



**Final Evaluation of the Programme to Support Pro-  
Poor Policy Development (PSPPD) II**

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**Final Report**

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## List of Acronyms

APPs	Action Priority Plans
CfPs	Call for Proposals
CoP	Community of Practice
COSATU	Congress of South African Trade Unions
DBE	Department of Basic Education
DEDT	Department of Economic Development and Tourism
DoH	Department of Health
DPRU	Development Policy Research Unit
DPME	Department of Planning, Monitoring and Evaluation
DRDLR	Department of Rural and Land Reform
DSBD	Department of Small Business Development
DSD	Department of Social Development
DTI	Department of Trade and Industries
EBPM	Evidence Based Policy Making
ECD	Early Childhood Development
EDD	Economic Development Department
EQ	Evaluation Question
EU	European Union
EUD	European Union Delegation
FA	Financing Agreement
GEAR	Growth, Employment and Redistribution
HSRC	Human Sciences Research Council
JC	Judgement Criteria
LF	Learning Facility
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
MTR	Mid-term review

MTSF	Medium Term Strategic Framework
ND	No date
NES	National evaluation system
NIDS	National Income Dynamics Study
NDP	National Development Plan
NGOs	Non-governmental Organisation
NSG	National School of Government
NT	National Treasury
PCU	Programme Coordination Unit
PE	Programme Expenditure
PEPs	Policy Engagement Plans
PFM	Public Financial Management
PLAAS	(Institute for) Poverty, Land and Agrarian Studies
PPI	Programme Performance Indicator
PPT	Project Preparation Trust
PSPPD II	Programme for Support of Pro-Poor Policy Development, Phase II
PSC	Project Steering Committee
QLFS	Quarterly Labour Force Survey
RSA	Republic of South Africa
SALDRU	South African Labour and Development Research Unit
StatSA	Statistics South Africa
ToC	Theory of Change
TOR	Terms of Reference
UCT	University of Cape Town
WP	Work Plan/s

## Executive Summary

The purpose of this report is to provide a Draft Final Review for the EU of its financing in South Africa of the Programme for Support of Pro-Poor Policy Development, Phase II (PSPPD II). This Action comprised of a grant of 10 million Euro to the RSA Treasury, as a component of a much wider Budget Support agreement signed in 2012. It was to enable the South African government's Department of Planning, Monitoring and Evaluation (DPME) to extend evidence-based policy making in relation to policy impacts in respect of poverty.

Poverty in South Africa is deep and widespread, in terms of some definitions affecting about a half of the population. It is generally closely linked to under- or unemployment, and reaches its highest levels in the rural areas and amongst women, with children often being affected at an early age. DPME's emphases in commissioning and applying work in this programme recognised these concentrations.

In terms of an appropriate methodology for evaluation, the broad canvass of PSPPD II work and issues raised pertaining to policy impacts of poverty inevitably required targeting. In the present review, this targeting comprised of a number of dimensions. First, an evaluation approach was adopted following the so-called DAC criteria<sup>1</sup> and Logical Framework, as is common in cases of EU funded programmes. Second, a method of targeted sampling of the broad range of programme source materials was adopted. This included a national sectoral and provincial spread of observation points, and examination of more impactful and less impactful programme areas.

It also entailed two types of observation lenses, one a more critical EU project evaluation perspective, and the other a more social science and policy analytical perspective. Starting points for the review are responses to the Evaluation Questions were proposed in the team's Inception Report, and summarised below.

Overall, the evaluation takes into account that the context for the Action is a challenging one, having to address some structural contradictions in terms of socio-economic development levels and deep inequalities and high levels of poverty. In addition to this, at the project level, there are "environmental" challenges such as the differences among the various government Departments in their approach to pro-poor policy making and, as a further complication, each Department's culture concerning the utilisation of evidence-based policy making (EBPM).

### Overview of responses to the EQ<sup>2</sup>s

In response to the question 'to what extent did participation of stakeholders in PSPPD II activities allow fostering of institutional ownership', the answers were mainly in the affirmative. Amongst virtually every stakeholder consulted during the fieldwork, none questioned the relevance of PSPPD II, with most feeling a related strong sense of institutional ownership of the programme. This strong sense was high especially amongst Project Steering Committee (PSC) members and larger grantees, but somewhat less so amongst the smaller grantees. Other government officials (that is, outside of the PSC) were supportive, but variable according to their degree of distance to programme implementation.

There is also a broadly positive response to the question 'to what extent have implemented Programme Estimates achieved an adequate level of efficient budget expenditure?' This aspect

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<sup>1</sup> <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

<sup>2</sup> The seminar on the draft final report agreed that in retrospect there were some ambiguities in the EQs and where relevant these are noted in the main text.

was monitored by National Treasury (NT) and in the review team's meeting with their representatives, they indicated their satisfaction in relation to this question, as the financial reporting was regularly audited at the end of each PE. The Mid-term review (MTR) for this programme also reported comprehensively on the bulk of program expenditures which in fact were incurred up to mid-2016 (the period covered by the MTR). The team's own observations on Actual expenditures after this, is that they accorded with expectations.

There is a more mixed response to the question 'to what degree did the Learning Facility contribute to enhanced capacity development and ownership?'. There were, amongst other challenges, structural location issues and staffing problems at least initially with the Learning Facility, but this improved later. Nevertheless, there were overall negative consequences, including access to documentation. Also overall, though, the programme appears to have been successful in enhancing capacity through training, workshops and other initiatives aimed at knowledge and awareness generation, and virtually all of those trainees interviewed offered positive reports in this regard.

In regard to indicators of ownership, these are closely related to institutionalisation; and data, information and opinion collected show that this can have different forms/ meanings according to each affected department/ institution.

Moreover, capacity development in relation to learning from PSPPD II, was not necessarily limited to the Learning Facility. There were a number of indirect spinoffs from the PSPPD programmes as a whole. Indeed, it has been found that the reasons for both the successes and failures of especially expanded capacity development associated with PSPPD II are probably best explained through the sociological lens of structuration theory – that is to say a perspective in terms of which individual human initiatives are conditioned by organisational structures, but which those individuals also sought to restructure. The Nelson Mandela School of Governance at the University of Cape Town (UCT), which uses a good deal of PSPPD II material and has a leadership associated with PSPPD II is a case in point.

In relation to the question, 'to what degree have programme inputs been sufficient to produce strengthened economic and social clusters in terms of research and evidence', it is pointed out that this raises the important issue of scale. With nearly half of South Africans living in conditions of poverty according to the broadest definitions, and with the Department of Social Development (DSD) grants running into hundreds of Billions of Rands per annum, a relatively small initiative such as PSPPD II represents a minor contribution and as such it had to be targeted in order to be better measured. There is a question-mark over the programme in fact as to whether enough initial targeting was done together with government departments, but as illustrated in cases discussed in Chapter 2 and in Chapter 3 on efficiency, the highly flexible approach also led to some unexpectedly successful developments.

Probably the most effective case was with the Department of Basic Education (DBE) in the social cluster and the Department of Small Business Development (DSBD) in the economic cluster, showing two different types of PSPPD contribution: The former with the utilisation of EBPM in its ECD links and the latter with the compulsory introduction of EBPM into its research agenda and managers' CV. To a lesser but still significant degree, successes have been noted in respect of the Department of Rural and Land Reform (DRDLR). In all cases this appears to have been the result of good personal relationships, and often from people from government and universities being physically exchanged (that is to say, agency factors undermining structural divides). Success was also a result of a specific department's own level of advancement in terms of planning and its overall policy cycle, as in the case of DSBD.

The question, 'to what extent has the programme been able to achieve benefits for final beneficiaries and target groups' raises issue of the scale of final beneficiaries (the millions of South African poor?) and target groups (hundreds of thousands of senior civil servants?) The benefits to the former group are not measurable at this stage, and in any event for a range of reasons not relating to PSPPD II the expected targets are not being met. In relation to public servants trained, several hundreds have been trained directly and thousands indirectly on the basis of work either by or derived from PSPPD II. There will also likely have been some diffusion of benefits from these trainees to their peers, but these effects are not easily measurable.

Finally, there is a mixed response to the question 'To what degree has programme M&E (reporting) contributed to a better understanding and utilisation of project outputs and outcomes among stakeholders and partners?' On the one hand, it might have been useful to have had a more regular/typical internal M&E system in place within PSPPD II. On the other hand, from descriptions received from a number of grantees and from former senior employees within PSPPD II, as well as from the current DPME senior official who was responsible for PSPPD II, it could have been inappropriate to have transposed a more regular/typical M&E system onto the flexibilities required of this programme.

The above EQs are further expanded in the Overall Assessment, approached through the five DAC standard evaluation criteria of relevance, effectiveness, efficiency, sustainability and impact.

#### Main findings on the Key Evaluation Areas

In terms of **relevance**, this programme has performed well: From the broader and higher level of supporting the South African government and its 2030 National Development Plan down to creating a much-needed capacity in EBPM for pro-poor interventions at the national and provincial levels. More specifically, PSPPD II was aligned to the socio-economic Outcomes of the NDP Vision 2030 and focuses on specific themes deriving from that, namely: Poverty and inequality, employment, unemployment and livelihoods, child poverty, and EBPM.

Amongst users of its outputs, there has been special interest in aspects of it relating to child poverty and early childhood development, and improved implementation across a broad spectrum of policy endeavours. However, in terms of a log-frame approach to relevance, there were gaps in translating the outcome level of some areas of the log-frame into the envisaged outputs, with a relating loss of information that likely impacted upon guiding subsequent implementation.

In terms of **efficiency**, the assessments of the review team have been mixed. Typical assessments of efficiency in well-established public service systems would assume linear causal relationships between inputs and outputs. However, in several aspects of South African governance such linear relationships are likely in the minority. There are rather many varieties of much more complex causal relationships between inputs and outputs within the policy influence domain, as it has been pointed out through depth interviews with several grantees and government officials. Sometimes these can generate unanticipated outcomes, including positive ones. However, this is not always the case and, conceived in linear terms, both internal and external factors could be construed to have negatively influenced the overall efficiency of this programme. This appears to have been impaired by a number of factors, including: Numerous and diverse stakeholders, with interaction reportedly sometimes affected by lack of clarity on roles amongst implementing partners with differences in understanding of responsibilities; Project M&E (management monitoring and evaluation systems) which did not conform with normal linear concepts of causality; and possibly uneven Implementation modalities, e.g. systems for outreach and type of initiatives, and processes in place to link research to policy

making. Misalignments between the Learning Facility and the overall PSPPD II programme also appear to have reduced efficiency.

However, on aggregate the programme was efficient and PSPPD II has been greatly coherent and complementary to other EU actions in South Africa.

Overall, in relation to **effectiveness**, there have been numerous areas of success. However, in several other areas some of the shortcomings hindering efficiency spilled over to effectiveness. In particular, considering the amplitude of topics falling within the Social and the Economic Clusters of government (the targets for this Action), the Call for Proposals approach to topic selection possibly led to a few departments' disappointments. On the other hand, the real achievements made possible in cross-cutting domains of child poverty, early childhood development, rural development and land reform and basic education were likely made possible by the 'implementation loose' modality, and the chosen approach of 'working with people who wanted to work with us'.

**Sustainability** looks to be mixed at this stage, and in this regard the findings of this final evaluation appear to be consistent with the Mid-term Review (MTR). This area is measured against progress with institutionalization, starting with the future of the knowledge repository and website; with two specific areas flagged as being of concern: The need to attend to the future of the knowledge repository and website; and at a broader level the need to link poverty in the public domain to the challenges of under- and unemployment (as it was envisaged in the original Financing Agreement). Given its information base, in some respects PSPPD II is/was well-placed to do this. Moreover, this aspect could link up to other EU concerns. Poor rural children are known not only to end up as the most likely to be unemployed in future. They are likely to be the most profoundly affected by inappropriate technology, environmental degradation and climate change. PSPPD II had a very full agenda, and therefore did not necessarily place all these issues in the foreground, but there is scope to do so in the future.

In regard to **Impacts**, numerous short-term measurable gains have been made. These can be translated into longer term gains through sustainability efforts referred to above. The Action under review here was part of a broader suite of initiatives supported in the 2012 Financing Agreement, all of which sought to directly and indirectly reduce poverty, primarily through enhanced governance and capacity development within government. As such the Action under review has been greatly coherent and complementary to other EU actions in South Africa.

The EU's visibility was prominent in the proceedings and outputs of this programme.

### Recommendations and Conclusions

In terms of conclusions, in summary this has been EU money well-spent. In regard to recommendations, the following are made, subject to them being practical within South African government:

- The Best Practices lessons from PSPPD II should be disseminated, most appropriately (because of their depth of understanding of the material) via the staff who managed PSPPD II, if needs be in their future<sup>3</sup> governmental offices/roles
- The EU should consider a Programme like the PSPPD in other developing countries

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<sup>3</sup> These could well be the same as those in the past, but the recent rearrangement of Ministries creates the possibility of some role transformations.

- A Framework for the promotion of continual learning of EBPM and resulting in pro-poor policies should be derived and disseminated by DPME from the PSPPD II experience, in particular using data and research for planning
- Research, training and knowledge management should be seen as strategic functions in government departments, ideally located in the Office of the Director General.
- There should be stronger linkages of priorities from the Medium Term Strategic Expenditure Framework and the individual Departments' Strategic and APPs, with oversight done by the relevant DPME officials or equivalents
- There should be an ongoing Knowledge Repository with links to the need for future website maintenance, and this should be a priority for the EU and/or the SA government
- Keeping track of the degree of utilization of NIDS by line-departments is a future priority, and this could be a function assigned to either the relevant DPME officials, and/or StatsSA (which is now taking over management of NIDS)
- The training budgets across government departments should be used in a more strategic manner and train and upskill government officials in generic research and policy analysis skills.
- The NSG could benefit from utilising material produced under PSPPD II, and this should be implemented by the NSG preferably in partnership with entities such as the Nelson Mandela School to train officials in research and policy analysis skills.
- There is a need to link 'the poverty trap' more clearly in the public domain to under- and unemployment, and this also could be a function assigned to either the relevant officials in DPME and/or HSRC.

Achieving these will likely require government/parastatal/civil society collaboration, as was characteristic of those areas in which PSPPD II has been most successful to date.

## 1. Introduction

The purpose of this report is to provide a Draft Final Review for the EU of its financing in South Africa of the Programme for Support of Pro-Poor Policy Development, Phase II (PSPPD II). This Action, amounting to a grant of 10 million Euro (to the RSA Treasury) is part of a complementary component of a much wider Budget Support agreement signed in 2012 for a total of €250 million. As in the Terms of Reference (TOR) for this review, the project was to enable South Africa's Department of Planning, Monitoring and Evaluation (DPME) to make "a significant contribution to the success of these departments' functions and focused on the key targets outlined in the NDP [National Development Plan]" (TOR, p.3). More specifically the TOR indicates that:

"The [PSPPD] programme championed evidence-based policy-making from its launch in 2007. Phase I ran from 2007 to 2012; the second phase commenced in 2012 and ran until May 2018 – with the closure phase running until November 2018. The programme aimed to enhance the analytical capacity of policy-makers in South Africa through professional development, so that they could be able to use better methods for making use of different kinds of knowledge, improve systems for ensuring that the right knowledge was available to decision-makers timeously and that better systems were developed for continuous learning. Policymakers, with input from researchers, could systematically use the best available evidence to inform the policy making and implementation processes. The PSPPD II leveraged the knowledge and experience gained in Phase I to strengthen the use of evidence-based policy-making and enhanced implementation of the MTSF and National Development Plan (NDP) at all levels of government i.e. local, provincial and national." (TOR, p.4).

The context for the Action is as follows. First, despite its' being a middle-income country, as is elaborated in the Terms of Reference (TOR) for this Final Review, "South Africa is among the most unequal countries in the world, with a Gini coefficient... of 0.6285 in 2017. 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" (TOR, p.2).

Second, on the subject of unemployment and underemployment, the challenge is that these are trenchant realities, unlikely to change in the short-term. The most recent data from Statistics South Africa's Quarterly Labour Force Survey (QLFS) for example show that, since the 2017 figures cited in the TOR, there has been only a slight increase in the expanded unemployment rate (from 36.5% in 2017 to 37% by quarter 4 2018); however, it is the longer-term persistence of such rates – and its concentration amongst women and youth - that is of more concern to endemic poverty. In 2008, for example, StatsSA QLFS surveys showed an overall expanded unemployment rate of 28.7%; and yet by 2018 this rate for women for example was 41.2% and for youth it was 67.6%<sup>4</sup>.

Poverty cannot of course be simply reduced to under- or unemployment, and it should also be clarified that it was not the intention of PSPPD II to address the fundamental causes of poverty in South Africa. This requires a wider and deeper set of measures which are being implemented elsewhere in the South African government and civil society. Rather, PSPPD II was designed to ensure that proper cognisance was taken of the consequences of widespread, and in some contexts deepening, poverty across a spectrum of areas of governance which were having both intended and unintended consequences for the poor.

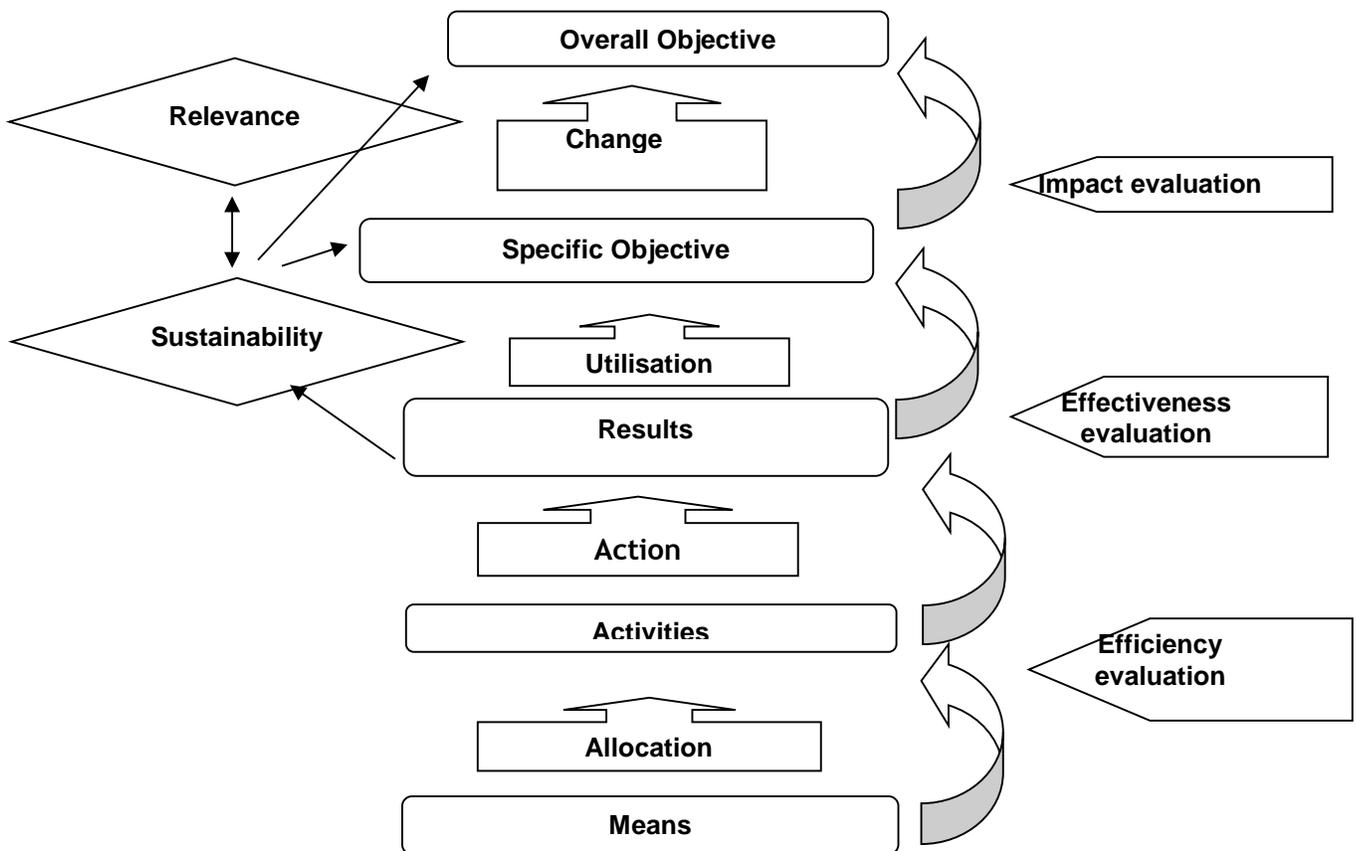
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<sup>4</sup> [http://www.statssa.gov.za/?page\\_id=1854&PPN=P0211&SCH=7331](http://www.statssa.gov.za/?page_id=1854&PPN=P0211&SCH=7331)

PSPPD II therefore largely comprised of fundamental and applied research, sectoral policy applications and training across a wide spectrum of areas of governance holding implications for poverty. It has generated thousands of pages of research and related documentation, and directly and indirectly<sup>5</sup> trained thousands of government officials in aspects of evidence-based policy making relating to poverty.

In terms of an appropriate methodology, inevitably with such a broad canvass of activities and beneficiaries, PSPPD II needed to be approached in a more targeted and analytical way than merely counting numbers. This targeting comprised of a number of dimensions. First, an evaluation approach was adopted following the so-called DAC criteria<sup>6</sup> and Logical Framework, which in schematic terms is set out below in Figure 1. This approach – which is common in evaluations of EU development aid – seeks to organise enquiry into tracing causal links between means, activities, results and objectives and assessing relative efficiency, effectiveness and impacts along these links, whilst also considering their longer-term sustainability and relevance.

**Figure 1: The Evaluation Approach**



Second, a method of targeted sampling of the broad range of source materials was adopted, and this was comprised of a stratified sampling method configured so as to enable reviewers to reflect upon certain hypotheses deriving from the evaluation approach on the one hand, and the various sources of information and insight into the processes of change that had been initiated by the PSPPD II intervention.

<sup>5</sup> There were indirect training and capacity development initiatives which emerged largely out of PSPPD, such as Nelson Mandela School, discussed later in this report.

<sup>6</sup> <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

The PSPPD II project was governed by a Project Steering Committee (PSC) which was drawn from a variety of South African government constituencies, as well as including EUD representation (the total PSC member numbers being sixteen). Whilst the PSC provided overall guidance, day-to-day management was provided by a few senior staff within the DPME (some also represented on the PSC) and management of more specific activities was further delegated to some<sup>7</sup> twenty grantees. In addition, as stakeholders in the overall PSPPD II process, there were large number of government officials in various departments who were either direct (as trainees) or indirect beneficiaries of the process. In terms of stratification, it was determined that the reviewers needed (i) some – preferably most - PSC members (as many who were available), (ii) some grant-holders/researchers, (iii) some national Department stakeholders outside of DPME, (iv) some Provincial government stakeholders, and (v) some partners and significant others (notably in EUD, the Human Sciences Research Council (HSRC), Statistics South Africa (StatsSA) and other partners).

In addition, since research and policy development within PSPPD II was organised into four themes - it was determined that (vi) for balance, it would have needed at least two depth respondents per theme and, for the reasons of assessing differential efficiency, efficacy and impact, an (vii) examination of themes or clusters in which there had apparently been (a) more impact on policy and (b) less impact on policy to date. This yielded a minimum requirement for at least twenty depth interviews<sup>8</sup>, from which snowballing of further face-to-face, telephone or emailed interviews could follow. In addition, as sources of information, several hundred out of the several thousand pages of research and policy reports needed to be read, on a structured basis; as well as progress reports, financials and Project Steering Committee minutes.

The present report reflects the merging of two distinct perspectives on these various sources of information and insight, one a more critical EU project evaluation perspective, and the other a more social science and policy analytical perspective. The starting point for the former was especially the set of Evaluation Questions and the Logical Framework for programme evaluation as set out within the Inception Report for this project; whereas the starting point for the latter was an inductive<sup>9</sup> listening and reading exercise, which resisted hypothesis testing and linear causal analysis. Rather it sought to infer generalisations, and to extract exemplifying cases on performance from content analyses of documents that had been produced, and the over ten thousand words of commentary made by variously positioned stakeholders in the depth interviews, telephone interviews and emailed responses.

The combined insights derived are reflected in Chapters 2 and 3 of the report to follow, and recommendations pertaining especially to future uses of this valuable work are reflected in Chapter 4.

<sup>7</sup> The apparent imprecision relates to the fact that in some cases a single grant was for more than one individual on a project, and twenty is the lower number.

<sup>8</sup> This minimum matrix derives from the following scheme:

**An initial structure for contacts**

Theme	Hi Impact	Lo Impact	National Stakeholder	Prov/Local stakeholder	Partner
1	1	1	1	1	EU 1
2	1	1	1	1	HSRC 1
3	1	1	1	1	SALDRU 1
4	1	1	1	1	DPME 1

<sup>9</sup> That is to say, based upon generalisations from empirical evidence, rather than hypothesis testing from some *a priori* conceptual framework.

## 2. Responses to Evaluation Questions

### 2.1 Introduction

As is customary in reviews for EU funding of projects, an important starting point for a review is agreement on Evaluation Questions. These Evaluation Questions were proposed in the team's Inception Report<sup>10</sup> of January 2019, since accepted by the EUD. As we comment later in relation to specific cases in this section, aspects of the original Evaluation Questions were seen to be ambiguous by participants in the Seminar which reviewed a Draft Final Report. We therefore note certain ambiguities below. Nevertheless, given the conventions for EU reviews, the present Part presents the current review team's answers to the Evaluation Questions listed on pp. 10-11 of that Inception Report (and itemized in bold italics as EQ 1 etc. below), developed now by evidence from the fieldwork and by analysis and reasoning during the synthesis phase.

### 2.2. Responses to questions

#### ***EQ 1 – To what extent did participation of stakeholders in PSPPD II activities allow fostering institutional ownership?***

To some extent a sense of ownership derives from feelings of the relevance of the activities engaged with in a programme, and amongst virtually every stakeholder consulted during the fieldwork, none questioned the relevance of PSPPD II with most feeling a strong sense of institutional ownership of the programme.

The sense of institutional ownership of PSPPD II was high, especially amongst those participating most e.g. PSC members and larger grantees, but somewhat less so amongst the smaller grantees. Other government officials (that is, outside of the PSC) were supportive, but variable according to their degree of distance to programme implementation.

A number of those who had a long association with the programme pointed out that the spreading sense of institutional ownership could be traced to history of the programme starting within the Presidency with the so-called NIDS (National Income Dynamics Study) work. This methodologically sophisticated Panel Study work attracted the early interest of the EUD South Africa, who saw in it the potential for wider evidence-based policy making in the country.

For a variety of mainly technical reasons pertaining to timing/financing however, NIDS was carried forward on the initiative of the Presidency with SA government funding within DPME, whereas EUD support focused more on application (including research and training) of NIDS-derived and other pro-poor policy work via PSPPD 1 and II.. The University of Cape Town's South African Labour and Development Research Unit (SALDRU) was the main host for NIDS (as well as some outsourced work from PSPPD I & II), although more recently the government's Statistics SA (StatsSA) has become the host to NIDS and the Nelson Mandela School of Governance at UCT (an indirect offspring<sup>11</sup>) has become one of the main avenues for forwarding

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<sup>10</sup> The author of the present report was not part of the team drafting the Inception Report.

<sup>11</sup> Our interviews and web research indicate that both PSPPD II and UCT's Nelson Mandela School arose out of a parallel government/development aid/universities momentum around 2011. According to a UCT website: "At his inauguration in 2009, former UCT Vice-Chancellor Dr Max Price committed to developing strategic initiatives to address four key social challenges, one of which was poverty and inequality....Following a meeting in April 2011 with the then Minister Trevor Manuel of the National Planning Commission, .....in September 2012, UCT hosted 'Towards Carnegie3' conference, attended by over 500 researchers, government officials and representatives from civil society to share information and

PSPPD II's training goals at more senior government levels. These are examples of ownership coupled to institutionalisation.

➤ **JC 1.1 – To what degree has the participation of stakeholders in programme management led to the identification and use of suitable institutional mechanisms for integration of evidence in policy?**

The evidence is that this is variable, and partly hinges on how one interprets the phrase 'institutional mechanisms', as is elaborated below. There has been a degree of independence and flexibility by different national and provincial government departments, project beneficiaries and universities/units in following up their interactions with PSPPD. For example, KwaZulu-Natal (KZN) Province offers an interesting example, as PSPPD II saw the Office of the Premier level representation on the PSC, whilst earlier the Province had also successfully institutionalized a previously funded EU €37 million local economic development programme, Gijima. Interviews with other senior provincial government officials in KZN suggest that the impressive Monitoring and Evaluation (M&E) systems now in operation there were mainly the outgrowth of Gijima rather than a spin-off from PSPPD. The latter started in 2006 through external funding from the EU and is still supported by the provincial budget with an approximate yearly allocation of R 2.5 million. It is possible therefore that in this case, M & E systems institutionalised within that province influenced the political centre, rather than *vice versa*.

In the Eastern Cape on the other hand, interviews carried out with grantees suggest that there has been ongoing synergy between the interests of the Provincial Government there, aspects of the PSPPD II programme's chosen emphases on Livelihoods, and reciprocal effects of grantees work on local economic development strategies adopted by Provincial Government itself. One PSPPD II grantee in the Eastern Cape explained that as a result of their involvement with PSPPD II, senior university researchers doing poverty and livelihoods studies receive ongoing invitations to the provincial government's Policy Forums. Also in the Eastern Cape case, synergy is shown by Early Childhood Development and related initiatives integrating evidence in policy with a direct benefit for the provincial Department of Social Development. This also provides an example of how provincial and national research and provincial and national government can work together.

Some previous NGO and university practices appear to have influenced the PSPPD II agenda, but likewise these institutions themselves have been subsequently partly transformed by PSPPD participation. Three examples should serve as illustrations of the impact that PSPPD exerted.

1. UCT's SALDRU was clearly influential upon the original agenda of PSPPD II partly due to their analytical head-start via the preceding NIDS research; but at a wider level SALDRU research diversified into other areas it might not otherwise have done without PSPPD II, and the formation of UCT's Nelson Mandela School of Governance (which has since trained over a thousand senior government officials in evidence-based policy making) has had a number of direct and indirect links to PSPPD II (a direct example is the use within that School of the Course Workbook: Understanding Poverty and

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models for urgent action on key themes [on poverty] was led by Professor Murray Leibbrandt during his tenure as the Pro Vice-Chancellor Poverty & Inequality and was advised by the Poverty and Inequality Planning Group (PIPG) comprising key faculty members spanning the university's six faculties. The initiative has sought to take committed and excellent research and researchers into processes aimed at finding and developing viable and impact-driven policies and interventions to overcome poverty and inequality'. Source: <http://www.povertyandinequality.uct.ac.za/about-us-29>. The establishment of the Nelson Mandela School at UCT was interpreted in more than one interview as part of the momentum just described.

Inequality in South Africa<sup>12</sup>. The assessment of the degree of utilization of NIDS by line-departments is currently partly hindered by the absence, as yet, of an M&E framework to monitor such spin-offs from the PSPPD II and similar programmes; although in fairness NIDS pre-dated PSPPD II, so criticism of past M&E practices of PSPPD II in particular in this respect would be misplaced.

2. Stellenbosch University's School of Economics was a previously established leader in education research, and had some collaborative linkages with the Department of Basic Education's (DBE) evidence-based policy making prior to its support by PSPPD II; but both insiders and external observers pointed out to the review team that, as a result of their PSPPD II work, the highest quality evidence-based work on enhancing the schooling prospects of the poor in South Africa has been done by Stellenbosch through PSPPD II support. Moreover, relationships between that University's work on poverty and schooling and the DBE at Ministerial level have been deepened and are now ongoing.
3. KZN's Project Preparation Trust (PPT) was struggling to find partners for its pioneering work on early childhood education centres in some of the poorest informal settlements in that province, even from municipal and provincial government, prior to it finding support through PSPPD II. PSPPD II support, together with eThekweni Metropolitan Council support, has since enabled it to establish what appears as a set of national best practices accompanying informal settlement upgrading in this regard; and these same activities have since also diffused to the Eastern Cape, although there are now financial sustainability considerations going forward.

Whether these cases could be described as 'institutional mechanisms' is perhaps arguable, and a more critical view could be that the mix of integration of evidence in policy through such partnerships has been associated with a type of "implementation loose" (i.e. not pre-programmed), although the latter is required for innovation. Moreover, the creative breakthroughs that were achieved, such as those mentioned above, seemingly required bespoke forms of institutionalisation to emerge, such that for example PPT's co-management arrangements with eThekweni's Housing Department (which now continues in other contexts still today). Another critical view, however, might be that high PSPPD II flexibility in selection of topics for the generation of evidence could be attributed to an initial system weakness in capturing feedback from government departments<sup>13</sup>. It is thus possible that some sent participants to training that may not always have been a good fit, despite the fact that with the Mandela School there was a rigorous selection process where officials had to apply and write a motivation for attendance on EBPM; and a similar process was followed for P&I. (The programme also allowed less senior officials to attend some courses when managers thought is appropriate e.g. Eastern Cape officials on EBPM).

Consequently, Communities of Practices (CoPs) did not appear to be really taking off, in the light of the developments recorded in the LF final report (and illustrated below in 3.2), but otherwise perhaps the rather broad mandate of PSPPD was sometimes seen as too vague in some departments for communities of practice applications to emerge at provincial level. Having said this, the question of scale once again needs to be borne in mind, in that in a large country with nine provinces and several competing policy priorities – often apparently more immediately urgent, like unemployment, land reform or energy – it cannot be expected of a ten million Euro budget effort to completely turn policy priorities around. The question therefore comes down to one of EU value-add, as elaborated in relation to question EQ 5 below.

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<sup>12</sup> This workbook is headed on the front cover as being a product of PSPPD, and then carries the logos of DPME, the NDP, PSPPD, UCT and EU on the base of its cover.

<sup>13</sup> However, as more than one interviewee noted to us, has PSPPD II waited for needs analyses from Departments before actually commencing work, this programme may not have got off the ground.

➤ **JC 1.2 – Did stakeholder engagement in programme implementation contribute to successful programme awareness and outreach?**

It can be confirmed as from MTR that PSPPD II was successful in creating awareness and this may well have been its strongest achievement, and that stakeholder engagement (grantees and officials) in programme implementation were part of this. The many workshops, field trips etc. facilitated by PSPPD II were components of such engagement. Virtually all those whom the team consulted (including government officials) either explicitly or implicitly endorsed PSPPD II at this level, notably with respect to enhanced understanding of the complex causal relationships between poverty and the achievement of other policy objectives (such as in education, or employment). In regard to outreach, the answer is more complex, and the measurement of its extent is linked to various aspects of efficiency and effectiveness discussed elsewhere in this report.

Some grant beneficiaries specifically developed their own, self-initiated programmes of outreach, an example here being the case of UCT's SALDRU PSPPD-funded work in the field of youth spilling over into wider consortia-sponsored 'Youth Matters' initiatives.<sup>14</sup> In other cases, such outreach was less evident, and the reviewers received mixed responses from grantees as a whole on whether and how they had achieved such objectives.

Many of those consulted suggested to the reviewers that further work needed to be done in disseminating the results of PSPPD II research and making it more applicable to practical policy domains. However, in this regard time frames and resources need once again to be borne in mind. It could be that further development of especially localised policy applications is too much to expect of a programme whose lifespan is only a few years, when in many other policy domains a decade or more is regarded as a realistic time-frame to give effect to such applications.

**EQ 2 – To what extent have implemented Programme Estimates achieved an adequate level of efficient budget expenditure? Efficiency of programme implementation**

This aspect was monitored by the PSC and National Treasury (NT) and in the review team meeting held with the latter, they indicated their satisfaction in this regard for the whole programme period. National Treasury did not seek to influence how exactly budgets were set, but they did review DPME budgets and exercise a checking function. Treasury were not however required to assess value-for-money, although the MTR for PSPPD II reported positively in this regard, despite some apparent data gaps. The final review team also experienced some data gaps to assess value as in cost-efficiency, including for example the budget structure as commented on in section below on effectiveness - but at least at the level of the cost-effectiveness referred to overall quality and quantity of research and other (e.g. training), the value achieved in comparative terms seems fair when compared with other similar projects in southern Africa which are familiar to the team. This is particularly so in terms of low management numbers<sup>15</sup>, although overall operational costs were fairly high (see table 1).

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<sup>14</sup> See De Lannoy, A., Lake, L. and Mann, Z. (eds) 2015, *Youth Matters: what young people need to reach their dreams*, Cape Town: Children's Institute and Poverty and Inequality Initiative, University of Cape Town and Ikamva Youth. This programme was supported inter alia by UNICEF South Africa, World Vision, DG Murray Trust and others as well as PSPPD II.

<sup>15</sup> No two EU or other South African development aid projects are exactly alike so there are inevitable problems with comparisons. Order-of-magnitude is obviously important in making such comparisons – that is to say the donor should be contributing about ten million Euro if we are to make reasonable comparisons. The author has had close association as a lead evaluator of two other projects of this scale in South Africa. In terms of a recent (2018) South African case, the RSA Treasury's Jobs Fund's new cane planting project in KZN involved a some ten million Euro Treasury grant to realise some several hundred

➤ **JC 2.1 – To what extent can programme performance be favourably measured in terms of actual versus planned expenditure of PEs?**

The MTR presented a detailed review of financials until April 2016, thus most of these observations are confined to the period following that. Most of the expenditure had been incurred by April 2016, and the MTR returned a broadly favourable report on that. As it can be determined from the table below extracted from the DPME records made available to the reviewers, actuals in the final stages centred upon operational costs and finalising payments to grantees. Response to JC 2.2 looks at the programme as a whole.

**Table 1: Actual expenditures in the final stages of PSPPD II**

Expenditure	PE5 Actuals Audited awaiting Audit Report (01 May 2016 TO 30 September 2017)	PE6 Projections Including Closure (01 October 2017 TO 23 November 2018)
Description	EURO	ZAR
TECHNICAL ASSISTANCE	0.00	0.00
CALLS FOR PROPOSALS/ GRANTS	67,754.94	1,145,932.52
INVESTMENT COSTS	0.00	0.00
OPERATING COSTS	624,050	5,872,858
AUDIT AND EVALUATIONS	0.00	0.00
VISIBILITY	0.00	0.00
CONTINGENCY	0.00	0.00
<b>TOTAL</b>	<b>691,804.87</b>	<b>7,018,790.88</b>

➤ **JC 2.2 – To what degree has PE expenditure respected predetermined timelines?**

This has been in accordance with the predetermined timelines, including as revised through amendments illustrated in table below.

**Table 2: PEs timeframe 2012 to 2018**

Programme Estimates	Year	2012	2013	2014	2015	2016	2017	2018
07/2012 to 05/2018	Total months	PE 1 7/2012 to 12/2012	PE 2 1/2013 to 4/2014	PE3 5/2014 to 4/2015	PE4 5/2015 to 4/2016	PE 5 5/2016 to 9/2017	PE 6 10/17 to 5/18	nov-18
PE 1	6							
PE2	16							
PE 3	12							
PE 4					D+3			
Extended to 31 May 2016	13							
PE 5 01 May 2016	16							

full-time equivalent jobs and related spinoffs, and this required (approximately) a full-time staff management input of one senior manager and two senior support staff (the latter outsourced) over five years, which is broadly equivalent to PSPPD II. Another older but specifically EU case is the widely celebrated and international award-winning Cato Manor Development Project, supported by the EU in South Africa some twenty years ago (see P. Robinson, J. McCarthy and C. Foster, *Urban Reconstruction in the Developing World – Learning from an international best practice*, Heinemann, 2004). In that case the EU contribution was of a similar order (R200 million) but the PMU management and staffing was of a much higher order in numbers terms – approximately (it varied from year to year) six middle and two senior managers full-time over five years.

Programme Estimates	Year	2012	2013	2014	2015	2016	2017	2018
07/2012 to 05/2018	Total months	PE 1 7/2012 to 12/2012	PE 2 1/2013 to 4/2014	PE3 5/2014 to 4/2015	PE4 5/2015 to 4/2016	PE 5 5/2016 to 9/2017	PE 6 10/17 to 5/18	nov- 18
to 30 Sept. 2017								
Extended Nov 2017 to March 2018 (letter 04/2017)								
PE 6	8							
Total	71							
Human Dynamics	41							

**EQ 3 – To what degree did the Learning Facility contribute to enhanced capacity development and ownership?<sup>16</sup>**

The question above derived from the Inception Report should have referred to PSPPD rather than LF. PSPPD II appears to have been successful in enhancing capacity through training, workshops and other initiatives aimed at knowledge and awareness generation, and virtually all of those interviewed offered positive reports in this regard. Concerning the indicators of ownership, these are closely related to institutionalisation; and data, information and opinion collected show that this can have different forms/ meanings according to each department/ institution.

Despite the contractual implications of the original Financial Agreement, one of the main findings confirms that PSPPD and, as an integral part of it, the Learning Facility (LF) are mainly a process, rather than a definite linear operation with a start- and an end-date. This of course raises questions of sustainability and replicability which have been addressed later.

As was noted in Chapter 1 of this Review, PSPPD II has been aligned (whether consciously or otherwise) all along to the NDP priorities, and in some ways was actually a product of them<sup>17</sup>. Hence the measurement of the extent of contribution to South African priorities needs to consider the government's broader strategic environment as well as M&E tools (also aimed at capacity building, therefore potentially complementary) and the extent to which PSPPD II has been embedded within existing structures. This, in turn, is closely linked to Knowledge Management modalities, also an important element to measure effectiveness, impact and sustainability in particular, as elaborated further in Chapter 3.

In general, responses to this question, and to the judgement criteria deriving from it, also raise issues of attribution versus contribution to causes and effects. One view was that PSPPD II as a whole (with the LF being part of it) was mainly a contribution – PSPPD II was helping with a wider process. Another is that PSPPD II made specific strategic interventions (e.g. with respect

<sup>16</sup> At the seminar reviewing a draft final review report, there was debate over whether it was reasonable to have extracted the LF from PSPPD II in the way this question was phrased, and also in the way that derivative judgement criteria were framed. The author of the present report acknowledges ambiguities in this regard, but also notes that it is contractually binding to examine the questions agreed in a approved Inception report.

<sup>17</sup> There is some debate about cause and effect here, because the NDP Vision 2030n was launched on March 15<sup>th</sup> 2012, and the Financing Agreement for PSPPD II was signed in Brussels on 3 February 2012 in Brussels and in South Africa on 25 May 2012. The most reasonable influence might be that PSPPD II might not have followed the NDP Vision 2030 to the letter, but that it was certainly part of the emerging policy consensus at that time.

to early childhood development) the effects of which could be almost entirely attributed to that programme.

At this point however it is important to flag two main concerns, the first pertaining to a still existing need for a follow up to an Exit Strategy of the Learning Facility; and the second relating to the future of the Knowledge Repository, the latter being a matter raised spontaneously in several depth interviews, where there was concern that without proper nurturing, this could become lost.

➤ **JC 3.1 – To what extent have PSPPD achievements as implemented by the Learning Facility (LF) contributed to South African priorities?**

In many respects South African priorities are determined elsewhere, for example in the processes leading to Medium-term Strategic Frameworks, or in the longer policy works reflected for example in the National Development Plan (NDP). As a contribution towards giving effect to these priorities, the LF would however have been significant.

For example, the National Development Plan stated as its 2030 Vision for a ‘Capable State’ that this requires “well run and effectively co-ordinated public institutions staffed by skilled public servants....prioritising the nation’s developmental objectives” (p.365). In terms of what needs to be done to achieve this, the NDP Vision 2030 document stated that “the state needs to focus on producing the skills and expertise that will be necessary for future public service cohorts...[and]...reinvigorate its role in producing specialist technical skills” (pp. 365-366). In respect of training people in government towards better knowledge of the uses of research, and in sensitising them towards the poverty-related implications of a variety of their interventions, the LF has – in general terms - clearly been contributing towards national priorities as identified in the NDP.

➤ **JC 3.2 – To what extent has the PSPPD been successful as a tool to strengthen and expand capacity development and ownership?**

Many respondents in depth interviews commented that, at least during the lifespan of the programme, both capacity development and ownership were some of its stronger features. This is also borne out by some of the parallel of PSPPD II, such as the Nelson Mandela School of Governance at UCT, which continues to produce hundreds of graduates/diplomates amongst people at high level in government. The Nelson Mandela School, indeed, which was supported and consolidated by PSPPD is in many respects a good illustration of the interactive forces between influential actors associated with PSPPD II, and the structures surrounding them that they need to engage with, and occasionally recreate<sup>18</sup>.

In general it has been found that the reasons for both the successes and failures of especially expanded capacity development associated with PSPPD II are probably best explained through the sociological lens of structuration theory, in terms of which there are ongoing dynamics between human agency and the social and organisational structures that ‘contain’ such agents

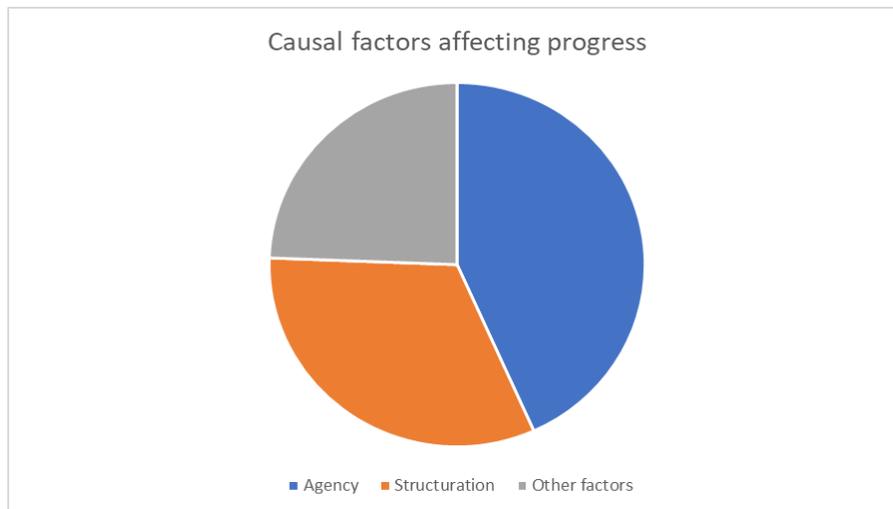
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<sup>18</sup> For example, the current Head of the Nelson Mandela School, Dr Alan Hirsch, was previously in the Presidency along with colleagues who later moved to DPME and its PSPPD II programme. Changes to the Presidency, not of any of these party’s makings, resulted in their collective movements to DPME. PSPPD II was situated within DPME due to a number of individual influences, assisted by the EUD. Later, the poverty theme which had previously begun to emerge at UCT – see footnote 10 – gained momentum there and Dr Hirsch’s exit from government then found a ready reception at a by then poverty-policy-sensitive UCT. Now, Dr Ian Golding, also associated with PSPPD II (and a PSC member) became an Adjunct Professor here.

(or influential actors).<sup>19</sup> In this regard, the reviewers reflected upon the some ten thousand words and phrases used by depth respondents<sup>20</sup> in describing their experiences of PSPPD II prior to putting more specific questions on them on more specific project details.

By far the largest proportions of phrases deployed in such feedback (over two thirds of total) when referral was made to causal forces at work aiding or inhibiting PSPPD II's progress referred to some or other aspects of human agency and/or structuration in the PSPPD II experience, and these were roughly split between agencies and structures. This split of key phrases used is reflected graphically in figure 2 below.

**Figure 2: Split of key phrases used by respondents re. causes**



These broad proportions of course reflect the respondents' collective recognition of the fairly even balance of structural and agency forces impinging upon actual outcomes, and they deserve some illustration to give the reader a sense of those features. Key amongst the agency features was that of human relationships, both negative and – more frequently – positive. On the negative side there were several reports of poor personal relationships between those in the Learning Facility and others within PSPPD II. On the positive side: Within DPME, relationships amongst senior management were reportedly good, and several grantees attributed the successes that were achieved by PSPPD II to programme leadership. They were said by many grantees to have given them a great deal of moral and organisational support, and this included not only DPME but the later leadership of the Learning Facility.

The DPME leadership appeared to play a key role in connecting academics, NGOs and researchers into the policy domain. One senior researcher put this in a compact way that summarised the views of most others: 'PSPPD people were quite sophisticated in how they brokered the EBPM/academic interface with politicians and senior officials in an otherwise suspicious political environment.'

<sup>19</sup> The sociologist Anthony Giddens is often credited pioneering structuration theory, but empirical research following this schemata has had various exponents, including the works of those in progressive management research such as those of Tamim Elbasha and Alex Wright recently published in the journal *M@n@gement* (Reconciling structure and agency in strategy - as-practice research: Towards a strong-structuration theory approach in [M@n@gement](https://doi.org/10.3917/mana.202.0107) 2017/2 (Vol. 20), pages 107 à 128, <https://doi.org/10.3917/mana.202.0107>

<sup>20</sup> As recorded in the team leaders field notes.

At the level of structural forces, several key senior players mentioned how that had to navigate the growing constraints that they experienced within the Presidency in the mid-2010s. There were a number of restructurings that affected careers there. Others pointed out that there was an intrinsic tension between the 'more economic' nature of Treasury, and the more socio-political nature of DPME, and that this probably affected what was possible in agency terms. Likewise, other partner institutions commented on how they perceived structural barriers between themselves and other partners, as well as DPME, in limiting scope for individual actions that might otherwise have been taken.

On the whole however, agency forces tended to prevail over structural constraints, and this is partly underscored by the slightly more frequent mentioning of these factors in depth interviews.

➤ **JC 3.3 – To what degree has an effective and sustainable Knowledge Management system been achieved?**

The answer here is unfortunately less positive than that for JC 3.2 above, and this probably derives from some of the structural conflicts alluded to there. The fact that the website cannot effectively find continuity or a new owner is possibly symptomatic of some of this wider structural conflict, with the EU project cycle associated financial implications being the structural consideration; and with some respondents indicating that whilst their institution could consider hosting it in future this could generate inter-institutional conflict. There is however no evidence for this, and a recommendation is made in this regard in section 4.

**EQ 4 – To what degree have programme inputs been sufficient to produce strengthened economic and social clusters in terms of research and evidence?**

This question refers to strengthened evidence, but also raises the important issue of scale. With nearly half of South Africans living in conditions of poverty according to some definitions<sup>21</sup>, and with the scale of government policy initiatives on a variety of fronts likely running into Billions of Rands per annum<sup>22</sup>, the PSPPD II initiative has been relatively small even in relation to overall evidence strengthening. Indeed, reading the original 2012 Financing Agreement, the PSPPD II programme was in many respects a minor add-on (10 million Euro) to a much larger (250 million Euro) 'Budget Support' agreement signed with RSA Treasury, major components of which were assigned to other aspects of improved governance (and evidence-building) in South Africa.

The measurement of delivery of results is done on the basis of Outputs and Outcomes. Given the comparatively limited budget, the programme has indeed achieved a lot in terms of research, evidence, awareness creation and knowledge generation, including enhancing the establishment of networks. These are however traditionally classified as "Activities", and are different from Outputs as conceived in terms of the Logical Framework: For example, the combination of activities and outputs leads to outcomes in a result-oriented way. In this regard, the analysis focuses, amongst others, on what types of follow-up can be linked to the capacity generated in the absence of a tailor-made M&E system broader than the count of the participants to the learning events.

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<sup>21</sup> See World Bank and Department of Performance Evaluation and Monitoring, *Overcoming Poverty and Inequality in South Africa*, World Bank, Washington DC, 2018.

<sup>22</sup> For example, in 2018/9 the Department of Social Development's (DSD) budget was R172 Billion, of which over 90% was for 'Social Assistance' (grants)  
<http://www.treasury.gov.za/documents/National%20Budget/2018/enebooklets/Vote%2017%20Social%20Development.pdf>

In cases where implementation is more activity-driven, the measurement of outcomes becomes a challenge that can be mitigated by the adoption of specific tools and corrective measures. Grantees' Policy Engagement Plans are one example of an effective tool to guide implementation involving partnerships hence a useful indicator for this output, and these are discussed further under JC 4.2 below. JC 4.1 is more concerned with strengthening research and evidence.

➤ ***JC 4.1 – To what degree has the production and use of knowledge been effective to inform planning in the Economic and Social Clusters, on the basis of research and evidence produced by the programme?***

The assessment the PSPPD contribution to strengthening research and evidence in relation to planning in the two clusters, shows different types of outputs, varying for each Department rather than based on a cluster-specific approach with relating targets to be measured against definite outcomes in the social or economic sphere. Effectiveness in this regard is commented upon more fully in Chapter 3 to follow, but in essence the effectiveness in the Departments within these Clusters<sup>23</sup> appears to have varied, partly because of the variable ways in which grantees were incorporated into policy-making with these Departments. It also likely reflects differential capabilities/interest in respect of institutionalization in regard to EBPM and poverty considerations.

Departmental-level mechanisms here are important. Probably the most effective case was with the Department of Basic Education (DBE), where the feed-back both from the grantees and independent outside education experts has been that mechanisms for using evidence were relatively unique, and the derived effectiveness was profound. The main mechanisms were carefully structured exchanges of staff, Ministerial-level engagement, as well as ongoing liaison with DPME and PSPPD II as a whole. As a result, independent outside education experts advised that the quality of work done by Stellenbosch for DBE was of the highest order; and the leader of the Stellenbosch group subsequently advised the reviewers that they have since continued to have a strong working relationship with the Department, including that two of the DBE managers (one of them very senior) who spent time collaborating on the study are currently enrolled for PhD studies at Stellenbosch University. The Minister of Basic Education participated in three of the Stellenbosch grantees annual conferences on Quantitative Education Research by presenting keynote addresses (one of these by video). They also had strong representation from senior management at the DBE and provincial departments at the grantee's conferences during the tenure of PSPPD II.

This close linkage was possibly not only a reflection of the exchange of personnel and Ministerial involvement, but also was possibly a reflection of the growing recognition – accelerated nationally through PSPPD II's emphases – of the importance of child poverty and early childhood development to educational outcomes later in the schooling process<sup>24</sup>. Partly as a consequence, the overall responsibility for early childhood development within government

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<sup>23</sup> These Departments are Social Development (DSD), Health (DoH), Education (DoE), Rural Development and Land Reform (DRDLR), Economic Development (EDD), Trade and Industry (DTI), Small Business Development (DSBD) and National Treasury (NT).

<sup>24</sup> Until about 2011, our web-based research shows that very little research on the troubling educational achievements at higher grades referenced problems of early childhood development and child poverty. The emphases fell rather on curricula, teacher quality, race, etc.. It is now much more widely understood – partly as a result of work sponsored by PSPPD II - that the main causes of poor later schooling performances begin actually before school attendance as a result of child poverty, and therefore are almost impossible to remedy from then onwards.

has shifted from its former location within to the Department of Social Development to Basic Education.

A second illustration of the importance of researchers and academia integrating, in personnel terms, with government is provided in the area of rural development and land reform. Here at least one grantee pointed out that the PSPPD II program had been important in sustaining and deepening pre-existing relationships that the University of the Western Cape's PLAAS Institute (Institute for Poverty, Land and Agrarian Studies) had established with the DRDLR. It was pointed out to the reviewers that policy influence in South Africa is seldom direct and linear, but relies partly upon a pattern of momentum built up over time. PSPPD II funding had sustained such momentum, and with the land reform issues in South Africa 'exploding' over the past eighteen months, PLAAS's prominence (assisted by the PSPPD II) grant probably contributed towards senior members of that Institute now playing prominent roles at the level of parliamentary and provincial committees on land reform and rural development, and also at the level of a National Commission recently appointed by the President. That said, it was noted that there are of course ambiguities of attribution/contribution<sup>25</sup>; and given that land reform is a hotly contested political domain, the extent to which evidence-based policy making can influence all factions is open to debate. (This is a point that was however recognised within DPME, and the team review will return to make certain observations on their perspectives in this regard in the overall assessment section).

In other Departments the evidence is more mixed, and the information uneven. It cannot be said with certainty that there was any Department within the Social and Economic Clusters who were not influenced by PSPPD II, but we were not made aware of a case of influence as strong as in Basic Education, or to a somewhat lesser extent the Department of Rural Development and Land Reform and DSBD.

➤ **JC 4.2 – Have Grantees' Policy Engagement Plans materialised and to what degree have they been implemented?**

Policy Engagement Plans appear to have been of different types, as developments are peculiar to each Grant. There was therefore not a singular formula applied to all cases. However, documentation analysed and expert comment indicates that there were three workshops organised by PSPPD aimed at laying the groundwork for policy engagement<sup>26</sup>; and several conferences extended this. Several grantees commented to the reviewers that these offered useful opportunities to participants to exchange information on their Action. Their added value was possibly impaired by not having led to draft PEPs to be submitted as initially envisaged and to be composed of a specific road-map indicating the steps to engage with the line Department/s.

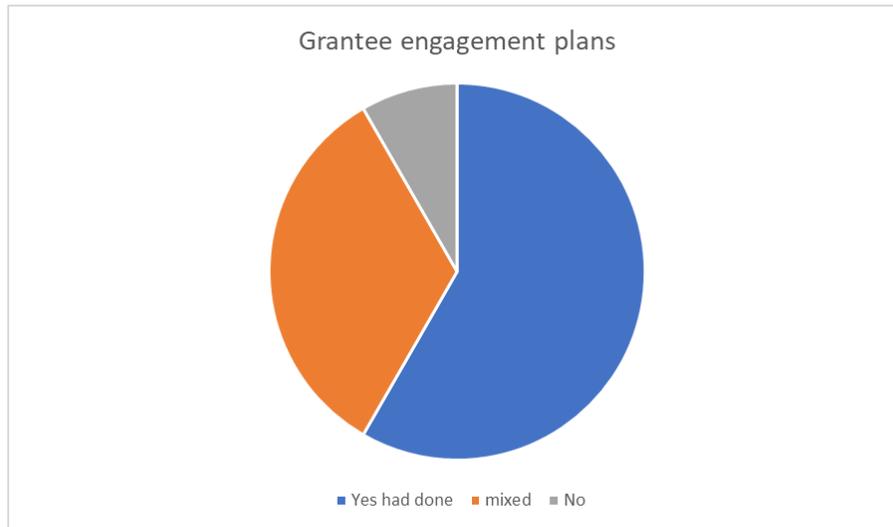
In terms of extent/degree of implementation, all grantees were emailed a request (with follow-ups) to respond to certain questions, including whether they had discussed policy engagement plans with PSPPD and whether there had been follow-up to this; and whilst only two thirds responded, the majority of those who answered did so in the affirmative (Figure 3).

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<sup>25</sup> PLAAS was well-established as a centre for Land Reform research prior to PSPPD II. However, our interviews suggest that PSPPD II support contributed towards that centre's growing influence.

<sup>26</sup> See relating report in e-file in PSPPD II Policy Engagement Workshop, folder Liziwe 2 \ Policy Engagement Documents

**Figure 3: Share of Grantees with Engagement Plans**



**EQ 5 – To what extent has the programme been able to achieve benefits for final beneficiaries and target groups?**

This question raises several issues, and in retrospect can be argued to be inappropriate for this programme. First, the term ‘beneficiaries’ was actually only used once in the TOR for the reviewers, and in that case the meaning was left implicit rather than explicit. By a process of deduction however, we can infer that these might include at the final beneficiaries level South Africa’s several million poor citizens, and at a target group level several hundred thousand policy-makers and implementers in government. The roles of DPME as a whole (and indeed government as a whole) rather than the PSPPD II programme alone are therefore considerations in relation to both these groups. Attribution/contribution considerations should therefore also be considered here.

With regard to the first-mentioned beneficiary group (the poor) it is important to reiterate the scale of the challenge of poverty in South Africa general, and also the challenges of pro-poor policy development in South Africa, as starting points for understanding benefits for final beneficiaries and target groups. As was observed in the review team’s Intermediary Note and also in Chapter 1 of the present report, the scale and persistence of poverty on-the-ground (not only in South Africa but in similar countries)<sup>27</sup> - which in terms of some definitions comprise almost half of all South Africans - prevent many experts from being optimistic about likely successes of almost any policy interventions implemented ‘at a distance’ (that is to say, through indirect measures rather than through direct grants to the poor)<sup>28</sup>.

This is not something that can realistically attributed even to the South African government as a whole, let alone PSPPD II. The government’s own published research on poverty trends (assisted by the World Bank) reveals that without major policy interventions except enhanced access to education/skills, “the prospects for reduced poverty and inequality are very limited”<sup>29</sup>;

<sup>27</sup> Analogous countries would include for example Brazil, with a similar class structure, sectoral economic composition and role/s within the global divisions of labour, etc.

<sup>28</sup> Source: World Bank and Department of Performance Evaluation and Monitoring, *Overcoming Poverty and Inequality in South Africa*, World Bank, Washington DC, 2018

<sup>29</sup> Source: *ibid*, P.100.

although later it is said that the types of interventions that could have the most impact relate to economic growth, labour market conditions and employment.

Issues of causality with regard to poverty in South Africa are, however, also heavily contested ideological domains, with different perspectives made evident to the reviewers by representatives of different Ministries, and also by those consulted outside of government. This was also made evident to the reviewers during their fieldwork.

South Africa's National Development Plan (NDP) set some impressive targets for eliminating poverty primarily through enhanced economic growth to be achieved on an inclusive growth-path, but nowhere in the world in countries of a similar socio-economic structure to South Africa do any informed observers expect to make serious short-term inroads on actual poverty levels simply due to evidence-based policy reform interventions (often the interventions are largely mitigatory).

Realistic time-frames tend to be measured in decades, and not just a few years as in the case with PSPPD II and this review. Moreover, during the fieldwork several respondents suggested that, in this regard, it was actually surprising that PSPPD II had made the impacts that it did, given what they saw as a political environment unconducive to evidence-based policy-making at the time.

Having said this, the evidence also suggests that the successful alignment and complementarity of programme outcomes and activities has been negatively affected by the setbacks concerning the PEs (see loss of information in passing from original project document to documentation to guide implementation, i.e. PEs and WPs.)

Overall, as concerns final benefits, hence impact, this evaluation acknowledges that pro-poor policy development is a process and as such it takes time before bearing fruits. Hence, the measurement of achievement takes into account the very complex environment in which the project has operated and, in consideration of the PSPPD II overall objective of promoting EBPM, will be based on the type of outcomes achieved, both directly and indirectly. The evidence available to the review team is also that PSPPD II has been in line with other EU capacity building program in the public sector, such as the support to PFM and the Capacity Building for Employment Programme; and, in fact, it appears to have contributed to generating a remarkable amount of knowledge in the field of EBPM with possible positive repercussions on other programmes too.

Specific information in this regard is however is unfortunately not always available: In the absence of a monitoring framework, for example a tool such as a matrix for tracking developments, with targets, roles and responsibilities and types of follow-up, the benefits can only be partly measured. As concerns the specific capacity building programmes and public service training and employment in support of the National School of Government (NSG), PSPPD has a dedicated activity on "Link with competences, unit standards, and appropriate training systems. In this regard, the Learning Facility Final Report indicates that:

"The NSG, at the early stages of the relationship maintained involvement in the EBPM&I tech course process, however it assumed no clear leadership and/or coordinating responsibilities. Although the NSG remained engaged, the quality of engagement was at times questioned with representatives at meetings not properly briefed, thus unable to make substantive contributions at meetings".<sup>30</sup>

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<sup>30</sup> Learning Facility Final Report, p 47.

It should be clarified that the NSG was not an outgrowth of PSPPD II, but a separate government initiative. However: The present evaluation has been made aware, through depth interviews with several former senior associates of PSPPD II, of a somewhat negative perception of the quality of the NSG courses. These could be possibly benefit of utilization of additional material generated by the PSPPD II, a matter for the respective managements to be consider (see relating recommendation). The indirect influences of PSPPD II on the Nelson Mandela School at UCT have however reportedly compensated for quality issues at the NSG. There will also likely have been some diffusion of benefits from the trainees of all the above mentioned to their peers, but these effects are not measurable.

➤ **JC 5.1 – To what extent has the EU added value and generated positive impact on SA government goals on poverty reduction through EBPM?**

Poverty itself has been squarely and centrally on the South African government agenda, at least since the dawn of democracy in 1994. Evidence-based policy-making in South Africa in relation to poverty is perhaps of rather more recent vintage, but certainly did not start with the PSPPD programmes. The so-called Reconstruction and Development Programme (RDP) of the government during the 1990s operated more on the basis of building policy consensus amongst the ruling party's alliance partners, but subsequently (and partly in parallel), the Congress of South African Trade Unions (COSATU) and Universities -aligned Growth, Employment and Redistribution (GEAR) project initiated substantial empirical research that attempted to reconcile economic growth and poverty concerns in respect of policy. This work – especially the latter - was apparently influential upon the Mbeki Administration. Since then, many government Ministries adopted their own evidence-based policy making efforts, although arguably synchronicity between them was lacking, which partly motivated the more recent development of the National Development Plan (NDP) and the establishment of the Department of Performance Management and Evaluation – later named Planning and Monitoring and Planning - which managed PSPPD II.

In consequence, evidence-based policy making (EBPM) with the concerns of the poor in the foreground was already operational before PSPPD II, but PSPPD II took this further and has tangibly contributed to creating a culture of utilisation of EBPM in relation to cross-cutting areas of poverty, which was otherwise generally not existing in South African Departments. Probably the two prime examples of this have been (i) the ways in which sophisticated data on poverty and social cohesion from NIDS and HSRC, which might not otherwise have been transposed into the practical policy domain, found various practical applications through PSPPD II sponsorship<sup>31</sup>; and (ii) the ways in which child poverty and early childhood development have been placed more in the foreground throughout various South African policy domains, which would have been unlikely without PSPPD II sponsorship and its particular leadership<sup>32</sup>.

These two areas of impact alone are not inconsiderable achievements, especially during a period in which South African policy appeared to be driven by factors other than empirical evidence. Indeed, this evaluation acknowledges that installing a practice such as EBPM is a difficult task to be achieved given the challenges typical of the public sector generally in many countries. Each Department operates differently, often without incentives to utilise EBPM. Nonetheless many of our interviews indicated that PSPPD instilled an understanding of the importance of evidence among many in the South African government service, adding a tangible and intangible value through capacity building activities. Qualitative findings through depth

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<sup>31</sup> Interviews, HSRC and SALDRU

<sup>32</sup> Interviews, PPT and UKZN

interviews suggest that the degree of embedment of the EBPM in the work approach depends on each Department.

***EQ 6 – To what degree has programme M&E (reporting) contributed to a better understanding and utilisation of project outputs and outcomes among stakeholders and partners?***<sup>33</sup>

The question of M&E in relation to PSPPD II is complex. On the one hand, a largely positive Mid-term Review (MTR) for the project could have been taken as an indication of good understandings and good utilisation of project outputs and outcomes among stakeholders and partners. As suggested in Chapter 3 however, at least from the point of view of internal project management, it might have been useful to have had a more regular internal M&E system in place. Whether this should and could have measured utilization in the time frame is however debatable. From descriptions received from a number of grantees and from former senior employees within PSPPD II, as well as from the current DPME senior official who was responsible for PSPPD II, it could have been inappropriate to have transposed a more regular M&E system onto the flexibilities required of this programme. The EUD representative/s on the Steering Committee are also said to have taken this view. This is because the political climate within which the programme was being implemented was reportedly not especially welcoming of evidenced-based policy analysis, and DPME ‘needed people who wanted to work with us’. In addition, because of the uneven nature of Departmental susceptibility to evidence-based policy making at the time, there were unintended consequences of the PSPPD intervention which would have been difficult to anticipate in advance at that time.

The PSC itself of course was one important *de facto* ingredient of an M&E system, especially in regard to partner’s understandings and utilisations of project outputs and outcomes. As a leading member of one senior partner of DPME in PSPPD II put it in their understanding, ‘PSPPD was a good model for us in terms of university/state/parastatal relations, especially given the cleavages in South African society; and PSPPD II made an effort to balance those constituencies’. On the other hand, other PSC members who were more grounded in practical applications of government activities related to poverty reportedly found much of the proceedings rather abstract, and they had difficulties in understanding how to use project outputs and outcomes.

Overall, therefore, the answer/s in relation to this (arguably ambiguous) question must be considered to be mixed.

➤ ***JC 6.1 – To what extent have tangible benefits in ownership and body of policy been made possible and have they been adequately reported upon by the programme?***

Ownership appears to be high; at times the flexibility adopted by management in terms of leadership has been beneficial, at other times it has been indicated as a cause for a “loose” and “too broad” operating modality. Tangible benefits are numerous, as has been reflected in a number of cases alluded to itemisation in section 3 and previously discussed cases, e.g. the changed/improved interfaces between academia and government departments, especially DBE and DRDLR, and spin-offs such as the Nelson Mandela School. Reporting was however sometimes marred by uneven project documentation, and this is one area where there could be further useful interventions in the future, as it is reflected in the recommendations.

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<sup>33</sup> There was also debate on the internal coherence of this question at the seminar on the draft final review, insofar as internal M&E and utilisation of outputs could be interpreted as separate and disconnected processes.

### 3. Overall Assessment

In the Overall assessment of PSPPD II, recourse is necessary to the five so-called DAC evaluation criteria. Indeed, the first point made under ‘Requested Services’ in or TOR was that: “The evaluation will assess the Action using the five standard DAC evaluation criteria, namely: relevance, effectiveness, efficiency, sustainability and impact” (p.7). The structure of this section is thus organised along these lines.

#### 3.1 Relevance

Relevance can be conceptualised in a number of different ways in terms of an Overall Assessment.<sup>34</sup> First, in terms of the original Financing Agreement (which should be important in the light of the OECD definition of relevance – see note 35), the relevance of PSPPD II programme was that it was part of a broader suite of EU-supported initiatives whose objectives were to “halve poverty and unemployment” (p.2, Financing Agreement). The relevance of this overall objective in the South African context can hardly be questioned; however, as it has also already been noted in Chapter 1 of the present report, in retrospect this having was perhaps an ambitious objective, and at least in terms of the time-frames for the present review. Measured in these terms, the overall project results so far are falling short of the overall objective.

Having said this, the PSPPD II component was a small fraction (4%) of the overall Financing Agreement budget, and it therefore had narrower aims, most notably to “contribute to the overall objective of the programme through improving evidence-based policy making and implementation on poverty and inequality.” (p.5 Financing Agreement). PSPPD II’s efforts were expected to help focus the Social and Economic Clusters of government at that time. The Departments that comprised these Clusters are shown in table 3 below.

**Table 3: Departments in the Social and Economic Clusters**

Cluster	Department	Tot
Social Cluster	1. Social Development (DSD), 2. Health (DoH), 3. Education (DBE) 4. Rural Development and Land Reform (DRDLR)	4
Economic Cluster	1. Economic Development (EDD), 2. Trade and Industry (DTI), 3. Small Business Development (DSBD) 4. National Treasury (NT)	4

Our research amongst stakeholders either within or familiar with these Departments certainly suggests that they found the PSPPD II programme to be relevant, but as to effectiveness and impact this was likely more mixed as noted in Chapter 2. Important clues as to what exactly a broad spectrum of users found to be relevant in PSPPD II can however be found in the pattern of usage of PSPPD II outputs. A considerable body of knowledge generated by the project consists of policy briefs and case studies. These are available on and can be downloaded from the PSPPD website repository that contains the following Phase I & II material<sup>35</sup>:

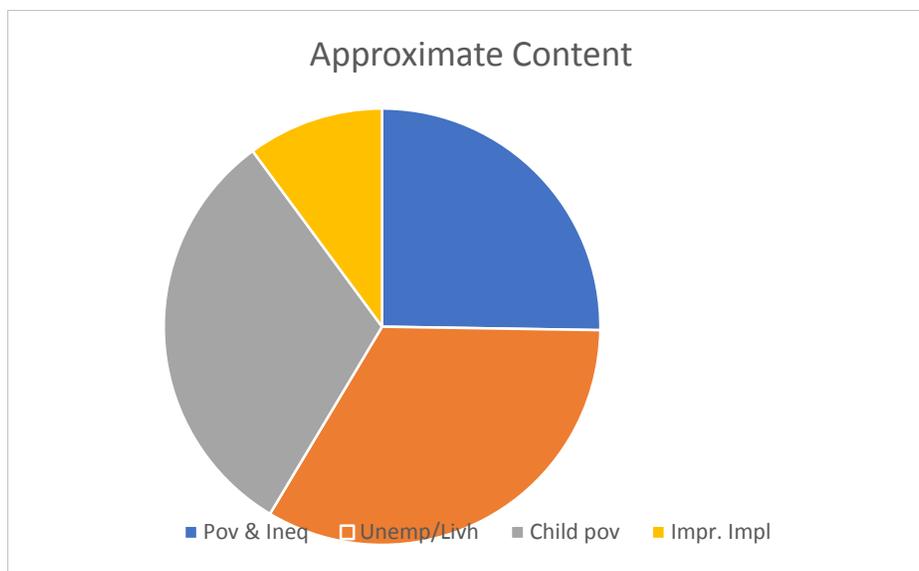
**Table 4: Numbers of products and uses**

<sup>34</sup> The OECD defines relevance as: ‘The extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.’ <https://www.oecd.org/dac/evaluation/49756382.pdf>.

<sup>35</sup> Documents are listed according to the title and a date indicating the year not a month; a complete date in format day-month-year reflects the time of loading the document

Theme	Policy Briefs				Case studies			
	N.	% on total produced	downloads	% of total consultation	N.	% on total produced	downloads	% of total consultation/use
Theme I > Poverty and Inequality	20	25	2803	26,3	2	15,4	242	9,0
Theme II > Employment, Unemployment & Livelihood	27	33,8	2629	24,7	0	0,0	0	0,0
Theme III > Child Poverty	25	31,3	3458	32,5	4	30,8	934	34,8
Theme V > Improving policy implementation through evidence use	8	10	1758	16,5	7	0,5	1510	56,5
<b>Total</b>	<b>80</b>	<b>100</b>	<b>10648</b>	<b>100,0</b>	<b>13</b>		<b>2686</b>	<b>100,00</b>

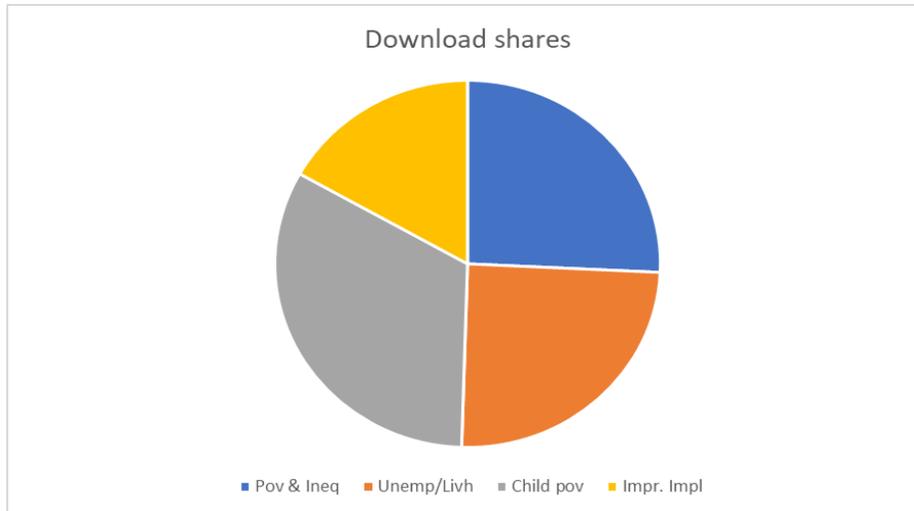
**Figure 4: Graph of Distribution of Numbers of Initial Outputs According to Themes**



The aggregated data resulting from a first elaboration of the information taken from the mentioned website (Table 4) provide some indications on the distribution of the areas of research as well as of the downloads per thematic area. As can be determined from figure 4 above, the documents which formed the initial outputs were distributed more towards foundational or basic research on poverty and inequality generally, child poverty and employment, and employment, unemployment and livelihoods. There were fewer initial outputs/policy briefs on improving implementation.

By contrast, if one compares to figure 5 below where rates of download usage from the website are graphed, it can be seen that there is a proportionate rise in interest amongst users of improved implementation subjects.

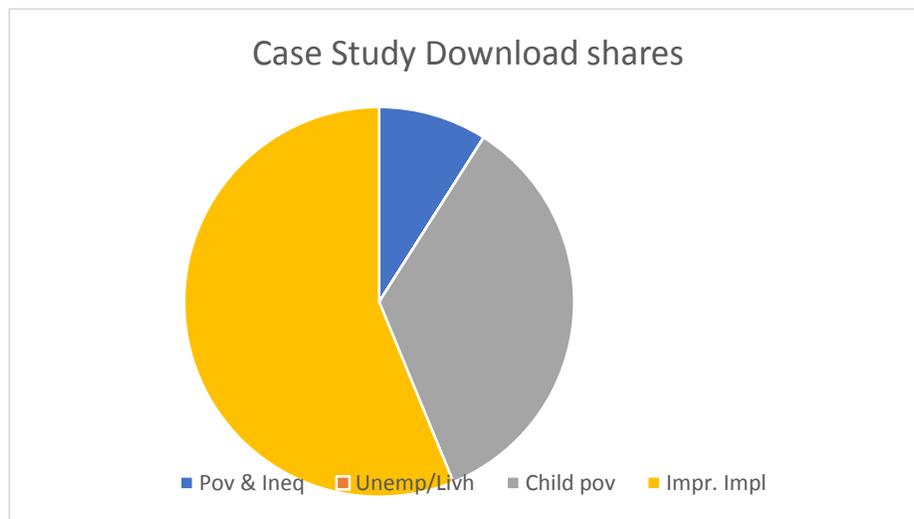
**Figure 5: Graph of Distribution of Download Usage by Theme**



Extending the preliminary analysis a little further on the matter of application, the case studies yielded as outputs from PSPPD II were probably regarded by many users as less abstract than other works. Figure 6 below then represents the download rates for the various Case Study outputs according to theme.

As can be seen in comparison with figures 4 and 5, now (in figure 6) the proportionate user rate in child poverty and improved implementation (yellow and grey shares of the pie) come strongly to the fore.

**Figure 6: Graph of Distribution of Downloads of Case Studies by Theme**



Interest in case studies related more to improved application in the figure above, which comprise over half of all downloads. This is a theme (interest in implementation) it has also been found in responses to the in-depth interviews. The strong user interest in child-poverty-related case studies also deserves comment here, and likely relates to the observations made in several (although not most) in-depth interviews that much of the research output of PSPPD II was 'abstract' and a result of 'resources spread too thin'. This concern was found more amongst government officials than grantees. For many of both officials and grantees, however, matters of

child poverty appear to be a particularly poignant reminder of the concrete nature of poverty, and its likely linkages to continued inequality in the country as a whole.<sup>36</sup>

In terms of a log-frame approach to relevance, this possibly suggests a gap in translating the outcome level of some areas of the log-frame into the envisaged outputs, with a relating loss of information. Some examples here, which have been also picked up on in the recommendations, relate to the need to commission the documentation of further examples of good practice and other knowledge management interventions; to do scoping/diagnosis work with target partners; to identify priority areas for support; to develop support plans; and to promote learning and reflection on the results of the support.

In PSPPD II, the assessment of relevance needs also to be extended to the Learning Facility. The Learning Facility was an integral part of the PSPPD aimed at the provision of project management and logistical support to the Programme Coordination Unit (PCU). It can be regarded as a resource of the project and its design could have led to better integration between the two. From an intervention logic point of view, the overall objective of the LF should have been the same as in PSPPD in order to enhance the alignment with PSPPD and allow to coherently cascade the same logic in both frameworks. Instead, there was ambiguity about the level of overall objective of the LF, as if repeating one in the overall National Development Policy Support Programme as formulated in the Financing Agreement. This probably generated a disconnect between the two (see table 5 below).

**Table 5: The Intervention logic in PSPPD and in the LF**

PSPPD	LF
<b>Overall Objective</b>	
To contribute to improved policies, institutional capacity and systems to reduce poverty and inequality, through evidence-based policy making, so as to achieve the economic and social goals of South Africa	To contribute to the implementation of the Republic of South Africa’s Medium-Term Strategic Framework (MTSF) and the accompanying outcomes-based approach, which aim to improve the conditions of life of South Africans and halve poverty and unemployment, while being aligned with the Millennium Development Goals (MDG).
<b>Purpose</b>	
To strengthen policy making and implementation around Poverty and Inequality, using research and other evidence within the social and economic clusters	To have built awareness and skills of policymakers and researchers and to have strengthened institutions around evidence-based policymaking, as key component of the PSPPD II

The above design appears affected by an intrinsic limitation, consisting in the lack of a coherent hierarchy in the overall intervention logic, and which likely reduced synergy between the two. For example, financial indicators of the Learning Facility refer to “Minimum 50 researchers and minimum 100 policy makers, responsible for addressing poverty and inequality, with increase expertise and capacity in their specific contexts”. The question is whether these numbers are sufficient to achieve the overall impact/ objective of contributing to the implementation of the MTSF at the national level. In this regard, the assessment of efficiency and effectiveness also

<sup>36</sup> The PSPPD-derived *Course Workbook: Understanding Poverty and Inequality in South Africa*, which was devised by and is still used in the Nelson Mandela School at UCT (which has trained over a thousand government officials since its inception), provides a particularly good concretisation of the implications of child poverty for sustained inequality near to the outset of the book. It discusses the case of ‘Thandi’s Story’ in a box on p.3 (and later follow-ups in the text) which has the riveting effect of making otherwise seemingly abstract definitional issues relating to poverty in sections to follow all too pertinent for the reader.

shows how the absence of tailor-made M&E tools to track progress has likely reduced the otherwise high rating of the overall relevance.

### 3.2 Efficiency

Efficiency is a measure of the productivity of the implementation process. It is the parameter used to measure whether the project activities have achieved the planned results or to determine how economically inputs are converted into outputs. This assessment takes into account both the choice of instruments and the resources used. It also considers the various factors affecting efficiency, assessing whether the organisational set-up and implementation methods were efficient within the given environment. The analysis of how well inputs/means have been converted into activities is visible in the quality of the day-to-day management and concerns:

- Means and costs;
- Organisational set-up and implementation; and
- Monitoring and evaluation.

Whilst the above-mentioned schemata may be applicable when one anticipates more or less linear cause and effect relationships, as several well-placed respondents have reminded (as referred to in Chapter 2 of this report), in fact in South Africa such linear relationships are likely in the minority. There are rather many varieties of much more complex causal relationships between inputs and outputs in the policy influence domain. Moreover, whilst in certain types of programmes there are easily measurable tangible outputs (e.g. jobs created, houses built, etc.), in this programme most outputs are either intangible or difficult to measure.

South Africa does not yet have a fully stable and capacitated public service, and this much was of course recognised in the wider Financing Agreement of 2012 of which PSPPD II was a small part, the majority of which grant was devoted to capacity development and training within the public service. Moreover, as was indicated in the response to JC 3.2 in Chapter 2, there have been ongoing interactions between structures and agencies in the unfolding of the PSPPD II, many of these assuming different forms, the natures of which have made the types of programme management more typical of mature democracies.

Sometimes these have had negative consequences in terms of the expectations of a typical evaluation approach (see figure 1, section of this report), and sometimes more positive consequences. Included amongst these are sometimes positive unintended consequences. For example, who could have anticipated that the PSPPD II research and advocacy on early childhood development and education would have had the effects that it did in respect of changed practices in the DBE, including the incorporation of ECD concerns within its mandate? And how would one value just this single effect? We now know for example, as a result of such research, that many hundreds of millions of Rands of DBE funds and similar amounts from private donors spent on remedial actions at intermediate and higher levels of schooling in South Africa (for example seeking to correct racial and class related inequalities in English and mathematics results) were likely having little impact because of lack of efforts at the early childhood development level. Hence a question might be posed: Was this discovery, admittedly only assisted by PSPPD II, worth the full budget of PSPPD II alone? Arguably so.

On the other hand, conceived in linear terms, both internal and external factors could be construed to have negatively influenced the overall efficiency of this programme, which appears to have been impaired by a number of factors, including: Numerous and diverse stakeholders, with interaction reportedly sometimes affected by lack of clarity on roles amongst implementing partners with differences in understanding of responsibilities; Project M&E (management

monitoring and evaluation systems) which did not conform with normal linear concepts of causality; and possibly uneven Implementation modalities, e.g. systems for outreach and type of initiatives, processes in place to link research to policy making, etc..

This last point raises the more general issue of organization and management. The project organization consisted of the PCU and the LF, as integral parts of the PSPPD. The PCU, within the DPME NPC, was responsible for overall management. As illustrated in the sections on the LF, its delivery framework was not adequately structured to realise the convergence of the two. In Human Resources (HR) terms the high turn-over for the Research Manager position appears to have diminished the link to the LF as well as the efficiency of the activities relating to research and development follow-up. Efficiency in the HR performance was also possibly affected by the relative absence of EU background amongst staff (or, arguably the complexity of EU administrative and compliance systems). That said, several observers complimented the senior administrative staff member responsible – Ms Liziwe Ngcuka – for making the best out of these often difficult interfaces.

The Learning Facility was apparently initially physically located in Johannesburg, then moved to Pretoria in June 2014 when implementation was at its first 18 months. Interviews indicate that problems with initial experts (1 & 2) caused delays in the beginning, and likely impacted negatively on the 4 strategic components. It was then determined that relationships between the learning facility experts and their counterparts in DPME declined, with the DPME understanding being that the experts ‘did not understand what we were doing’. This combination of structural defect and human agency/relationship factors led to less than efficient or effective outcomes.

As such, this poorly aligned conjuncture of structure/agency forces also partly explains the “grey areas” of responsibility that are observed for example with regard to monitoring the outputs of the learning events and to the working relations with the various project counterparts. For example, a consolidated matrix to be jointly populated and indicating progress in each initiative started with the specific beneficiary. This would have allowed to i) measure quantitative data while having a better grasp of the qualitative outputs and ii) to have a summary on the state of art per beneficiary to be used for sustainability purposes.

In even more generic terms, this set of misalignments could possibly be traced to the implementation modalities for EBPM which suggest a more supply- than demand-driven approach. This is also visible in a predominance of inputs and outputs related to learning and knowledge creation, resulting in an explanation for the level of outcomes produced. A demand-driven approach requires setting up processes that allow for presentation of proposals by interested parties including, where possible, a preliminary match-making between research areas where assistance is needed and relating potential service providers.

On the other hand, the present evaluation takes into account the position of different schools of thought with regard to the best approach to EBPM<sup>37</sup>. For example, a flexible and open approach *versus* a more structured one: The former reflecting/ leading to an open-ended, creative type of research; the latter linked to existing policy agendas and cycles. A shared denominator though is the general understanding that the use of evidence is an objective way to move away from political power-based policy making.

As already mentioned, a project of this nature is by definition difficult to measure as it mainly involves processes, and therefore the utilization of an iterative process appears more conducive

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<sup>37</sup> See for example ‘Use of evidence in policy making in South Africa: An exploratory study of attitudes of senior government officials’, PSPPD paper GM Cronin & M Sadan, in *Africa Evaluation Journal*, April 2015

to planning. While allowing measurement, iteration and can enhance the convergence between *an ad hoc* project like PSPPD and the National Evaluation System.

Some recognition of this was reflected in the Minutes of the PSC, particularly towards the end of the programme.

Turning now to the Learning Facility (LF), the LF supported specific processes aimed at<sup>38</sup>:

- a change in behaviour and practice in the use of evidence in policymaking;
- critical engagement between the key actors;
- being additive and building a critical mass in the deepening of understanding and skills in EBPM around poverty and inequality;
- building institutional capability.

The LF appears to have been effective, but the information available was not always complete. The general provisions for monitoring of the project in the section of the FA on the PSPPD <sup>39</sup>, indicate that the “Beneficiary shall establish a technical and financial monitoring system to the project, which will generate progress reports and safeguard internal control”. The project appears to be compliant with this requirement; however the efficiency of the monitoring, hence of implementation, has been hindered by the weak alignment of the project internal documentation, as visible in the development of the PEs from the main project log frame as well as from the latter to the ToC. The log-frame, together with the PEs, remain the master documents providing the basis and the structure for both subsequent planning documentation and for implementation.

There are no 6-monthly progress reports in addition to those concerning the PEs and the ones for presentation to the PSC. This implies that, with the exception of the first PE of a 6 months duration, periods of implementation of 12 or more months were not reported upon with a regular frequency as this varies according to the duration of the PE and to the PSC meetings. The compilation of 6-monthly reports typically provides a useful instrument to monitor performance at a regular frequency. In this case, as table 6 below shows, meetings happened at changing frequencies.

**Table 6: Meeting frequencies**

PE 07/2012 to 05/2018		PSC meetings
	Total months	
PE 1	6	10/2012
		12/2012 (w/s)
PE2	16	04/2013
		08/2013
		02/2014
PE 3	12	05/2014
		08/2014
		02/2015
PE 4	12	08/2015
		03/2016
PE 5	16	10/2016
		06/2017
PE 6	8	02/2018
<b>Total</b>	<b>70</b>	<b>12</b>

<sup>38</sup> LF Final Report, 3.1 Key processes supported by the LF

<sup>39</sup> Financing agreement, Section 3.3, p14

In the light of the above, the absence of an intermediate level of governance, for example a Management Committee with a quarterly frequency, could also have impacted negatively on efficiency in particular considering the high number and variety of stakeholders involved at the national and provincial level.

These short-comings have likely negatively affected the overall efficiency of implementation.

The table below, developed on the basis of existing documentation, takes as an example Result 1 just for the purpose of supporting the explanation of the above-mentioned gaps:

**Table 7: Levels of the Intervention Logic**

Intermediate Outcomes Result 1	Overall Outputs		Cross-cutting activities
	Activity level (remains relatively unchanged throughout)	Sub-activity level (to be updated in each PE)	
Availability existing research and other evidence and generation of new knowledge	1.1 Research grants completed on topics relevant to poverty and inequality	1.1.1 Develop research themes for proposals - identify and select themes for research - prepare CN with rational for themes selected - PSC to endorse in remote	Identification of research topics per theme Selection of areas for and of relating approach (open ended-/ structured approach/ other)
		1.1.2 Develop Guidelines 1.1.3 Compile dossier	Elaboration of policy agendas per theme Establishment of thematic Working Groups Selection of areas for and of relating approach (open ended-/ structured approach/ other)
		1.2.1 Similar to above 1.2.x Dissemination	Joint WPs (road-maps) with line depts
	1.2 Research projects completed on key issues facing policy-makers		
	1.3 REAs, Reviews, Case Studies completed on key issues facing policy-makers		
	1.4 Small research grants using quantitative methodology (amended 4/2017 from: Systematic Reviews completed on key issues facing policy-makers)		
1.5 System established in DPME for storing research reports, papers and making them publicly available (amended 4/2017)			

Progress reports presented at PSC meetings are aligned with PSPPD, structure hence clearer than the PEs reports; not including a financial section with information on expenditure level per result so as to better understand the rate of absorption.

The 6 monthly reports of the LF show a limited convergence between the PSPPD and the LF, as has been remarked upon before. It can be assumed that coordination was in place as the evaluation has been informed that there were regular contacts between the PCU/LF, namely management meetings between the PCU and the LF generally held with a weekly frequency. These are partly recorded in the LF reports but without a dedicated record-keeping to inform and assist the monitoring of performance.

In terms of the Call for Proposals, it would appear that the process here as reflected in the PSC Minutes did not include sufficient guidance from the EUD, and that there was a missed opportunity to utilize EU knowledge in this regard, in regard to standard format for guidelines and available examples from good practices, as observed in the EU-funded Gijima project, for example.

Overall therefore, efficiency appeared good with regard to awareness and knowledge creation, but lower with regards to outputs leading to outcomes. Measurability in this regard was however hindered by weak M&E systems to keep track, among others, of outputs of the various learning initiatives as well as work started in the specific Departments/ Provinces and themes.

### 3.3 Effectiveness

This parameter assesses to what extent the project results have been attained and the project specific objective achieved, or are expected to be achieved (outcome level). It is the review of how the immediate outcomes have contributed to the Specific Objective and whether this can be expected to happen in the future on the basis of the results achieved. Based on the Intervention logic and the Theory of Change, the measurement of effectiveness looks at:

- Outputs / activities
- Outcomes/ results
- Capacity building and training.

The assessment of effectiveness examines the outcomes produced through the research and capacity building activities. These are clearly distinguished between inputs and outputs and their combination is expected to lead to the envisaged outcomes.

The consultants have noted the general appreciation for the valuable contribution by the project, in particular the introduction of a culture of EBPM and the opportunity to access relating knowledge. Similarly, interviewees who could follow up in their respective Departments expressed their gratitude for the opportunities to introduce the utilisation of evidence as an integral part of their research agendas. This experiential learning is an important element of knowledge acquisition particularly in view of sustainability and continuation of PSPPD type of activities.

The main achievements per component (from TOR) include:

#### (i) Research

The first results: making new and existing research and other evidence available for policy makers and generating new knowledge.

- Support to research was provided through grants for research in crucial areas such as education, early childhood development, child violence, families and employment. All

these areas were interlinked in that ultimately, they identified factors required for individuals to participate fully in society.

- Partnerships with a range of organisations and academia for building of an evidence base and sharing of knowledge: CfPs 1 and 2 grant recipients were 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 Fort Hare and North West University, and they were encouraged to use of the National Income Dynamics Study (NIDS) datasets, thereby building a body of scholarship utilising empirical evidence, which in turn built upon and expanded 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 was commissioned by the DPME and the Southern African Labour Development Research Unit (SALDRU) at UCT was the implementing agency (although this could now shift to StatsSA). Additional work under research included 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 were based at the SALDRU, Development Policy Research Unit (DPRU) and at UCT. All of these generated impressive research and analytical outputs, amounting to thousands of pages of documented research results under dozens of separate titles (see Annex 3).
- The evaluation suggests however that the effectiveness of this component has been partially constrained by a lack of systematic follow up, as was envisaged through the Policy Engagement Plans (PEPs) (see EQ 4 JC 4.2). While it was noted earlier that most respondents did in fact have PEPs and associated follow-up, the responses were incomplete suggesting that types of assistance by PSPPD to grantees did vary from case-to-case. A more systematic approach here might have led to the adoption of a core format for the PEPs. This is likely a case where too much flexibility did not enhance the achievement of the envisaged outcome.

## **(ii) Stakeholder Engagement**

The second results area focused 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 was that at least 30 per cent of the aforementioned research projects would have a clear input into policy processes. In our assessment this target was likely approximated and the MTR also noted successes, although hard evidence is weak since measurability here is notoriously difficult, as several grantees and officials – even the more successful ones – pointed out to us.
- Making evidence an integral part of the decision-making around policies from the beginning, rather than it being outside of the process. This included the dissemination of research findings to key stakeholders in an easy-to-understand format which was critical to increasing awareness, consideration, adoption, and use of evidence, and to accomplishing the PSPPD's mission. Again, this measure of impact is difficult to calculate, although most grantee respondents did point out that DPME management were insistent on the production of short, easy to digest Policy Briefs, and the Reviewers inspected these impressive outputs across a broad array of topics.

## **(iii) Capacity Building and Training**

The third results area focused on ensuring improved awareness and skills of policymakers and researchers in generating, analysing and using evidence. This was achieved through

capacity building measures such as workshops, training, study tours and the dissemination of newsletters.

- The evaluation shows that this is the component with the highest degree of effectiveness as reported in depth interviews to the consultants, rather than documented by PSPPD.

In assessing the cost-effectiveness of this component, in particular the high quality of the EBMP&I course, the evaluation takes into account the added value of having produced a PSSPD brand by a SA government team rather than outsourcing the crafting of the course. While this process is by nature more complex, and hence longer, it did ensure an increased and durable level of ownership. We have however previously commented on some weak efficacy aspects of the initial implementation of the Learning Facility, also recognized by DPME.

In terms of completion of activities, an assessment of the extent to which the outcomes have been achieved is summarised the tables below, showing a summary of progress per Result Area.

**Table 8 - Summary for Results Achieved v. Expected Results**

Results / Immediate Outcome	Planned Outputs	Status based on planned
<b>Result 1:</b> Existing research and other evidence made available and new knowledge generated (including, but not limited to the NIDS)	OO 1.1 Policy Documents; OO 1.2 Reports of research,	Research through CfP Grants completed Policy briefs produced <b>Systematic reviews (REAs were initially envisaged as well)</b> Repository created/ <b>continuation to be addressed</b>
<b>Result 2:</b> Improved awareness and skills of policy makers and researchers in generating, analysing and using evidence	OO 2.1 (Event) reports OO 2.2 Website hits OO 2.3 Newsletter(s) OO 2.4 Midterm review and evaluation OO 2.5 Activity evaluations	<b>1000 (data verification + aspect of relevance of profiles)</b> policy makers, practitioners and researchers have been exposed to EBPM <b>200 (data verification)</b> policy makers and researchers have enhanced skills through PSPPD learning activities
<b>Result 3:</b> Suitable institutional mechanisms identified, supported, and evidence used to inform policy making and implementation with key stakeholders	OO 3.1 (Research) reports OO 3.2 Check system OO 3.3 Interviews with key policy-makers and researchers in MTR and evaluation OO 3.6 KM system outputs	Research produced as in R1 <b>KM system not established</b> Interviews confirm different levels of achievement per initiative, see different forms of institutionalisation and different KM system outputs ( <b>aggregated information/ overview not reported in project documentation consulted</b> )
<b>Result 4:</b> Programme managed effectively	OO 4.1 Reports OO 4.2 PE Reports OO 4.3 PSC Minutes OO 4.4 ROM report OO 4.5 Evaluations	Reports available with limitations (Efficiency section): see for example quality of presentation of information and alignment to Intervention logic and ToC in reports structure

### 3.4.3 The Learning Facility

**Table 9: LF Planned and Achieved Results**

Purpose / Ultimate outcome	Planned Outputs	Status based on planned
To have built awareness and skills of policymakers and researchers and to have strengthened institutions around evidence-based policymaking, as key component of the PSPPD II	Min 50 researchers and min 100 policy makers, responsible for addressing poverty and inequality, with increase expertise and capacity in their specific contexts	Appr. 650 researchers and 495 policy makers responsible for addressing poverty and inequality developed in their specific contexts; reach of information extending beyond even these numbers.
<b>Results / Immediate Outcome</b>		
<b>Result 1:</b> Knowledge is generated and a knowledge management and dissemination system is established to support the work of the PSPPD.	Increased number of learning opportunities for researchers and policy makers to interact around evidence-based policy processes, frameworks and programmes that relate to poverty and inequality are achieved. Researchers and policy makers interact with enhanced capacity at these opportunities	see LF Final report p32: cumbersome reconciliation as no overall figure for the total period of implementation provided Not yet formally measured at time of LF Final report
<b>Result 2:</b> Capacity to use evidence to address poverty and inequality is improved in partner organisations of the PSPPD, using a variety of learning platforms.	The activities of the Learning Facility support the South African government's evaluation framework	See LF Final report p33: cumbersome reconciliation as no overall figure for the total period of implementation provided
<b>Result 3:</b> Institutional mechanisms for evidence-based policy making are supported	A system for Knowledge Management that consolidates the contributions of the PSPPD is achieved.	Knowledge Repository established (however - <b>KM system not established/ current status of KR</b> ) Database development: new taxonomy for KR developed ( <b>comment above</b> ) Domain mapping: disaggregated for the Provincial OTPs has commenced in the fields of: P&I, Unemployment, Livelihoods and Job creation, ECD and Child violence Support to 2 CoPs, UFH ECD Centre of Excellence and in KZN (which), explored but not fully engaged Interviews confirm different levels of achievement per initiative, see different forms of institutionalisation and different KM system outputs ( <b>aggregated information/ overview not reported in project documentation consulted</b> )
<b>Result 4:</b> Effective and efficient programme management that is integrated with the PSPPD PCU		Issues reported in LF reports, replacement of KE

Overall, in relation to effectiveness, there have been numerous areas of success, as has been noted in Chapter 2 and elsewhere in this Review. However, in several other areas the same short-comings hindering efficiency spilled over to effectiveness. In particular, considering the amplitude of topics falling within the Social and the Economic Clusters, the absence of a systematic approach to needs identification and relating selection of research topics could be hypothesised as a possible hindrance to an effective and efficient delivery. On the other hand, the real achievements made possible in the domains of child poverty, early childhood development, rural development and land reform and basic education were likely made possible by the ‘implementation loose’ modality, and the approach of ‘working with people who wanted to work with us’.

### 3.4. Sustainability

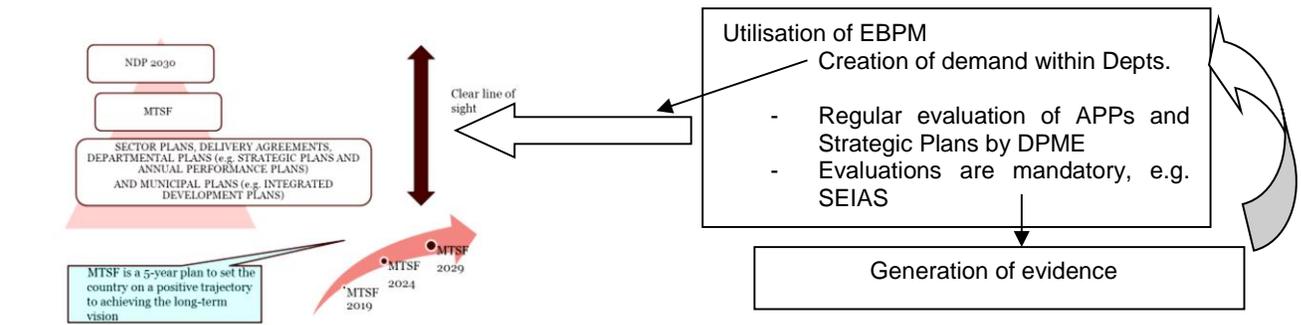
The sustainability criterion relates to whether the positive outcomes of the project and the flow of benefits are likely to continue after external funding or non-funding support interventions (such as: public/ private/ community dialogue and coordination) ends. This partly relates to various institutionalisations deriving from the programme. The evaluation question therefore assesses the sustainability of results achieved, variable institutionalisation, issues affecting sustainability and actions taken/planned to address these issues.

The number of tangible and intangible outputs produced has been extensively described in the previous section and sub-sections above, including showing where results envisaged at the outset have either not, or only partially been achieved. The following sub-section looks at the core elements of sustainability, namely political, institutional, and financial. In addition, the sub-section adds an overview of additional EU-specific aspects, such as appropriate technology and environmental protection.

In general, PSPPD as a whole, including PSPPD II, has contributed in a critical manner to the development and full adoption of the National Evaluation System (NES), and more recent derivations. This has led to a system of evaluation and learning with remarkable multiplier effects - as important a result as producing policies. However, there are two main concerns relating to sustainability, the first relating to the knowledge repository and website, and the second relating to poverty’s linkages to challenges of under- and unemployment.

DPME’s own perspectives on sustainability challenges are partly captured in their diagram below, where the suggestion appears to be that momentum will be carried forward through future Medium Term Strategic Frameworks of government.

**Figure 7: A concept of sustainability**



**Source:** Department of Performance Monitoring and Evaluation, Medium Term Strategic Framework (MTSF) 2014 – 2019, presentation delivered to the Forum for South African Directors-General (FOSAD) 04 July 2013

Despite the hope that future MTSFs will carry the momentum of PSPPD II forward, there are some current details such as the funding of the knowledge repository and website that are of concern. Numerous grantees and partners raised this concern, and the reviewers share with them the sense of great potential loss in the future if the website is not maintained and/or built upon in the future. In this regard, this final review confirms what already flagged by the MTR about the need for further work “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”<sup>40</sup>. At the time of this exercise, institutionalisation of PSPPD supported practices, is at different levels in the different departments.

At a broader level, given the initial statements of the original Financing Agreement as well as the general state of knowledge on the state of poverty in South Africa, it would be unlikely that initiatives such as this can sustain themselves effectively over time unless they are more effectively connected to work on under and unemployment on an ongoing basis. Poverty is not only the result of under- and unemployment in South Africa, but also major cause of it. This is because of the so-called ‘poverty trap’ in terms of which children (especially girls) born into rural poverty for example stand only a very small fraction of becoming employed in the future compared to the norm. By making continual, insistent and graphic illustrations of this point – which PSPPD II was/is best placed to do, given its data and information – it could deepen the sustainability of the momentum already achieved in the programme.

This aspect also has linkages with other EU considerations such as climate change, where there was one specific PSPPD II report produced on the subject<sup>41</sup>. Poor rural children are known to be the most profoundly affected by inappropriate technology, environmental degradation and climate change. PSPPD II had a very full agenda, and therefore did not necessarily place these issues in the foreground, but there is scope to do so in the future.

### 3.5 Impact

Impact looks at the extent to which the project has had a wider effect (positive or negative) and the extent to which it has contributed to the high-level overall objectives and specific objective of the project. Impact is usually considered at the level of the overall objective and can be measured at the level of the specific objective at the end of project status. It considers the extent to which benefits resulting from the achievement of the purpose have spread broadly within the sector. In the case of a project concerned with processes such as the improvement of poverty conditions, impact can generally only be assessed sometime after completion of activities, that is to say in the intermediate and long-term. Nevertheless, the evaluation highlights the immediate benefits observed in the environment because of the intervention. In terms of research: Many research good reports have been produced, already directly influential on some government departments, as discussed in Chapter 2. In terms of stakeholder engagement, many workshops and training sessions were held, as is reflected for in Annex 4 to the present report.

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<sup>40</sup> Mid-Term Review, p. 9.

<sup>41</sup> *An Analysis of Climate Change-related Projects in the eThekweni Municipality*, Synthesis report, 2017, by the UKZN School of Built Environment and Development Studies, published as part of PSPPD II series.

The long-term impacts deriving from all these short-term impacts are only likely to be measurable in years to come, and here much could depend upon sustainability considerations discussed above, as well as follow-through on some of the recommendations to follow.

### **3.6 Coherence, Complementarity and Community Value Added (“3 Cs”)**

The Action under review here was part of a broader suite of initiatives supported in the 2012 Financing Agreement, all of which sought to directly and indirectly reduce poverty, primarily through enhanced governance and capacity development within government. As such the Action under review has been greatly coherent and complementary to other EU action in South Africa. EUD colleagues managing other programmes and projects were invited to attend PSPPD II dissemination events, and research findings were shared with them. This aspect of evaluation has also been tackled recently by the Mid-term review<sup>42</sup>, and beyond what has just been said, the reviewers have found little further that would add new insights.

In terms of added value, the EU support allowed the introduction of a culture of EBPM by continuing the work started under Phase I. The relationship of the works conducted for PSPPD II is highly congruent with some of the other considerations raised in the TOR concerning gender, HIV/AIDS and inclusive growth. In many respects these considerations have been central to about half of all the studies or projects conducted by grantees, including reports on sexual violence on children, ground-truthing rural livelihoods, food choices and body mass studies, local food systems for sustainable rural development, and livelihoods strategies in the Eastern Cape, amongst others.

### **3.7 Visibility**

The EU’s visibility was prominent in the proceedings and outputs of this programme, and showcased at many and high level events and publications. Their logo was on all publications, and slide presentations etc. associated with the programme. Their sympathetic and helpful roles within the programme were also spontaneously mentioned in several of the depth interviews.

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<sup>42</sup> Mid-term Review, Volume 1, 2 May 2017, pp. 20 – 24

## 4. Conclusions and Recommendations

### 4.1 Conclusions

As can be determined from the statistics cited in Part I of this report, amongst other places, poverty was and will remain a key challenge for South Africa, and the EUD was entirely correct to sponsor policy research and applications including training to the challenge. Overall, this was EU money well spent.

Poverty conditions themselves seem unlikely to be greatly affected by the Action, but ironically in some ways this gives even greater justification for the Action. This relates to the Theory of Change underlying the PSPPD II programme, which was not explicitly defined as such, but can be inferred from a number of sources, including the 2012 Financing Agreement. In essence, that theory derived – if not directly, then co-incidentally – from the policy analysis environment created with the National Development Plan (NDP) also published in 2012, with its references to the importance of a developmentally-oriented civil service. Mitigating the effects of poverty on a wide array of policy fronts will be important to the life-chances of South Africa's poor for decades to come. PSPPD II, despite some operational difficulties referred to in Part III of this report, has been successful in creating momentum and impacts in this regard, especially in the domains of child poverty and early childhood development/education, and in rural development and land reform. There are however some sustainability considerations that need to be borne in mind going forward.

### 4.2 Recommendations

Probably the most important broad recommendation of this review is that a variety of agencies and partners as well as the South African government should act to ensure that some of the key messages arising out of PSPPD II continue to be heard. Whilst those on the inside of this important work may have become accustomed to its messages, and a few outside experts as well as now many government officials have been made aware, to the outside eye (such as the present reviewers) the messages are too important to the wider public domain for them not to find greater resonance there. This is especially the case with rural poverty and livelihoods, child poverty and early childhood development findings.

South Africa has accepted the language of inclusive growth and prioritised for example youth unemployment quite successfully. However: Too few understand how for example youth unemployment is and will be linked to the 'poverty trap' of especially children born into poverty in the rural areas and small towns. This message will fortunately continue to be disseminated for example through the Workbooks used in the Mandela School amongst others influenced by PSPPD II, but to keep the message within government alone is likely not enough. The legitimacy of hopefully greater government expenditures and initiatives in such areas can be weakened without their diffusion throughout the wider civil society, and the momentum achieved within government itself could be eroded without wider collective efforts towards sustainability of the PSPPD II initiative.

In this regard, the review team would make ten specific recommendations, which may of course require future adjustments in terms of evolving practical considerations pertaining to South African governance:

- The Best Practices lessons from PSPPD II should be disseminated, most appropriately (because of their depth of understanding of the material) via the staff who managed PSPPD II, if needs be in their future<sup>43</sup> governmental offices/roles
- The EU should consider a Programme like the PSPPD in other developing countries
- A Framework for the promotion of continual learning of EBPM and resulting in pro-poor policies should be derived and disseminated by DPME from the PSPPD II experience, in particular using data and research for planning
- Research, training and knowledge management should be seen as strategic functions in government departments, ideally located in the Office of the Director General.
- There should be stronger linkages of priorities from the Medium Term Strategic Expenditure Framework and the individual Departments' Strategic and APPs, with oversight done by the relevant DPME officials or equivalents
- There should be an ongoing Knowledge Repository with links to the need for future website maintenance, and this should be a priority for the EU and/or the SA government
- Keeping track of the degree of utilization of NIDS by line-departments is a future priority, and this could be a function assigned to either the relevant DPME officials, and/or StatsSA (which is now taking over management of NIDS)
- The training budgets across government departments should be used in a more strategic manner and train and upskill government officials in generic research and policy analysis skills.
- The NSG could benefit from utilising material produced under PSPPD II, and this should be implemented by the NSG preferably in partnership with entities such as the Nelson Mandela School to train officials in research and policy analysis skills.
- There is a need to link 'the poverty trap' more clearly in the public domain to under- and unemployment, and this also could be a function assigned to either the relevant officials in DPME and/or HSRC.

### 4.3 Key lessons learned

Due to the fortunate nature of some human agency factors and/or relationships, PSPPD II made some significant breakthroughs and impacts in the domain of evidence-based policy making. It is possible that, under the structural constraints that leadership found themselves at the time, there were few other modalities for achieving this than those which were adopted.

However, these modalities may not be appropriate to more stable environments, and in the review teams' assessment, consideration should in future be given to a more structured process of initial priority determination. The figure below offers one such model of such a process i.e. i) set criteria to determine what are the priority sub-themes within each main theme, ii) identify priority sub themes, iii) select the priority sub themes within each thematic areas, iv) establish categories of topics within each sub-themes, v) feedback from stakeholders before finalisation of

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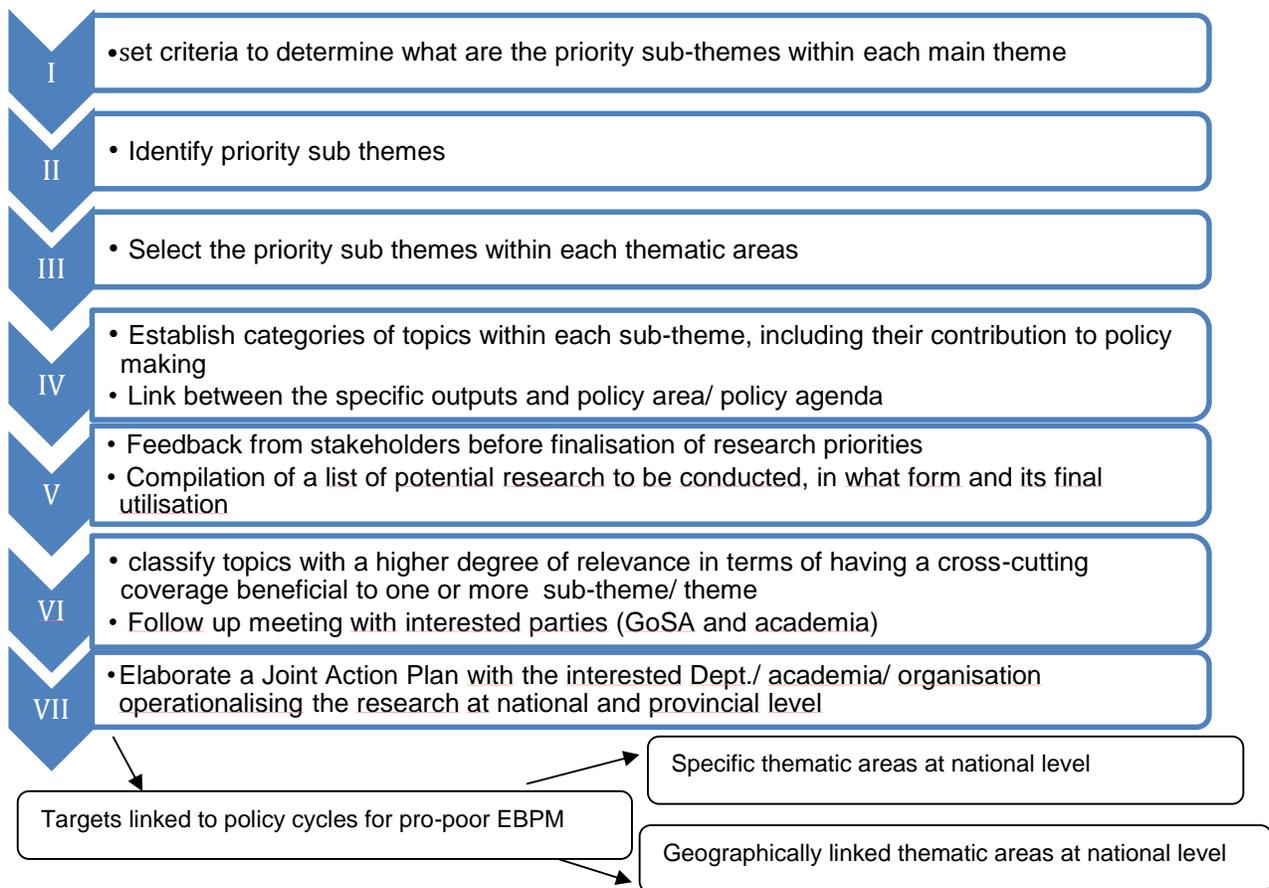
<sup>43</sup> These could well be the same as those in the past, but the recent rearrangement of Ministries creates the possibility of some role transformations.

research priorities, vi) classify topics with a higher degree of relevance in terms of having a cross-cutting coverage beneficial to one or more sub-theme/ theme.

One of the more important lessons of PSPPD II in practice however, and not necessarily included in such a government-initiated model as that shown in the figure below, are interfaces with civil society and human agency factors (which are included in the model shown below towards the end). Thus, for instance the prior/initial personal relationships and subsequent personnel exchanges that were prominent in the DBE and DRDLR with correspondences (with Stellenbosch and Western Cape Universities) appeared to play key roles with regard to greater efficacy, sustainability and impacts in these particular PSPPD II areas. The same is true, but in a slightly different way, with the acknowledged successes of the Project Preparation Trust (PPT) in KZN province in its good initial relationships across the government/NGO divide in eventually securing good metropolitan council co-operation in the establishment of early childhood development centres in many of the poorest informal settlements there.

As was pointed out by one senior PSC member who was not directly associated with any of the success areas just mentioned but who had more of a 'bird's eye view', in more generic terms in South Africa with its history of racial divisions, civil society/ government collaboration is especially important in building national unity and social cohesion.

**Figure 8: Example of a model for a systematic process for EBPM**



#### **4.4 Summary on recommendations and Key lessons learned**

To conclude, PSPPD II has had many features which can be built upon going forward in South Africa in taking forward evidence-based policy making more successful in those policy domains impinging upon poverty. Ten proposed actions for enhancing the sustainability and impact have been suggested, and these will likely require government/parastatal/civil society collaboration, as was characteristic of the areas in which PSPPD has been most successful to date.

# ANNEXES

## Annex 1 – ToR

### SPECIFIC TERMS OF REFERENCE

Final Evaluation of the Programme to Support Pro-Poor Policy Development (PSPPD) II

FWC SIEA 2018 - LOT 5 Budget Support

EuropeAid/138778/DH/SER/multi

CRIS reference number 2018/399841/1

Contracting Authority: the European Union Delegation to South Africa

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# 1 BACKGROUND

## 1.1 Relevant country / region / sector background

South Africa is classified as an upper middle- income country with a gross national income (GNI) per capita of USD 13,090 (2017)<sup>44</sup>. Gross domestic product (GDP) growth rate in South Africa averaged 2.82 percent from 1993 until 2018, reaching an all-time high of 7.60 percent in the fourth quarter of 1994 and a record low of -6.10 percent in the first quarter of 2009<sup>45</sup> - insufficient to reduce the unemployment rate, which increased to 27.2 percent in the second quarter of 2018 from 26.7 percent in the previous period<sup>46</sup>. Also, South Africa is among the most unequal countries in the world, with a Gini coefficient<sup>47</sup> of 0.628<sup>48</sup> and a Palma ratio<sup>49</sup> of 7.0<sup>50</sup> in 2017. 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.<sup>51</sup>

The NDP 2030 is the overarching programmatic and strategic document, operationalised through rolling-out the Medium Term Strategic Framework (MTSF) (2014-2019), and financially covered by the MTSF and annual budget appropriations.

The strategic objectives of the EU's relationship with South Africa are set out in the South Africa-European Union Strategic Partnership, Joint Action Plan, May 2007, complemented by objectives in the Trade Development and Cooperation Agreement (TDCA), and the Development Cooperation Instrument (DCI).

The South Africa-European Union Strategic Partnership, which is one of ten in the world, and the only country-level strategic partnership in Africa, refers to a number of objectives, including, among others: promoting "development, socio-economic and political progress, as well as stability in a globalising world"; supporting the "struggle against poverty, racism and xenophobia, as well as the promotion of equal distribution of power, influence, and opportunity in the global political and economic systems".

In addition the Trade, Development and Cooperation Agreement, 1999, set out six objectives which include: consolidating South Africa's transition process, including its harmonious and sustainable economic and social development. In the specific area of development cooperation these overall objectives are reaffirmed, along with the addition that priority shall be given to operations that help the

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<sup>44</sup> <https://data.worldbank.org/indicator/NY.GNP.PCAP.PP.CD>

<sup>45</sup> <https://tradingeconomics.com/south-africa/gdp-growth>

<sup>46</sup> <https://tradingeconomics.com/south-africa/unemployment-rate?embed>

<sup>47</sup> *Measures the extent to which the distribution of income or consumption expenditure among individuals or households within an economy deviates from a perfectly equal distribution*

<sup>48</sup> <http://documents.worldbank.org/curated/en/368961522944196494/pdf/125011-REPLACEMENT-PUBLIC-SAEU-APRIL-2018-Edition-11.pdf>

<sup>49</sup> *Ratio of the richest 10 percent of the population's share of GNI divided by the poorest 40 percent's share.*

<sup>50</sup> <https://data.oecd.org/inequality/income-inequality.htm>

<sup>51</sup> *The Plan can be obtained on the Presidency of the Republic of South Africa's website*

fight against poverty. These objectives are deeply affected by the central task of overcoming the legacy of Apartheid.

The Development Cooperation Instrument (DCI) sets out a primary objective of "the reduction and in the long term the eradication of poverty" and calls for cooperation to contribute to, among others, fostering sustainable economic, social and environmental development. This Multiannual Indicative Programme has been elaborated also in view of the phasing out of bilateral co-operation in South Africa under the DCI.

## 1.2 The Action to be evaluated<sup>52</sup>

<b>Title of the Action to be evaluated</b>	<ul style="list-style-type: none"> <li>• Programme to Support Pro-Poor Policy Development (PSPPD) II</li> </ul>
<b>Budget of the Action to be evaluated</b>	<ul style="list-style-type: none"> <li>• EUR 4 441 362</li> </ul>
<b>CRIS number of the Action to be evaluated</b>	<ul style="list-style-type: none"> <li>• 2012/296911</li> </ul>
<b>Dates of the Action to be evaluated</b>	<ul style="list-style-type: none"> <li>• Start: 28/06/2012</li> <li>• End: 23/11/2018</li> </ul>

## 1.3 Stakeholders of the Action

In 2009, the Presidency created two new Ministries, the Department of Performance, 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 the National Planning Commission was integrated into the DPME, the department became known as the Department of Planning, Monitoring and Evaluation. By setting up the DPME and integrating planning, government is showing that it is focused on achieving real improvements in the lives of its citizens as well as taking a long term view of development.

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 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. 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 NPC - will be of a greater importance and will feed into policy decision and formulation.

The PSPPD II was strategically placed to make a significant contribution to the success of these departments' functions and focused on the key targets outlined in the NDP. The programme championed evidence-based policy-making from its launch in 2007. Phase I ran from 2007 to 2012; the second phase commenced in 2012 and ran until May 2018 – with the closure phase running until November 2018. The programme aimed to enhance the analytical capacity of policy-makers in South Africa through professional development, so that they could be able to use better methods for making use of different kinds of knowledge, improve systems for ensuring that the right knowledge was available to decision-makers timeously and that better systems were developed for continuous learning. Policymakers, with input from researchers, could systematically use the best available evidence to inform the policy making and implementation processes. The PSPPD II leveraged the knowledge and experience gained in Phase I to strengthen the use of evidence-based policy-making and enhanced implementation of the MTSF and National Development Plan (NDP) at all levels of government i.e. local, provincial and national.

## 1.4 Other available information

<sup>52</sup> The term 'Action' is used throughout the report as a synonym of 'project and programme'

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. The PSPPD II deepened and upscaled the interventions of phase I to ensure that the practices which were catalysed became embedded in the institutions of government. The programme aimed to take the 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 was improved. The over-arching theme, therefore, for the PSPPD II was the reduction of poverty and inequality.

The PSPPD II had three results areas:

(i) Research

The first results area focused on making new and existing research and other evidence available for policy makers and generating new knowledge. Support to research was provided through grants for research in crucial areas such as education, early childhood development, child violence, families and employment. All these areas were interlinked in that ultimately, they identified factors required for individuals to participate fully in society. The programme contributed 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) 1 and 2 grant recipients were 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.

Through its CfPs 1 and 2, the PSPPD II encouraged the use of the National Income Dynamics Study (NIDS) datasets, thereby building a body of scholarship utilising empirical evidence, which in turn built on and expanded 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 included 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 were based at the SALDRU, Development Policy Research Unit (DPRU) and UCT.

(ii) Stakeholder Engagement

The second results area focused 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 was that at least 30 per cent of the aforementioned research projects would have a clear input into policy processes. The PSPPD aimed to create evidence-based social policy initiatives which would 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 included the dissemination of research findings to key stakeholders in an easy-to-understand format which was 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 focused on ensuring improved awareness and skills of policymakers and researchers in generating, analysing and using evidence. This was achieved through capacity building measures such as workshops, training, study tours and the dissemination of newsletters.

**The Learning Facility (LF)**

Established in 2014, the LF was an integral part of the PSPPD in that it provided project management and logistical support to the Programme Coordination Unit (PCU) in the DPME. The LF through the PSPPD II, within the parameters of its support, facilitated the provision of opportunities for these inter-related results areas. A knowledge management and dissemination system was established, and capacity building and training activities for both policy-makers and researchers were implemented through the entity. The concomitant aim was also to transform accumulated knowledge around pro-poor policy and projects into a state capability. In addition to data, understanding institutional policy-making processes, analytical skills and political support were seen as important elements. Good quality research can help to illustrate the extent of problems and the underlying causes of problems. This is important in deciding where to focus efforts and which interventions are needed to address problems.

The programme intended to play an important role in this regard. Phase I focused on the Presidency and the social sector departments. In the second phase, the scope has expanded to include the Economic Cluster, which underscored the interplay between social and economic issues. The New Growth Path<sup>53</sup> 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 was manageable the following departments in the Social Cluster were 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 was increased and included the following: Limpopo, Eastern Cape, KwaZulu Natal and Gauteng. The level of engagement with the four provinces varies.

## 2 DESCRIPTION OF THE EVALUATION ASSIGNMENT

Type of evaluation	Final
Coverage	The Action in its entirety
Geographic scope	Eastern Cape, Gauteng, KwaZulu Natal, Limpopo, North West, and Western Cape Provinces in South Africa
Period to be evaluated	From 28/06/2012 to 23/11/2018

### 2.1 Objectives of the evaluation

Systematic and timely evaluation of its programmes and activities is an established priority<sup>54</sup> of the European Commission<sup>55</sup>. The focus of evaluations is on the assessment of achievements, the **quality** and the **results**<sup>56</sup> of Actions in the context of an evolving cooperation policy with an increasing emphasis on **result-oriented approaches and the contribution towards the implementation of the SDGs**.<sup>57</sup>

<sup>53</sup> *New Growth Path 2010, Economic Development Department (EDD).*

<sup>54</sup> COM(2013) 686 final “Strengthening the foundations of Smart Regulation – improving evaluation” - [http://ec.europa.eu/smart-regulation/docs/com\\_2013\\_686\\_en.pdf](http://ec.europa.eu/smart-regulation/docs/com_2013_686_en.pdf); *EU Financial regulation (art 27); Regulation (EC) No 1905/2000; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Council Regulation (EC) No 215/2008*

<sup>55</sup> SEC (2007)213 “Responding to Strategic Needs: Reinforcing the use of evaluation”, [http://ec.europa.eu/smart-regulation/evaluation/docs/eval\\_comm\\_sec\\_2007\\_213\\_en.pdf](http://ec.europa.eu/smart-regulation/evaluation/docs/eval_comm_sec_2007_213_en.pdf); SWD (2015)111 “Better Regulation Guidelines”, [http://ec.europa.eu/smart-regulation/guidelines/docs/swd\\_br\\_guidelines\\_en.pdf](http://ec.europa.eu/smart-regulation/guidelines/docs/swd_br_guidelines_en.pdf); COM(2017) 651 final ‘Completing the Better Regulation Agenda: Better solutions for better results’, [https://ec.europa.eu/info/sites/info/files/completing-the-better-regulation-agenda-better-solutions-for-better-results\\_en.pdf](https://ec.europa.eu/info/sites/info/files/completing-the-better-regulation-agenda-better-solutions-for-better-results_en.pdf)

<sup>56</sup> Reference is made to the entire results chain, covering outputs, outcomes and impacts. Cfr. Regulation (EU) No 236/2014 “Laying down common rules and procedures for the implementation of the Union’s instruments for financing external action” - [https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial\\_assistance/ipa/2014/236-2014\\_cir.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial_assistance/ipa/2014/236-2014_cir.pdf)

<sup>57</sup> *The New European Consensus on Development ‘Our World, Our Dignity, Our Future’, Official Journal 30th of June 2017.* <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:C:2017:210:TOC>

From this perspective, evaluations should **look for evidence of why, whether or how these results are linked to the EU intervention** and seek **to identify the factors driving or hindering progress**.

Evaluations should provide an understanding of the **cause and effect links** between: inputs and activities, and outputs, outcomes and impacts. Evaluations should serve accountability, decision making, learning and management purposes.

The main objectives of this evaluation are to provide the relevant services of the European Union, and the interested stakeholders with:

- an overall independent assessment of the past performance of the PSPPD II, paying particular attention to its results measured against its expected objectives; and the reasons underpinning such results;
- key lessons learned, conclusions and related recommendations in order to improve current and future Actions.

In particular, this evaluation will serve to assess:

- the efficiency and effectiveness of programme implementation;
- the delivery of the programme's log frame activities and results, and achievement of the programme purpose; and
- the situation with respect to institutionalisation of the programme post-EU funding, and suggest viable options.
- how the PSPPD II could fit into the EU's Public Service Training and Capacity Building Programme, and the Capacity Building for Employment Programme.

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

The main users of this evaluation will be the EU, the South African government, and interested stakeholders.

## **2.2 Requested services**

### **2.2.1 Scope of the evaluation**

The evaluation will assess the Action using the five standard DAC evaluation criteria, namely: relevance, effectiveness, efficiency, sustainability and impact. In addition, the evaluation will assess two EU specific evaluation criteria:

- the EU added value (the extent to which the Action brings additional benefits to what would have resulted from Member States' interventions only);
- the coherence of the Action itself, with the EU strategy in South Africa and with other EU policies and Member State Actions.

The evaluation team shall furthermore consider whether gender, environment and climate change were mainstreamed; the relevant SDGs and their interlinkages were identified; the principle of Leave No-One Behind and the rights-based approach methodology was followed in the identification/formulation documents and the extent to which they have been reflected in the implementation of the Action, its governance and monitoring.

### **2.2.2 Indicative issues to be addressed**

The specific issues to be addressed as formulated below are indicative. Based on the latter and following initial consultations and document analysis, the evaluation team will discuss them with the Evaluation

Manager<sup>58</sup> and propose in their Inception Report a complete and finalised set of Evaluation Questions with indication of specific Judgement Criteria and Indicators, as well as the relevant data collection sources and tools.

Once agreed through the approval of the Inception Report, the Evaluation Questions will become contractually binding.

Building on the findings of the programme's mid-term review - the final report of which will be shared after the contract is awarded:

- 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 remained 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 were 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 were 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 assessment of the prospects for sustainability of benefits;
- Provide key recommendations on future activities in the sector addressed by the programme.

## 2.3 Phases of the evaluation and required outputs

The evaluation process will be carried out in five phases: an Inception Phase, a Desk Phase, a Field Phase, a Synthesis Phase, and a Dissemination Phase.

The outputs of each phase are to be submitted at the end of the corresponding phases as specified in the synoptic table in section 2.3.1.

### 2.3.1 Synoptic table

The following table presents an overview of the key activities to be conducted within each phase and lists the outputs to be produced by the team as well as the key meetings with the Contracting Authority and the Reference Group. The main content of each output is described in Chapter 5.

Phases of the evaluation	Key activities	Outputs and meetings
<b><u>Inception Phase</u></b>	<ul style="list-style-type: none"> <li>• Initial document/data collection</li> <li>• Background analysis</li> <li>• Inception interviews</li> <li>• Stakeholder analysis</li> <li>• Reconstruction (or as necessary,</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Kick-off meeting with the Contracting Authority and the Reference Group face-to-face at either the EU or DPME offices in Pretoria</i></li> <li>• Inception report</li> </ul>

<sup>58</sup> The Evaluation Manager is the staff of the Contracting Authority managing the evaluation contract. In most cases this person will be the Operational manager of the Action(s) under evaluation.

Phases of the evaluation	Key activities	Outputs and <i>meetings</i>
	<ul style="list-style-type: none"> <li>construction) of the Intervention Logic, and / or description of the Theory of Change (based upon available documentation and interviews)</li> <li>Methodological design of the evaluation (Evaluation Questions with judgement criteria, indicators and methods of data collection and analysis) and evaluation matrix</li> </ul>	<ul style="list-style-type: none"> <li>Slide presentation of the Inception Report</li> </ul>
<b><u>Desk Phase</u></b>	<ul style="list-style-type: none"> <li>In-depth document analysis (focused on the Evaluation Questions)</li> <li>Interviews</li> <li>Identification of information gaps and of hypotheses to be tested in the field phase</li> <li>Methodological design of the Field Phase</li> </ul>	<ul style="list-style-type: none"> <li>Desk Note</li> <li>Slide presentation of key findings of the desk phase</li> <li><i>Meeting with Reference Group</i> - face-to-face at either the EU or DPME offices in Pretoria</li> </ul>
<b><u>Field Phase</u></b>	<ul style="list-style-type: none"> <li>Gathering of primary evidence with the use of the most appropriate techniques</li> <li>Data collection and analysis</li> </ul>	<ul style="list-style-type: none"> <li><i>Initial meetings at country level with - Programme Coordination Unit</i> <ul style="list-style-type: none"> <li>- Learning Facility</li> <li>- Social Cluster Departments</li> <li>- Economic Cluster Departments</li> <li>- Provincial Governments</li> <li>- CfP 1 grant recipients</li> <li>- CfP 2 grant recipients</li> <li>- SALDRU, DPRU and MISTRA</li> </ul> </li> <li>Intermediary Note</li> <li>Slide Presentation of key findings of the field phase</li> <li><i>Debriefing with the Reference Group</i> face-to-face</li> </ul>
<b><u>Synthesis phase</u></b>	<ul style="list-style-type: none"> <li>Final analysis of findings (with focus on the Evaluation Questions)</li> <li>Formulation of the overall assessment, conclusions and recommendations</li> <li>Reporting</li> </ul>	<ul style="list-style-type: none"> <li>Draft Final Report</li> <li>Executive Summary according to the standard template published in the EVAL module</li> <li>Final Report</li> <li>Slide presentation</li> <li><i>Meeting with Reference Group</i> face-to-face</li> </ul>
<b><u>Dissemination phase</u></b>	Organisation of the final presentation seminar	<ul style="list-style-type: none"> <li><i>Final presentation seminar</i></li> <li>Slide presentation to Programme</li> <li>Steering Committee</li> </ul>

### 2.3.2 Inception Phase

This phase aims at structuring the evaluation and clarifying the key issues to be addressed.

The phase will start with a kick-off session in Pretoria between the Reference Group and the evaluators. Half-day presence of evaluators is required. The meeting aims at arriving at a clear and shared understanding of the scope of the evaluation, its limitations and feasibility. It also serves to clarify expectations regarding evaluation outputs, the methodology to be used and, where necessary, to pass on additional or latest relevant information.

In the Inception phase, the relevant documents will be reviewed (see annex II).

Further to a first desk review of the political, institutional and/or technical/cooperation framework of EU support to South Africa, the evaluation team, in consultation with the Evaluation Manager, will reconstruct or as necessary construct, the Intervention Logic of the Action to be evaluated.

Furthermore, based on the Intervention Logic, the evaluators will develop a narrative explanation of the logic of the Action that describes how change is expected to happen within the Action, all along its results chain, i.e. Theory of Change. This explanation includes an assessment of the evidence underpinning this logic (especially between outputs and outcomes, and between outcomes and impact), and articulates the assumptions that must hold for the Action to work, as well as identification of the factors most likely to inhibit the change from happening.

Based on the Intervention Logic and the Theory of Change the evaluators will finalise i) the Evaluation Questions with the definition of judgement criteria and indicators, the selection of data collection tools and sources, ii) the evaluation methodology, and iii) the planning of the following phases.

The methodological approach will be represented in an Evaluation Design Matrix<sup>59</sup>, which will be included in the Inception Report. The **methodology of the evaluation should be gender sensitive, contemplate the use of sex- and age-disaggregated data and demonstrate how actions have contributed to progress on gender equality.**

The limitations faced or to be faced during the evaluation exercise will be discussed and mitigation measures described in the Inception Report. Finally, the work plan for the overall evaluation process will be presented and agreed in this phase; this work plan shall be in line with that proposed in the present ToR. Any modifications shall be justified and agreed with the Evaluation Manager.

On the basis of the information collected, the evaluation team should prepare an **Inception Report**; its content is described in Chapter 5.

The entire evaluation team will then present in Pretoria the **Inception Report** to the Reference Group.

### **2.3.3 Desk Phase**

This phase is when the document analysis takes place. The analysis should include a brief synthesis of the existing literature relevant to the Action. This is to ensure a more robust approach to identifying information gaps and to ensure complementarity with the Mid-term Review - which was carried out in early 2017 - in particular.

The analysis of the relevant documents shall be systematic and reflect the methodology developed and approved during the Inception Phase.

Selected face-to-face interviews with the programme management, the Delegation of the EU to South Africa and key partners in South Africa may be conducted during this phase to support the analysis of secondary sources.

The activities to be conducted during this phase should allow for the provision of preliminary responses to each evaluation question, stating the information already gathered and its limitations. They will also identify the issues still to be covered and the preliminary hypotheses to be tested.

During this phase the evaluation team shall fine-tune the evaluation tools to be used during the Field Phase and describe the preparatory steps already taken and those to be taken for its organisation, including the list of people to be interviewed, dates and itinerary of visits, and attribution of tasks within the team.

At the end of the desk phase a Desk Note and a Slide Presentation will be prepared; its content is described in Chapter 5.

A presentation by the evaluation team to the Reference Group, if needed, will take place in Pretoria. One day presence of both evaluators is required (excluding travel time).

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<sup>59</sup> *The Evaluation Matrix is a tool to structure the evaluation analysis (by defining judgement criteria and indicators for each evaluation question). It helps also to consider the most appropriate and feasible data collection method for each of the questions*

### 2.3.4 *Field Phase*

The Field Phase starts after approval of the Inception Report by the Evaluation Manager.

The Field Phase aims at validating / changing the preliminary answers formulated during the Desk phase and further completing information through primary research.

If any significant deviation from the agreed work plan or schedule is perceived as creating a risk for the quality of the evaluation or not respecting the end of the validity of the specific contract, these elements are to be immediately discussed with the Evaluation Manager and, regarding the validity of the contract, corrective measures undertaken.

In the first days of the field phase, the evaluation team shall hold a briefing meeting with the programme management, Delegation, and other relevant stakeholders.

During the field phase, the evaluation team shall ensure adequate contact and consultation with, and involvement of the different stakeholders; with the relevant government authorities and agencies. Throughout the mission the evaluation team will use the most reliable and appropriate sources of information, respect the rights of individuals to provide information in confidence, and be sensitive to the beliefs and customs of local social and cultural environments.

At the end of the field phase, the evaluation team will summarise its work, analyse the reliability and coverage of data collection, and present preliminary findings in a meeting with the Reference Group.

At the end of the Field Phase an **Intermediary Note** and a Slide Presentation will be prepared; its content is described in Chapter 5.

### 2.3.5 *Synthesis Phase*

This phase is devoted to the preparation by the contractor of **two distinct documents**: the **Executive Summary** and the **Final Report**, whose structures are described in the Annex III; it entails the analysis of the data collected during the field phase to answer the Evaluation Questions and preparation of the overall assessment, conclusions and recommendations of the evaluation.

The evaluation team will present, in a single Report with Annexes, their findings, conclusions and recommendations in accordance with the structure in Annex III; a separate Executive Summary will be produced as well, following the compulsory format given in the EVAL module (see Annex III).

The evaluation team will make sure that:

- Their assessments are objective and balanced, statements are accurate and evidence-based, and recommendations realistic and clearly targeted.
- When drafting the report, they will acknowledge clearly where changes in the desired direction are known to be already taking place.
- The wording, inclusive of the abbreviations used, takes into account the audience as identified in art. 2.1 above.

The evaluation team will deliver and then present in Pretoria the **Draft Final Report** to the Reference Group to discuss the draft findings, conclusions and recommendations. One day of presence is required of – as minimum – the entire evaluation team.

The Evaluation Manager consolidates the comments expressed by the Reference Group members and sends them to the evaluation team for the report revision, together with a first version of the Quality Assessment Grid (QAG) assessing the quality of the Draft Final Report. The content of the QAG will be discussed with the evaluation team to verify if further improvements are required, and the evaluation team will be invited to comment on the conclusions formulated in the QAG (through the EVAL Module).

The evaluation team will then finalise the **Final Report** and the **Executive Summary** by addressing the relevant comments. While potential quality issues, factual errors or methodological problems should be

corrected, comments linked to diverging judgements may be either accepted or rejected. In the latter instance, the evaluation team must explain the reasons in writing. After approval of the final report, the QAG will be updated and sent to the evaluators via EVAL Module.

### **2.3.6 Dissemination phase**

This phase will include the organisation of the final presentation seminar.

## **2.4 Specific Contract Organisation and Methodology (Technical offer)**

The invited Framework Contractors will submit their specific Contract Organisation and Methodology by using the standard SIEA template B-VII-d-i and its annexes 1 and 2 (B-VII-d-ii).

The evaluation methodology proposed to undertake the assignment will be described in the Chapter 3 (Strategy and timetable of work) of the template B-VII-d-i. Contractors will describe how their proposed methodology will address the cross-cutting issues mentioned in these Terms of Reference and notably gender equality and the empowerment of women. This will include (if applicable) the communication action messages, materials and management structures.

By derogation of what is specified in the standard SIEA template B-VII-d-i, the maximum length of the specific Contract Organisation and Methodology is 7 pages, written in Times New Roman 12 or Arial size 11, single interline, excluding the framework contractor's own annexes (maximum length of such annexes: 3 pages), additional to the Annexes foreseen as part of the present Specific ToRs. The timetable is not accounted and may be presented on an A3 page.

## **2.5 Management and Steering of the evaluation**

### **2.5.1 At the EU level**

The evaluation is managed by the Evaluation Manager of the EUD; the progress of the evaluation will be followed closely with the assistance of a Reference Group consisting of members of Programme Steering Committee.

The main functions of the Reference Group are:

- To define and validate the Evaluation Questions.
- To facilitate contacts between the evaluation team and external stakeholders.
- To ensure that the evaluation team has access to and has consulted all relevant information sources and documents related to the Action.
- To discuss and comment on notes and reports delivered by the evaluation team. Comments by individual group members are compiled into a single document by the Evaluation Manager and subsequently transmitted to the evaluation team.
- To assist in feedback on the findings, conclusions, lessons and recommendations from the evaluation.
- To support the development of a proper follow-up action plan after completion of the evaluation.

### **2.5.2 At the Contractor level**

Further to the Requirements set in the art. 6 of the Global Terms of Reference and in the Global Organisation and Methodology, respectively annexes II and III of the Framework contract SIEA 2018, the contractor is responsible for the quality of: the process; the evaluation design; the inputs and the outputs of the evaluation. In particular, it will:

- Support the Team Leader in its role, mainly from a team management perspective. In this regard, the contractor should make sure that, for each evaluation phase, specific tasks and outputs for each team member are clearly defined and understood.
- Provide backstopping and quality control of the evaluation team's work throughout the assignment.
- Ensure that the evaluators are adequately resourced to perform all required tasks within the time framework of the contract.

## 2.6 Language of the Specific contract

The language of the specific contract is to be English.

## 3 EXPERTISE REQUIRED

### 3.1 Number of experts and of working days per category

The table below indicates the minimum number of evaluators and the minimum number of working days (overall and in the field), per category of experts to be foreseen by the Contractor.

Category of experts	Minimum number of evaluators	Total minimum number of working days (total)	(Out of which) minimum number of working days on mission
Cat I	1	35	26
Cat II	1	35	26
Cat III			

In particular, the Team Leader (to be identified in the Organisation and Methodology and in the Financial Offer) is expected to be a Cat I expert, possess a demonstrable senior evaluation expertise coherent with the requirements of this assignment and not provide less than 35 working days, out of which 26 in the field.

### 3.2 Expertise required

#### Minimum requirements of the team (1 Cat I expert and 1 Cat II expert):

##### Education

Cat I expert (Team Leader) will have an education equivalent to a Master's Degree. In its absence, a Bachelor's degree or an equivalent level with an additional 3 years' experience required over the minimum 12 years will be accepted.

Cat II expert (Team Member) will have education equivalent to a Master's Degree. In its absence, a Bachelor's degree or an equivalent level with an additional 3 years' experience required over the minimum 6 years will be accepted.

##### Experience

Cat I expert must have 12 years' experience in at least on these fields of Economics, Development Studies, Public Administration or other relevant sector.

Cat II expert must have 6 years' experience in at least on these fields of Economics, Development Studies, Public Administration or other relevant sector.

Collectively, the team of experts should demonstrate the following:

- Sound experience of conducting reviews and evaluations of EU funded programmes and projects (the Team Leader should have participated in at least two reviews or evaluations of EU funded programmes and projects and have led at least a third in the past five years, and Expert 2 should have participated in at least one review or evaluation of an EU funded programmes and project in the past three years);
- Experience in research for evidence-based policy making;
- Experience of the development policy in South Africa and of the economic and social sectors processes at national and provincial levels will both be advantageous.

#### Language skills of the team:

- English: The Team Leader and Team Member shall possess level C2 expertise.

Languages levels are defined for understanding, speaking and writing skills by the Common European Framework of Reference for Languages available at <https://europass.cedefop.europa.eu/en/resources/european-language-levels-cefr> and shall be demonstrated by certificates or by past relevant experience.

The European Union pursues an equal opportunities policy. Gender balance in the proposed team, at all levels, is highly recommended.

### 3.3 Presence of management team for briefing and/or debriefing

The presence of members of the management team is not required for briefing or debriefing purposes.

## 4 LOCATION AND DURATION

### 4.1 Starting period

Provisional start of the assignment is mid-January 2019

### 4.2 Foreseen duration of the assignment in calendar days

Maximum duration of the assignment: 150 calendar days.

This overall duration includes working days, week-ends, periods foreseen for comments, for review of draft versions, debriefing sessions, and distribution of outputs.

### 4.3 Planning, including the period for notification for placement of the staff<sup>60</sup>

As part of the technical offer, the framework contractor must fill in the timetable in the Annex IV (to be finalised in the Inception Report). The 'Indicative dates' are not to be formulated as fixed dates but rather as days (or weeks, or months) from the beginning of the assignment (to be referenced as '0').

Sufficient forward planning is to be taken into account in order to ensure the active participation and consultation with government representatives, national and other stakeholders.

### 4.4 Location(s) of assignment

The assignment will take place in South Africa, with field visits in the provinces of Eastern Cape, Gauteng, KwaZulu Natal, Limpopo, North West and Western Cape.

## 5 REPORTING

### 5.1 Content, timing and submission

The outputs must match quality standards. The text of the reports should be illustrated, as appropriate, with maps, graphs and tables; a map of the area(s) of Action is required (to be attached as Annex).

List of outputs:

	Number of Pages (excluding annexes)	Main Content	Timing for submission
Inception Report	10 pages	<ul style="list-style-type: none"> <li>• Intervention logic</li> <li>• Stakeholder map</li> <li>• Methodology for the evaluation, incl.:               <ul style="list-style-type: none"> <li>○ Evaluation Matrix: Evaluation Questions, with judgement criteria and</li> </ul> </li> </ul>	End of Inception Phase

<sup>60</sup> As per art 16.4 a) of the General Conditions of the Framework Contract SIEA

	Number of Pages (excluding annexes)	Main Content	Timing for submission
		<ul style="list-style-type: none"> <li>indicators, and data analysis and collection methods <ul style="list-style-type: none"> <li>○ Consultation strategy</li> <li>○ Field visit approach</li> </ul> </li> <li>• Analysis of risks related to the evaluation methodology and mitigation measures</li> </ul> <p>Work plan</p>	
<b>Desk Report</b>	10 pages	<ul style="list-style-type: none"> <li>• Preliminary answers to each Evaluation Question, with indication of the limitations of the available information</li> <li>• Data gaps to be addressed, issues still to be covered and hypotheses to be tested during the field visit</li> <li>• Update of the field visit approach</li> <li>• Update of the work plan of the following phases</li> </ul>	End of the Desk Phase
<b>Intermediary Report</b>	10 pages	<ul style="list-style-type: none"> <li>• Activities conducted during the field phase</li> <li>• Difficulties encountered during the field phase and mitigation measures adopted</li> <li>• Key preliminary findings (combining desk and field ones)</li> </ul>	End of the Field Phase
<b>Draft Final Report</b>	50 pages	<ul style="list-style-type: none"> <li>• <b><u>Cf. detailed structure in Annex III</u></b></li> </ul>	End of Synthesis Phase
<b>Draft Executive Summary – by using the EVAL online template</b>	N/A	<ul style="list-style-type: none"> <li>• <b><u>Cf. detailed structure in Annex III</u></b></li> </ul>	End of Synthesis Phase
<b>Final report</b>	50 pages	<ul style="list-style-type: none"> <li>• Same specifications as of the Draft Final Report, incorporating any comments received from the concerned parties on the draft report that have been accepted</li> </ul>	10 calendar days after having received comments to the Draft Final Report
<b>Executive Summary – by using the EVAL online template</b>	N/A	<ul style="list-style-type: none"> <li>• Same specifications as for the Draft Executive Summary, incorporating any comments received from the concerned parties on the draft report that have been accepted</li> </ul>	Together with the final version of the Final Report

## 5.2 Use of the EVAL module by the evaluators

It is strongly recommended that the **submission of deliverables** by the selected contractor **be performed through their uploading in the EVAL Module**, an evaluation process management tool and repository of the European Commission. The selected contractor will receive access to online and offline guidance in order to operate with the module during the related Specific contract validity.

## 5.3 Comments on the outputs

For each report, the Evaluation Manager will send to the Contractor consolidated comments received from the Reference Group or the approval of the report within 15 calendar days. The revised reports addressing the comments shall be submitted within 10 calendar days from the date of receipt of the

comments. The evaluation team should provide a separate document explaining how and where comments have been integrated or the reason for not integrating certain comments, if this is the case.

#### **5.4 Assessment of the quality of the Final Report and of the Executive Summary**

The quality of the draft versions of the Final Report and of the Executive Summary will be assessed by the Evaluation Manager using the online Quality Assessment Grid (QAG) in the EVAL Module (text provided in Annex V). The Contractor is given – through the EVAL module - the possibility to comment on the assessments formulated by the Evaluation Manager. The QAG will then be reviewed following the submission of the final version of the Final Report and of the Executive Summary.

The compilation of the QAG will support/inform the compilation by the Evaluation Manager of the FWC SIEA's Specific Contract Performance Evaluation.

#### **5.5 Language**

All reports shall be submitted in English.

#### **5.6 Number of report copies**

Apart from their submission -preferably via the EVAL Module-, the approved version of the Final Report will be also provided in 6 paper copies and in electronic version at no extra cost.

#### **5.7 Formatting of reports**

All reports will be produced using Font Arial or Times New Roman minimum letter size 11 and 12 respectively, single spacing, double sided. They will be sent in Word and PDF formats.

## ANNEXES

### ANNEX I: SPECIFIC TECHNICAL EVALUATION CRITERIA

#### SPECIFIC TECHNICAL EVALUATION CRITERIA

Request for Services no. 399841

FWC SIEA 2018 - LOT 5 Budget Support

EuropeAid/138778/DH/SER/multi

#### 1. TECHNICAL EVALUATION CRITERIA

The Contracting Authority selects the offer with the best value for money using an 80/20 weighting between technical quality and price<sup>61</sup>.

Technical quality is evaluated on the basis of the following grid:

Criteria	Maximum
<b>Total score for Organisation and Methodology</b>	<b>50</b>
<ul style="list-style-type: none"><li>Understanding of ToR and the aim of the services to be provided</li></ul>	<b>10</b>
<ul style="list-style-type: none"><li>Overall methodological approach, quality control approach, appropriate mix of tools and estimate of difficulties and challenges</li></ul>	<b>25</b>
<ul style="list-style-type: none"><li>Technical added value, backstopping and role of the involved members of the consortium</li></ul>	<b>5</b>
<ul style="list-style-type: none"><li>Organisation of tasks including timetable</li></ul>	<b>10</b>
<b>Score for the expertise of the proposed team</b>	<b>50</b>
<b>OVERALL TOTAL SCORE</b>	<b>100</b>

#### 2. TECHNICAL THRESHOLD

Any offer falling short of the technical threshold of 75 out of 100 points, is automatically rejected.

#### 3. INTERVIEWS DURING THE EVALUATION OF THE OFFERS

During the evaluation process of the offers received the Contracting Authority reserves the right to interview by phone one or several members of the proposed evaluation teams.

Phone interviews will be tentatively carried out during the period from 01/12/2018 to 31/12/2018.

<sup>61</sup> For more details about the 80/20 rule, please see the PRAG, chapter 3.3.10.5 - [https://ec.europa.eu/europeaid/funding/about-funding-and-procedures/procedures-and-practical-guide-prag\\_en](https://ec.europa.eu/europeaid/funding/about-funding-and-procedures/procedures-and-practical-guide-prag_en)

## ANNEX II: INFORMATION THAT WILL BE PROVIDED TO THE EVALUATION TEAM

- Legal texts and political commitments pertaining to the Action(s) to be evaluated
- Country Strategy Paper South Africa and Indicative Programmes (and equivalent) for the periods covered
- Relevant national / sector policies and plans from National and Local partners and other donors
- Action identification studies
- Action feasibility / formulation studies
- Action financing agreement and addenda
- Action's quarterly and annual progress reports, and technical reports
- European Commission's Result Oriented Monitoring (ROM) Reports, and other external and internal monitoring reports of the Action
- Action's mid-term evaluation report and other relevant evaluations, audit, reports
- Relevant documentation from National/Local partners and other donors
- Guidance for Gender sensitive evaluations
- Calendar and minutes of all the meeting of the Steering Committee of the Action(s)
- Any other relevant document

**Note:** The evaluation team has to identify and obtain any other document worth analysing, through independent research and during interviews with relevant informed parties and stakeholders of the Action.

## ANNEX III: STRUCTURE OF THE FINAL REPORT AND OF THE EXECUTIVE SUMMARY

The contractor will deliver – **preferably through their uploading in the EVAL Module - two distinct documents**: the **Final Report** and the **Executive Summary**. They must be consistent, concise and clear and free of linguistic errors both in the original version and in their translation – if foreseen.

The Final Report should not be longer than the number of pages indicated in Chapter 6. Additional information on the overall context of the Action, description of methodology and analysis of findings should be reported in an Annex to the main text.

The presentation must be properly spaced and the use of clear graphs, tables and short paragraphs is strongly recommended.

The cover page of the Final Report shall carry the following text:

*“This evaluation is supported and guided by the European Commission and presented by [name of consulting firm]. The report does not necessarily reflect the views and opinions of the European Commission”.*

### **Executive Summary**

A short, tightly-drafted, to-the-point and free-standing Executive Summary. It should focus on the key purpose or issues of the evaluation, outline the main analytical points, and clearly indicate the main conclusions, lessons to be learned and specific recommendations. It is to be prepared by using the specific format foreseen in the EVAL Module.

The main sections of the evaluation report shall be as follows:

#### **1. Introduction**

A description of the Action, of the relevant country/region/sector background and of the evaluation, providing the reader with sufficient methodological explanations to gauge the credibility of the conclusions and to acknowledge limitations or weaknesses, where relevant.

#### **2. Answered questions / Findings**

A chapter presenting the answers to the Evaluation Questions, supported by evidence and reasoning.

#### **3. Overall assessment (optional)**

A chapter synthesising all answers to Evaluation Questions into an overall assessment of the Action. The detailed structure of the overall assessment should be refined during the evaluation process. The relevant chapter has to articulate all the findings, conclusions and lessons in a way that reflects their importance and facilitates the reading. The structure should not follow the Evaluation Questions, the

logical framework or the evaluation criteria.

## **4. Conclusions and Recommendations**

### **4.3 Lessons learnt**

Lessons learnt generalise findings and translate past experience into relevant knowledge that should support decision making, improve performance and promote the achievement of better results. Ideally, they should support the work of both the relevant European and partner institutions.

### **4.1 Conclusions**

This chapter contains the conclusions of the evaluation, organised per evaluation criterion. In order to allow better communication of the evaluation messages that are addressed to the Commission, a table organising the conclusions by order of importance can be presented, or a paragraph or sub-chapter emphasizing the 3 or 4 major conclusions organised by order of importance, while avoiding being repetitive.

### **4.2 Recommendations**

They are intended to improve or reform the Action in the framework of the cycle under way, or to prepare the design of a new Action for the next cycle. Recommendations must be clustered and prioritised, and carefully targeted to the appropriate audiences at all levels, especially within the Commission structure.

## **5. Annexes to the report**

The report should include the following annexes:

- The Terms of Reference of the evaluation
- The names of the evaluators (CVs can be shown, but summarised and limited to one page per person)
- Detailed evaluation methodology including: options taken, difficulties encountered and limitations; detail of tools and analyses.
- Evaluation Matrix
- Intervention logic / Logical Framework matrices (planned/real and improved/updated)
- Relevant geographic map(s) where the Action took place

- List of persons/organisations consulted
- Literature and documentation consulted
- Other technical annexes (e.g. statistical analyses, tables of contents and figures, matrix of evidence, databases) as relevant
- Detailed answer to the Evaluation Questions, judgement criteria and indicators

## ANNEX IV: PLANNING SCHEDULE

This annex must be included by Framework Contractors in their Specific Contract Organisation and Methodology and forms an integral part of it. Framework Contractors can add as many rows and columns as needed.

The phases of the evaluation shall reflect those indicated in the present Terms of Reference.

		Indicative Duration in working days <sup>62</sup>		
Activity	Location	Team Leader	Evaluator ...	Indicative Dates
<b>Inception phase: total days</b>				
•				
•				
<b>Desk phase: total days</b>				
•				
•				
<b>Field phase: total days</b>				
•				
•				
<b>Synthesis phase: total days</b>				
•				
•				
<b>Dissemination phase: total days</b>				
•				
•				
<b>TOTAL working days (maximum)</b>				

<sup>62</sup> Add one column per each evaluator

## ANNEX V: QUALITY ASSESSMENT GRID

The quality of the Final Report will be assessed by the Evaluation Manager (since the submission of the draft Report and Executive Summary) using the following quality assessment grid, which is included in the **EVAL Module**; the grid will be shared with the evaluation team, which will have the possibility to include their comments.

Action (Project/Programme) evaluation – Quality Assessment Grid Final Report			
<b>Evaluation data</b>			
Evaluation title			
Evaluation managed by		Type of evaluation	
CRIS ref. of the evaluation contract		EVAL ref.	
Evaluation budget			
EUD/Unit in charge		Evaluation Manager	
Evaluation dates	Start:	End:	
Date of draft final report		Date of Response of the Services	
Comments			
<b>Project data</b>			
Main project evaluated			
CRIS # of evaluated project(s)			
DAC Sector			
<b>Contractor's details</b>			
Evaluation Team Leader		Evaluation Contractor	
Evaluation expert(s)			

### Legend: scores and their meaning

Very satisfactory: criterion entirely fulfilled in a clear and appropriate way  
Satisfactory: criterion fulfilled

Unsatisfactory: criterion partly fulfilled  
Very unsatisfactory: criterion mostly not fulfilled or absent

**The evaluation report is assessed as follows**

**1. Clarity of the report**

This criterion analyses the extent to which both the Executive Summary and the Final Report:

- Highlight the key messages
- The length of the various chapters and annexes of the Report are well balanced
- Contain relevant graphs, tables and charts facilitating understanding
- Contain a list of acronyms (only the Report)
- Avoid unnecessary duplications
- Have been language checked for unclear formulations, misspelling and grammar errors
- The Executive Summary is an appropriate summary of the full report and is a free-standing document



Strengths	Weaknesses	Score
Contractor's comments	Contractor's comments	

**2. Reliability of data and robustness of evidence**

This criterion analyses the extent to which:

- Data/evidence was gathered as defined in the methodology
- The report considers, when relevant, evidence from EU and/or other partners' relevant studies, monitoring reports and/or evaluations
- The report contains a clear description of the limitations of the evidence, the risks of bias and the mitigating measures



Strengths	Weaknesses	Score
Contractor's comments	Contractor's comments	

**3. Validity of Findings**

This criterion analyses the extent to which:

- Findings derive from the evidence gathered
- Findings address all selected evaluation criteria
- Findings result from an appropriate triangulation of different, clearly identified sources
- When assessing the effect of the EU intervention, the findings describe and explain the most relevant cause/effect links between outputs, outcomes and impacts



<ul style="list-style-type: none"> <li>The analysis of evidence is comprehensive and takes into consideration contextual and external factors</li> </ul>		
<b>Strengths</b>	<b>Weaknesses</b>	<b>Score</b>
Contractor's comments	Contractor's comments	
<b>4. Validity of conclusions</b>		
<p>This criterion analyses the extent to which:</p> <ul style="list-style-type: none"> <li>Conclusions are logically linked to the findings, and go beyond them to provide a comprehensive analysis</li> <li>Conclusions appropriately address the selected evaluation criteria and all the evaluation questions, including the relevant cross-cutting dimensions</li> <li>Conclusions take into consideration the various stakeholder groups of the evaluation</li> <li>Conclusions are coherent and balanced (i.e. they present a credible picture of both strengths and weaknesses), and are free of personal or partisan considerations</li> <li>(If relevant) whether the report indicates when there are not sufficient findings to conclude on specific issues</li> </ul>		
		
<b>Strengths</b>	<b>Weaknesses</b>	<b>Score</b>
Contractor's comments	Contractor's comments	
<b>5. Usefulness of recommendations</b>		
<p>This criterion analyses the extent to which the recommendations:</p> <ul style="list-style-type: none"> <li>Are clearly linked to and derive from the conclusions</li> <li>Are concrete, achievable and realistic</li> <li>Are targeted to specific addressees</li> <li>Are clustered (if relevant), prioritised, and possibly time-bound</li> <li>(If relevant) provide advice for the Action's exit strategy, post-Action sustainability or for adjusting Action's design or plans</li> </ul>		
		
<b>Strengths</b>	<b>Weaknesses</b>	<b>Score</b>
Contractor's comments	Contractor's comments	
<b>6. Appropriateness of lessons learnt analysis (if requested by the ToR or included by the evaluators)</b>		

**This criterion is to be assessed only when requested by the ToR or included by evaluators and is not to be scored. It analyses the extent to which:**



- Lessons are identified
- When relevant, they are generalised in terms of wider relevance for the institution(s)

Strengths	Weaknesses	Score
Contractor's comments	Contractor's comments	
<b>Final comments on the overall quality of the report</b>		<b>Overall score</b>

## ANNEX VI: LOGICAL FRAMEWORK MATRIX (LOGFRAME) OF THE PSPPD II

Project Description	Indicators	Means of Verification	Assumptions
<b>Overall Objective</b>			
6 To contribute to improved policies, institutional capacity and systems to reduce poverty and inequality, through evidence-based policy making, so as to achieve the economic and social goals of South Africa	1. Key policies and systems to address poverty and inequality are evidence-based	1. Policy Documents, Reports and other Knowledge Systems	
	2. More effective policies and systems are in place to address poverty and inequality	2. Evaluations (including PSPPD final evaluation)	
<b>Purpose</b>	By the end of the programme:		
The purpose of the project is to strengthen policy making and implementation around Poverty and Inequality, using research and other evidence within the social and economic clusters	1. Key Policy Makers in DPME, NPC, two other Departments in the Social and Economic Clusters and two provinces have utilised research and other evidence, to inform social and economic policy and its implementation relevant to poverty and inequality.	1.1 Policy Documents 1.2 Reports of research, Rapid Evidence Assessments and Systematic Reviews	<ul style="list-style-type: none"> <li>• The Presidency and other stakeholders are committed to the broader vision of EBPM as encapsulated through the PSPPD Phase 2</li> <li>• Better methods for making use of different kinds of knowledge, better systems of knowledge management as well as better systems for continuous learning within government are considered important</li> <li>• The necessary research and technical capacity is available</li> </ul>
	2. Systems have been established in the NPC and DPME to use evidence in the policy and implementation cycle	2.1 Reports 2.2 Midterm review and evaluation	
	3. Researchers have generated relevant research evidence funded by the PSPPD and at least 30% of these projects have inputted directly into policy processes	3.1 Research reports 3.2 Interviews with key policy-makers and researchers in midterm review and evaluation	
	4. At least 20 mid-level researchers have successfully participated in research funded by the PSPPD that responds to government priorities	4.1 Reports	
<b>Results</b>			
<b>Result 1:</b>	1.1 20 research grants completed on	1.1 Research reports	<ul style="list-style-type: none"> <li>• <input type="checkbox"/> Some policy makers and researchers are</li> </ul>

Existing research and other evidence made available and new knowledge generated (including, but not limited to the NIDS)	topics relevant to poverty and inequality		open to collaboration using evidence and learning <ul style="list-style-type: none"> <li><input type="checkbox"/> PSPPD able to build working relationships with 'inner policy circle' and 'civil issue network' research</li> <li><input type="checkbox"/> Quality of research work sufficient to assist policy-makers to build an improved evidence base</li> <li><input type="checkbox"/> People able to access Knowledge management platforms</li> </ul>
	1.2 Five Commissioned research projects completed on key issues facing policy- makers	1.2 Research reports	
	1.3 Ten REAs completed on key issues facing policy-makers	1.3 REA reports	
	1.4 Five Systematic Reviews completed on key issues facing policy-makers	1.4 Systematic review reports	
	1.5 System established in SA for storing REAs and systematic reviews and making them publically available	1.5 Check system	
<b>Result 2:</b> Improved awareness and skills of policy makers and researchers in generating, analysing and using evidence	2.1 At least 1000 policy makers, practitioners and researchers have been exposed to evidence-based policy making through PSPPD activities(workshops, conferences, newsletters, website)	2.1 Event reports, unique hits on website, newsletter distribution	
	2.2 At least 200 policy makers and researchers have enhanced skills through PSPPD learning activities(workshops, study tours, training, exchanges and other learning activities)	2.2 Reports and activity evaluations	
<b>Result 3:</b> Suitable institutional mechanisms identified, supported, and evidence used to inform policy making and implementation with key stakeholders	3.1 Systems for evidence-based policy making developed with DPME, NPC, two provinces and two departments	3.1 PSPPD and partner reports	
	3.2 Knowledge management system established that provides information nationally around poverty and inequality	3.2 Outputs of KM system	
	3.3 National evaluation policy and systems developed	3.3 Check methodology	
<b>Result 4:</b>	4.1 Project on schedule in terms of	4.1 Programme Estimates	

Programme managed effectively	results and within budget	and Reports, PSC Minutes	
	4.2 Monitoring of activities indicates high satisfaction ratings	4.2 Monitoring system and reports	
	4.3 Midterm and final evaluations indicate effectiveness and efficiency in delivering results	4.3 ROM report, Mid Term Review and Final Evaluation	

Project Description	Means
<b>Activities (result 1)</b>	
1.1 Call for Proposals, awarding of grants for research, grant management and dissemination	<b>Funding for:</b> <b>PCU</b> <i>Staff</i> Programme manager Finance and procurement manager Finance officer Administrator Operational costs - Travel, stationery, telephone etc.
1.2 Commission, fund and manage rapid evidence assessments and systematic reviews to review existing evidence	
1.3 Commission reviews of existing evaluation systems and ensure evaluations are available as resources	
1.4 Commission the documentation of examples of good practice and other knowledge management interventions	
1.5 Commission and manage new research on themes	
<b>Activities (result 2):</b>	
2.1 Production of newsletter	<i>Research grant funding Commissioned REAs and research(prior to Small grants international tender)</i>  <b>International tender including</b> <i>Long-term experts</i> Team leader/institutional advisor Publications and information manager Research manager Training and events manager
2.2 Produce publications e.g. policy briefs, reports, book	
2.3 Establish suitable on-line mechanisms	
2.4 Support learning networks and communities of practice	
2.5 Run conferences/workshops/seminars/ roundtables etc.	
2.6 Run study tours/exchanges	
2.7 Provide content advice on priority themes	
2.8 Link with competences, unit standards, and appropriate training systems e.g. PALAMA	
2.9 Coaching and leadership development	
2.10 Run short training courses e.g. evaluation, research methods, evidence-based policy-making, analysis and use of	

<b>Project Description</b>	<b>Means</b>
evidence etc...	(responsible for content and process, not administration)
<b>Activities (result 3):</b>	
3.1 Stakeholder liaison and facilitation	Events coordinator
3.2 Scoping/diagnosis work with target partners	Administrator
3.3 Identify priority areas for support	Finance officer
3.4 Develop support plans	
3.5 Support (often using the mechanisms above)	
3.6 Promote learning and reflection on the results of the support	<i>Short-term TA</i>
<b>Activities (result 4):</b>	<i>Commissioned REAs and research</i>
4.1 Recruit PCU staff using Local Procedures	<i>Commissioned systematic reviews</i>
4.2 Set up Phase 2 (extended PSC, resourcing and systems)	<i>Workshops, conferences, seminars, training</i>
4.3 Run Calls for Proposals and undertake Grant Management	<i>Study tours, exchanges</i>
4.4 Develop Terms of Reference for international tender and manage this	<i>Knowledge management</i>
4.5 Procurement of goods and services	
4.6 Financial and Compliance management	

## Annex 2 – List of people met

	Name	Position/Institution	Date(s)
1		DPME	17/1/2019, 15/03/2019, 25/03/2019
2		Programme administration, DPME	17/1/2019
3		Finance and procurement, DPME	17/1/2019
4		Head of Economic and Infrastructure Sector, EUD	17/1/2019 and 18/1/2019
5		EUD	17/1/2019
6		EUD	29/03/2019
7		Director: International Projects and ODA, National School of Governance	01/04/2019
8		Group Research manager and Principal Research Specialist, HSRC	02/04/2019
9		Group Research member, HSRC	02/04/2019
10		PSPPD PSC Member, Evaluation systems advisor, Centre for Learning and Evaluation of Results, University of Witwatersrand	02/04/2019
11		PSC Member, Director: Economic and Infrastructure, International Development Cooperation, National Treasury	03/04/2109
12		Senior Policy Analyst, Economic and Infrastructure, International Development Cooperation, Budget office, National Treasury	03/04/2109
13		Deputy Director, International Development Cooperation, National Treasury	03/04/2109
14		Former Director M&E, DPME; Consultant, review of EU-funded programme on NSG	03/04/2109
15		Consultant, former training expert and team leader of learning facility	03/04/2109

16		PSC Member, DDG: Development Planning, Gauteng Provincial Government	04/04/2019
17		Head SALDRU (grantee), currently visiting Fellow Yale University	05/04/2019
18		Director, Western Cape Dept. of Education	08/04/2019
19		PSC Member, NIDS Co-Principal Investigator SALDRU, UCT	08/04/2019
20		Grantee, SALDRU, UCT	08/04/2019
21		Head: Mandela School of Governance. PSPPD II pioneer, Grantee	09/04/2019
22		PSC member, Senior Manager: Policy Coordination Unit, Limpopo: Office of the Premier	09/04/2019
23		Programme Manager, Education, CDE	10/04/2019
24		Professor of Mathematics education, UKZN, Grantee	10/04/2019
25		MD, Project Preparation Trust, Grantee,	10/04/2019
26		Chief Director, LED, KZN: Dept. of Economic Development & Tourism,	11/04/2019
27		PSC Member, General Manager: Strategic Management, KZN: Office of the Premier	12/04/2019
28		PSC Member, Executive Director, Research Use and Impact Assessment, HSRC	15/04/2019
29		Professor University of Fort Hare, Eastern Cape, Grantee	16/04/2019
30		Chief Director, Monitoring and Evaluation, National School of Government	17/04/2019
31		Chief Director, Research and Innovation, National School of Government	17/04/2019
32		Director: Co-operatives Policy, Oversight Monitoring and Evaluation,	17/04/2019

33		PSC Member, Chief Director, Poverty and Inequality Statistics, Stats SA,	17/04/2019
34		Project Preparation Trust: Senior Project Manager	18/04/2019
35		GSB, UCT, Grantee	05/04/2019
36		National Research Chair in the Economics of Social Policy, ReSEP (Research on Socio-Economic Policy), Dept. of Economics, University of Stellenbosch	16/04/2019
37		Director, Policy & Research, DBSD	24/04/2019
38		PSC Member, former DDG: Social Policy, DSBD Current: advisor to the Minister of Women	24/04/2019
39		Former PSC Member, former Stats SA Current Deputy Secretary of Planning, NPC	25/04
40		Project Manager, Human Dynamics	26/04
41		Project Manager, PLAAS, University of Western Cape	26/04

### Annex 3 – List of documentation consulted

Document	Date	Author	From
FOLDERS (4)	17/01/2019	DPME	DPME (K-o)
<b>1. PSC Meetings (12)</b>		DPME	DPME
- PE 6	28/02/2018		
- PE 5 #2	08/06/2017		
#1	11/10/2016		
- PE 4 #2	10/03/2016		
#1	20/08/2015		
- PE 3 #3	24/02/2015		
#2	26/08/2014		
#1	29/05/2014		
- PE 2 #3	27/02/2014		
#2	21/08/2013		
#1	18/04/2013		
- PE 1 # 2	04/12/2012		
# 1	30/10/2012		
<b>2. Progress Report s (11 ?)</b>			
N. June 2017 – February 2018	28/02/2018		PE 6
N. October 2016 – May 2017	08/06/2017		PE 5
N. March 2016 – September 2016	11/10/2016		PE 5
N. September 2015 – February 2016 (Presentation, no report)	10/03/2016	Ashraf Kariem (Acting PM)	PE 4
N. March 2015 - August 2015 (8 pages)	20/08/2015		PE 4
N. September 2014 – February 2015	24/02/2015		PE 3
N. June – August 2014 (3 months - March to May 2014 missing)	26/08/2014		PE 3
N March to August 2014	29/05/2014		PE 3
N. September 2013 – February 2014 (6 pages)	27/02/2014		PE 2
N. April 2013 – August 2013 (4 pages) (March missing)	21/08/2013		PE 2
N. 1 ?? September 2012 – March 2013	18/04/		PE 1 & 2

	2013		
3. Visibility Strategy, Final Report	31/01/2016	AECOM Consultants	
4. Research on Inequality, Inception Report	09/09/2015	ACE/ AECOM Consultants	
5. Final Evaluation of PSPPD Ph I	21/06/2012	S. Cleary & J. Du Pisani	FWK consortium
6. MTR PSPPD Ph I	N.D.	HTSPE	
<b>FOLDER PE 1 to PE 5 (File 1) should read PE 2?</b>			
Section A			
7. FA			
8. PSPPD II Concept Note			
9. PSPPD II Logframe			
10. PSPPD Role of the Steering Committee			
<b>Section B - PE 1 Key Documents</b>			
11. PE 1 Audit Report			
12. PE 1 Closure Report			
- PE 1 Start-up period document/ Activities:			
13. ToR for Technical support for the CfP I			
14. ToR for technical and logistical support for stakeholders' engagement			
15. PSPPD Inception w/s report			
16. ToR NIDS Wave II Analysis Papers			
17. Study on Evidence of S-T household change in SA from the NIDS			
18. Changes in multi-dimensional poverty between 2008 and 2010			
19. The Middle class and inequality in SA			
20. MoU University of Western Cape and the Presidency			
21. The politics of poverty research and pro-poor policy making	19/11/2012	The Atlantic Philanthropies	
<b>Section C - PE 2 Key Documents</b>			
22. PE 2 Audit Report			
23. PE 2 Closure Report			
- Documents / Activities			
24. PSPPD Draft Strategy (1 page is on ToC)			
25. ToR on the development of a strategy for a change management process for the PSPPD	01/2013		
26. Report on a strategy for a change management process for the PSPPD	19/06/2013	Shanil Haricharan	
27. Assessors' evaluations of PSPPD II CfP	16/11/2013	Liberty Mncube, P. Parenzee	
28. ToR for the above			
29. Report on technical support for PSPPD KM (website content and editing)	03/04/2014	Danya Zee Pedra	
30. ToR for the above	05/2013		
<b>Section C - Amendment to FA on change from Presidency to PSPPD</b>			
<b>FOLDER PE 3 to PE 6 (File 2)</b>			
<b>Section E PE 3 Key Documents</b>			
31. PE 2 Audit Report			
32. PE 2 Closure Report			
- Documents / Activities			

33.Assessors' evaluations of PSPPD II CfP	04/2015		
34.ToR for the above	11/2014		
35.Report on Assistance on management support	N.D.	Charmaine Williamson	
36.ToR for the above	06/2014		
<b>Section F PE 4 Key Documents</b>			
37.PE 2 Audit Report			
38.PE 2 Closure Report			
- Documents / Activities			
39.ToR Visibility strategy			
40.Visibility Strategy, Final Report (= 3 above)	31/01/2016	AECOM Consultants	
41.TOR for Research on inequality			
42.Vulnerability in employment	30/06/2016		
43.Vulnerability and the Middle class in SA	08/2016	SALDRU NIDS	
44.Inequality and social cohesion – abstract			
45.Drivers of inequality in SA	20/07/2016	UCT	
46.Review of the eco income inequality literature in SA	04/2016	SALDRU	
47.Request of extension	29/04/2016		
<b>Section G PE 5 Key Documents</b>			
48.PE 5 Audit Report			
49.PE 5 Closure Report			
- Documents Closure period			
50.PE 5 Addendum 2			
51.PE 5 Endorsement for an extension			
<b>Section G PE 6 Key Documents</b>			
52.PE 6 Audit Report			
53.PE 6 Closure Report			
- Documents Closure period on F&C aspects			
<b>File #4 Human Dynamics / Learning Facility</b>			
Addendums with EU			
LF 6 monthly reports			
<b>Additional publications</b>			DPME
<b>Policy Brief Series</b>			
<b>Theme 2: Employment, unemployment and livelihoods</b>			
Exploration of impact bonds for result-focused SME development		No date	
Alleviating binding constraints to quality education for the poor		Under Theme 2 (not mentioned)	
<b>No Theme N.: Poverty and inequality</b>			
Food choices, lifestyles and South Africa's weighty problem			
Vulnerability and the middle class in South Africa			
Strengthening pro-poor policies towards social cohesion in South Africa			
The value of reference letters: experimental evidence from South Africa			

The impact of poverty and inequality in early childhood on long-term outcomes			
Drivers of inequality in South Africa			
<b>Theme 3: Child poverty (early childhood development, children and violence)</b>			
Early childhood education: building capacity to ensure quality provision			
Family and children: actions to promote family well-being and cohesion in South Africa			
Grade 9 mathematics teachers and the Annual National Assessment			
Meeting the needs of young South African children through effective early childhood development programme options			
Review of research evidence on child poverty in South Africa			
An outcome assessment of a residential care programme for sexually abused children in South Africa			
Traditional male circumcision: how to prevent death and complications	02/2016	HSRC	
<b>Other publications</b>			
Identifying binding constraints in Education Education, Theme?	24/05/2016	Research and Socio-Economic Policy (RESEP) Uni. of Stellenbosch	
The mismatch between educational expansion and perceived social mobility: labour market barriers and unfulfilled expectations		Research and Socio-Economic Policy (RESEP)	
<b>Poverty and inequality</b>			
Overcoming Poverty and inequality in South Africa	03/2018	STATS SA, WB, NDP 2030, DPME	
Preventive and developmental social work and family functioning in two poor South African Communities		University of the Free State	
<b>Inequality Research Project</b>			
An audit of the research community working on inequality in South Africa		SALDRU	
Drivers of inequality in South Africa		UCT	
The impact of inequality on social cohesion		HSRC	
The review of the economics of income inequality literature in the South African context		UCT SALDRU	
Vulnerability in employment: evidence from South Africa			
Large and medium manufacturing firms in eThekweni		UKZN	
<b>Agriculture</b>			
Government and Small scale agriculture. Understanding successes and failures in respect of learning, planning and implementation		University of Fort Hare	
Governance of agricultural programmes in South Africa: potential and constraints for local food systems adopting a right to food lens		North West University	
<b>Environment</b>			
An analysis of climate change-related projects in the eThekweni Municipality, Synthesis report	2017	UKZN	
<b>Theme 3: Child poverty (early childhood</b>			

<b>development, children and violence)</b>			
Mapping the gaps	09/2016	Uni. of Stellenbosch, UNICEF etc.	
Food choices and Body mass Index (BMI) in adult and children		(Logo too small)	
Family matters – family cohesion, values and strengthening in South Africa		HSRC	
Review of research evidence on child poverty in South Africa		SASPRI, Children's Institute	
Developing an understanding of complex trauma in childhood: strengthening our therapeutic approaches in South Africa		SASPRI, Children's Institute	
Effective early childhood development programme options meeting the needs of young South African children			
<b>Learning Facility</b>			
Newsletter 1	08/2015		All on ECD with 1 article on EBP
<b>Others</b>			
Financing Agreement			
EU MIP 2007-2013			
South Africa Belgium Agreement Tirelo Bosha	06/2013		National Treasury
Capacity Building for Employment Promotion, EU	2016		National Treasury
NSG Public Service training and capacity building, EU	2016		National Treasury
DSBD Research Agenda Final Narrative	06/2017		DSBD
NDP Executive Summary			Website
Performance Information Handbook	2011	National Treasury	Website
Annual Report on National Evaluation System	2016/2017	DPME	Ian Goldman
A focus on M&E of results: an example from the Presidency, South Africa	12/2014	Journal of Development Effectiveness	Ian Goldman
The emergence of government evaluation systems in Africa: The case of Benin, Uganda and South Africa	03/2018	African Evaluation Journal	Ian Goldman
A concept note about an Integrated and Comprehensive Monitoring System for the Government of South Africa		Thulani Masilela	Website
The pilot evaluation for the National Evaluation System in South Africa – A diagnostic review of early childhood development	2015	Davids, M., Samuels, M.-L., September, R., Moeng, T.L., Richter, L., Mabogoane, T.W. <i>et al.</i> , 2015	Ian Goldman/ www.aejonline.org
Developing South Africa's national evaluation policy and system: First lessons learned		Goldman, I., Mathe, J.E., Jacob, C., Hercules, A., Amisi, M., Buthelezi, T. <i>et al.</i> , 2015	Ian Goldman/ www.aejonline.org

## Annex 4: List of Courses Key Questions from Inception Report

### List of Courses

Mandela Initiative Carnegie Workshop Comm Agri 15-17 Sep 2015  
Mandela Initiative Carnegie Workshop Agricultural Dialogue 6 - 8 August 2014  
Mandela initiative Carnegie Social Cohesion Wrksh 24 - 26 August 2016  
Child Gauge Launch 10 Nov 2015  
Child gauge 2015 Youth Participation Workshop 2, 4 - 6 Sept 2015  
Mandela Initiative Carnegie Workshop CIPSET P&I Collq 20-21 Aug 2015  
EC OD UFH Develop Emotional Intelligence 1 July 2016  
CfP 1 Research Diss Conf 13 Oct 2016  
NIDS half day Policy maker workshop DBE 1 Feb 2016  
EBPM&I course 24 - 26 Oct 2016  
EBPM&I course 23-25 May 2016  
EBPM&I course 27 - 29 May 2015  
EBPM&I course 28 - 30 October 2015  
EBPM&I course 4-6 November 2013  
EPBM&I course 27-29 October 2014  
ECD EC MTG 26 April 2016  
ECD KZN-EC Exch 13-14 June 2016  
Grantee Policy Engagement Wrksh 17-18 March 2016  
Grantees Inception Workshop cfp2 29 - 20 July 2015  
Grantees Inception Workshop cfp1: 2 - 3 December 2014  
HSRC PAN CHILDREN Pol Diag 9 Nov 2015  
HTWPB Workshop Gauteng 19 Aug 2016  
ISS Diag VAW & VAC 13 Oct 2016  
Mandela Initiative Carnegie Workshop Migrant Labour 7 - 8 Feb 2017  
NIDS Panel data course 16 - 18 Nov 2016  
NIDS Panel data course 13 - 17 July 2015  
NIDS campus visits - Gauteng 9 - 11 March 2015  
NIDS campus visits Eastern Cape 14 - 16 April 2015  
NIDS half day seminar DSD 12 April 2016  
NIDS Panel data course 11 - 15 July 2016  
NIDS Panel data course 2 - 4 Nov 2015  
NIDS Panel data course 7 - 11 July 2014  
NIDS Wave 4 Launch Sep 2016  
NIDS half day Workshop DSBD 27 Jan 2017  
Poverty & Inequality course 18 - 22 July 2016  
HTWPB Workshop Limpopo 29 - 30 June 2016  
Poverty & Inequality course 3 - 7 Aug 2015  
Poverty & Inequality course 24 - 28 November 2014  
Education Quant Evidence Conf 19 - 20 September 2016  
Education Quant Evidence Conf 17 - 18 August 2015  
Quantitative Evidence Based Policy Making training 8 - 12 June 2015

Inequality Dialogue Soc Cohesion 24 Nov 2016  
TIPS Macro Economic Policy course 13-15 April 2016  
TIPS Research Methodology course 14-16 March 2016  
HTWPB Workshop Gauteng 27-28 August 2015  
Youth, Inequality, Labour Market 19 Apr 2016 Child Gauge post launch  
Youth Basic Package seminar 24 Jan 2017.  
Chile Crece Contigo Stakeholder engagement 28 March 2017  
Chile Crece Contigo Stakeholder engagement 27 March 2017  
Chile Crece Contigo Govt engagement ECD Service Delivery 27 March 2017  
Evidence-based Decision Making Workshop 4-5 April 2017  
Child Gauge Support Writers Retreat 29 March 2017  
HTWPB Workshop KZN 29 - 30 November 2016  
UGANDA STUDY TOUR 23-27 APRIL 2017  
NIDS HALF DAY WORKSHOP NT 12 JUNE 2017  
NIDS Seminar DPME 6 APRIL 2017  
HSRC PAN Workshop 4 NOVEMBER 2016  
CFP2 Research Dissemination Conference 2017  
DMPE Data Workshop 24 August 2017

## Annex 5: Key Questions from Inception Report

EQ		JC		Justification and TOR reference sections 2.1 and 2.2.2
EQ 1	To what extent did participation of stakeholders in PSPPD II activities allow fostering institutional ownership?	JC 1.1	To what degree has the participation of stakeholders in programme management led to the identification and use of suitable institutional mechanisms for integration of evidence in policy?	Relevance, sustainability of benefits and impact. Programme delivery and institutionalisation. Stakeholder participation in programme management and implementation. Programme management and coordination
		JC 1.2	Did stakeholder engagement in programme implementation contribute to successful programme awareness and outreach?	
EQ 2	To what extent have implemented Programme Estimates achieved an adequate level of efficient budget expenditure?	JC 2.1	To what extent can programme performance be favourably measured in terms of actual versus planned expenditure of PEs?	Efficiency of programme implementation (input delivery, cost control, activity management)
		JC 2.2	To what degree has JE expenditure respected predetermined timelines?	
EQ 3	To what degree did the Learning Facility contribute to enhanced capacity development and ownership?	JC 3.1	To what extent have LF achievements contributed to SA priorities?	Relevance, effectiveness and sustainability of benefits Ex-post programme institutionalisation
		JC 3.2	To what extent has the LF been successful as a tool to strengthen and expand capacity development and ownership?	
		JC 3.3	To what degree has an effective and sustainable Knowledge Management system been achieved?	
EQ 4	To what degree have programme inputs been sufficient to produce strengthened economic and social clusters in terms of research and evidence?	JC 4.1	To what degree have M&E modalities been effective to inform planning in the Economic and Social Clusters, on the basis of research and evidence produced by the programme?	Effectiveness. Actual and potential outputs delivery and progress towards achieving purpose
		JC 4.2	Have Grantees' Policy Engagement Plans materialised and to what degree have they been implemented?	
EQ 5	To what extent has the programme been able to achieve benefits for final beneficiaries and target groups?	JC 5.1	To what extent have EU added value and generated positive impact on GoSA goals on poverty reduction through EBPM?	Effectiveness and successful alignment and complementarity of outcomes and activities, impact. PSPPD II fit with EU capacity building programmes public

				service training and employment. Alignment to EU MIP
<b>EQ 6</b>	<i>To what degree has programme M&amp;E (reporting) contributed to a better understanding and utilisation of project outputs and outcomes among stakeholders and partners?</i>	<b>JC 6.1</b>	<i>To what extent have tangible benefits in ownership and body of policy been made possible and have they been adequately reported upon by the programme?</i>	Effectiveness, sustainability of benefits. Quality of information management and reporting

## Annex 6: Key Questions from Inception Report and Intermediate Stage Responses

Assessment Area ToR reference sections 2.1 and 2.2.2	EQ/ JC		Preliminary findings
<p>Relevance, sustainability of benefits and impact.</p> <p>Programme delivery and institutionalisation.</p> <p>Stakeholder participation in programme management and implementation.</p> <p>Programme management and coordination</p> <p><i>(last 3 items under efficiency, effectiveness)</i></p>	<b>EQ 1</b>	<i>To what extent did participation of stakeholders in PSPPD II activities allow fostering institutional ownership?</i>	<p>High relevance</p> <p>Institutional ownership high</p>
	<b>JC 1.1</b>	<i>To what degree has the participation of stakeholders in programme management led to the identification and use of suitable institutional mechanisms for integration of evidence in policy?</i>	<p>High flexibility in selection of topics for generation of evidence</p> <p>In consideration of the high number of events and initiatives promoted by PSPPD II, the analysis on the mechanisms for integration of evidence in policy is ongoing</p>
	<b>JC 1.2</b>	<i>Did stakeholder engagement in programme implementation contribute to successful programme awareness and outreach?</i>	<p>It can be confirmed as from MTR that PSPPD II was successful in creating awareness; for the outreach, the measurement of its extent is being processed together with aspects of efficiency and effectiveness</p>
<p>Efficiency of programme implementation (input delivery, cost control, activity management)</p>	<b>EQ 2</b>	<i>To what extent have implemented Programme Estimates achieved an adequate level of efficient budget expenditure?</i>	<p>For aspects concerning the programme expenditure, work is in progress; the analysis will be presented in the Final Draft report</p>
	<b>JC 2.1</b>	<i>To what extent can programme performance be favourably measured in terms of actual versus planned expenditure of PEs?</i>	
	<b>JC 2.2</b>	<i>To what degree has JE expenditure respected predetermined timelines?</i>	
<p>Relevance, effectiveness and sustainability of benefits</p> <p>Ex-post programme institutionalisation</p>	<b>EQ 3</b>	<i>To what degree did the Learning Facility contribute to enhanced capacity development and ownership?</i>	<p>The programme appears to have been successful in enhancing capacity through training, w/s and other initiatives aimed at knowledge and awareness generation</p> <p>Indicators of ownership are closely related to institutionalisation; data collected show that this can have different forms/ meanings according to each department/</p>

Assessment Area ToR reference sections 2.1 and 2.2.2	EQ/ JC		Preliminary findings
			institution
	<b>JC 3.1</b>	<i>To what extent have PSPPD achievements as implemented by the LF contributed to SA priorities?</i>	<p>One of the main findings confirms that PSPPD and, as an integral part of it, the LF are mainly a process rather than a definite linear operation with a start- and an end-date.</p> <p>PSPPD II has been aligned all along to the NDP priorities hence the measurement of the extent of contribution to the SA priorities needs to consider the GoSA broader strategic environment as well as M&amp;E tools (also aimed at capacity building, therefore potentially complementary) and the extent to which PSPPD II has been embedded within existing structures.</p> <p>The above is closely linked to Knowledge Management modalities, also an important element to measure effectiveness, impact and sustainability in particular.</p>
	<b>JC 3.2</b>	<i>To what extent has the PSPPD been successful as a tool to strengthen and expand capacity development and ownership?</i>	
	<b>JC 3.3</b>	<i>To what degree has an effective and sustainable Knowledge Management system been achieved?</i>	
<p>Effectiveness.</p> <p>Actual and potential outputs delivery and progress towards achieving purpose</p>	<b>EQ 4</b>	<i>To what degree have programme inputs been sufficient to produce strengthened economic and social clusters in terms of research and evidence?</i>	<p>The measurement of delivery of results, ongoing at this stage, is done on the basis of Outputs and Outcomes. The programme has indeed achieved a lot in terms of awareness creation and knowledge generation, including enhancing the establishment of networks. These are however traditionally classified as „Activities“ and are different from Outputs: for example, the combination of activities and outputs leads to outcomes in a result-oriented way. In this regard, the analysis focuses, amongst others, on what types of follow-up can be linked to the capacity generated. In cases where implementation is more simply activity-driven, the measurement of outcomes becomes a challenge that can be mitigated by the</p>
	<b>JC 4.1</b>	<i>To what degree has the production and use of knowledge been effective to inform planning in the Economic and Social Clusters, on the basis of research and evidence produced by the programme?</i>	
	<b>JC 4.2</b>	<i>Have Grantees' Policy Engagement Plans materialised and to what degree have they been implemented?</i>	

Assessment Area ToR reference sections 2.1 and 2.2.2	EQ/ JC		Preliminary findings
			<p>adoption of specific tools and corrective measures.</p> <p>Grantees' Policy Engagement Plans are one example of an effective tool to guide implementation involving partnerships hence a useful indicator for this output.</p>
<p>Effectiveness and successful alignment and complementarity of outcomes and activities, impact.</p> <p>PSPPD II fit with EU capacity building programmes public service training and employment.</p> <p>Alignment to EU MIP</p>	<b>EQ 5</b>	<i>To what extent has the programme been able to achieve benefits for final beneficiaries and target groups?</i>	<p>PSPPD II is in line with other EU capacity building programmes in the public sector and, in fact, it appears to have contributed to generating a remarkable amount of knowledge in the field of EBPM with possible positive repercussions on other programmes too.</p> <p>As concerns final benefits, hence impact, the evaluation acknowledges that pro-poor policy development is a process and as such it takes time before bearing fruits. Given the very complex environment in which the project has operated and in consideration of the PSPPD II objective of promoting EBPM, the measurement of achievement will be based on the type of outcomes achieved, both directly and indirectly</p>
	<b>JC 5.1</b>	<i>To what extent have EU added value and generated positive impact on GoSA goals on poverty reduction through EBPM?</i>	
<p>Effectiveness, sustainability of benefits.</p> <p>Quality of information management and reporting</p>	<b>EQ 6</b>	<i>To what degree has programme M&amp;E (reporting) contributed to a better understanding and utilisation of project outputs and outcomes among stakeholders and partners?</i>	<p>Tracing the tangible outcomes of the said CB activities will be carried out in line with the standard OECD approach to project evaluation. To this aim, the existence of an M&amp;E system/s within the project will be one indicator</p>
	<b>JC 6.1</b>	<i>To what extent have tangible benefits in ownership and body of policy been made possible and have they been adequately reported upon by the programme?</i>	<p>Ownership appears to be high; at times the flexibility adopted by management in terms of lead has been beneficial, at other times it has been indicated as a the cause for a "loose" and "too broad" operating modality</p>