performance of the programme (its efficiency and effectiveness), decisions about

any required changes to the operational scope for the remainder of the operational implementation period, establish lessons learnt for future interventions, and to make recommendations for institutionalisation of the programme post-EU funding.

2.2. Specific objective(s)

The specific objectives of the mid-term review of the PSPPD II are:

- Based on the design of the programme, to assess the efficiency and effectiveness of programme implementation to date;
- To assess the prospects and conditions for successful delivery of the programme's log frame activities and results, and achievement of the programme purpose, and in addition identify innovative activities and processes that contribute to the programme purpose e.g. Stellenbosch University/DBE interventions;
- If deemed necessary, to provide recommendations for modification of programme implementation scope in order to support effective implementation and the achievement of the programme purpose, and to take account of lessons learnt for future interventions; and
- To assess the situation with respect to institutionalisation of the programme post-EU funding, and suggest viable options to maximise the likelihood of institutionalisation and sustainability of programme activities.

Each evaluation will need to be carried out both at the policy/central level and where appropriate, at the implementation/field level.

2.3. Requested services

- A thorough assessment of stakeholder participation in the management and implementation of the programme, and the level of ownership at institutional level;
- A brief assessment of the extent to which the programme remains consistent with, and supportive of, the strategic priorities indicated in the MIP;
- A critical assessment of programme performance with respect to efficiency (input delivery, cost control and activity management) and effectiveness (actual and potential delivery of outputs and progress towards achieving the purpose);
- A thorough assessment of programme management and coordination arrangements, including the integration of the Learning Facility, and the extent to which timely and appropriate decisions are being made to support effective implementation and problem resolution;
- Assessment of the quality of operational work planning, budgeting and risk management;
- Assessment of the quality of information management and reporting, and the extent to which key stakeholders are kept adequately informed of programme activities (including target groups and beneficiaries);
- An assessment of the effectiveness and successfulness of aligning the outcomes and activities of the programme with other EC-, government- and donor funded programmes;
- An initial assessment of the prospects for sustainability of benefits, and making proposals to ensure institutionalisation and sustainability of programme activities, notably any immediate actions which will be required prior to programme closure;
- If deemed necessary, to provide recommendations for modification of programme implementation scope in order to support effective implementation and the achievement of the programme purpose over the remaining months of the programme; and
- Provide key recommendations on future activities in the sector addressed by the programme, and how these can be taken forward post the PSPPD.

2.4. Required outputs

The following outputs are required:

- Brief inception Report (4-10 pages), indicating more in-depth understanding and interpretation of the TORs following initial meetings with the PSPPD and key stakeholders [29];
- Debriefing Report, indicating the critical findings with respect to the assessments undertaken, and the corresponding recommendations; this report will be presented during a debriefing session held with the programme Steering Committee;
- Draft final report, documenting all aspects of the review; and
- Final report, incorporating comments on draft final report.

2.5. Language of the Specific Contract

The language of the Specific Contract is English.

2.6. Subcontracting (to be foreseen or not)

Subcontracting is not foreseen.

3. EXPERTS PROFILE or EXPERTISE REQUIRED

3.1. Number of requested experts per category and number of man-days per expert or per category

A team of two category I experts is required; both experts should spend 100% of their working days in South Africa. The assignment should be performed in a maximum of 80 persons/working days broken down as follows:

- Expert No. 1: 40 working days
- Expert No. 2: 40 working days

3.2. Profile per expert or expertise required:

Qualifications and skills

Expert 1 (Team Leader – Senior): this expert will have an education equivalent to a Master's Degree in in Economics, Development Studies, Public Administration or other relevant field, or in its absence, 15 years equivalent professional experience.

Experience

Preferably 12 years' general experience relevant to the assignment; 5 years' specific experience in one of the fields indicated below.

Sound knowledge and experience of conducting reviews and evaluations of projects/programmes (the Team Leader should have participated in at least two reviews and/or evaluations of EU funded projects and have led at least a third in the past five years).

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[29] As per national evaluation system requirements

Qualifications and Skills

Expert 2 (Senior): this expert will have an education equivalent to a Master's Degree in in Economics, Development Studies, Public Administration or other relevant field, or in its absence, 15 years equivalent professional experience.

Experience

Preferably 12 years' general experience relevant to the assignment; 5 years' specific experience in one of the fields indicated below.

Sound knowledge and experience of conducting reviews and evaluations of projects/programmes (Expert 2 should have participated in at least one review or evaluation of an EU funded project in the past three years).

Collectively, the team of experts should demonstrate the following:

- Extensive knowledge and experience of EU programme implementation;
- Sound knowledge and understanding of evidence-based policy making and its usefulness in public policy formulation; and
- Knowledge and experience of the development policy in South Africa as well as knowledge of economic and social sectors processes at national and provincial levels will be advantageous.

Language skills

Both experts should be fluent in spoken and written English, and should have excellent technical writing skills.

The Framework Contractor must ensure that the experts have adequate administrative support, so that their time and expertise can be used optimally for achieving the objectives of the assignment.

3.3. Management team member presence required or not for briefing and/or debriefing

Not required.

4. LOCATION AND DURATION

4.1. Starting period

The indicative commencement date of this assignment is Monday, 23 January 2017.

4.2. Foreseen finishing period or duration

The foreseen finishing period is 20 March 2017 i.e. 40 working days following the commencement date. The maximum duration of this contract is 3 months as from the commencement of implementation.

4.3. Planning including the period for notification for placement of the staff as per art 16.4 a)

Indicative project activities timelines for both experts

Activity	Duration (days)
Initial briefing (23/01/17):	1
Inception report (30/01/17):	5
Field work (from 31/01/17):	30
Mid-review briefing (20/02/17):	1
Presentation of draft final report (18/03/17):	1
Final report incorporating comments and feedback (20/03/17):	2
TOTAL:	**40**

4.4. Location(s) of assignment

For the duration of the project, the experts will be based in South Africa.

Initial, mid and final briefings will take place at the DPME, Union Buildings, Government Avenue, Pretoria, Gauteng, South Africa.

Programme, components and grant review will take place in South Africa with the following:

- The PCU, DPME, Union Buildings, Government Avenue, Pretoria, Gauteng, South Africa;
- The LF, 5th Floor Hatfield Mall, 424 Hilda Street, Hatfield, Pretoria, South Africa;
- Social Cluster Departments: DSD, DoH, DoE, DRDLR;
- Economic Cluster Departments: EDD, DTI, NT, DSBD;
- Provincial Governments: Limpopo, Eastern Cape, KwaZulu Natal and Gauteng;
- The CfP I grant recipients at the University of the Witwatersrand, University of Free State, Stellenbosch University, University of Johannesburg, University of Cape Town, Human Sciences Research Council (HSRC);
- The CfP II grant recipients at the University of the Witwatersrand, University of KwaZulu Natal, Centre for Early Childhood Development, Project Preparation Trust, Stellenbosch University, University of the Western Cape, University of KwaZulu-Natal, University of Fort Hare, North West University;
- Teams involved in research on inequality for the PSPPD II at the SALDRU, DPRU and MISTRA.

5. REPORTING

5.1. Content

An inception report (10 pages or less, excluding annexes) including:

- Project methodology with a succinct list of indicators (less than 10) to rate the successfulness of the performed assignment;
- Work plan;
- Activities;
- Timeframes;
- Work allocation between experts; and
- Proposed chapter headings for the mid-term review report.

5.2. Language

All reports should be written in English.

5.3. Submission/comments timing

- The inception report is to be provided within 5 days of the initial briefing;
- The draft final report (50 pages or less, excluding annexes), covering all requirements of the ToRs as set out in section 2 above, should be available within 54 days of the initial briefing;
- A consolidated final report, incorporating comments and feedback received from the concerned parties on the draft report will be made available two days after the reception of the comments and feedback.
- The Contracting Authority shall, within 15 days of receipt notify the Contractor of its decision concerning the documents or reports received; giving reasons should it reject the reports or documents, or request amendments.

5.4. Number of report(s) copies

Once the Task Manager has indicated by e-mail which version of a particular report is acceptable, all reports should be submitted to the DPME and EU and should be presented in an agreed format i.e.:

- should be made available electronically;
- 6 CDs/DVDs should be submitted with the final report; and
- 6 hard copies should be prepared at each submission stage.

6. INCIDENTAL EXPENDITURE

Other limitatively identified reimbursable costs, with their details:

- International/national return flights depending on the home base of the experts;
- Local air transportation (Eastern Cape, Western Cape and KwaZulu Natal);
- Local travel (Gauteng, Limpopo, North West, Eastern Cape, Western Cape and KwaZulu Natal);
- Per diems (accommodation and subsistence);
- 2 times tea and 1 fingerfood lunch plus non-alcoholic beverages for 10 participants (excluding the Contractor team) for each of 3 events (2 briefing sessions and 1 presentation of final report.

7. MONITORING AND EVALUATION

There will be a routine and systematic reporting of progress made by the service provider against the plan agreed upon by the partners. The service provider will be monitored by the DPME and EU. Indicators such as the quality of the report, the methodology that has been implemented and consolidation of the results will be used to measure the effectiveness of the service provider.

8. CONTRACTING AUTHORITY

The Contracting Authority is the Delegation of the EU to South Africa based in Gauteng to which the contractor will formally report and include in all correspondence related to this contract.

The Project Officer's details are:

Delegation of the European Union to South Africa,
1 Greenpark Estates,
27 George Storrar Drive,
Groenkloof, Pretoria, 0027

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Email: ▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮

Oversight of the technical content of the project will be undertaken by the DPME and EU.

9. DOCUMENTS REQUIRED FOR SUBMISSION OF OFFER

- Financial offer;
- CVs of all proposed experts in the required EU format;
- Statements of availability and exclusivity;
- Methodology: the offer should include an indicative methodology with clear responsibility assignments per experts and tasks, and a detailed calendar.

10. BUDGET

- This is a global price contract. The maximum budget for this contract is € 91 590;
- No provision is made for interim payments.

11. ADDITIONAL INFORMATION

For the purpose of this contract, experts do not have the permission to work during weekends and public holidays. Approval to work on weekends must be agreed in advance with the EU Delegation Project Officer.

In addition, 16 of the following 18 CfP I and CfP II grantees were interviewed.

Annex 2.1: CfP I Grantees, Theme - 'Towards Eliminating Poverty and Reducing Inequality: Addressing the Implementation Challenge'

No	Grantee	Research project	Grant Amount R'm
1		Examining the effects of poverty and inequality in early childhood on long-term outcomes: Evidence from the Birth to Twenty Study	1 000 000
2		The Family Observatory for Preventative and Developmental Social Work	1 140 000
3		Evaluation of the residential care programme for sexually abused children as part of the Isibindi "Circles of Care" Model	783 930
4		Family contexts, Child Support Grants and child well-being outcomes	885 412
5		Family cohesion, values and strengthening in promoting family well-being in South Africa	1 054 384
6		Alleviating binding constraints to quality education for the poor: Using evidence-based prioritisation to overcome the implementation challenge	1 140 550
7		Job Counselling, Productivity signals and Employment	860 000
8		Exploration of Impact Bonds for Results focused SME/SE Development	1 100 000

Annex 2.2: CFP II Grantees: Theme - 'Addressing the Poverty and Inequality Challenge'

No.	Grantee	Research project	Grant Amount R'm
1		Longitudinal perspectives on violence in the lives of children	1 228 702
2		An exploration of the mathematics ANA at the Grade 9 level in KZN and Eastern Cape	1 000 000
3		Increasing access and improving the quality of Early Childhood Development in South Africa: Effective early childhood	1 176 144

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[30] Not interviewed, but completed Grantee Perceptions Survey.
[31] Not interviewed, but completed Grantee Perceptions Survey.

		development programme options	
4		Informal Early Childhood Development Centres – a new area-based approach for improved and up-scaled ECD services for the urban poor	1 300 000
5		Expanding social mobility through education	1 250 000
6		Food choices and body mass index (BMI) in adults and children: Evidence from the National Income Dynamics Study (NIDS) and empirical research from Khayelitsha and Mitchell's Plain in South Africa	1 199 873
7		Climate change adaptation and poverty reduction co-benefits: human capabilities towards green micro-enterprise	1 170 000
8		Government and small-scale agriculture: understanding the successes and failures in respect of learning, planning and implementation	1 000 000
9		'Ground truth-ing' rural livelihoods: reformulating rural development paradigms and policy through qualitative-quantitative integrated research	1 250 000
10		Analysis of 2014 firm survey data, from the greater Durban area, in order to contribute evidence to local, provincial and national policy around manufacturing and inclusive growth	1 100 000
11		Harnessing livelihood strategies for Pro-poor policy interventions in Eastern Cape South Africa	1 283 889
12		Amajuba Newborn Hearing Screening Programme	1 291 775
13		Exploring the potential of local food systems for sustainable rural development – A case study of the Vaalharts area	1 000 000

Annex 2.3: Low Value Grantees

No.	Grantee	Research project	Grant Amount R'm
1	Children's Institute	Maternal and child migration in post-apartheid South Africa: An exploration of spatial mobility and changing household form, using the NIDS panel	R100 292
2	Health Systems Trust	Improving the understanding of the dynamics of obesity and related risk factors in South Africa	R99 995
3	SALDRU, University of Cape Town	Did South Africa's National HIV Testing Campaign Reach Poor and At Risk Individuals?	R110 000
4	University of Cape Town	The impact of the no-fee school policy on enrolment, educational expenditure and school performance: Evidence from NIDS Waves 1-3	R110 000
5	SALDRU, University of Cape Town	Youth labour market dynamics in South Africa: Evidence from NIDS 1-2-3	R110 000
6	Human Sciences Research Council	Profiling livelihoods assets in South Africa: Inequalities, dynamics and strategies	R108 956.40